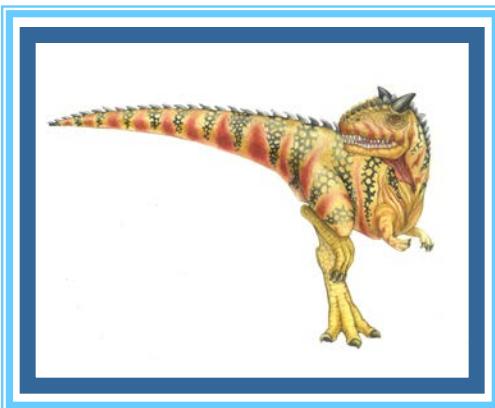
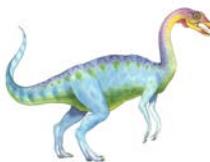


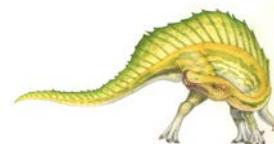
Chapter 1: Introduction

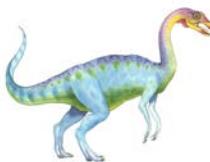




Chapter 1: Introduction

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

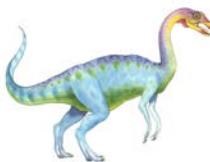




Objectives

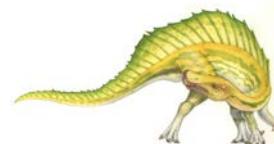
- To describe the basic organization of computer systems
- To provide a grand tour of the major components of operating systems
- To give an overview of the many types of computing environments
- To explore several open-source operating systems

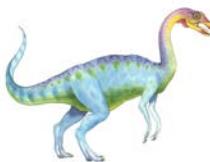




What is an Operating System?

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





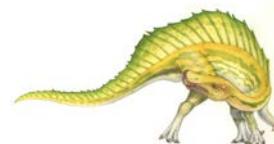
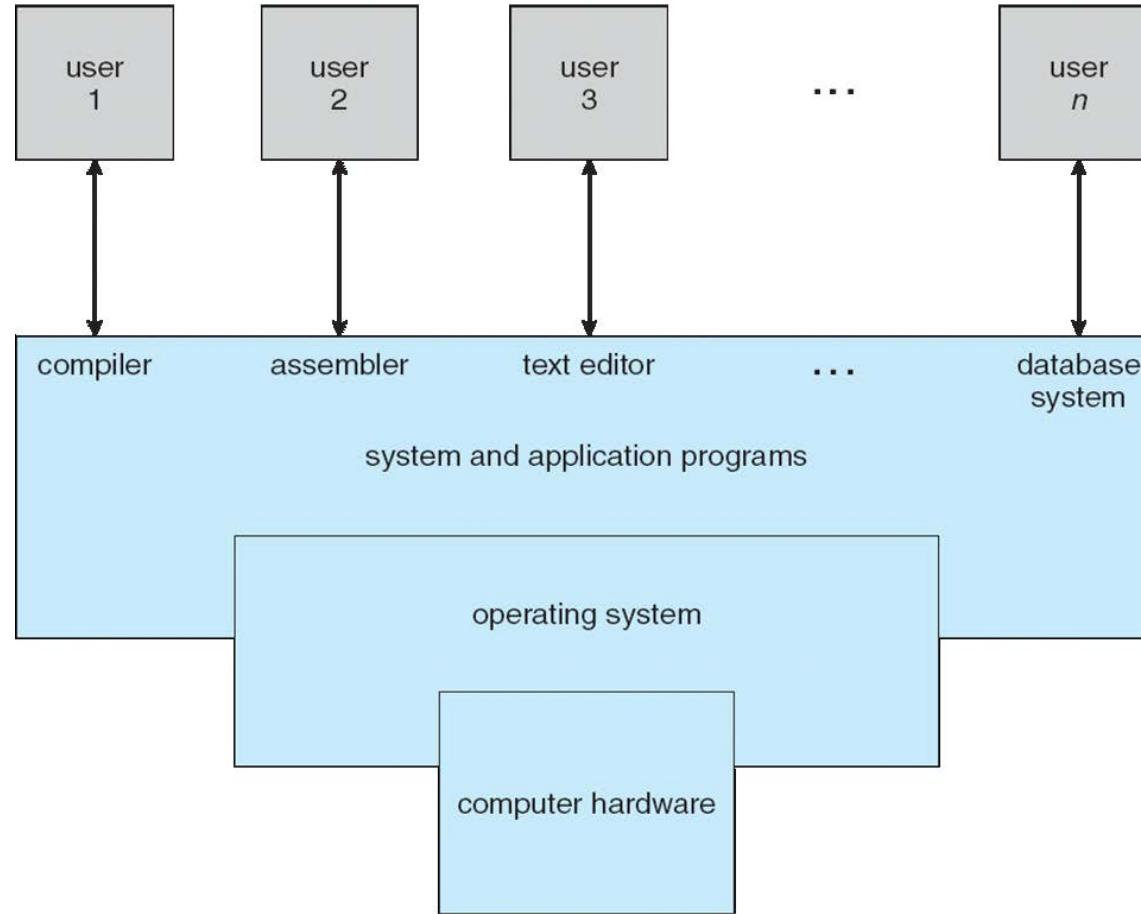
Computer System Structure

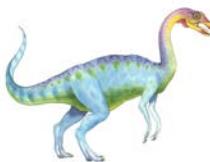
- Computer system can be divided into four components:
 - Hardware – provides basic computing resources
 - ▶ CPU, memory, I/O devices
 - Operating system
 - ▶ Controls and coordinates use of hardware among various applications and users
 - Application programs – define the ways in which the system resources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





Four Components of a Computer System

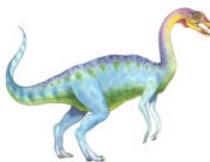




What Operating Systems Do

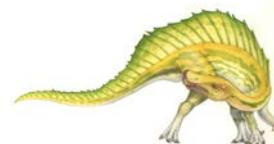
- Depends on the point of view
- Users want convenience, **ease of use** and **good performance**
 - Don't care about **resource utilization**
- But shared computer such as **mainframe** or **minicomputer** must keep all users happy
- Users of dedicated systems such as **workstations** have dedicated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

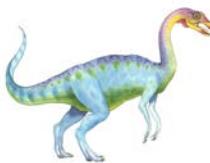




Operating System Definition

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





Operating System Definition (Cont.)

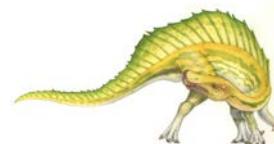
- No universally accepted definition
- “Everything a vendor ships when you order an operating system” is a good approximation
 - But varies wildly
- “The one program running at all times on the computer” is the **kernel**.
- Everything else is either
 - a system program (ships with the operating system)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





Computer Startup

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

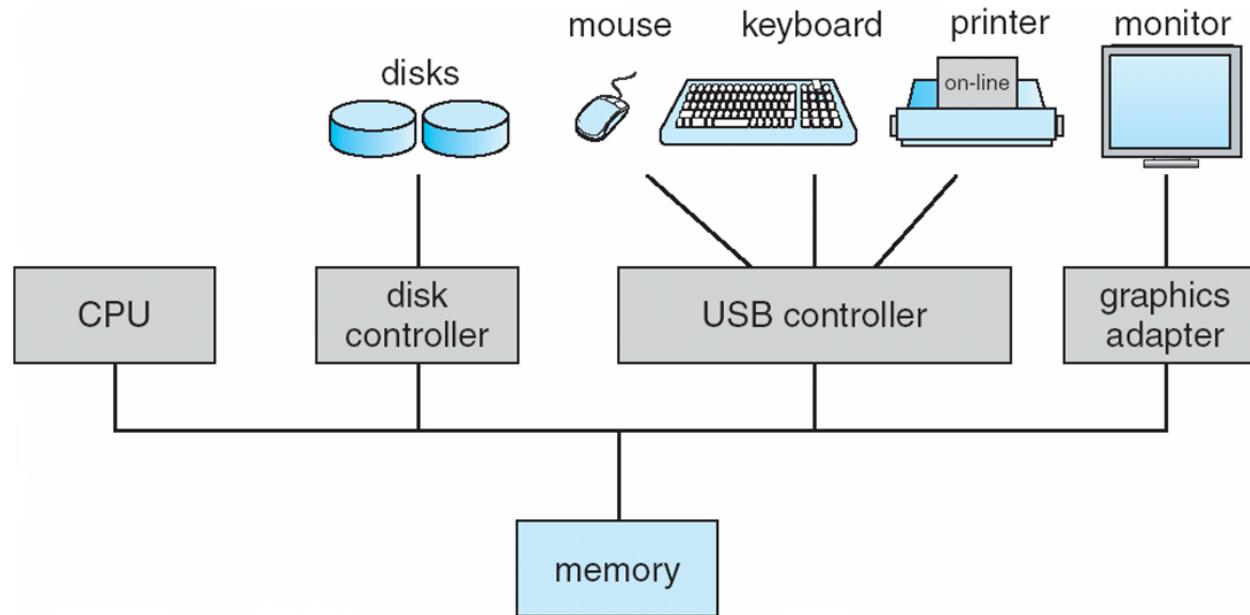


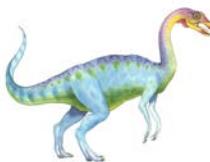


Computer System Organization

■ Computer-system operation

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

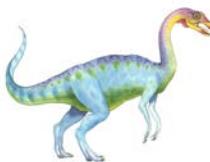




Computer-System Operation

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

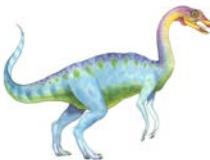




Common Functions of Interrupts

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

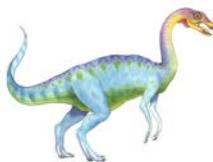




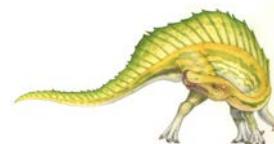
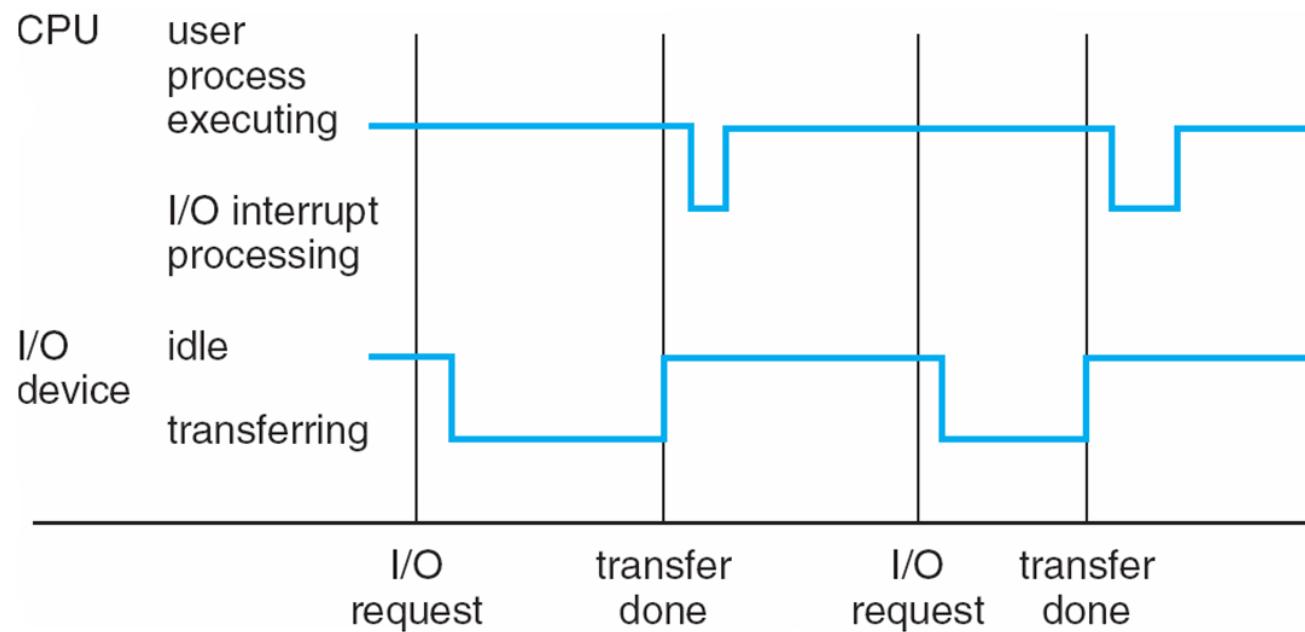
Interrupt Handling

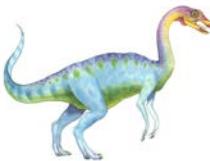
- The operating system preserves the state of the CPU by storing registers and the program counter
- Determines which type of interrupt has occurred:
 - **polling**
 - **vectored** interrupt system
- Separate segments of code determine what action should be taken for each type of interrupt





Interrupt Timeline





I/O Structure

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





Storage Definitions and Notation Review

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

Computer storage, along with most computer throughput, is generally measured and manipulated in bytes and collections of bytes.

A **kilobyte**, or **KB**, is 1,024 bytes

a **megabyte**, or **MB**, is $1,024^2$ bytes

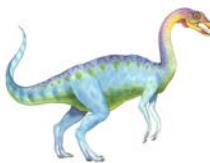
a **gigabyte**, or **GB**, is $1,024^3$ bytes

a **terabyte**, or **TB**, is $1,024^4$ bytes

a **petabyte**, or **PB**, is $1,024^5$ bytes

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

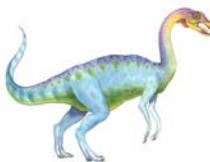




Storage Structure

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





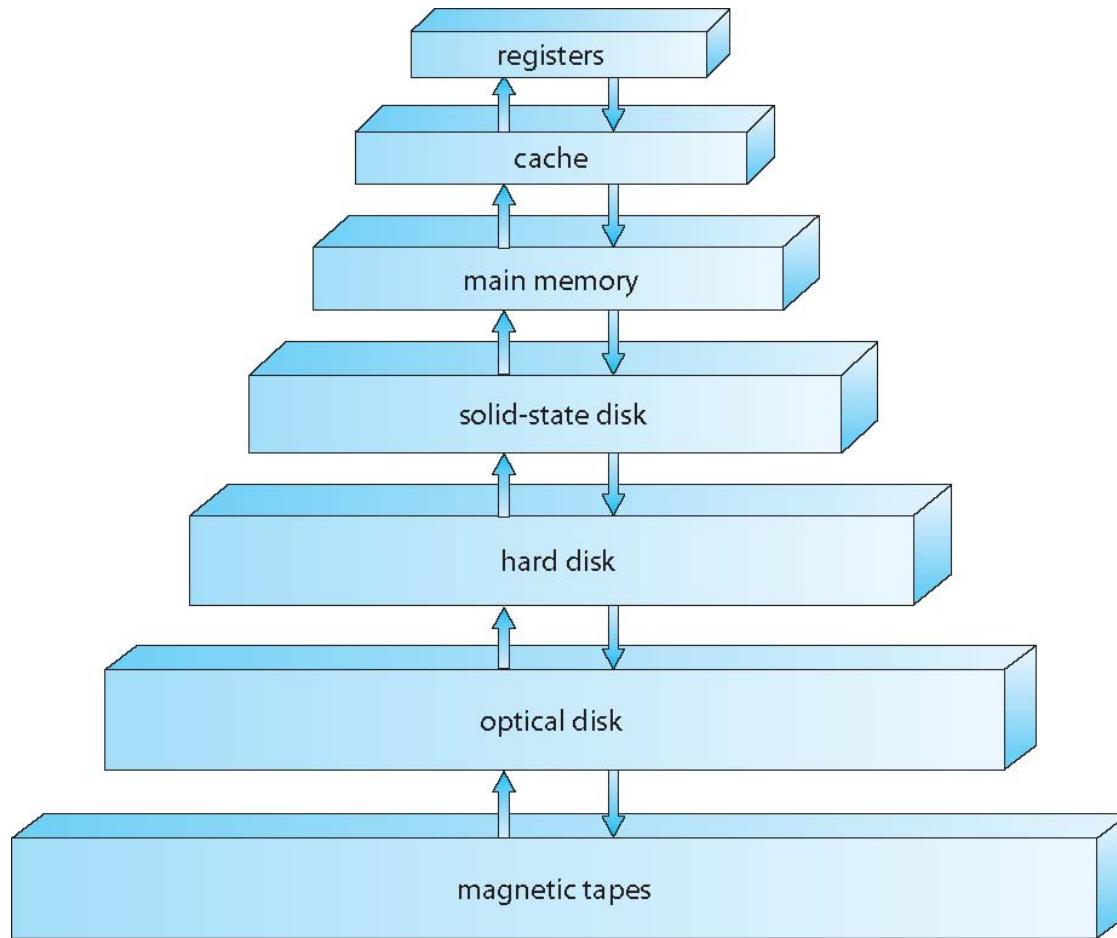
Storage Hierarchy

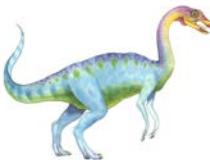
- Storage systems organized in hierarchy
 - Speed
 - Cost
 - Volatility
- **Caching** – copying information into faster storage system; main memory can be viewed as a cache for secondary storage
- **Device Driver** for each device controller to manage I/O
 - Provides uniform interface between controller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





Storage-Device Hierarchy

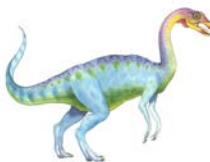




Caching

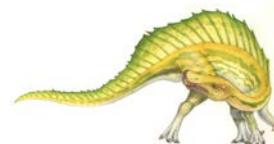
- Important principle, performed at many levels in a computer (in hardware, operating system, software)
- Information in use copied from slower to faster storage temporarily
- Faster storage (cache) checked first to determine if information is there
 - If it is, information used directly from the cache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





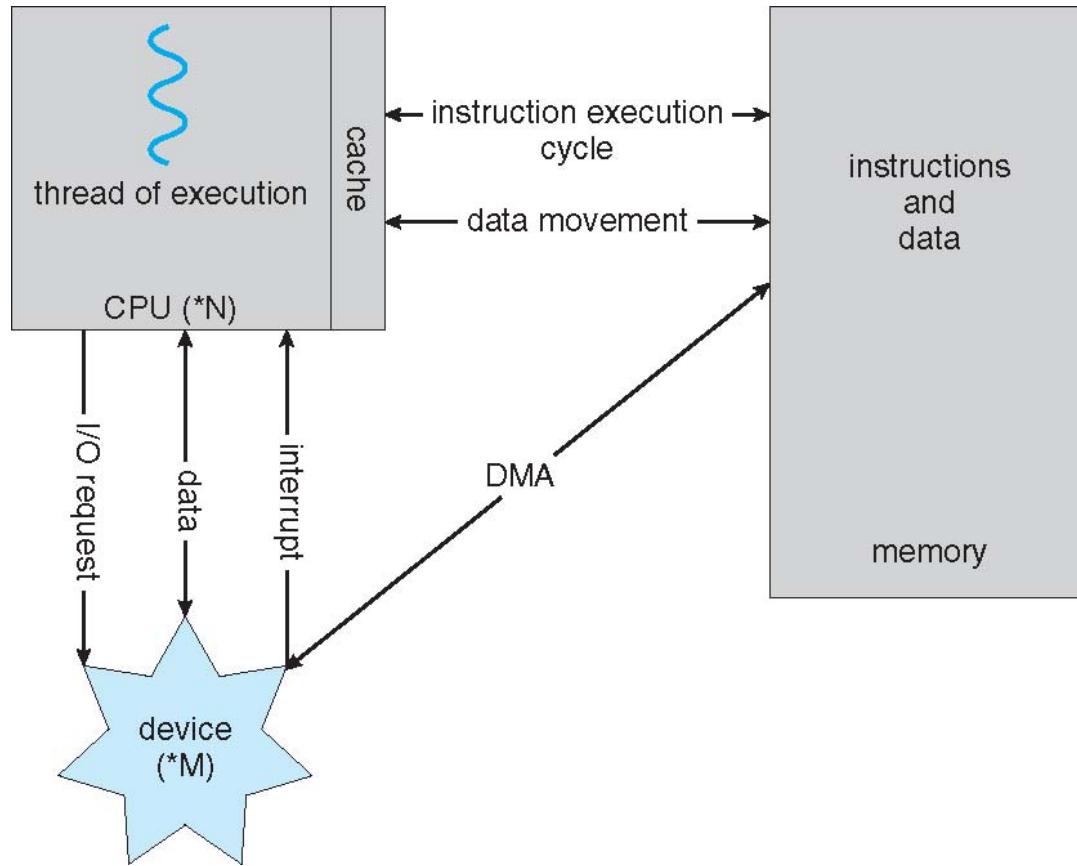
Direct Memory Access Structure

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

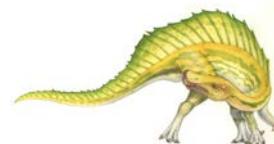


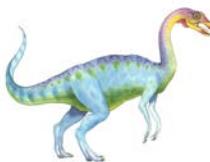


How a Modern Computer Works



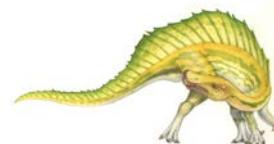
A von Neumann architecture





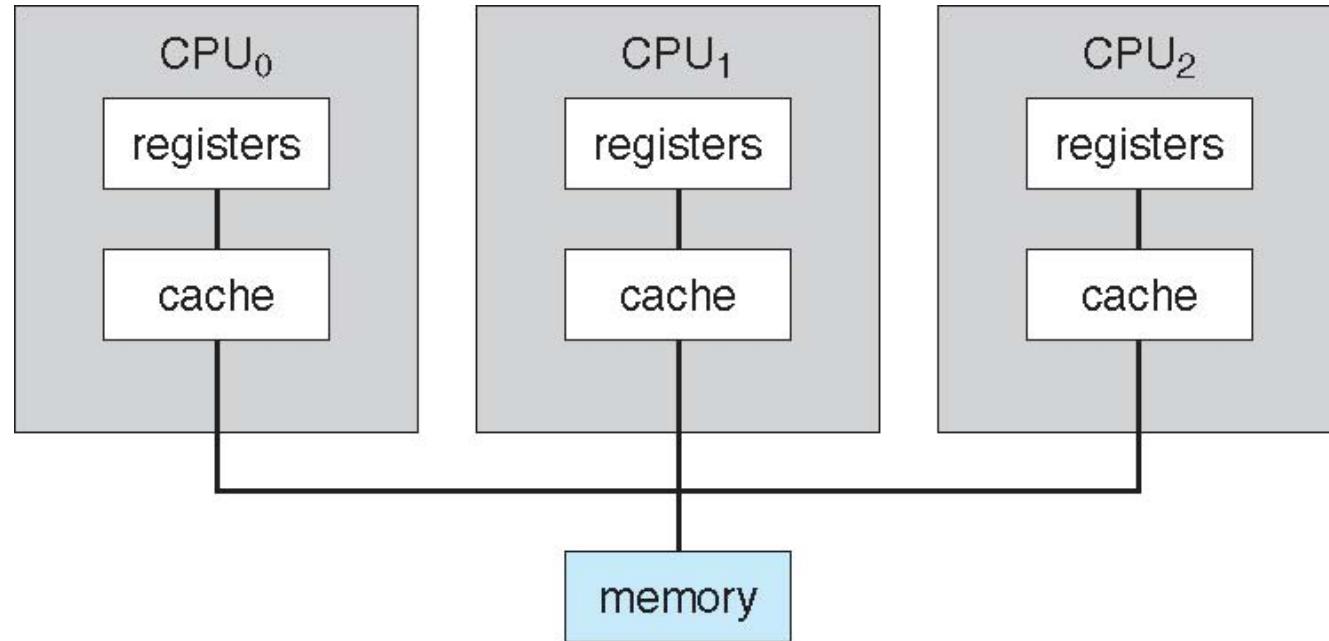
Computer-System Architecture

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





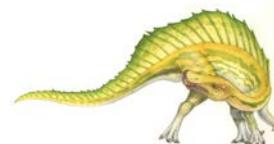
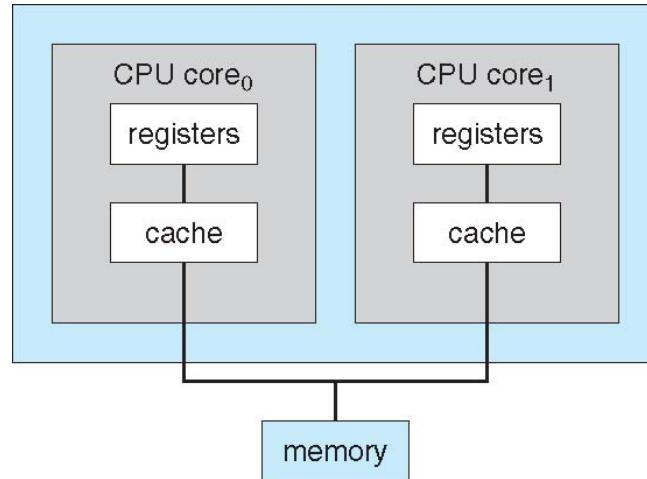
Symmetric Multiprocessing Architecture

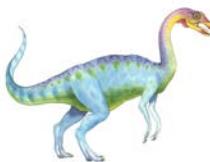




A Dual-Core Design

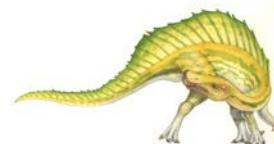
- Multi-chip and **multicore**
- Systems containing all chips
 - Chassis containing multiple separate systems





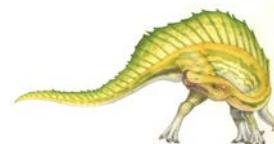
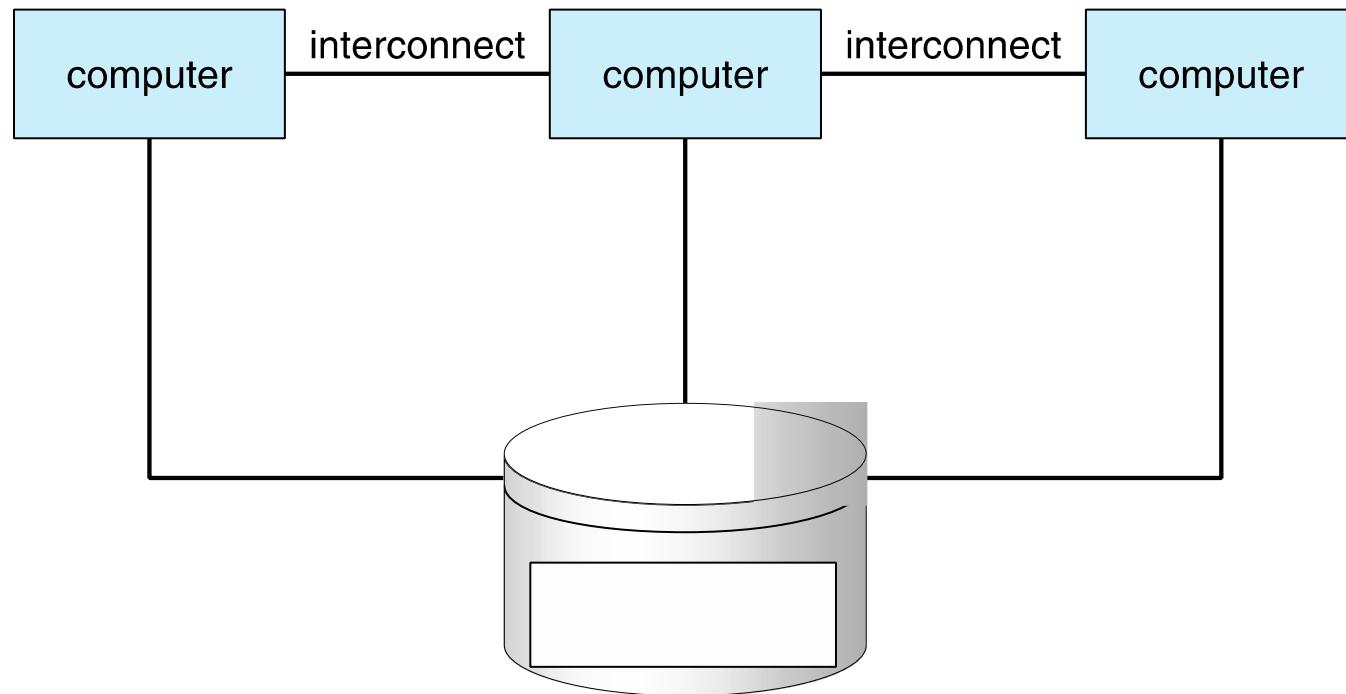
Clustered Systems

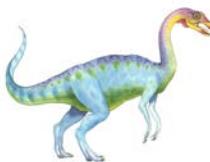
- Like multiprocessor systems, but multiple systems working together
 - Usually sharing storage via a **storage-area network (SAN)**
 - Provides a **high-availability** service which survives failures
 - ▶ **Asymmetric clustering** has one machine in hot-standby mode
 - ▶ **Symmetric clustering** has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





Clustered Systems





Operating System Structure

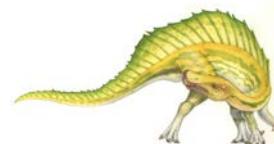
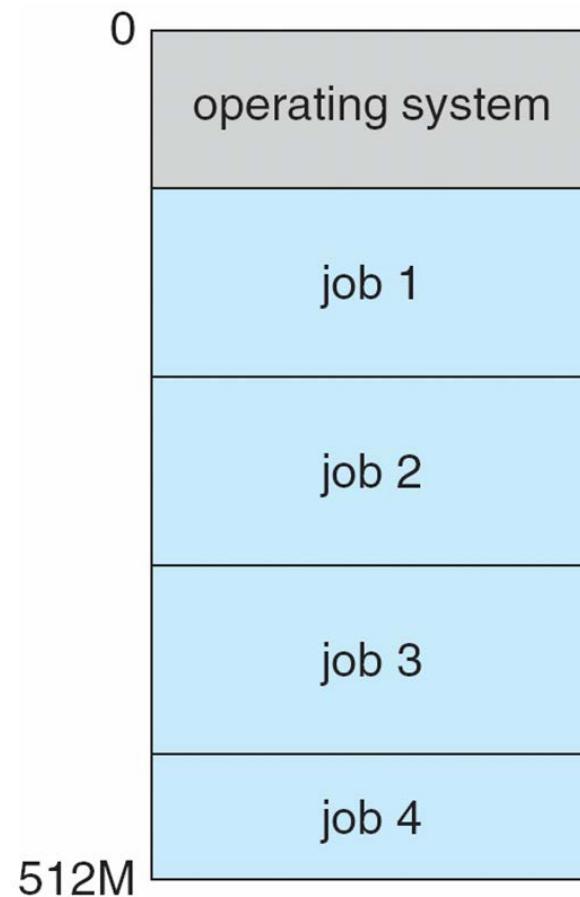
- **Multiprogramming (Batch system)** needed for efficiency
 - Single user cannot keep CPU and I/O devices busy at all times
 - Multiprogramming organizes jobs (code and data) so CPU always has one to execute
 - A subset of total jobs in system is kept in memory
 - One job selected and run via **job scheduling**
 - When it has to wait (for I/O for example), OS switches to another job

- **Timesharing (multitasking)** is logical extension in which CPU switches jobs so frequently that users can interact with each job while it is running, creating **interactive** computing
 - **Response time** should be < 1 second
 - Each user has at least one program executing in memory \Rightarrow **process**
 - If several jobs ready to run at the same time \Rightarrow **CPU scheduling**
 - If processes don't fit in memory, **swapping** moves them in and out to run
 - **Virtual memory** allows execution of processes not completely in memory





Memory Layout for Multiprogrammed System

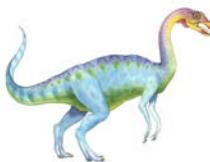




Operating-System Operations

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

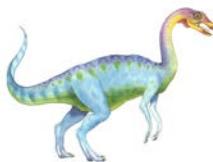




Operating-System Operations (cont.)

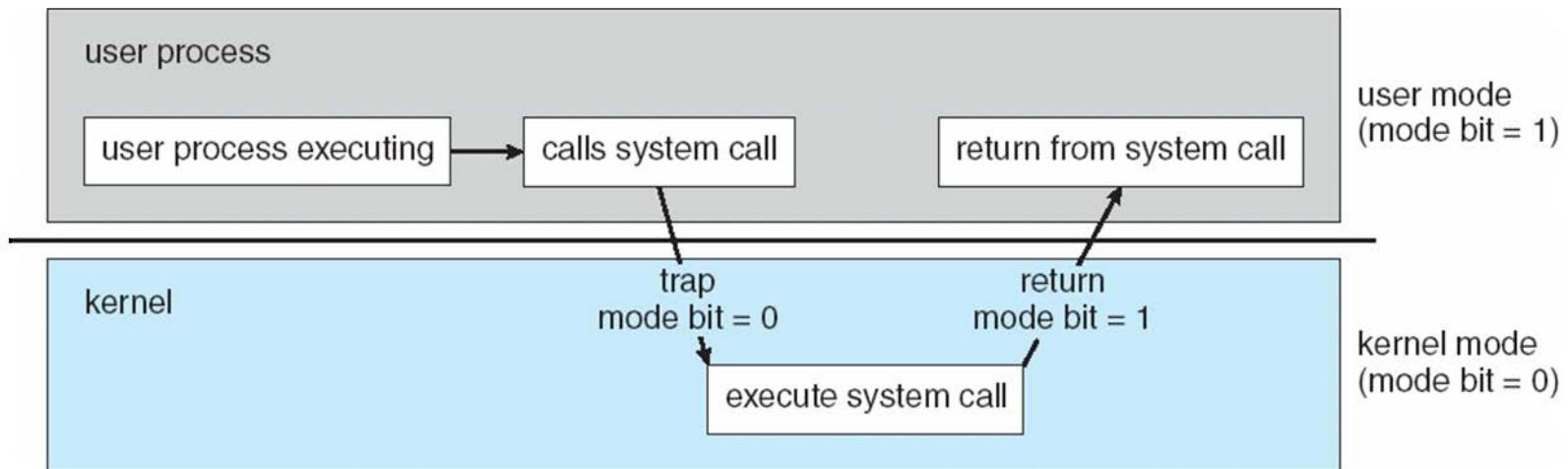
- Dual-mode operation allows OS to protect itself and other system components
 - User mode and kernel mode
 - Mode bit provided by hardware
 - ▶ Provides ability to distinguish when system is running user code or kernel code
 - ▶ Some instructions designated as privileged, only executable in kernel mode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

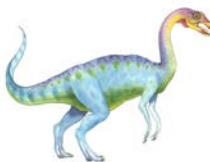




Transition from User to Kernel Mode

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

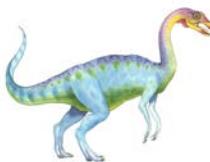




Process Management

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



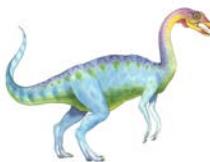


Process Management Activities

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

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

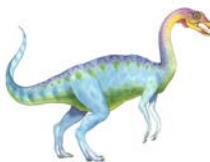




Memory Management

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

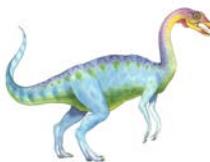




Storage Management

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





Mass-Storage Management

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

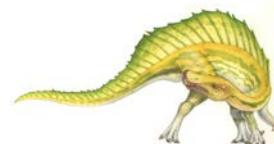


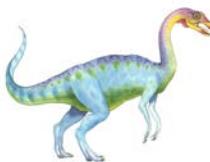


Performance of Various Levels of Storage

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

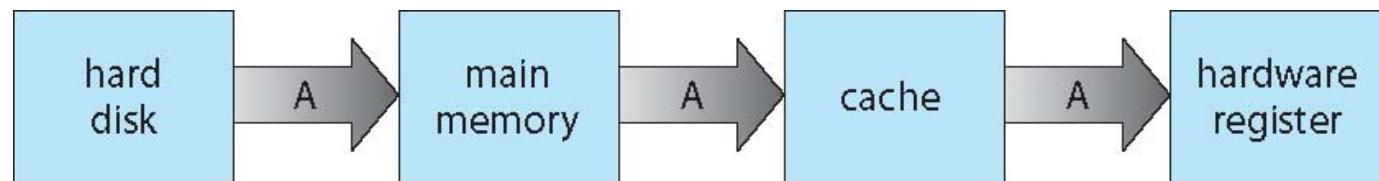
Movement between levels of storage hierarchy can be explicit or implicit





Migration of data “A” from Disk to Register

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



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

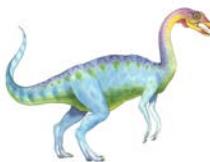




I/O Subsystem

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

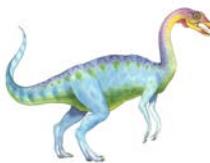




Protection and Security

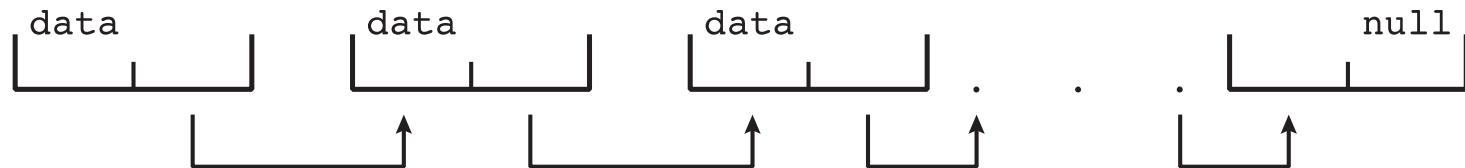
- **Protection** – any mechanism for controlling access of processes or users to resources defined by the OS
- **Security** – defense of the system against internal and external attacks
 - Huge range, including denial-of-service, worms, viruses, identity theft, theft of service
- Systems generally first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



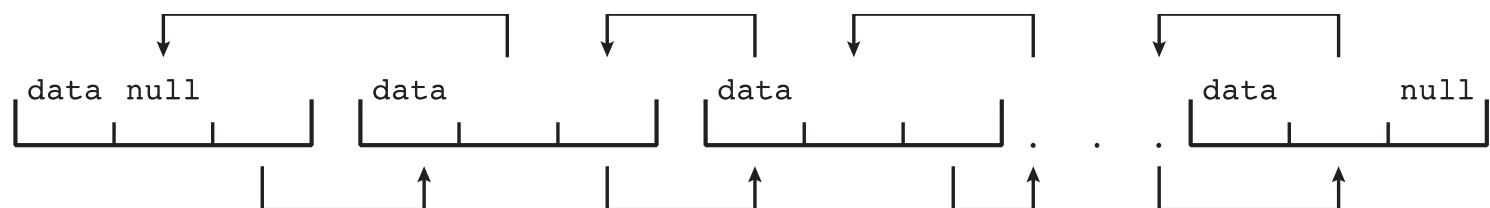


Kernel Data Structures

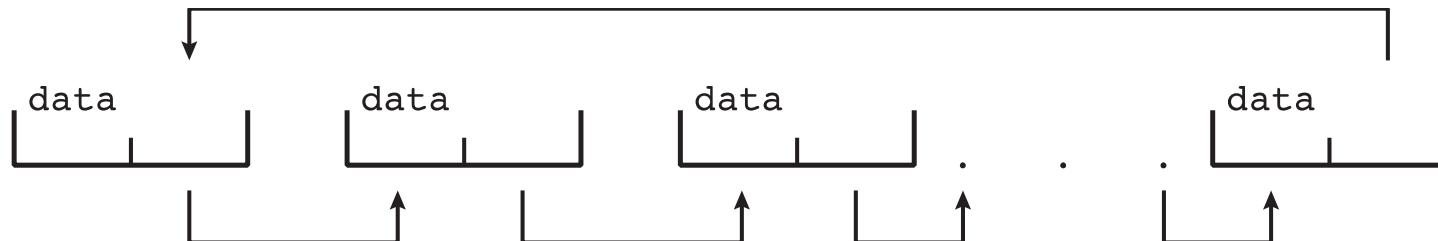
- Many similar to standard programming data structures
- ***Singly linked list***

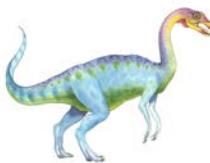


- ***Doubly linked list***



- ***Circular linked list***



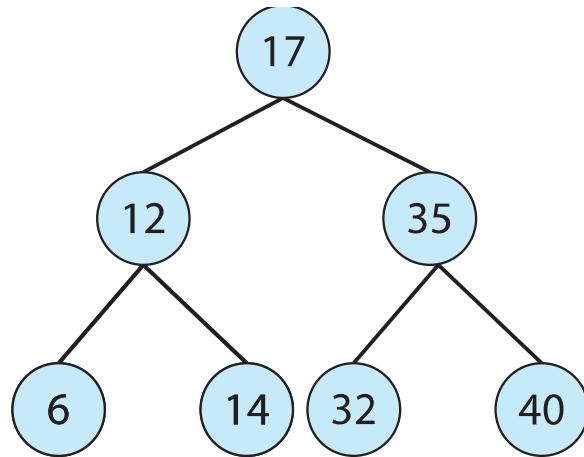


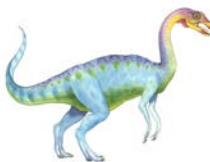
Kernel Data Structures

■ Binary search tree

left \leq right

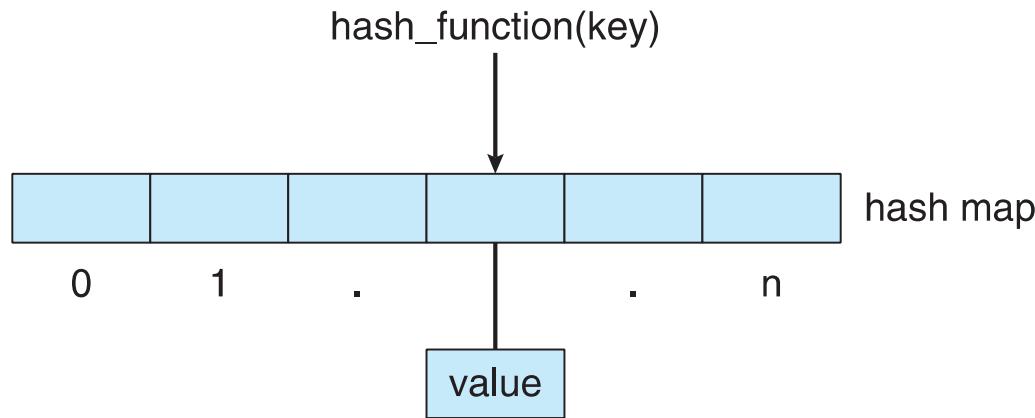
- Search performance is $O(n)$
- **Balanced binary search tree** is $O(\lg n)$



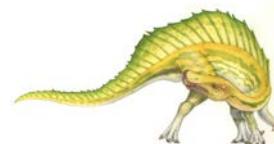


Kernel Data Structures

- Hash function can create a hash map



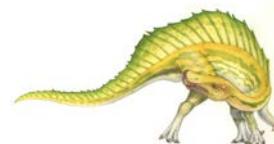
- Bitmap – string of n binary digits representing the status of n items
- Linux data structures defined in
 - include** files `<linux/list.h>`, `<linux/kfifo.h>`,
`<linux/rbtree.h>`

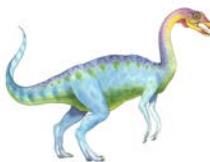




Computing Environments - Traditional

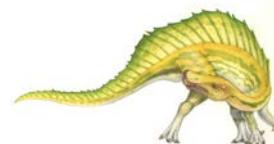
- Stand-alone general purpose machines
- But blurred as most systems interconnect with others (i.e., the Internet)
- **Portals** provide web access to internal systems
- **Network computers (thin clients)** are like Web terminals
- Mobile computers interconnect via **wireless networks**
- Networking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

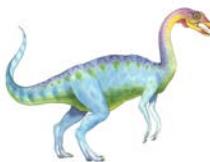




Computing Environments - Mobile

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

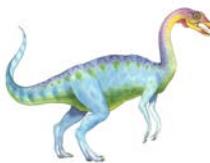




Computing Environments – Distributed

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

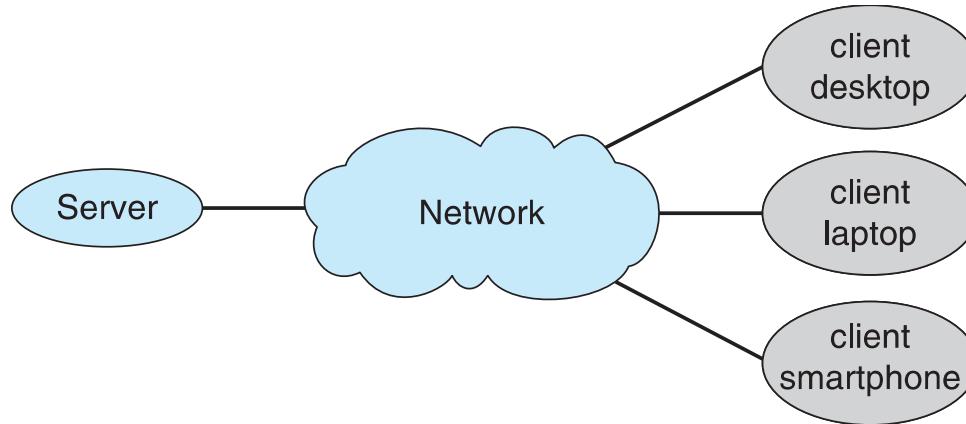


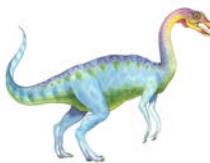


Computing Environments – Client-Server

■ Client-Server Computing

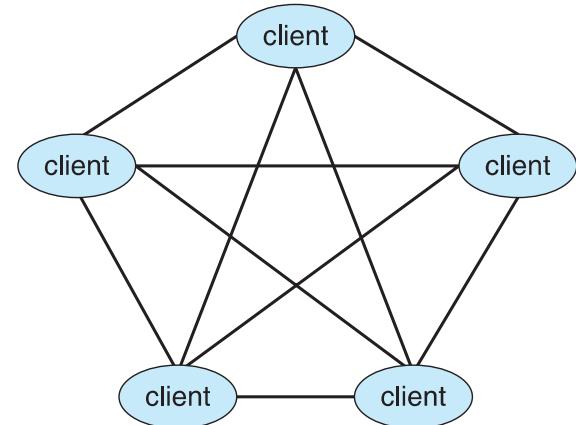
- Dumb terminals supplanted by smart PCs
- Many systems now **servers**, responding to requests generated by **clients**
 - ▶ **Compute-server system** provides an interface to client to request services (i.e., database)
 - ▶ **File-server system** provides interface for clients to store and retrieve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

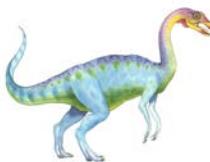




Computing Environments - Peer-to-Peer

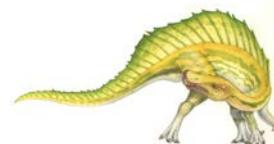
- Another model of distributed system
- P2P does not distinguish clients and servers
 - Instead all nodes are considered peers
 - May each act as client, server or both
 - Node must join P2P network
 - ▶ Registers its service with central lookup service on network, or
 - ▶ Broadcast request for service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

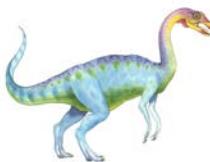




Computing Environments - Virtualization

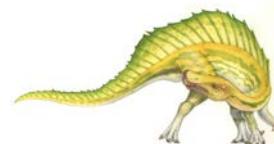
- Allows operating systems to run applications within other OSes
 - Vast and growing industry
- **Emulation** used when source CPU type different from target type (i.e. PowerPC to Intel x86)
 - Generally slowest method
 - When computer language not compiled to native code – **Interpretation**
- **Virtualization**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





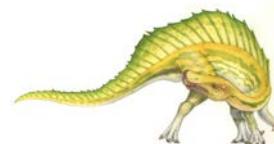
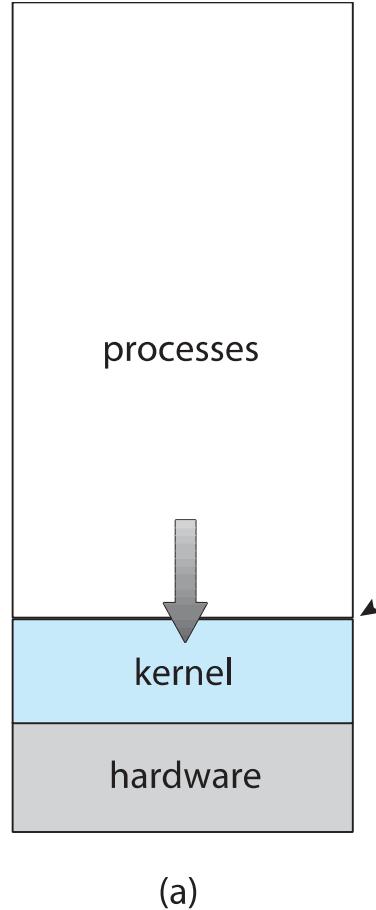
Computing Environments - Virtualization

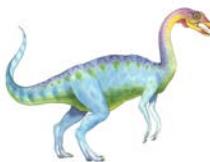
- Use cases involve laptops and desktops running multiple OSes for exploration or compatibility
 - Apple laptop running Mac OS X host, Windows as a guest
 - Developing apps for multiple OSes without having multiple systems
 - QA testing applications without having multiple systems
 - Executing and managing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





Computing Environments - Virtualization





Computing Environments – Cloud Computing

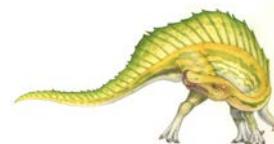
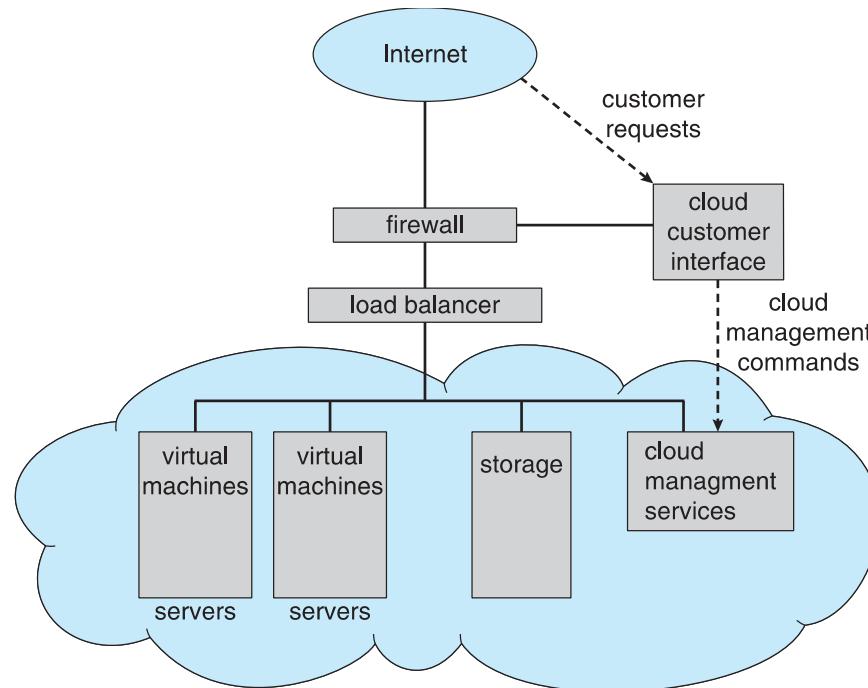
- Delivers computing, storage, even apps as a service across a network
- Logical extension of virtualization because it uses virtualization as the base for its functionality.
 - Amazon **EC2** has thousands of servers, millions of virtual machines, petabytes of storage available across the Internet,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

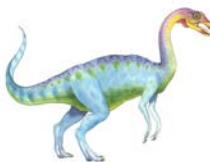




Computing Environments – Cloud Computing

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

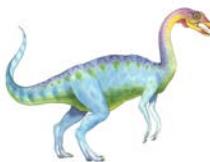




Computing Environments – Real-Time Embedded Systems

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



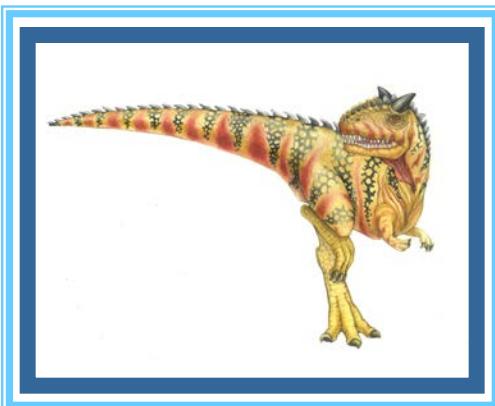


Open-Source Operating Systems

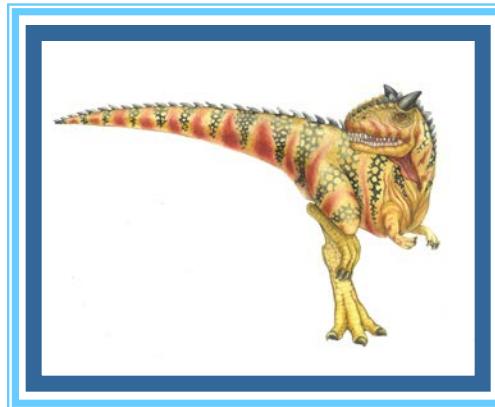
- Operating systems made available in source-code format rather than just binary **closed-source**
- Counter to the **copy protection** and **Digital Rights Management (DRM)** movement
- Started by **Free Software Foundation (FSF)**, which has “copyleft” **GNU Public License (GPL)**
- Examples include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

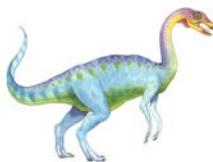


End of Chapter 1



Chapter 2: Operating-System Structures

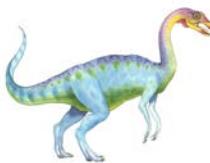




Chapter 2: Operating-System Structures

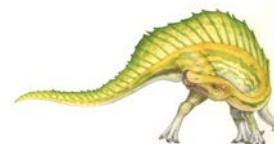
- Operating System Services
- User Operating System Interface
- System Calls
- Types of System Calls
- System Programs
- Operating System Design and Implementation
- Operating System Structure
- Operating System Debugging
- Operating System Generation
- System Boot

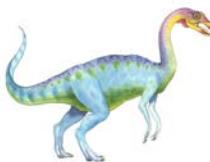




Objectives

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

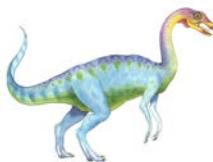




Operating System Services

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





Operating System Services (Cont.)

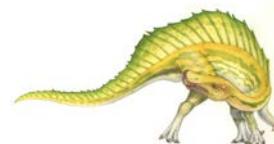
- One set of operating-system services provides functions that are helpful to the user (Cont.):
 - **File-system manipulation** - The file system is of particular interest. Programs need to read and write files and directories, create and delete them, search them, list file information, permission management.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





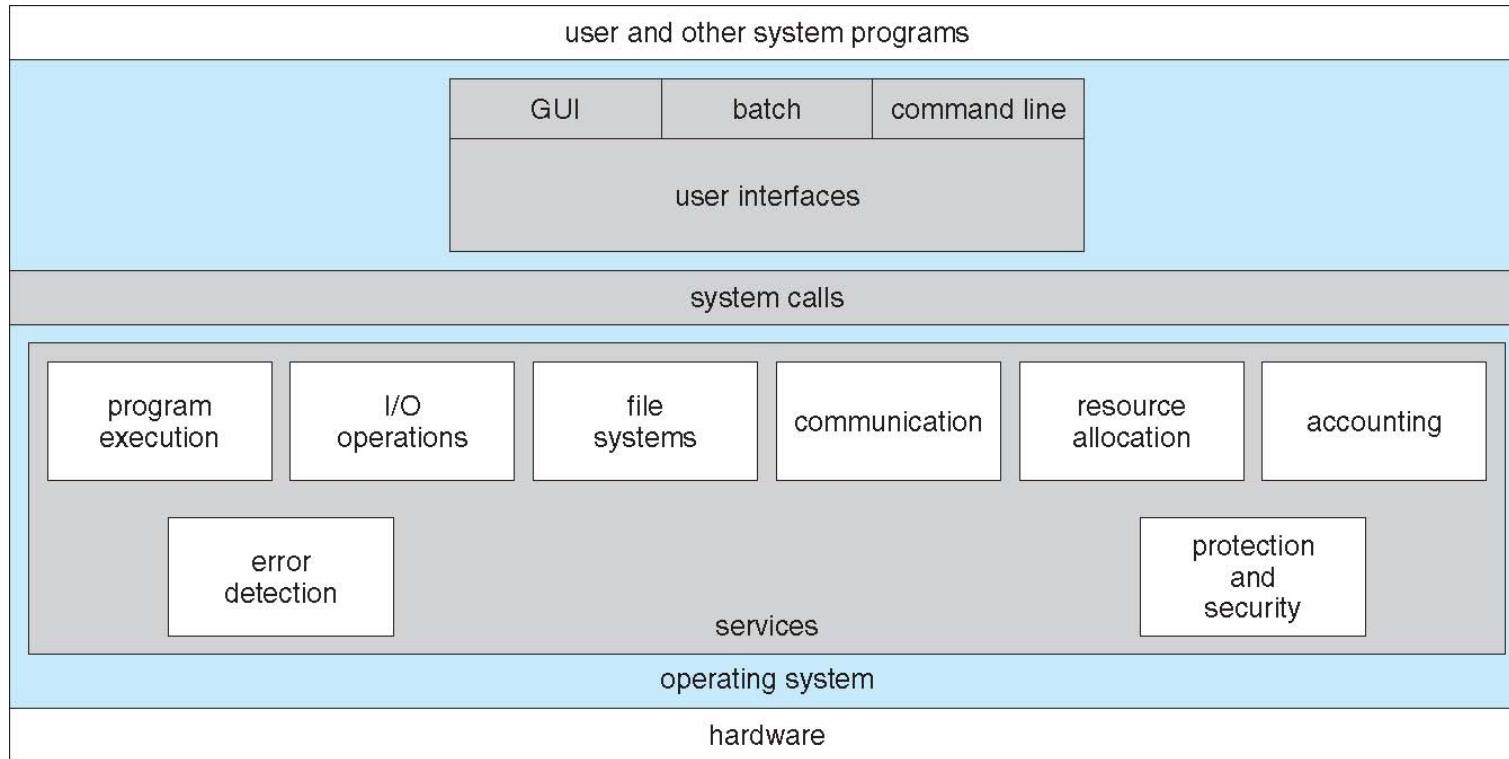
Operating System Services (Cont.)

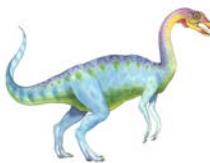
- Another set of OS functions exists for ensuring the efficient operation of the system itself via resource sharing
 - **Resource allocation** - When multiple users or multiple jobs running concurrently, resources must be allocated to each of them
 - ▶ Many types of resources - CPU cycles, main memory,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





A View of Operating System Services

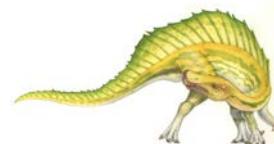


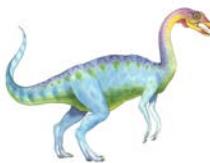


User Operating System Interface - CLI

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

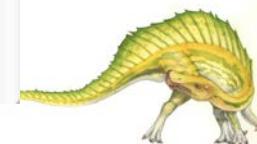
- Sometimes implemented in kernel, sometimes by systems program
- Sometimes multiple flavors implemented – **shells**
- Primarily fetches a command from user and executes it
- Sometimes commands built-in, sometimes just names of programs
 - ▶ If the latter, adding new features doesn't require shell modification

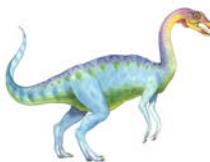




Bourne Shell Command Interpreter

```
Default
New Info Close Execute Bookmarks
Default Default
PBG-Mac-Pro:~ pbgs w
15:24 up 56 mins, 2 users, load averages: 1.51 1.53 1.65
USER TTY FROM LOGIN@ IDLE WHAT
pbgs console - 14:34 50 -
pbgs s000 - 15:05 - w
PBG-Mac-Pro:~ pbgs iostat 5
      disk0          disk1          disk10         cpu    load average
      KB/t tps MB/s   KB/t tps MB/s   KB/t tps MB/s us sy id 1m 5m 15m
  33.75 343 11.30   64.31 14 0.88   39.67 0 0.02 11 5 84 1.51 1.53 1.65
  5.27 320 1.65   0.00 0 0.00   0.00 0 0.00 4 2 94 1.39 1.51 1.65
  4.28 329 1.37   0.00 0 0.00   0.00 0 0.00 5 3 92 1.44 1.51 1.65
^C
PBG-Mac-Pro:~ pbgs ls
Applications           Music           WebEx
Applications (Parallels) Pando Packages config.log
Desktop                Pictures          getsmartdata.txt
Documents              Public           imp
Downloads              Sites            log
Dropbox                Thumbs.db        panda-dist
Library                Virtual Machines prob.txt
Movies                 Volumes          scripts
PBG-Mac-Pro:~ pbgs pwd
/Users/pbg
PBG-Mac-Pro:~ pbgs ping 192.168.1.1
PING 192.168.1.1 (192.168.1.1): 56 data bytes
64 bytes from 192.168.1.1: icmp_seq=0 ttl=64 time=2.257 ms
64 bytes from 192.168.1.1: icmp_seq=1 ttl=64 time=1.262 ms
^C
--- 192.168.1.1 ping statistics ---
2 packets transmitted, 2 packets received, 0.0% packet loss
round-trip min/avg/max/stddev = 1.262/1.760/2.257/0.498 ms
PBG-Mac-Pro:~ pbgs 
```





User Operating System Interface - GUI

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





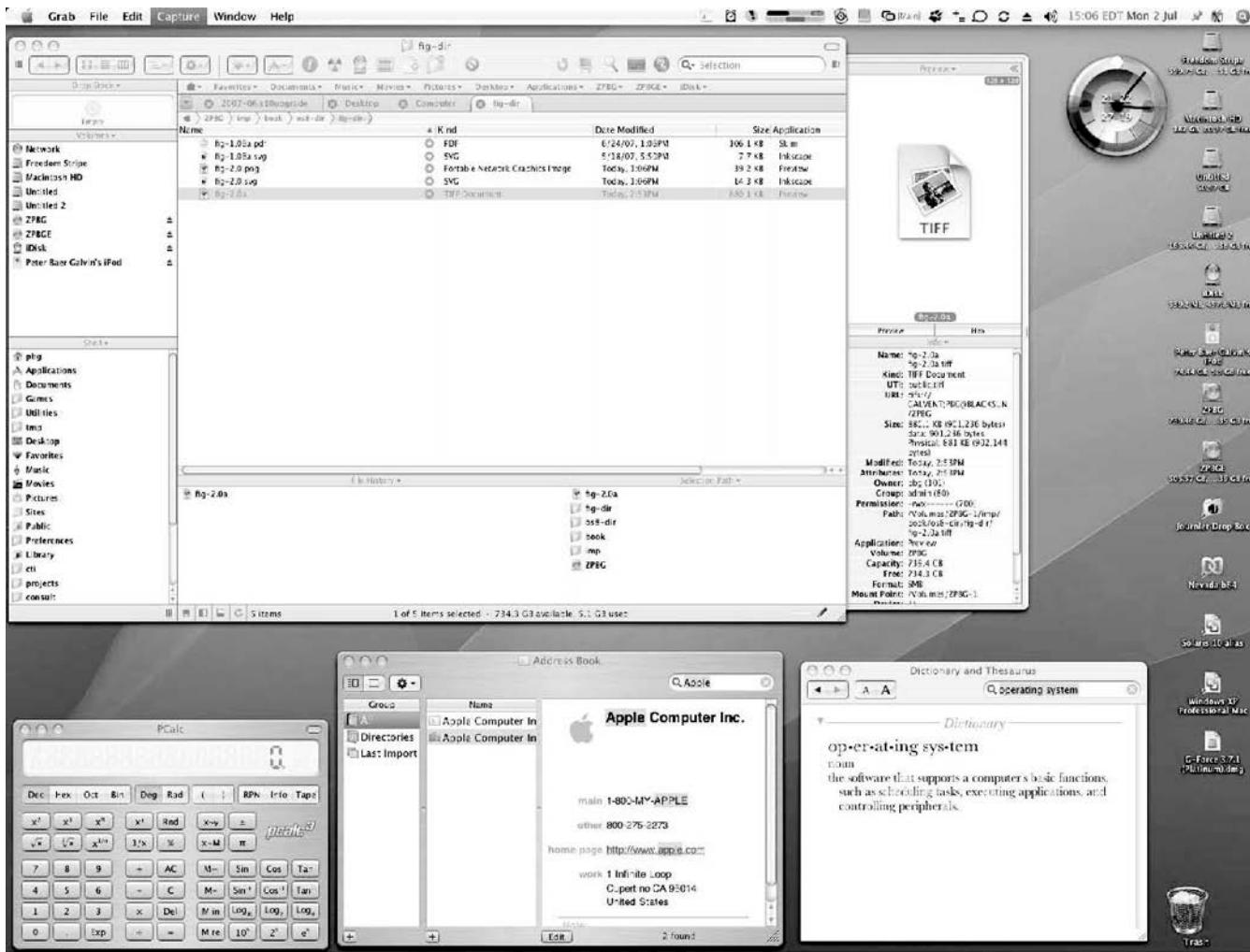
Touchscreen Interfaces

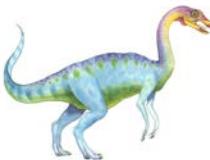
- Touchscreen devices require new interfaces
 - Mouse not possible or not desired
 - Actions and selection based on gestures
 - Virtual keyboard for text entry
- Voice commands.





The Mac OS X GUI



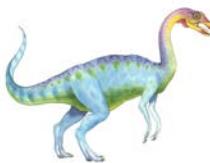


System Calls

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

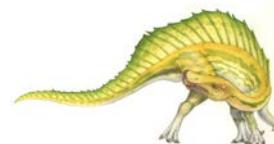
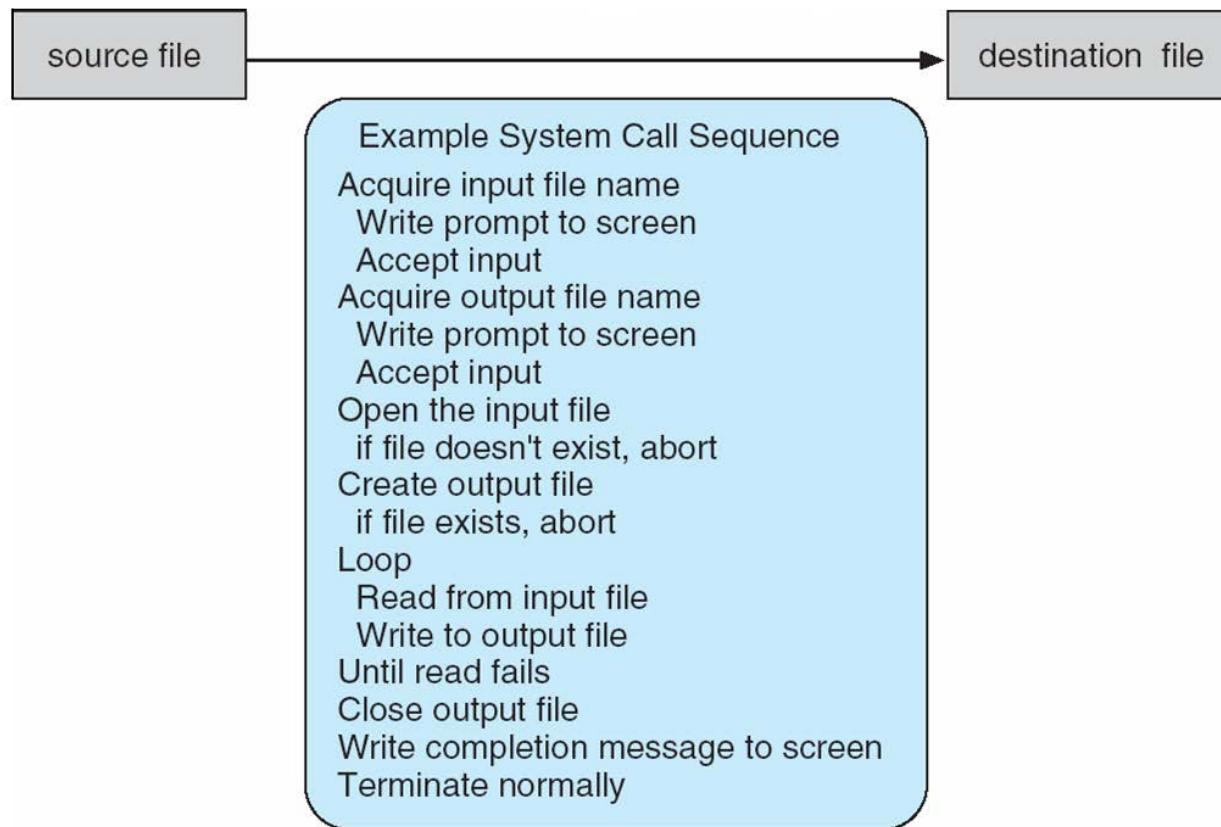
Note that the system-call names used throughout this text are generic

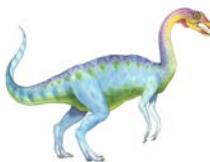




Example of System Calls

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





Example of Standard API

EXAMPLE OF STANDARD API

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

```
man read
```

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

```
#include <unistd.h>

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

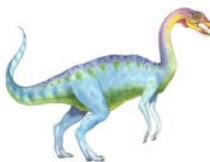
return value function name parameters

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

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

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





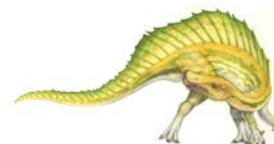
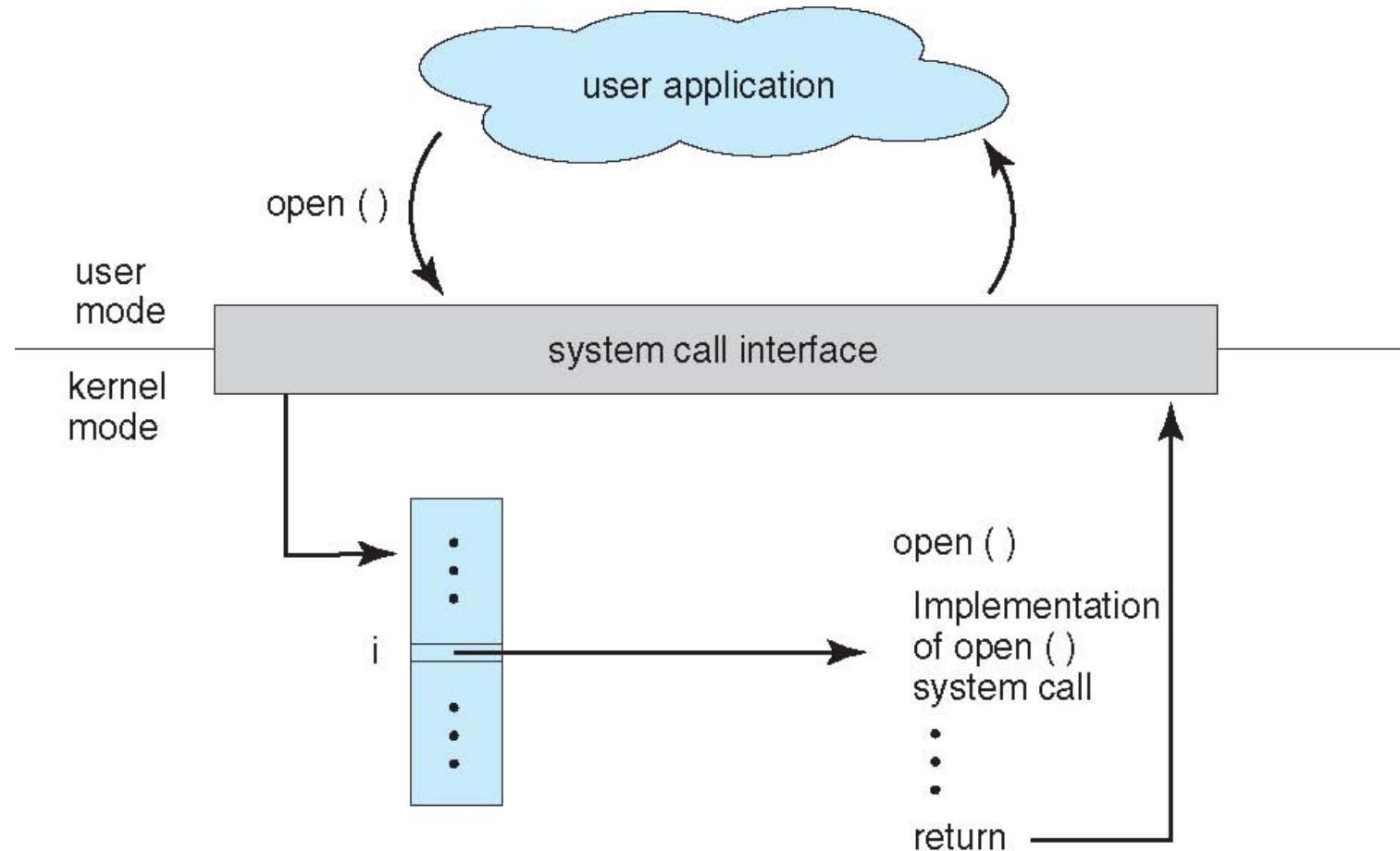
System Call Implementation

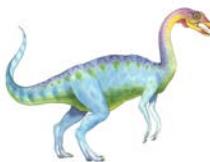
- Typically, a number associated with each system call
 - **System-call interface** maintains a table indexed according to these numbers
- The system call interface invokes the intended system call in OS kernel and returns status of the system call and any return values
- The caller need know nothing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





API – System Call – OS Relationship

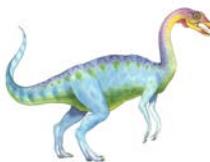




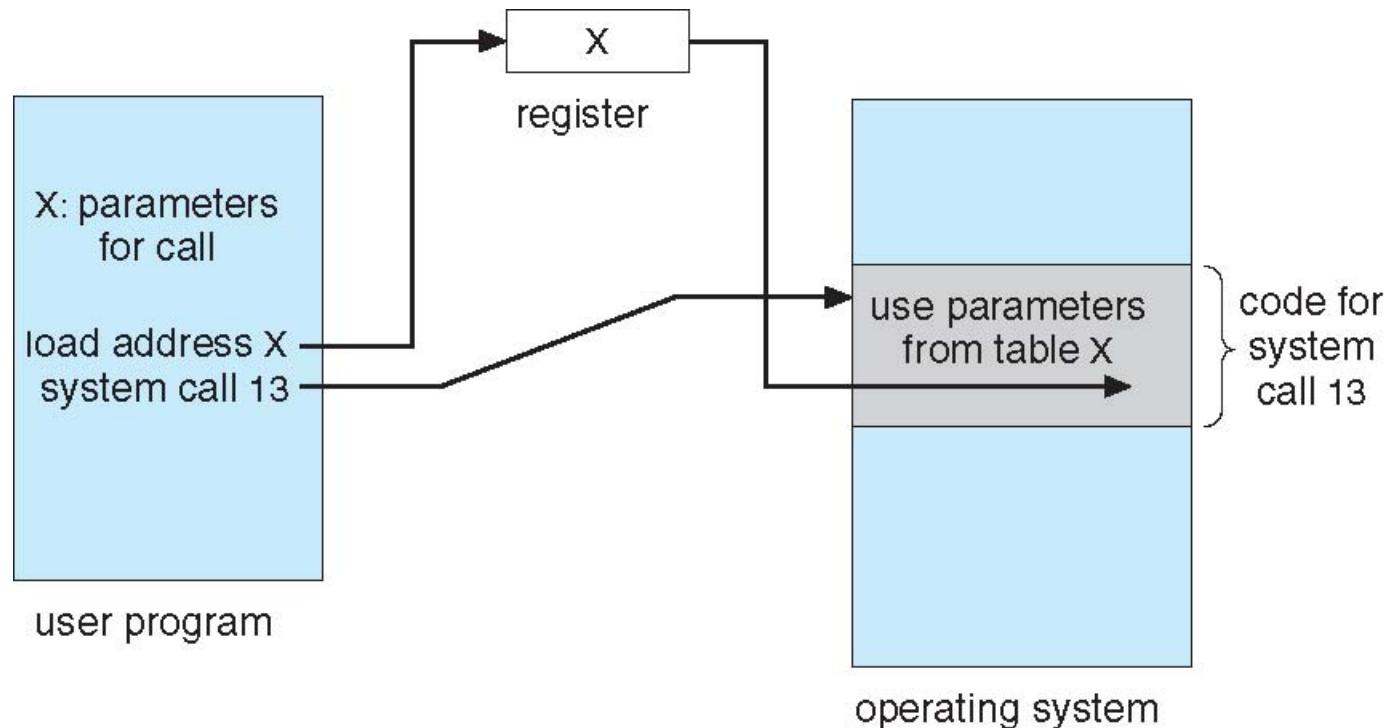
System Call Parameter Passing

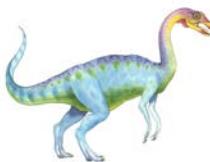
- Often, more information is required than simply identity of desired system call
 - Exact type and amount of information vary according to OS and call
- Three general methods used to pass parameters to the OS
 - Simplest: pass the parameters in registers
 - ▶ In some cases, may be more parameters than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





Parameter Passing via Table

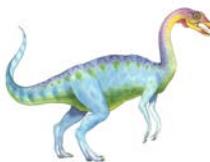




Types of System Calls

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

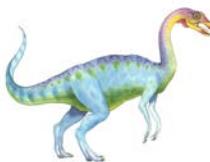




Types of System Calls

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





Types of System Calls (Cont.)

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

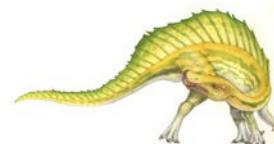


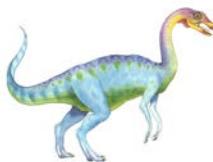


Types of System Calls (Cont.)

■ Protection

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





Examples of Windows and Unix System Calls

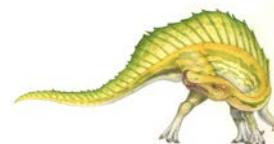
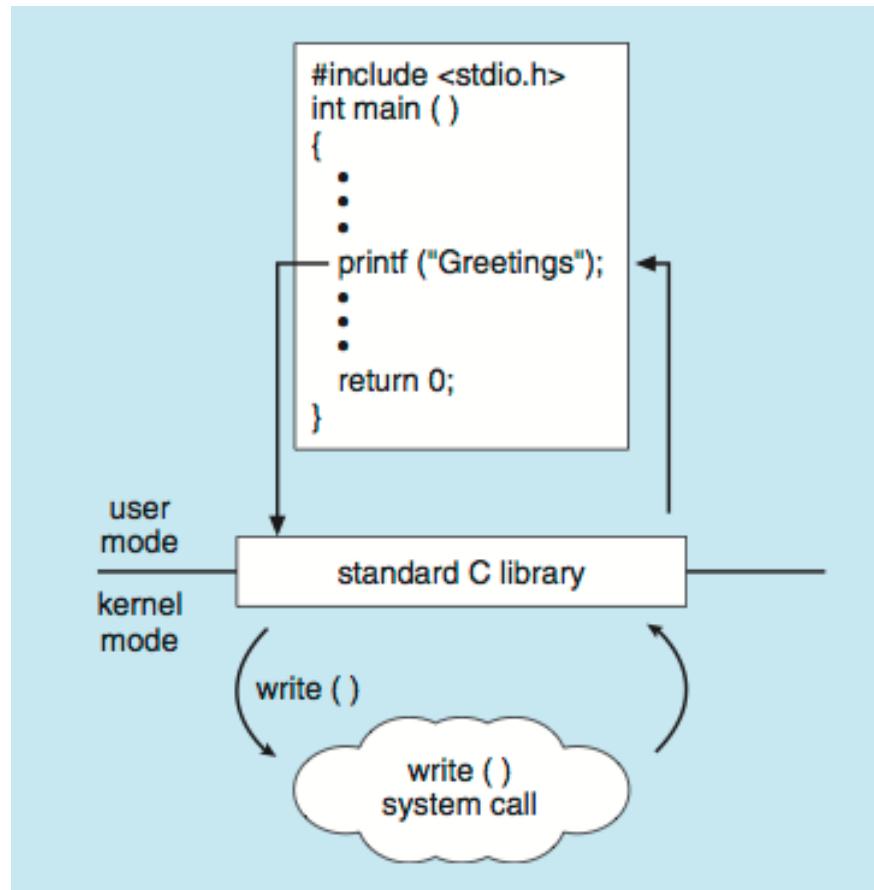
	Windows	Unix
Process Control	CreateProcess() ExitProcess() WaitForSingleObject()	fork() exit() wait()
File Manipulation	CreateFile() ReadFile() WriteFile() CloseHandle()	open() read() write() close()
Device Manipulation	SetConsoleMode() ReadConsole() WriteConsole()	ioctl() read() write()
Information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

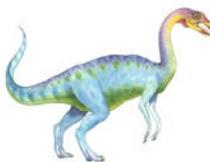




Standard C Library Example

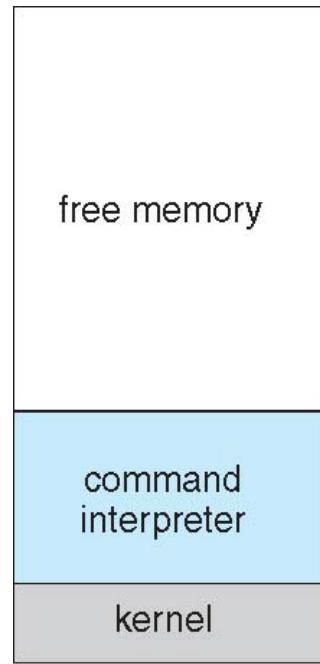
- C program invoking printf() library call, which calls write() system call





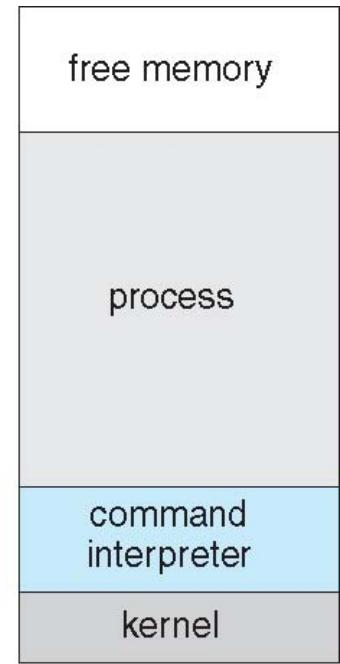
Example: MS-DOS

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



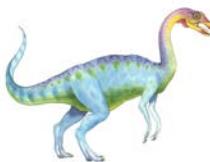
(a)

At system startup



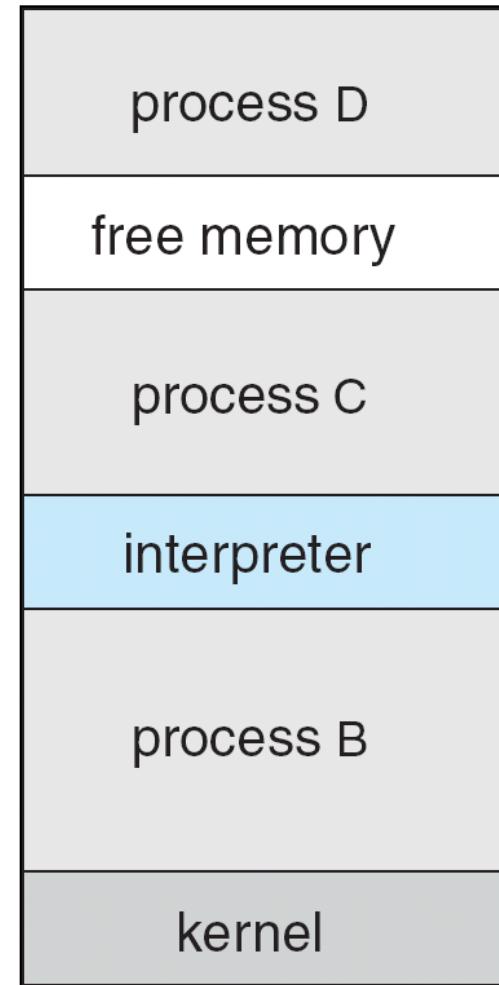
(b)

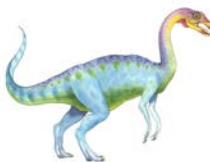
running a program



Example: FreeBSD

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

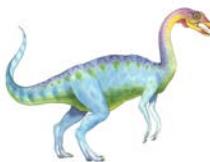




System Programs

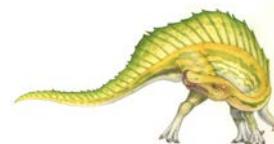
- System programs provide a convenient environment for program development and execution. They can be divided into:
 - File manipulation
 - Status information sometimes stored in a File modification
 - Programming language support
 - Program loading and execution
 - Communications
 - Background services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

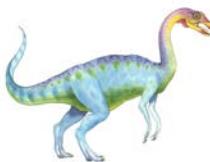




System Programs

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

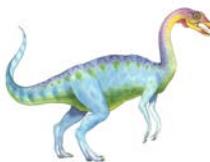




System Programs (Cont.)

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





System Programs (Cont.)

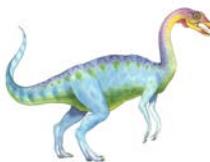
■ Background Services

- Launch at boot time
 - ▶ Some for system startup, then terminate
 - ▶ Some from system boot to shutdown
- Provide facilities like disk checking, process scheduling, error logging, printing
- Run in user context not kernel context
- Known as **services, subsystems, daemons**

■ Application programs

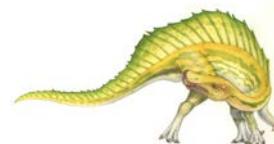
- Don't pertain to system
- Run by users
- Not typically considered part of OS
- Launched by command line, mouse click, finger poke





Operating System Design and Implementation

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

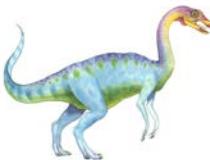




Operating System Design and Implementation (Cont.)

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

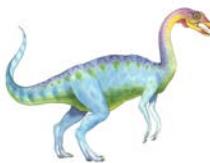




Implementation

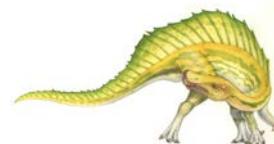
- Much variation
 - Early OSes in assembly language
 - Then system programming languages like Algol, PL/1
 - Now C, C++
- Actually usually a mix of languages
 - Lowest levels in assembly
 - Main body in C
 - Systems programs in C, C++, scripting languages like PERL, Python, shell scripts
- More high-level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

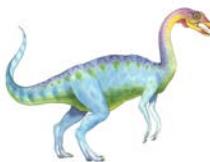




Operating System Structure

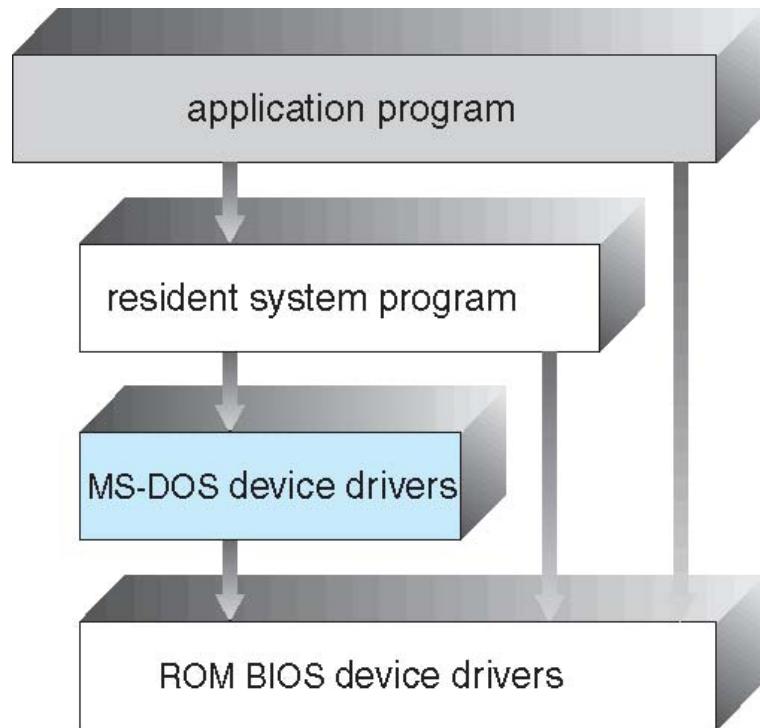
- General-purpose OS is very large program
- Various ways to structure ones
 - Simple structure – MS-DOS
 - More complex -- UNIX
 - Layered – an abstraction
 - Microkernel -Mach

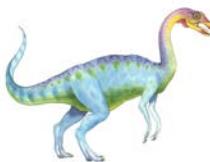




Simple Structure -- MS-DOS

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

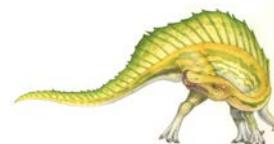


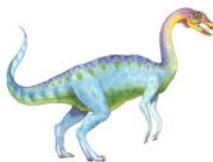


Non Simple Structure -- UNIX

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

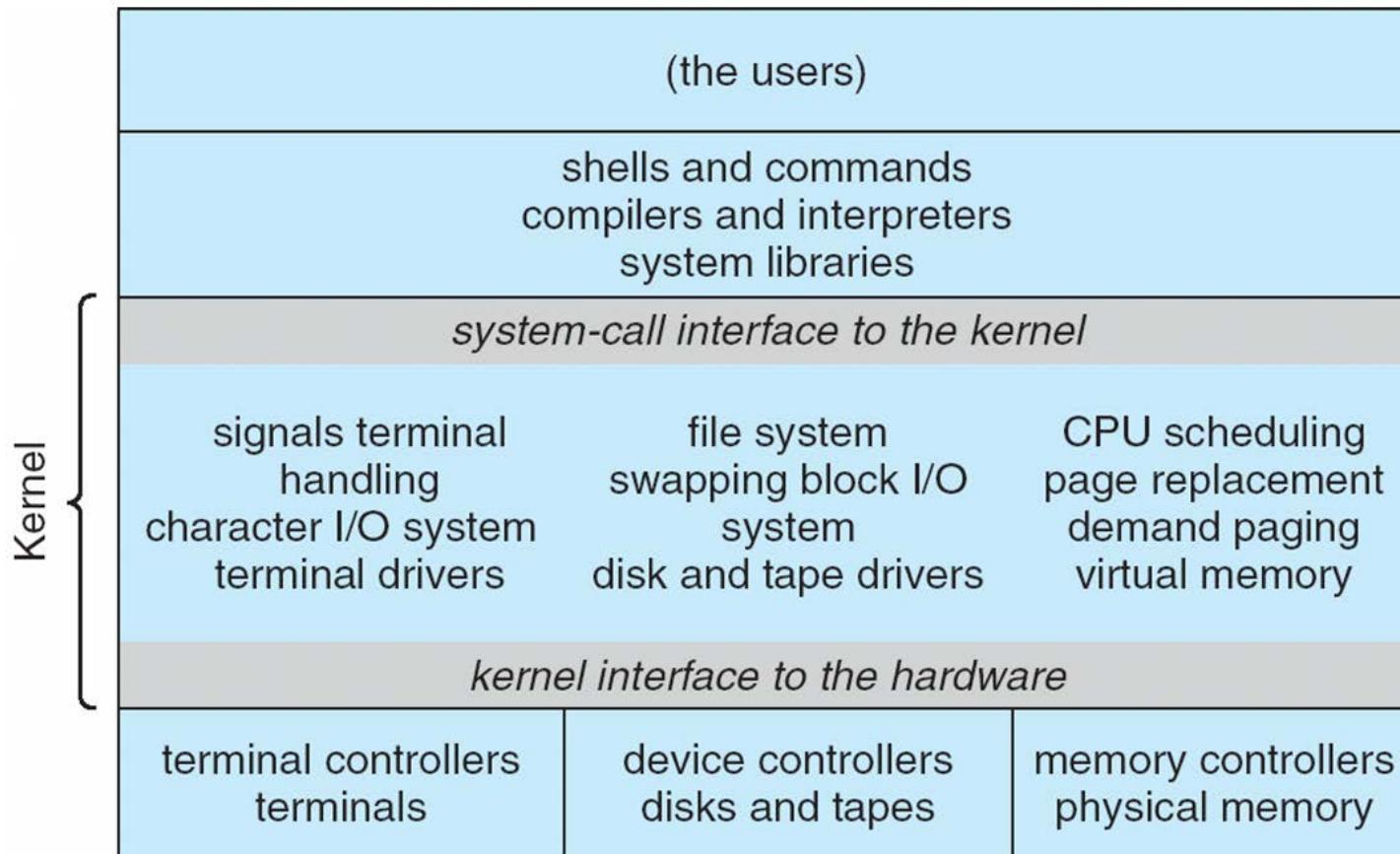
- Systems programs
- The kernel
 - ▶ Consists of everything below the system-call interface and above the physical hardware
 - ▶ Provides the file system, CPU scheduling, memory management, and other operating-system functions; a large number of functions for one level

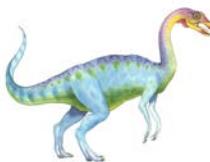




Traditional UNIX System Structure

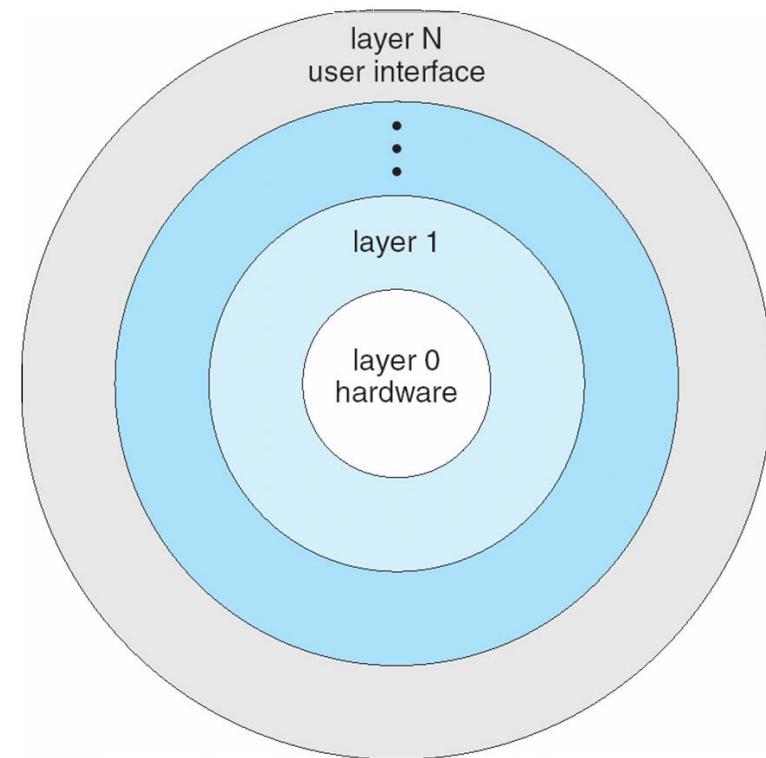
Beyond simple but not fully layered

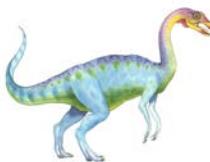




Layered Approach

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





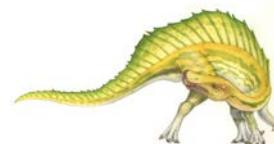
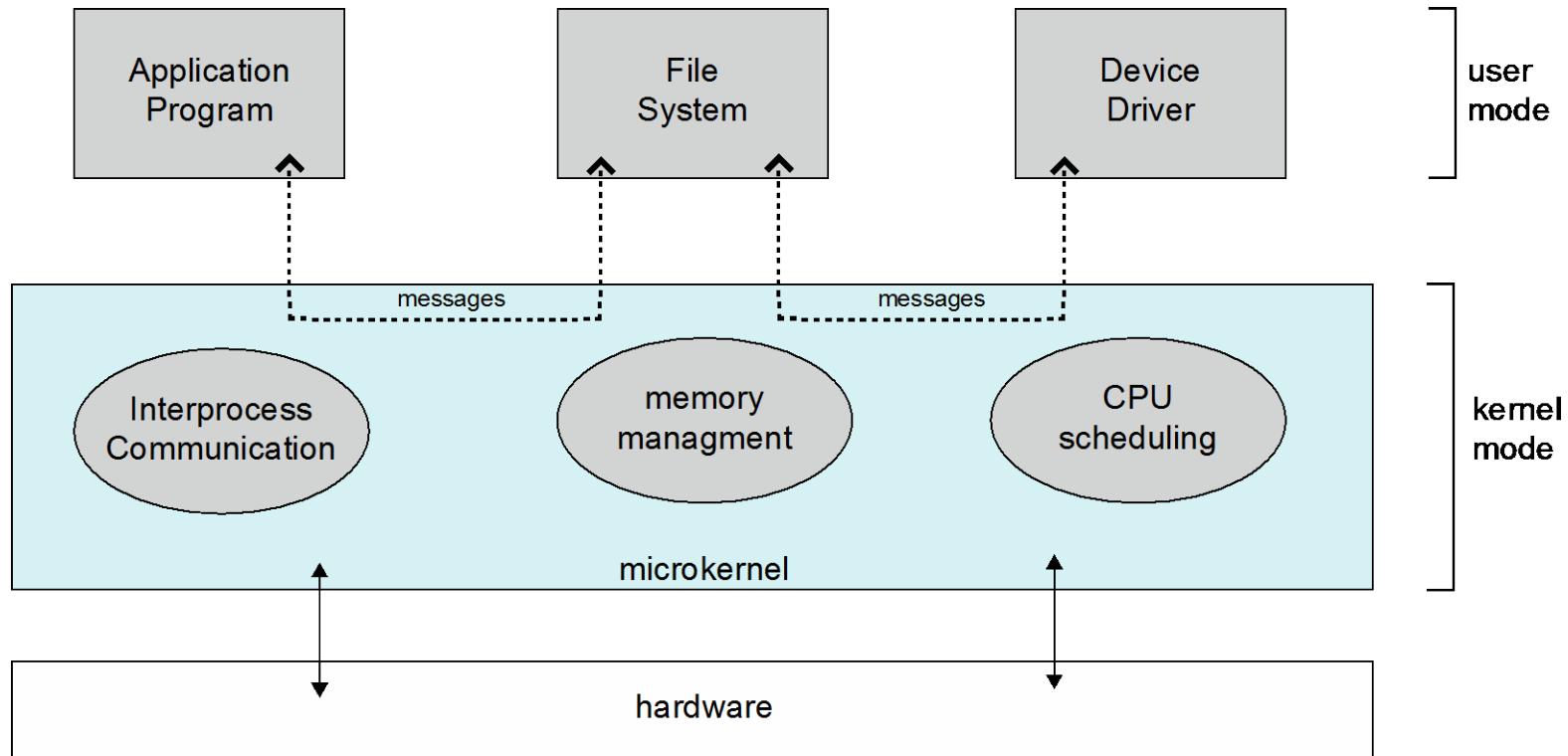
Microkernel System Structure

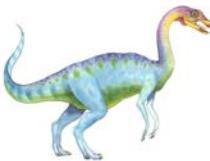
- Moves as much from the kernel into user space
- **Mach** example of **microkernel**
 - Mac OS X kernel (**Darwin**) partly based on Mach
- Communication takes place between user modules using **message passing**
- Benefits:
 - Easier to extend a microkernel
 - Easier to port the operating system to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





Microkernel System Structure

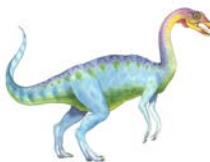




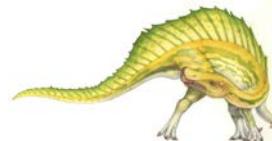
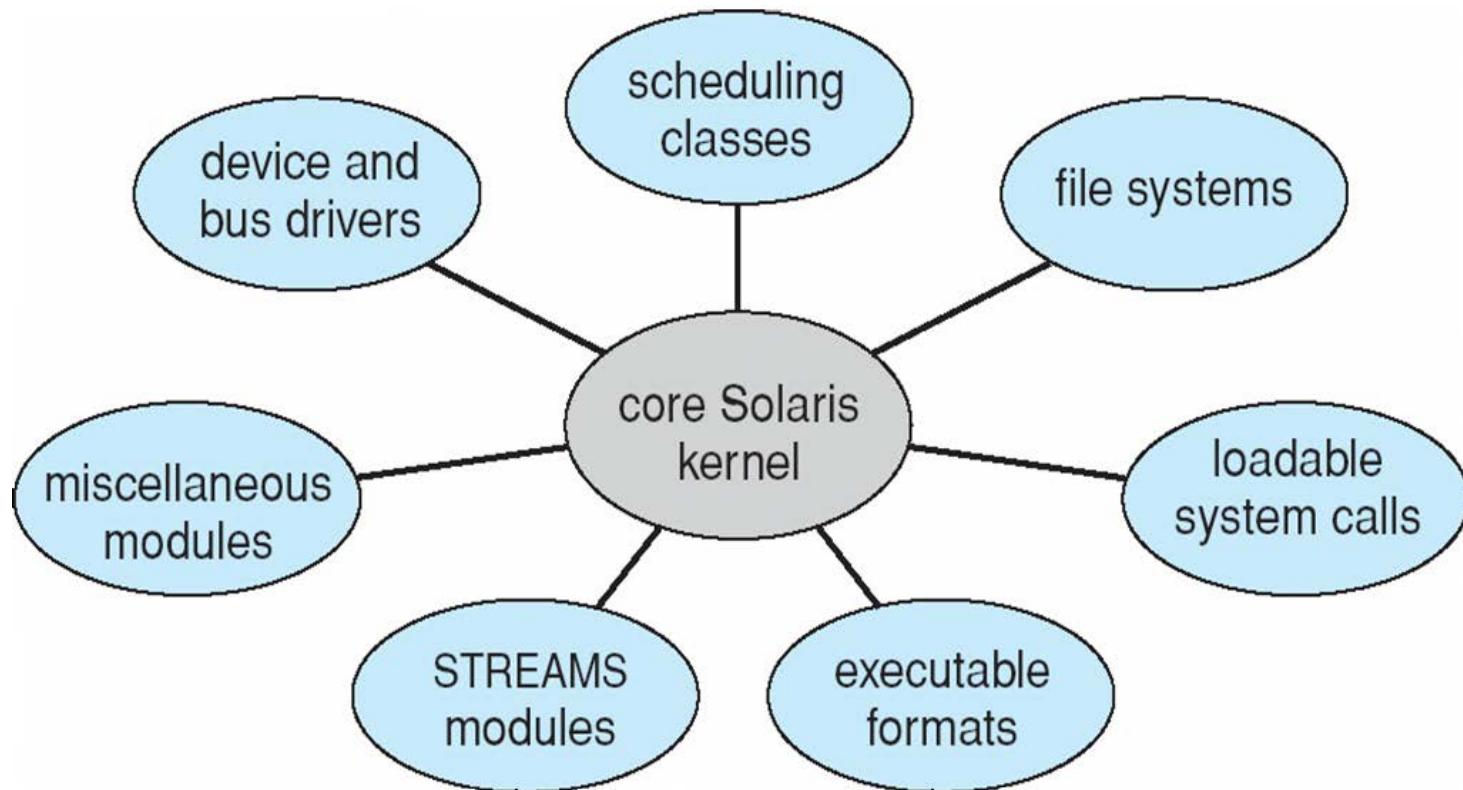
Modules

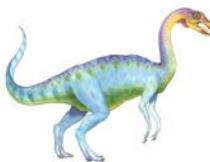
- Many modern operating systems implement **loadable kernel modules**
 - Uses object-oriented approach
 - Each core component is separate
 - Each talks to the others over known interfaces
 - Each is loadable as needed within the kernel
- Overall, similar to layers but with more flexible
 - Linux, Solaris,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





Solaris Modular Approach

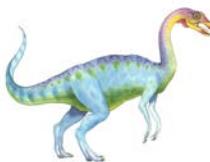




Hybrid Systems

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





Mac OS X Structure

graphical user interface

Aqua

application environments and services

Java

Cocoa

Quicktime

BSD

kernel environment

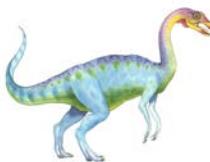
Mach

BSD

I/O kit

kernel extensions





iOS

■ Apple mobile OS for *iPhone, iPad*

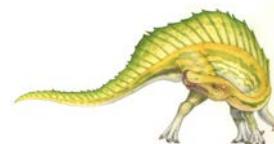
- Structured on Mac OS X, added functionality
- Does not run OS X applications natively
 - ▶ Also runs on different CPU architecture (ARM vs. Intel)
- **Cocoa Touch** Objective-C API for developing apps
- **Media services** layer for graphics, audio, video
- **Core services** provides cloud computing,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

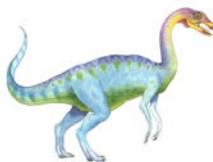
Cocoa Touch

Media Services

Core Services

Core OS

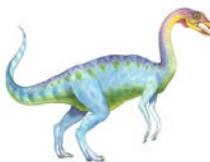




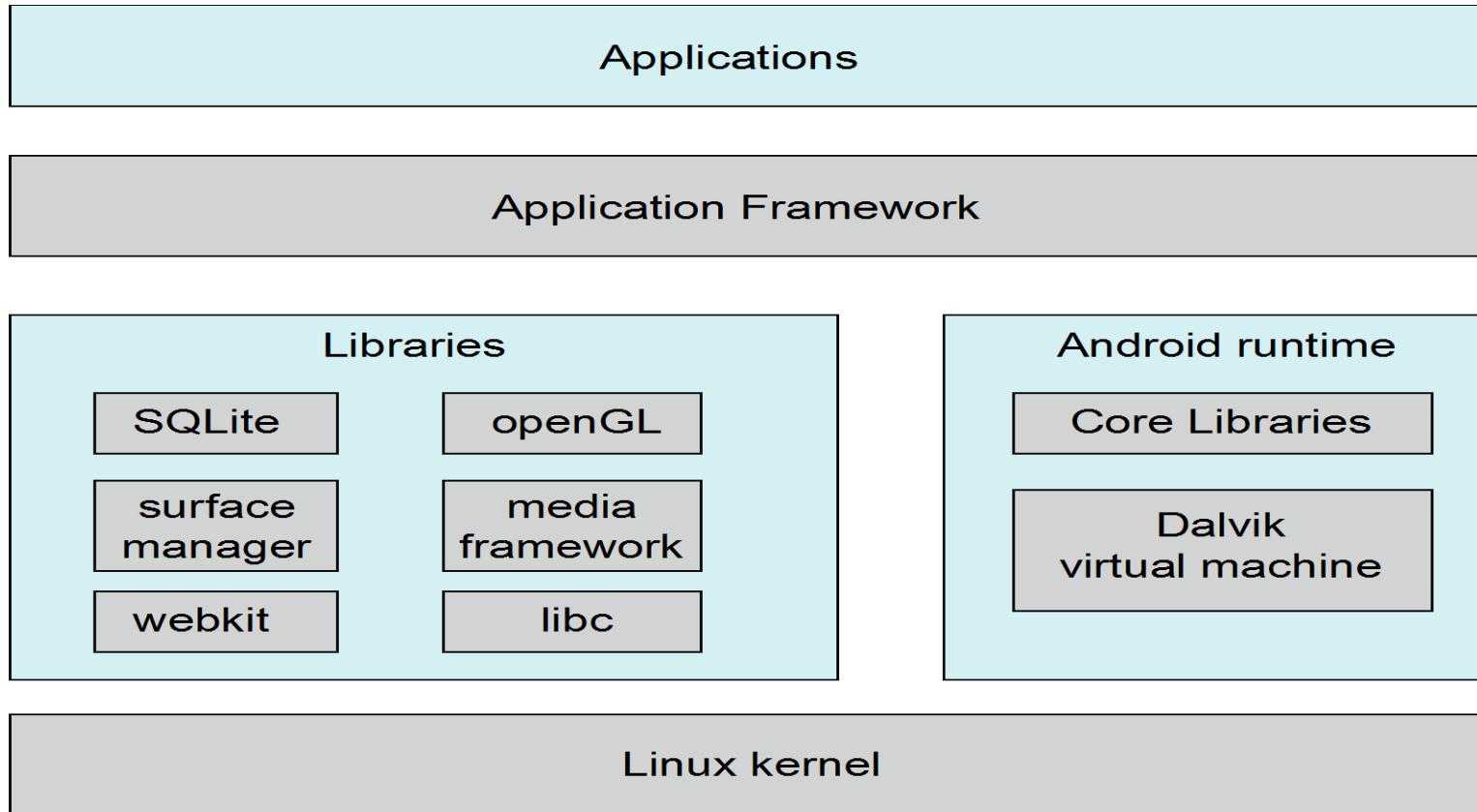
Android

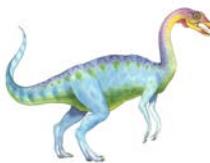
- Developed by Open Handset Alliance (mostly Google)
 - Open Source
- Similar stack to IOS
- Based on Linux kernel but modified
 - Provides process, memory, device-driver management
 - Adds power management
- Runtime environment includes core set of libraries and Dalvik virtual machine
 - Apps developed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





Android Architecture



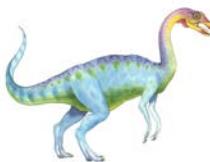


Operating-System Debugging

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

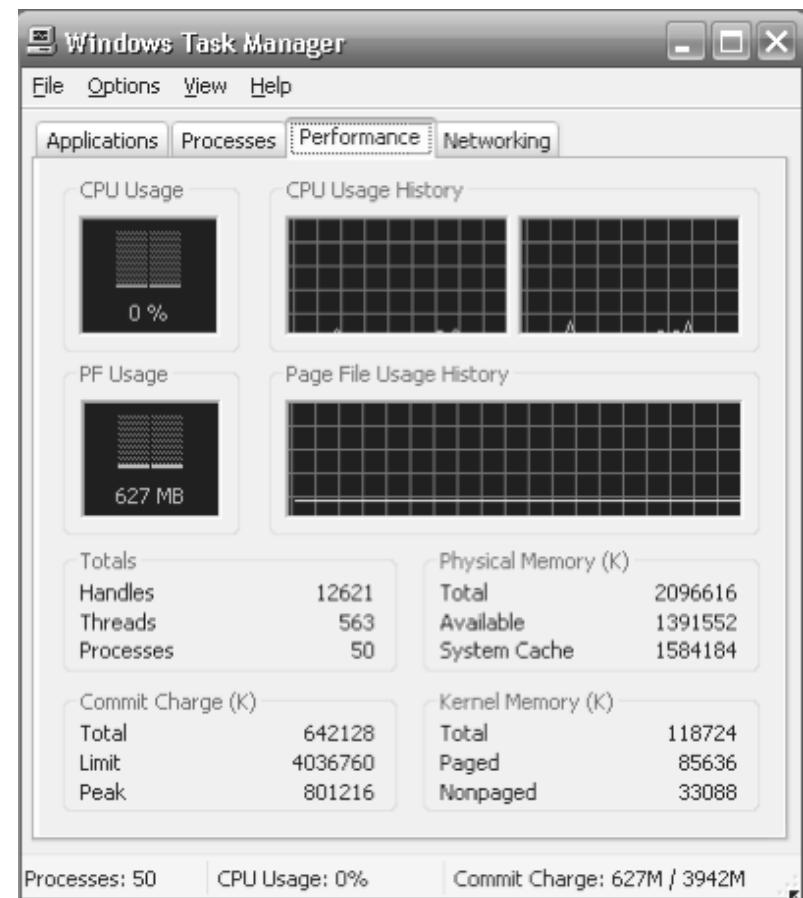
Kernighan's Law: "Debugging is twice as hard as writing the code in the first place. Therefore, if you write the code as cleverly as possible, you are, by definition, not smart enough to debug it."

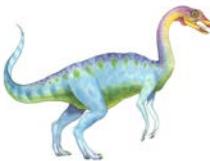




Performance Tuning

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

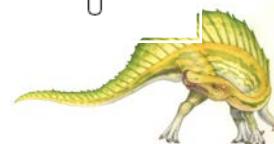




DTrace

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

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





Dtrace (Cont.)

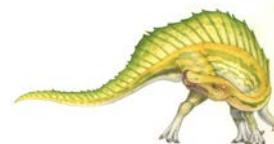
- DTrace code to record amount of time each process with UserID 101 is in running mode (on CPU) in nanoseconds

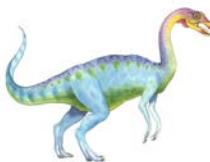
```
sched:::on-cpu
uid == 101
{
    self->ts = timestamp;
}

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

```
# dtrace -s sched.d
dtrace: script 'sched.d' matched 6 probes
^C
      gnome-settings-d          142354
      gnome-vfs-daemon          158243
      dsdm                      189804
      wnck-applet                200030
      gnome-panel                 277864
      clock-applet                374916
      mapping-daemon              385475
      xscreensaver                514177
      metacity                     539281
      Xorg                         2579646
      gnome-terminal                5007269
      mixer.applet2                7388447
      java                        10769137
```

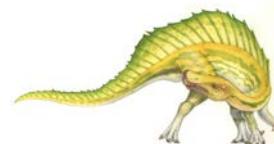
Figure 2.21 Output of the D code.

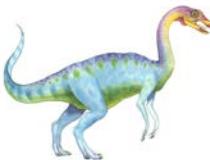




Operating System Generation

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



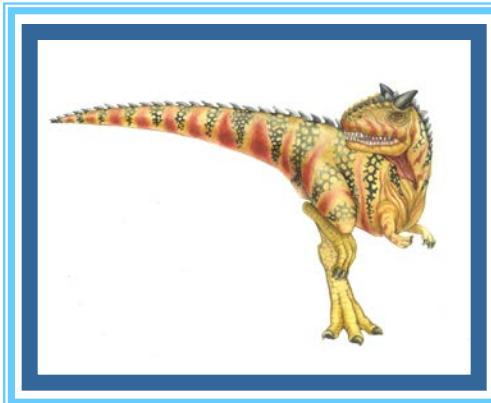


System Boot

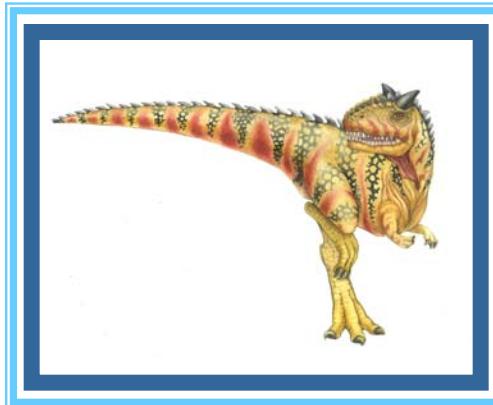
- When power initialized on system, execution starts at a fixed memory location
 - Firmware ROM used to hold initial boot code
- Operating system must be made available to hardware so hardware can start it
 - Small piece of code – **bootstrap loader**, stored in **ROM** or **EEPROM** locates the kernel,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



End of Chapter 2



Chapter 3: Processes





Chapter 3: Processes

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





Objectives

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





Process Concept

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





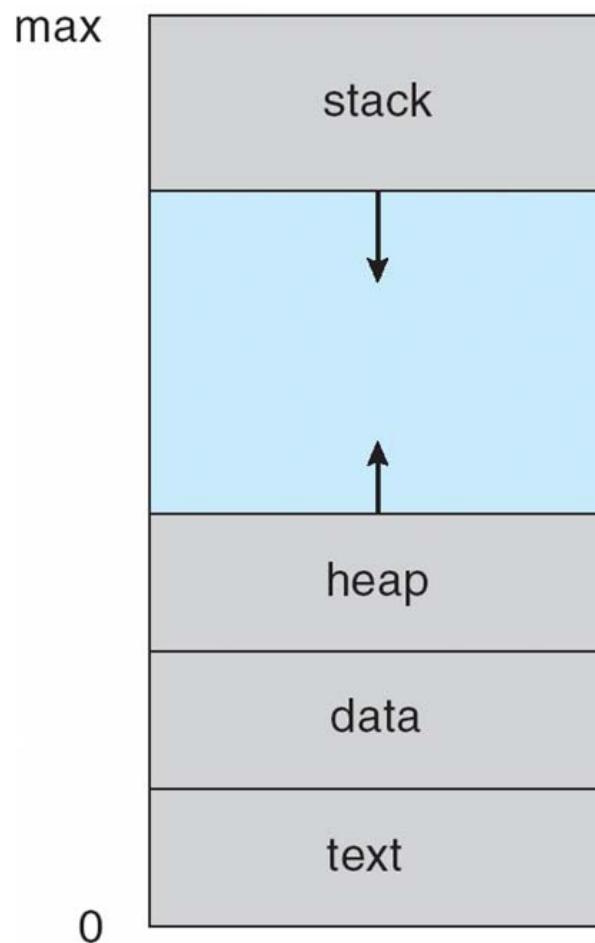
Process Concept (Cont.)

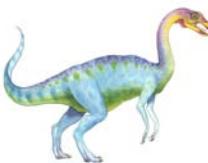
- Program is **passive** entity stored on disk (**executable file**), process is **active**
 - Program becomes process when executable file loaded into memory
- Execution of program started via GUI mouse clicks, command line entry of its name, etc
- One program can be several processes
 - Consider multiple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





Process in Memory





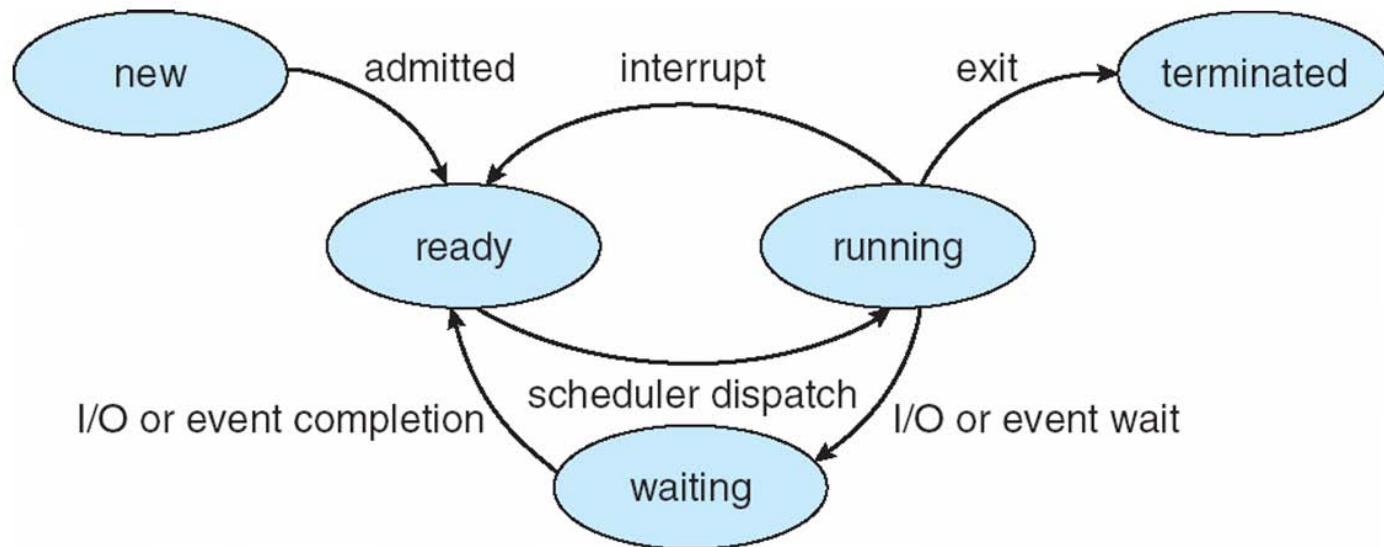
Process State

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





Diagram of Process State





Process Control Block (PCB)

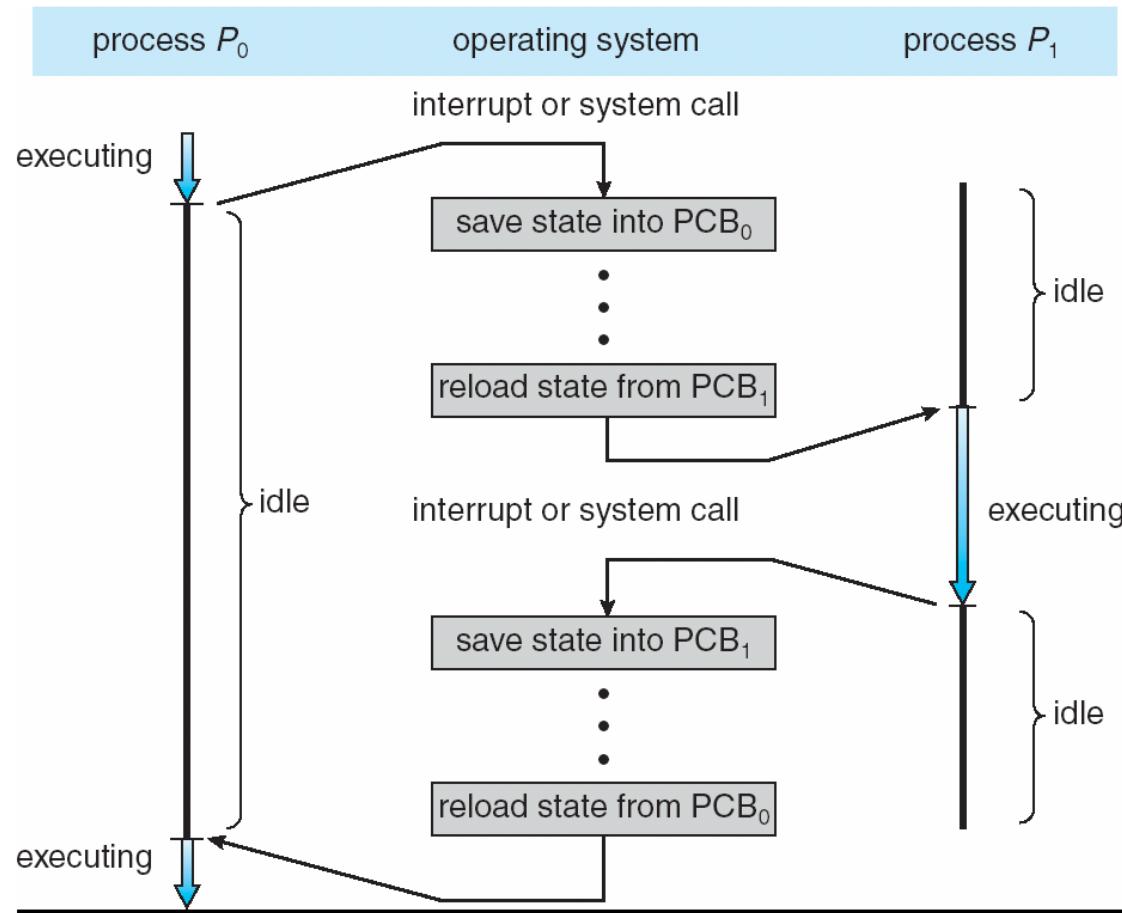
Information associated with each process
(also called **task control block**)

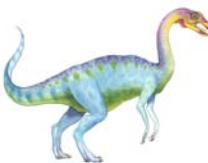
- Process state – running, waiting, etc
- Program counter – location of instruction to next execute
- CPU registers – contents of all process-centric registers
- CPU scheduling information- priorities, scheduling queue pointers
- Memory-management information – memory allocated to the process
- Accounting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





CPU Switch From Process to Process





Threads

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

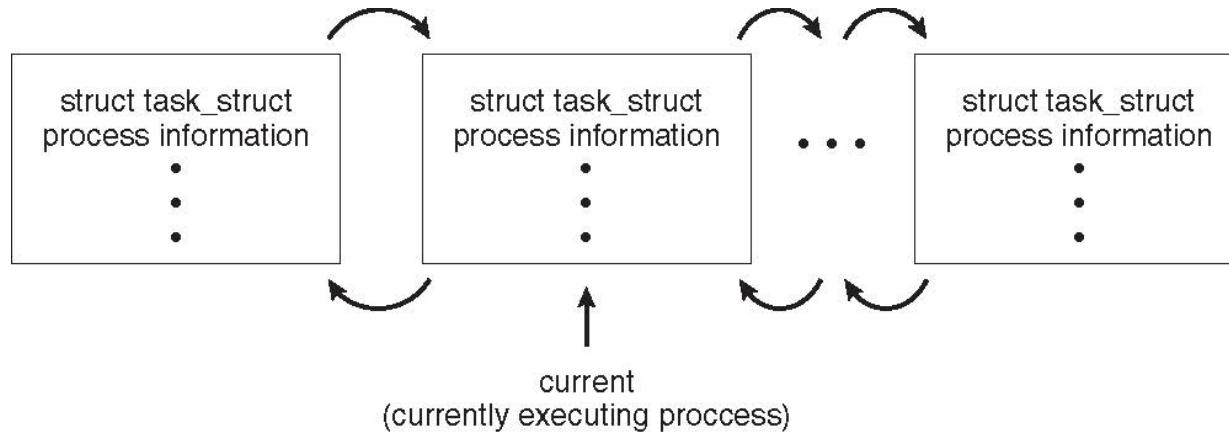




Process Representation in Linux

Represented by the C structure `task_struct`

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





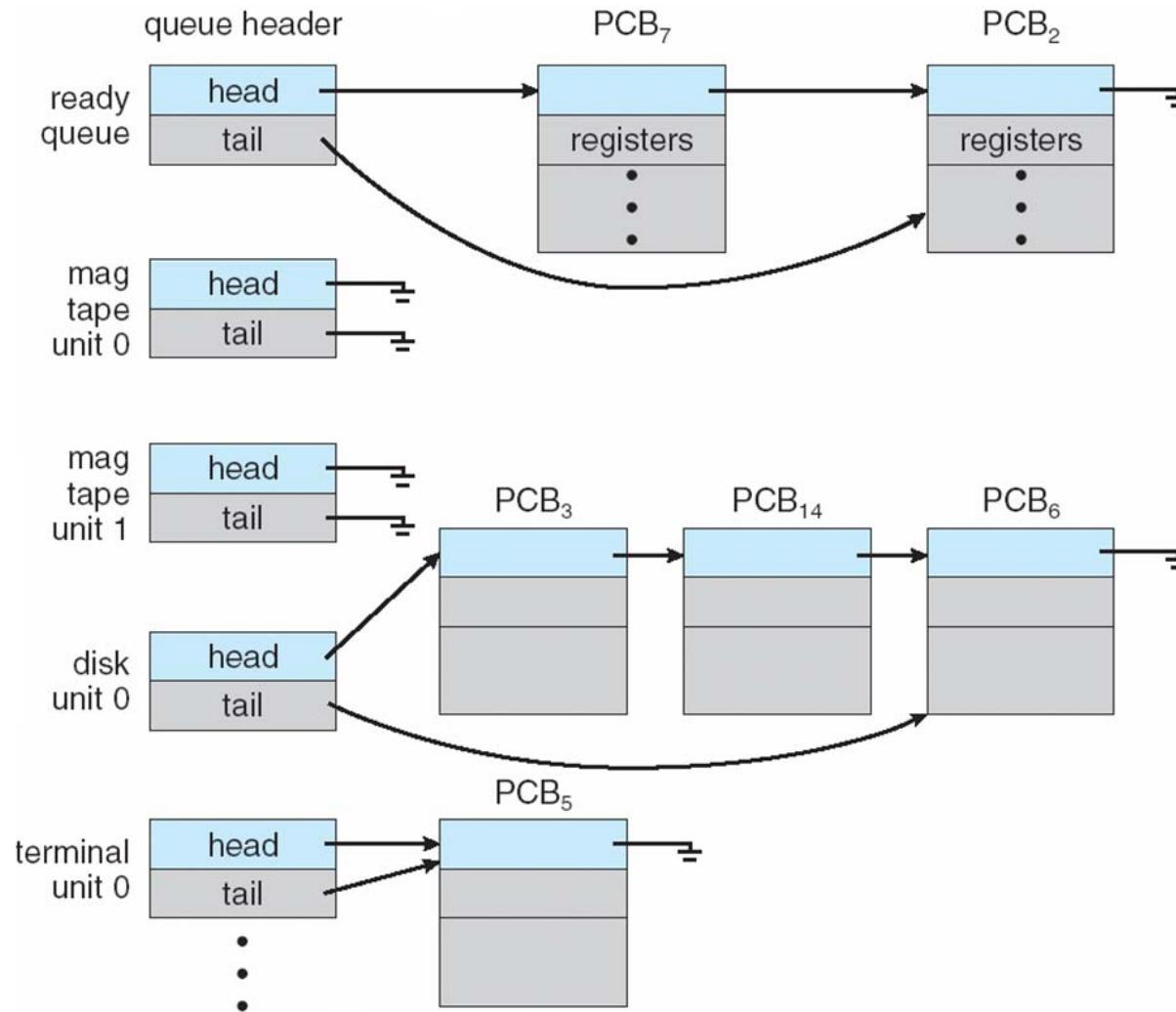
Process Scheduling

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





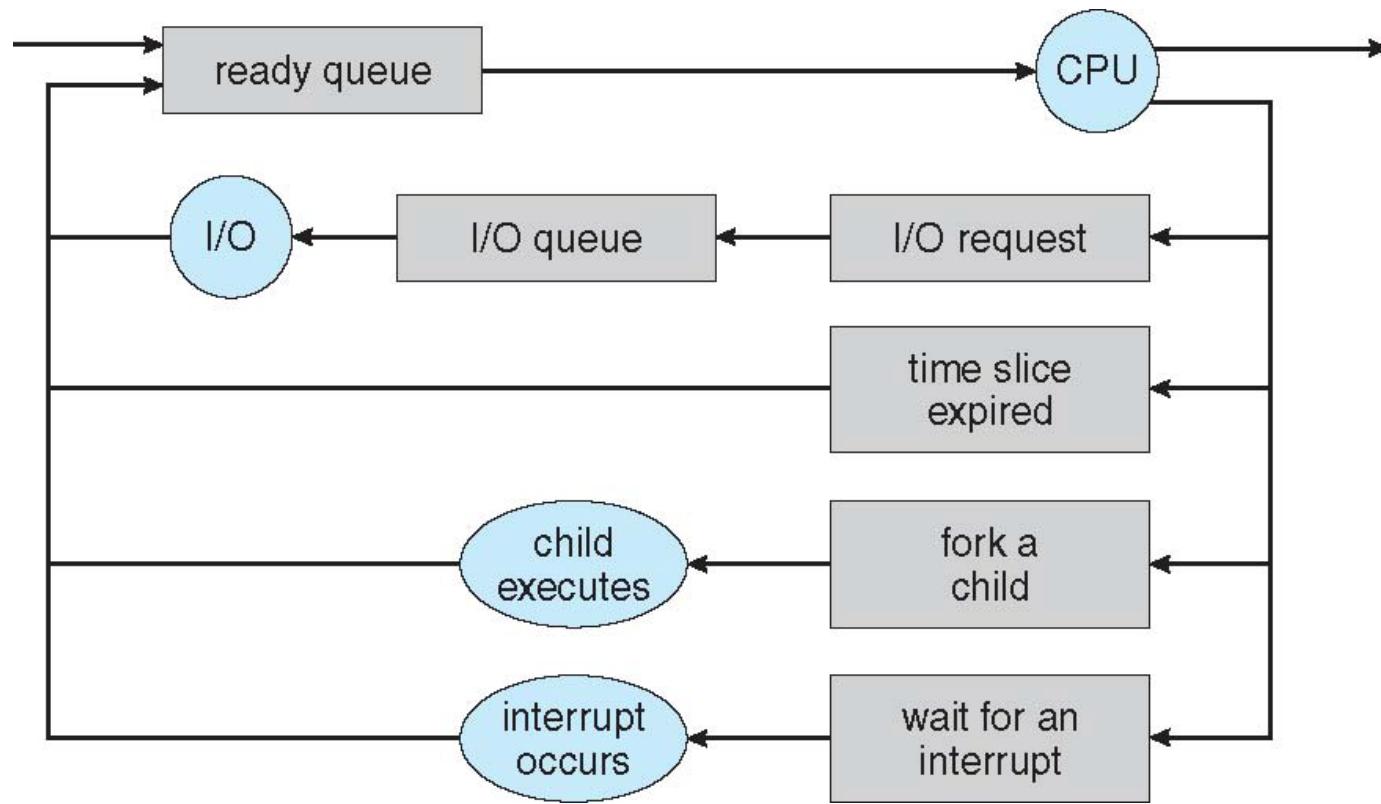
Ready Queue And Various I/O Device Queues





Representation of Process Scheduling

- Queueing diagram represents queues, resources, flows





Schedulers

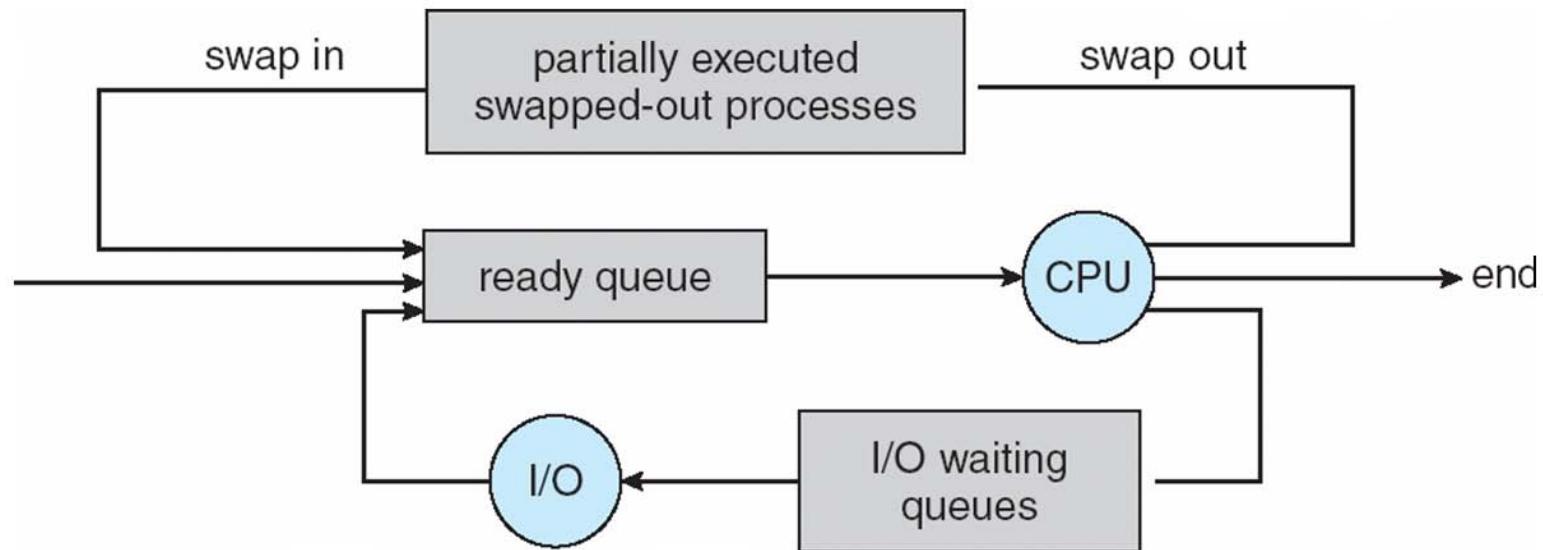
- **Short-term scheduler** (or **CPU scheduler**) – selects which process should be executed next and allocates CPU
 - Sometimes the only scheduler in a system
 - Short-term scheduler is invoked frequently (milliseconds) ⇒ (must be fast)
- **Long-term scheduler** (or **job scheduler**) – selects which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





Addition of Medium Term Scheduling

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

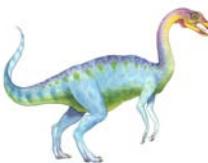




Multitasking in Mobile Systems

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





Context Switch

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





Operations on Processes

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





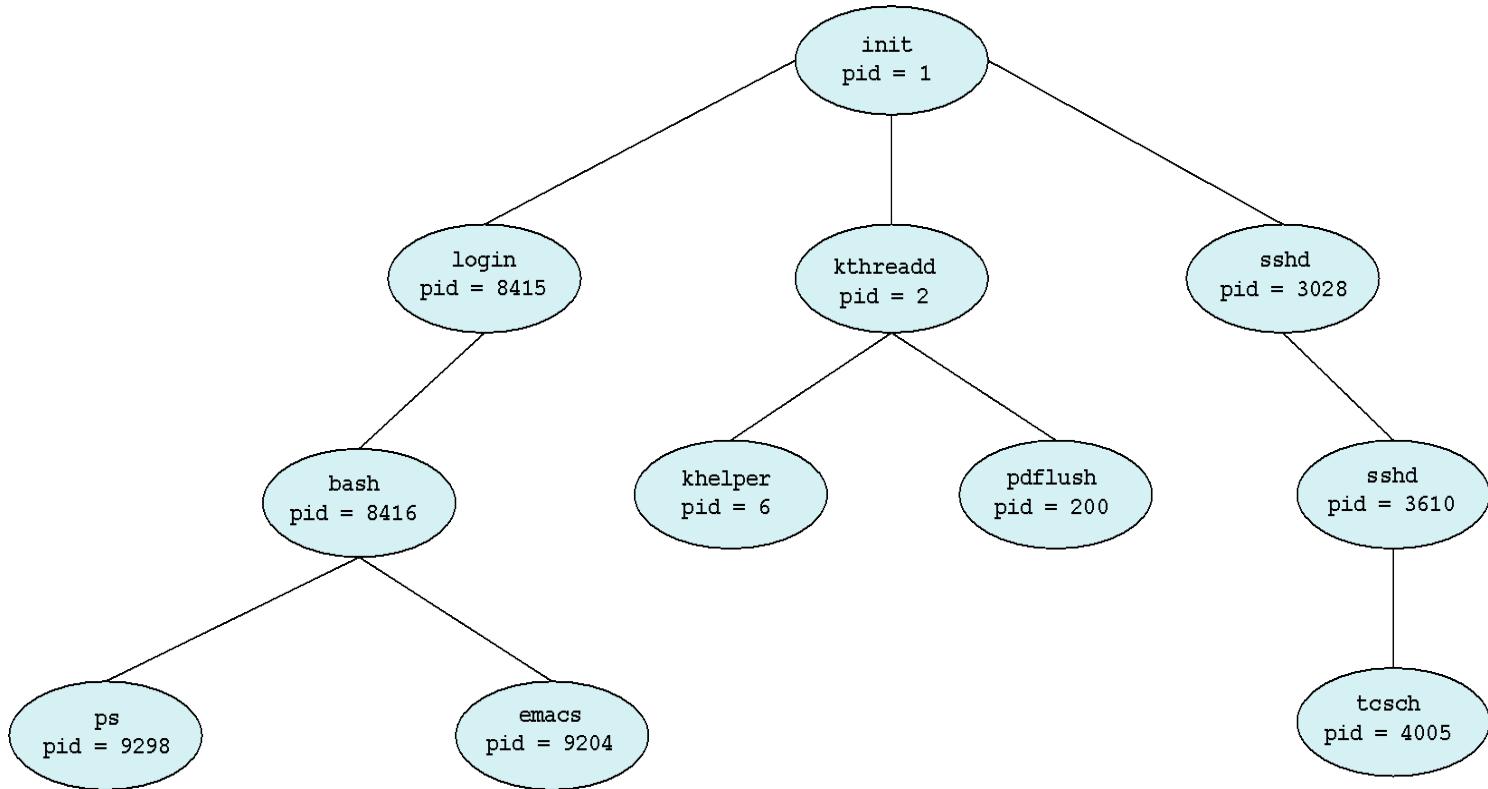
Process Creation

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





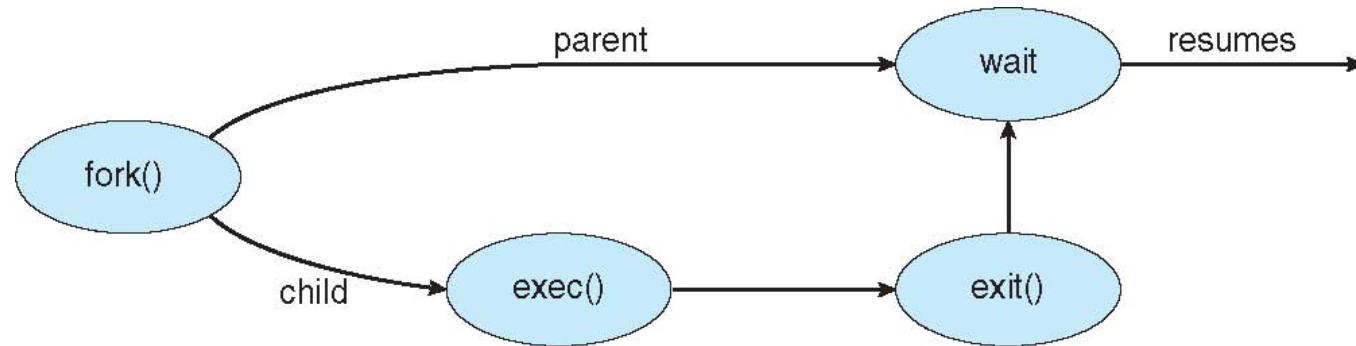
A Tree of Processes in Linux





Process Creation (Cont.)

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





C Program Forking Separate Process

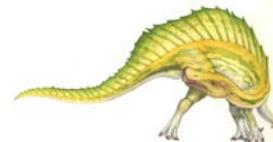
```
#include <sys/types.h>
#include <stdio.h>
#include <unistd.h>

int main()
{
    pid_t pid;

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

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

return 0;
}
```





Creating a Separate Process via Windows API

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

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

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

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

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





Process Termination

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





Process Termination

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

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





Multiprocess Architecture – Chrome Browser

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





Interprocess Communication

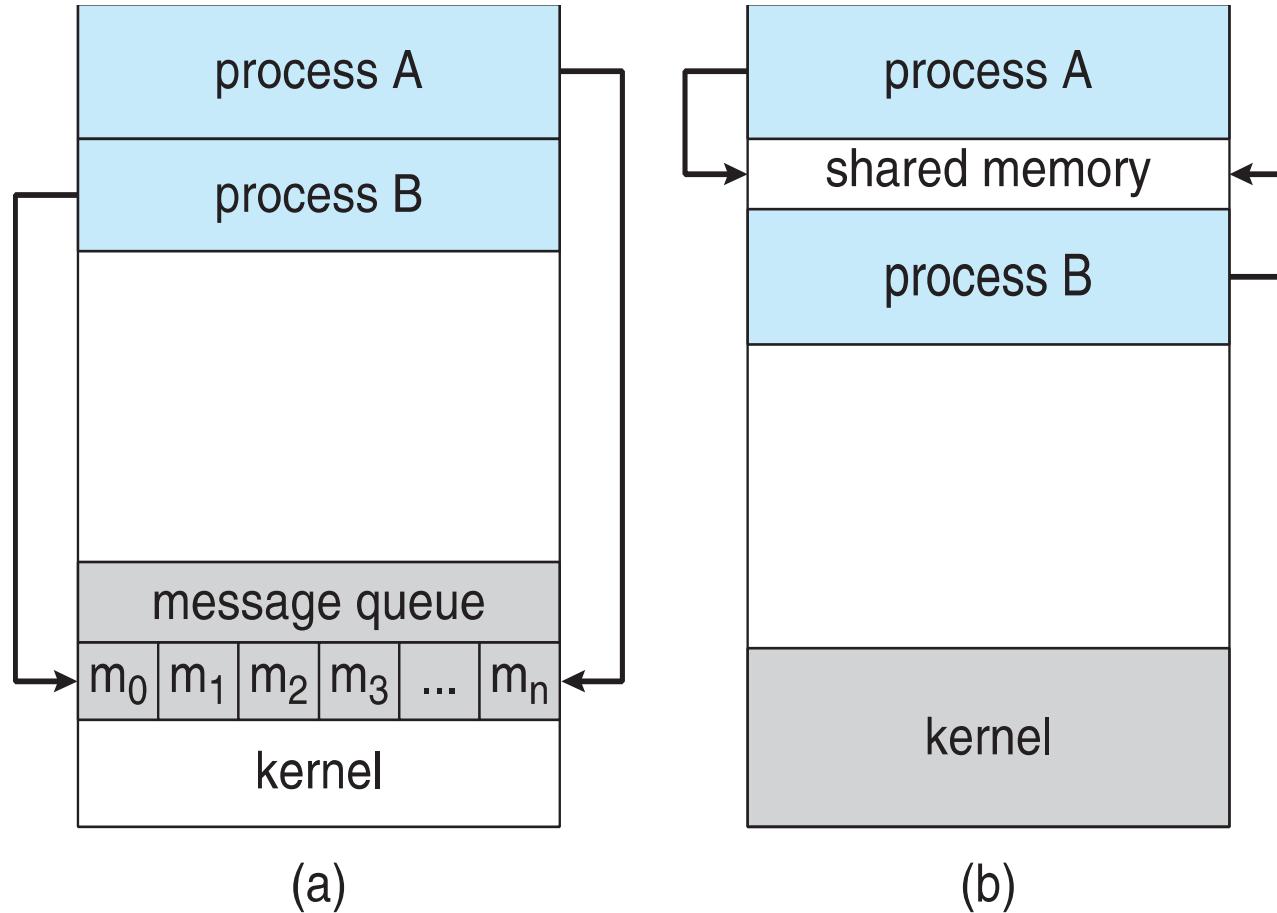
- Processes within a system may be *independent* or *cooperating*
- Cooperating process can affect or be affected by other processes, including sharing data
- Reasons for cooperating processes:
 - Information sharing
 - Computation speedup
 - Modularity
 - Convenience
- Cooperating processes need **interprocess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





Communications Models

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





Cooperating Processes

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





Producer-Consumer Problem

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





Bounded-Buffer – Shared-Memory Solution

- Shared data

```
#define BUFFER_SIZE 10

typedef struct {

    . . .

} item;

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

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





Bounded-Buffer – Producer

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





Bounded Buffer – Consumer

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





Interprocess Communication – Shared Memory

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

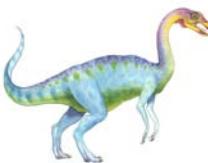




Interprocess Communication – Message Passing

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

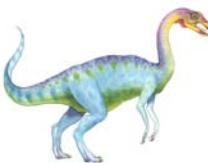




Message Passing (Cont.)

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





Message Passing (Cont.)

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





Direct Communication

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





Indirect Communication

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





Indirect Communication

- Operations

- create a new mailbox (port)
 - send and receive messages through mailbox
 - destroy a mailbox

- Primitives are defined as:

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

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





Indirect Communication

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





Synchronization

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



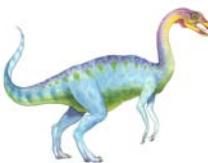


Synchronization (Cont.)

- Producer-consumer becomes trivial

```
message next_produced;  
while (true) {  
    /* produce an item in next produced */  
    send(next_produced);  
}  
  
message next_consumed;  
while (true) {  
    receive(next_consumed);  
  
    /* consume the item in next consumed */  
}
```





Buffering

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





Examples of IPC Systems - POSIX

■ POSIX Shared Memory

- Process first creates shared memory segment
`shm_fd = shm_open(name, O_CREAT | O_RDWR, 0666);`
- Also used to open an existing segment to share it
- Set the size of the object
`ftruncate(shm_fd, 4096);`
- Now the process could write to the shared memory
`sprintf(shared_memory, "Writing to shared memory");`





IPC POSIX Producer

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

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

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

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

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

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

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

    return 0;
}
```





IPC POSIX Consumer

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

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

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

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

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

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

    return 0;
}
```





Examples of IPC Systems - Mach

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





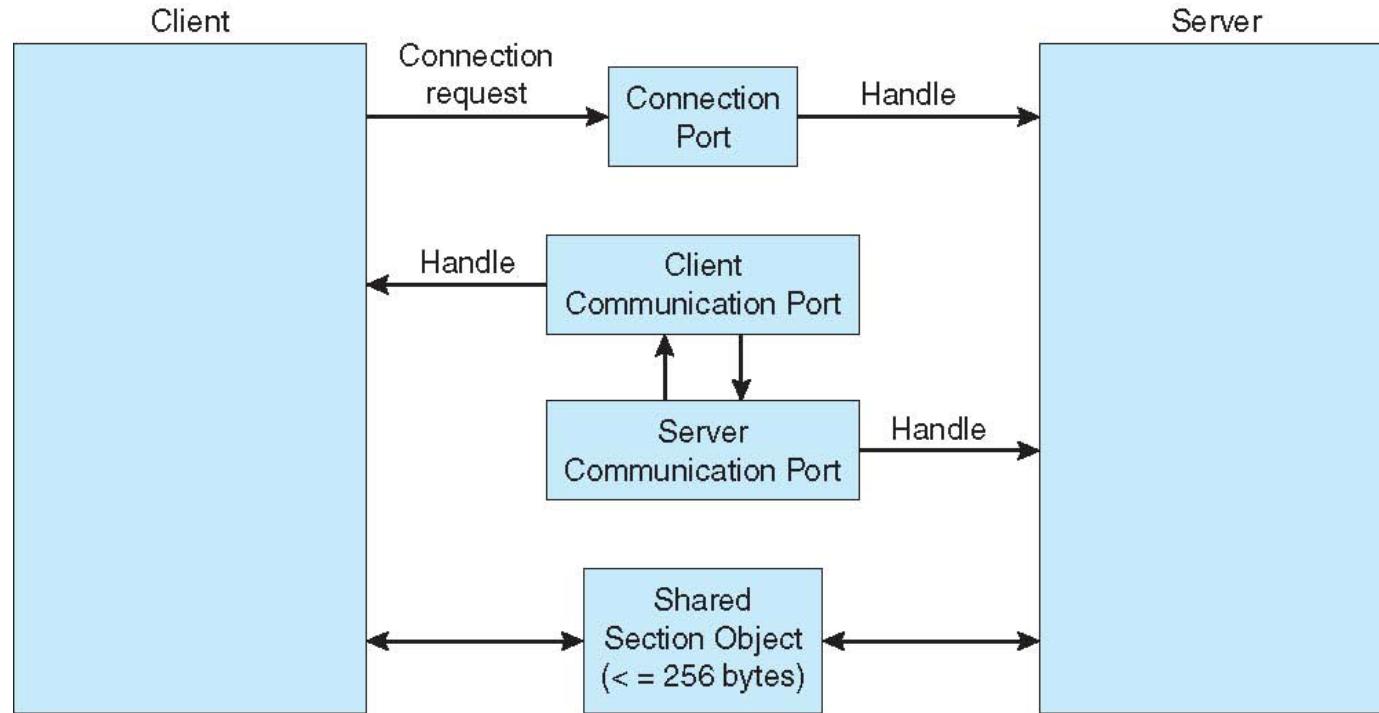
Examples of IPC Systems – Windows

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





Local Procedure Calls in Windows





Communications in Client-Server Systems

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





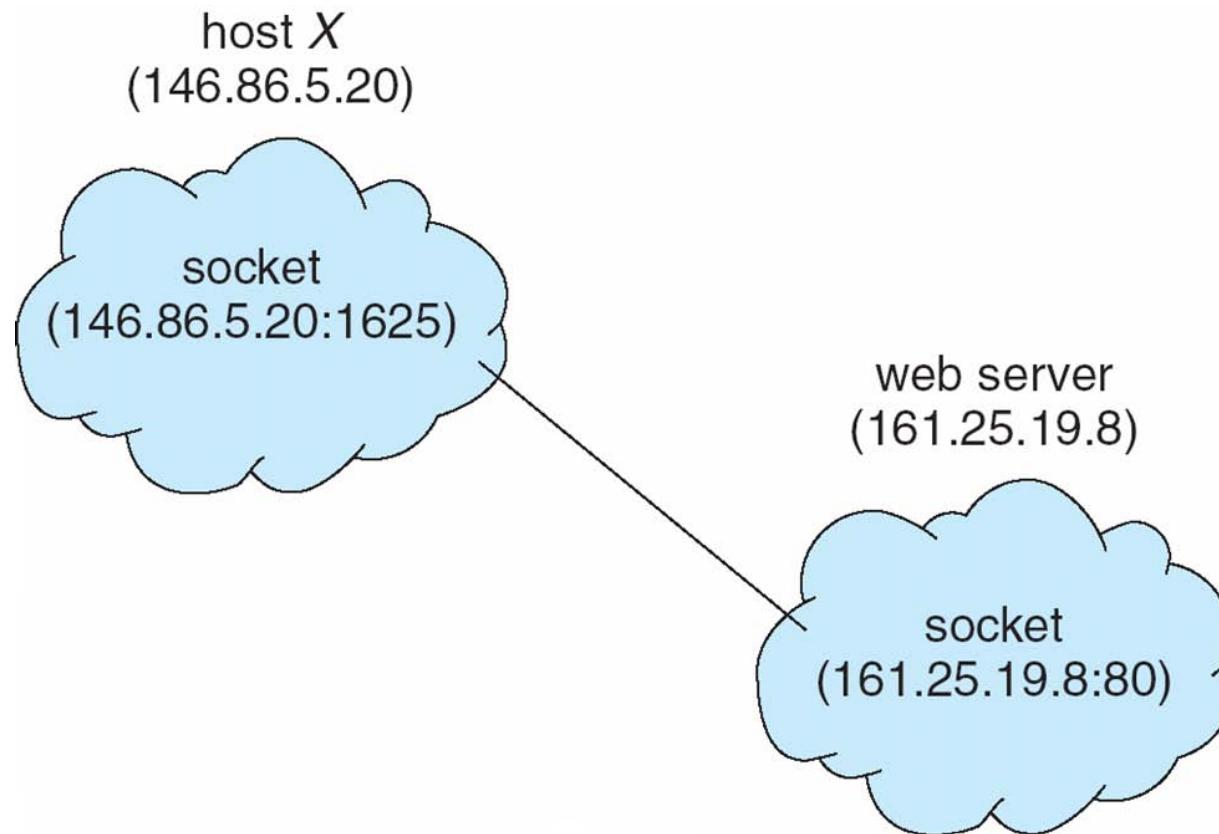
Sockets

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





Socket Communication





Sockets in Java

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

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

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

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

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

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

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





Remote Procedure Calls

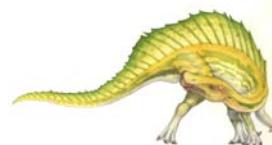
- Remote procedure call (RPC) abstracts procedure calls between processes on networked systems
 - Again uses ports for service differentiation
- **Stubs** – client-side proxy for the actual procedure on the server
- The client-side stub locates the server and **marshalls** the parameters
- The server-side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





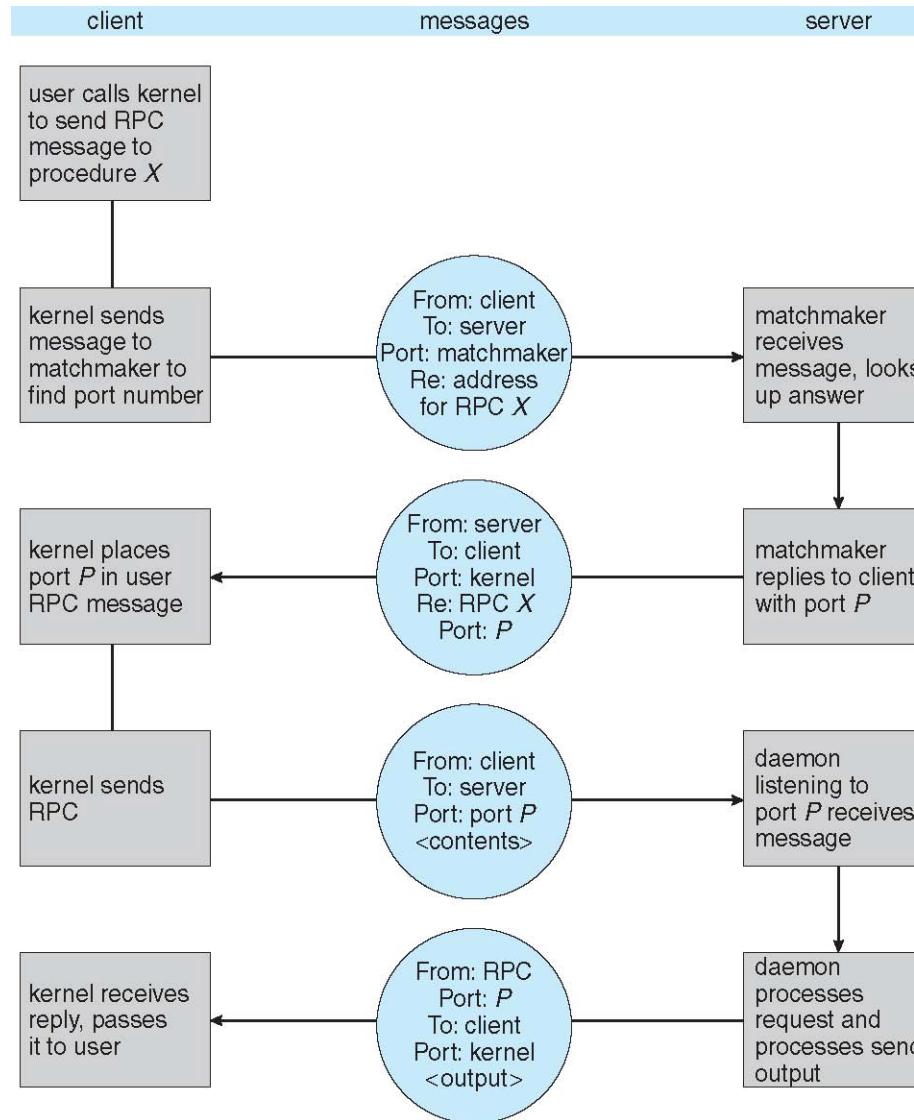
Remote Procedure Calls (Cont.)

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





Execution of RPC

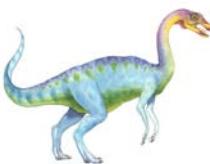




Pipes

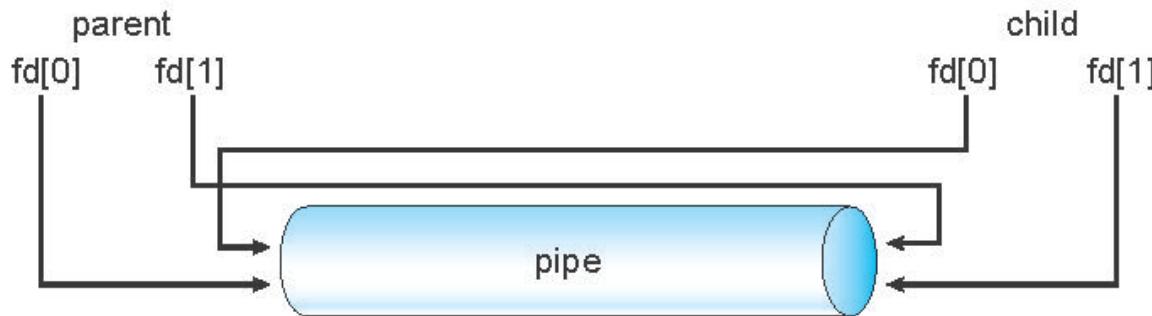
- Acts as a conduit allowing two processes to communicate
- Issues:
 - Is communication unidirectional or bidirectional?
 - In the case of two-way communication, is it half or full-duplex?
 - Must there exist a relationship (i.e., **parent-child**) between the communicating processes?
 - Can the pipes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





Ordinary Pipes

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



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



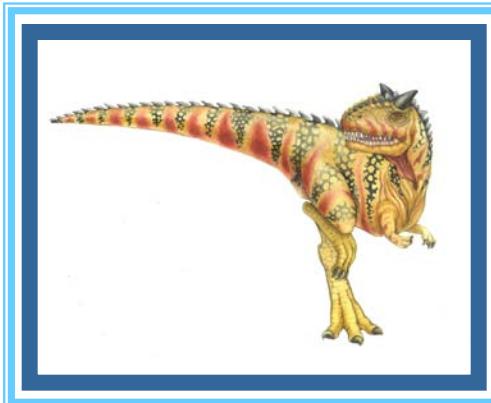


Named Pipes

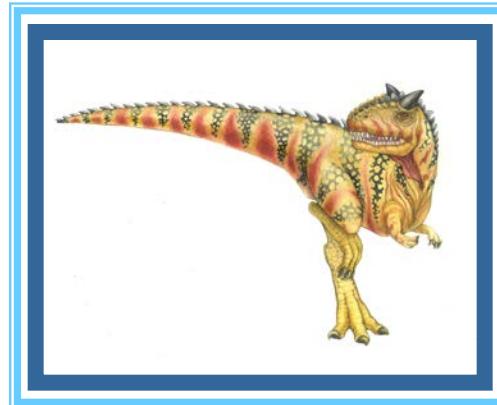
- Named Pipes are more powerful than ordinary pipes
- Communication is bidirectional
- No parent-child relationship is necessary between the communicating processes
- Several processes can use the named pipe for communication
- Provided on both UNIX and Windows systems

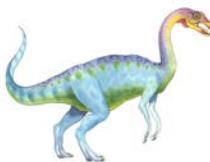


End of Chapter 3



Chapter 4: Threads





Chapter 4: Threads

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

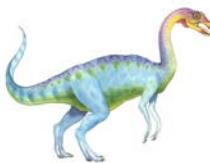




Objectives

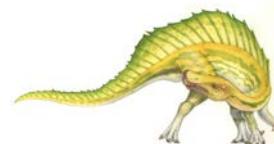
- To introduce the notion of a thread—a fundamental unit of CPU utilization that forms the basis of multithreaded computer systems
- To discuss the APIs for the Pthreads, Windows, and Java thread libraries
- To explore several strategies that provide implicit threading
- To examine issues related to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





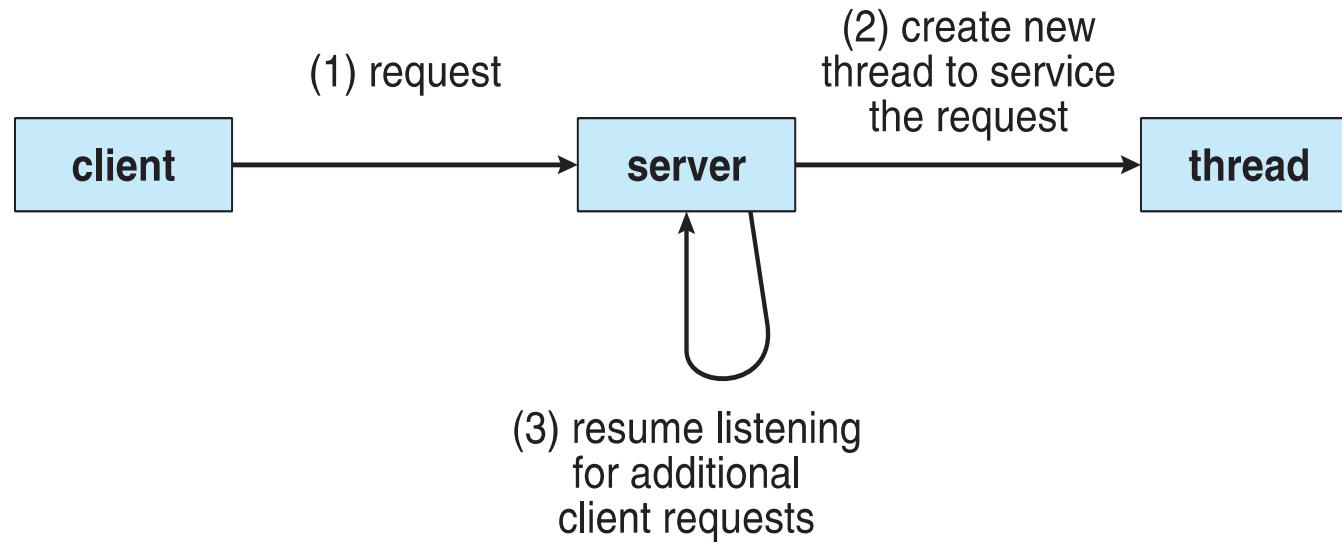
Motivation

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





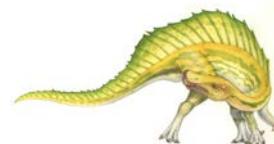
Multithreaded Server Architecture

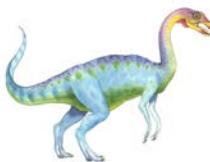




Benefits

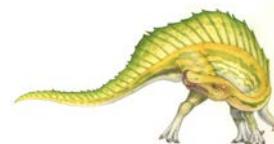
- **Responsiveness** – may allow continued execution if part of process is blocked, especially important for user interfaces
- **Resource Sharing** – threads share resources of process, easier than shared memory or message passing
- **Economy** – cheaper than process creation, thread switching lower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

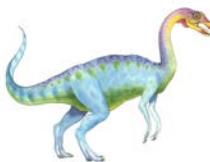




Multicore Programming

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

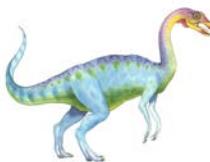




Multicore Programming (Cont.)

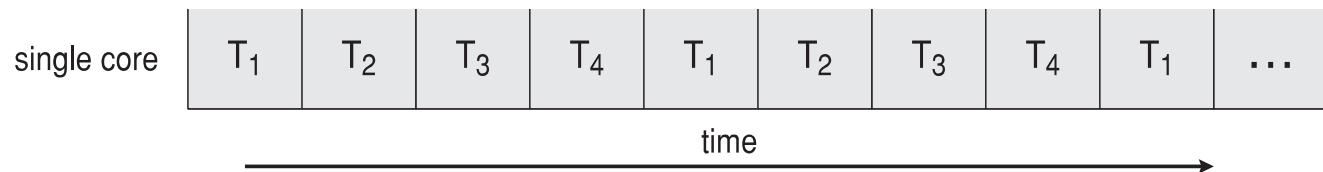
- Types of parallelism
 - **Data parallelism** – distributes subsets of the same data across multiple cores, same operation on each
 - **Task parallelism** – distributing threads across cores, each thread performing unique operation
- As # of threads grows, so does architectural support for threading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



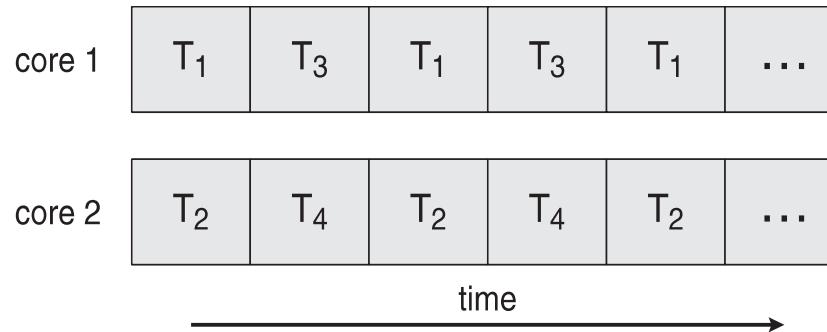


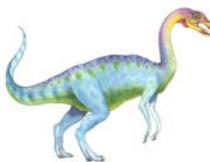
Concurrency vs. Parallelism

- Concurrent execution on single-core system:

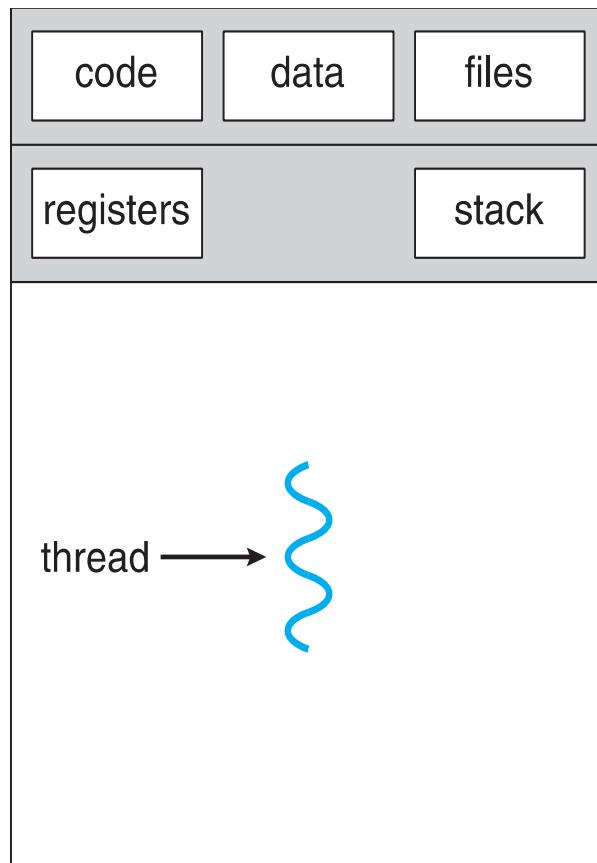


- Parallelism on a multi-core system:

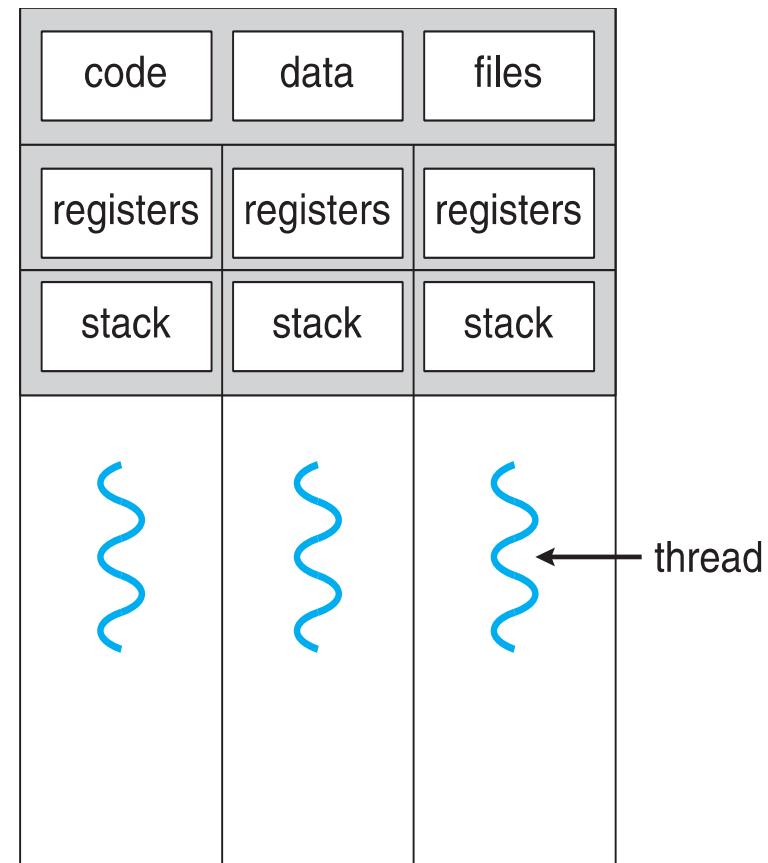




Single and Multithreaded Processes

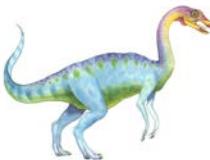


single-threaded process



multithreaded process





Amdahl's Law

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

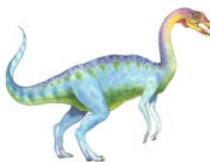
$$\text{speedup} \leq \frac{1}{S + \frac{(1-S)}{N}}$$

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

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

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

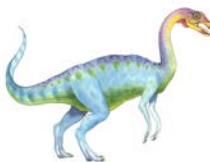




User Threads and Kernel Threads

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

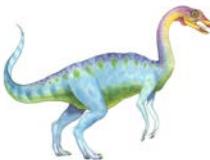




Multithreading Models

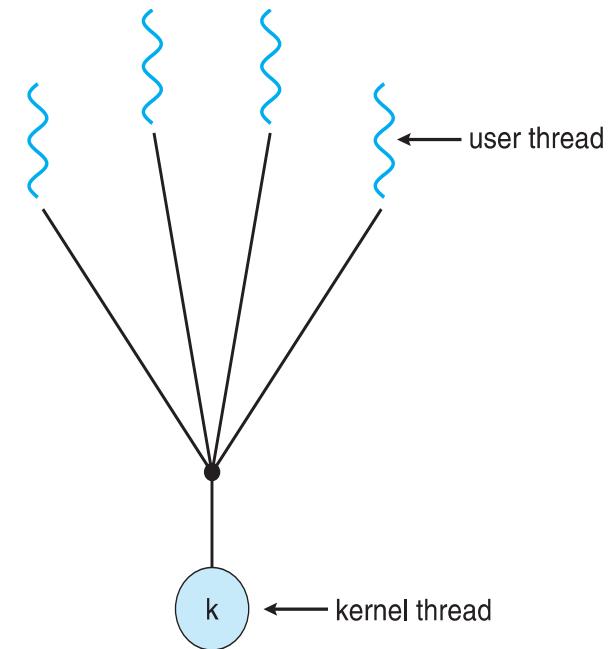
- Many-to-One
- One-to-One
- Many-to-Many

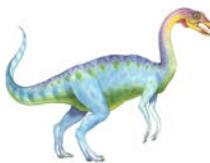




Many-to-One

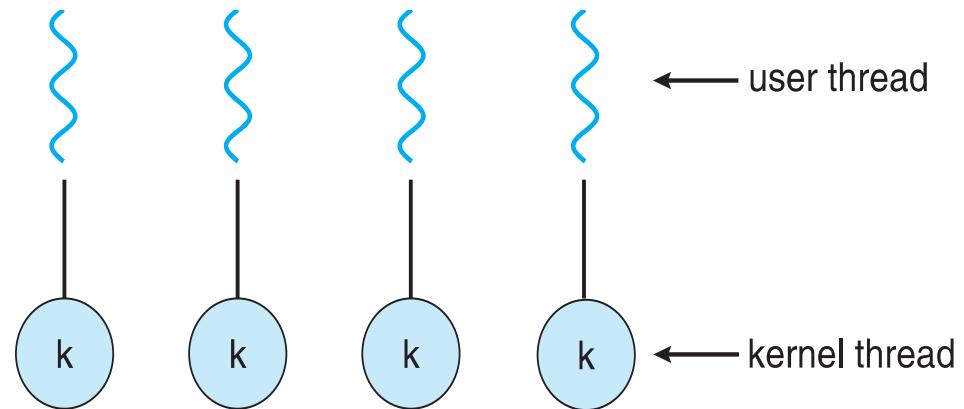
- Many user-level threads mapped to single kernel thread
- One thread blocking causes all to block
- Multiple threads may not run in parallel on multicore system because only one may be in kernel at a time
- Few systems currently use this model
- Examples:
 - **Solaris Green Threads**
 - **GNU Portable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

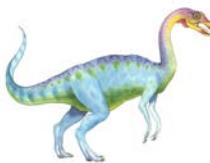




One-to-One

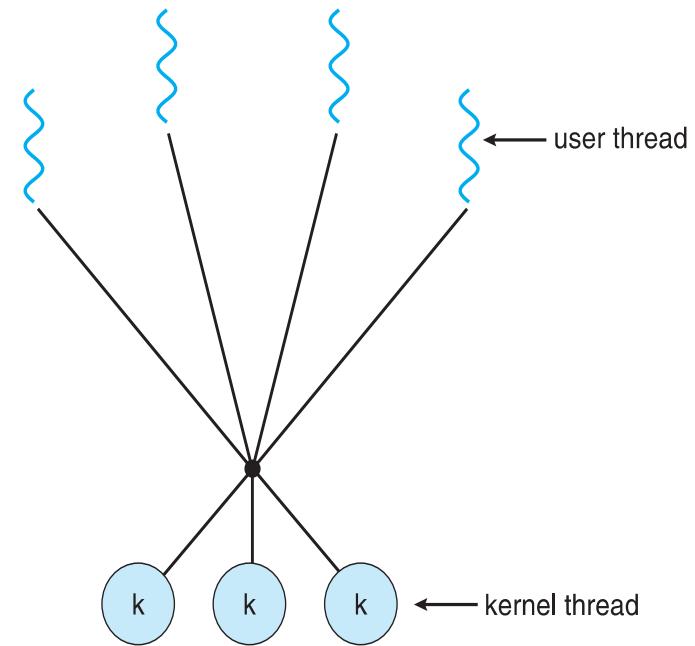
- Each user-level thread maps to kernel thread
- Creating a user-level thread creates a kernel thread
- More concurrency than many-to-one
- Number of threads per process sometimes restricted due to overhead
- Examples
 - Windows
 - Linux
 - Solaris 9 and later

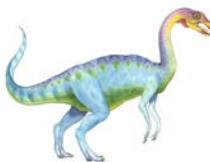




Many-to-Many Model

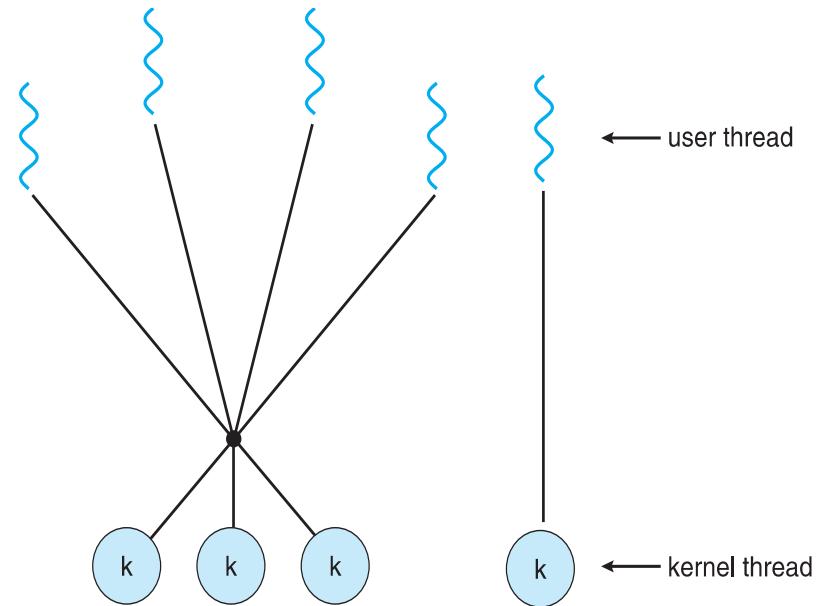
- Allows many user level threads to be mapped to many kernel threads
- Allows the operating system to create a sufficient number of kernel threads
- Solaris prior to version 9
- Windows with the *ThreadFiber* package





Two-level Model

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

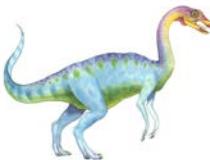




Thread Libraries

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

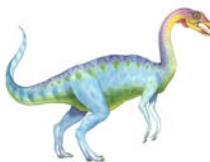




PThreads

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





Pthreads Example

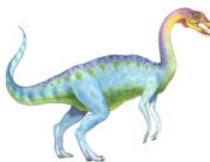
```
#include <pthread.h>
#include <stdio.h>

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

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

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





Pthreads Example (Cont.)

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

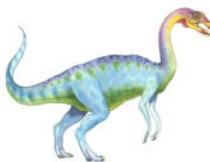
printf("sum = %d\n",sum);
}

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

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

    pthread_exit(0);
}
```





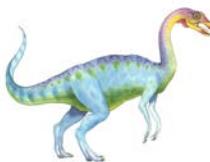
Pthreads Code for Joining 10 Threads

```
#define NUM_THREADS 10

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

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





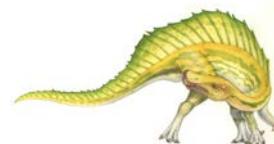
Windows Multithreaded C Program

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

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

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

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





Windows Multithreaded C Program (Cont.)

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

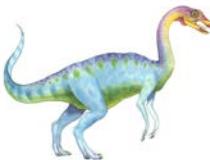
if (ThreadHandle != NULL) {
    /* now wait for the thread to finish */
    WaitForSingleObject(ThreadHandle, INFINITE);

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

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

}
```





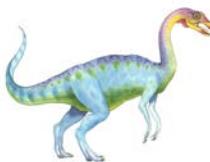
Java Threads

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

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

- Extending Thread class
- Implementing the Runnable interface





Java Multithreaded Program

```
class Sum
{
    private int sum;

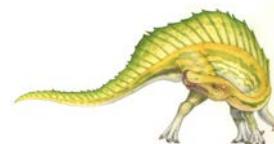
    public int getSum() {
        return sum;
    }

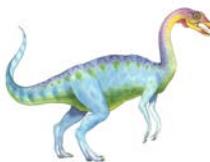
    public void setSum(int sum) {
        this.sum = sum;
    }
}

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

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

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

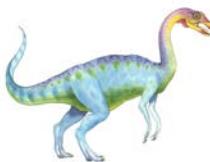




Java Multithreaded Program (Cont.)

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

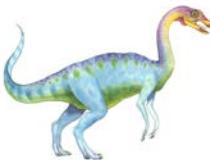




Implicit Threading

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





Thread Pools

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

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





OpenMP

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

```
#pragma omp parallel
```

Create as many threads as there are cores

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

Run for loop in parallel

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

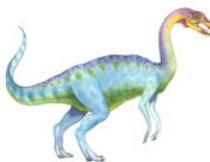
int main(int argc, char *argv[])
{
    /* sequential code */

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

    /* sequential code */

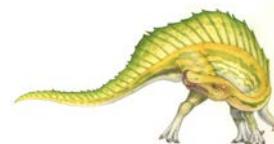
    return 0;
}
```

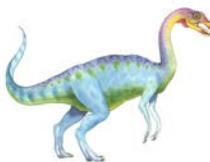




Grand Central Dispatch

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



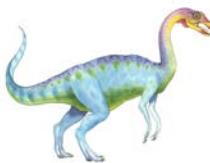


Grand Central Dispatch

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

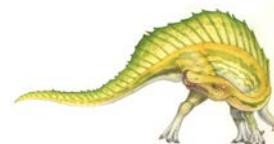
```
dispatch_queue_t queue = dispatch_get_global_queue  
    (DISPATCH_QUEUE_PRIORITY_DEFAULT, 0);  
  
dispatch_async(queue, ^{ printf("I am a block."); });
```

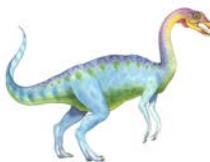




Threading Issues

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

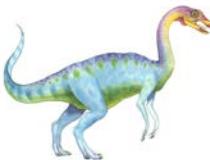




Semantics of fork() and exec()

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

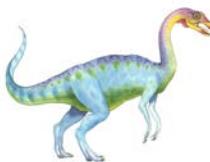




Signal Handling

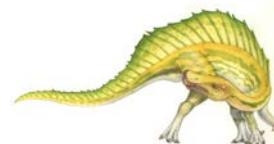
- **Signals** are used in UNIX systems to notify a process that a particular event has occurred.
- A **signal handler** is used to process signals
 1. Signal is generated by particular event
 2. Signal is delivered to a process
 3. Signal is handled by one of two signal handlers:
 1. default
 2. user-defined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

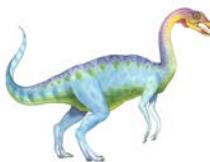




Signal Handling (Cont.)

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



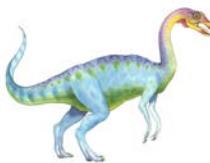


Thread Cancellation

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

```
pthread_t tid;  
  
/* create the thread */  
pthread_create(&tid, 0, worker, NULL);  
  
.  
.  
.  
  
/* cancel the thread */  
pthread_cancel(tid);
```





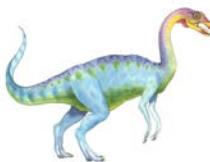
Thread Cancellation (Cont.)

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

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

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

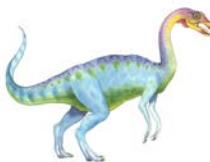




Thread-Local Storage

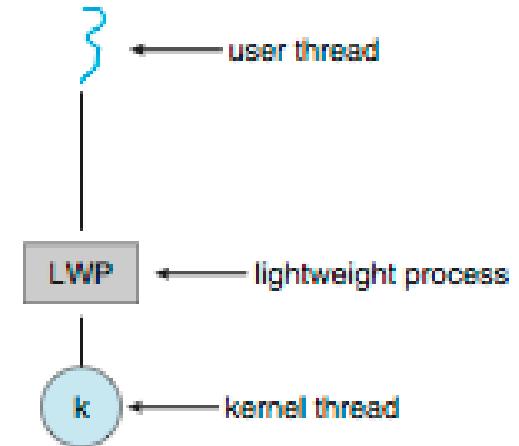
- **Thread-local storage (TLS)** allows each thread to have its own copy of data
- Useful when you do not have control over the thread creation process (i.e., when using a thread pool)
- Different from local variables
 - Local variables visible only during single function invocation
 - TLS visible across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

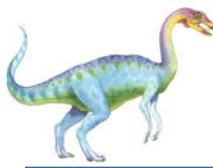




Scheduler Activations

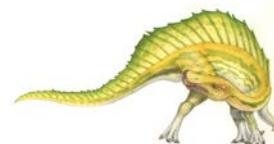
- Both M:M and Two-level models require communication to maintain the appropriate number of kernel threads allocated to the application
- Typically use an intermediate data structure between user and kernel threads – **lightweight process (LWP)**
 - Appears to be a virtual processor on which process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

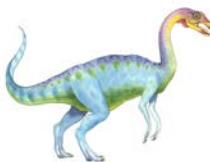




Operating System Examples

- Windows Threads
- Linux Threads

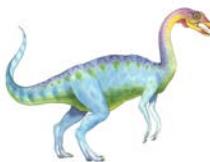




Windows Threads

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

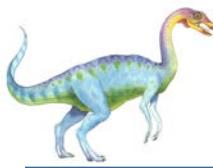




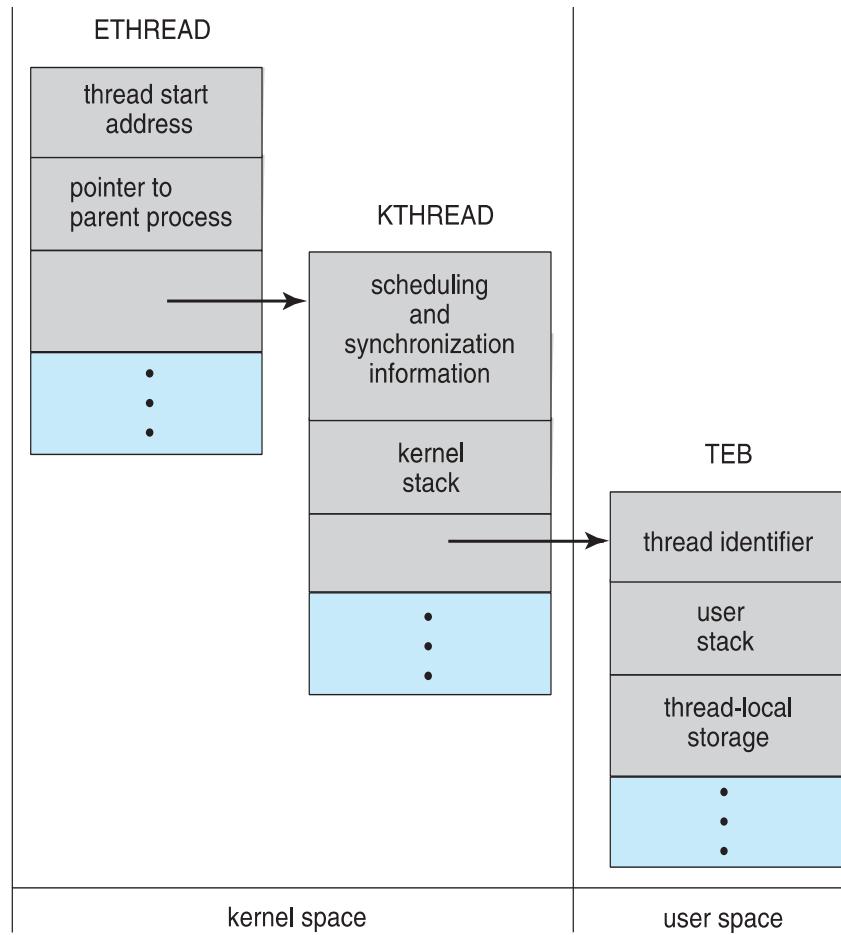
Windows Threads (Cont.)

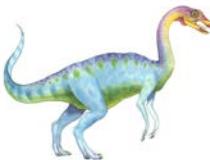
- The primary data structures of a thread include:
 - ETHREAD (executive thread block) – includes pointer to process to which thread belongs and to KTHREAD, in kernel space
 - KTHREAD (kernel thread block) – scheduling and synchronization info, kernel-mode stack, pointer to TEB, in kernel space
 - TEB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





Windows Threads Data Structures





Linux Threads

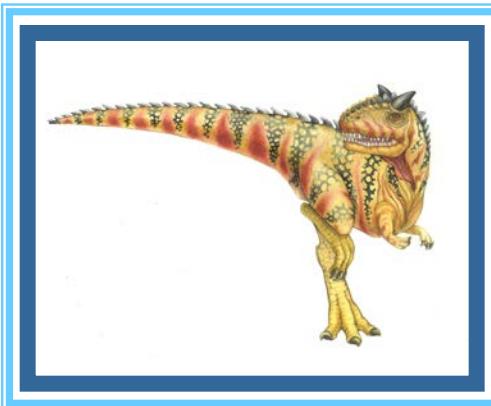
- Linux refers to them as ***tasks*** rather than ***threads***
- Thread creation is done through `clone()` system call
- `clone()` allows a child task to share the address space of the parent task (process)
 - Flags control behavior

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

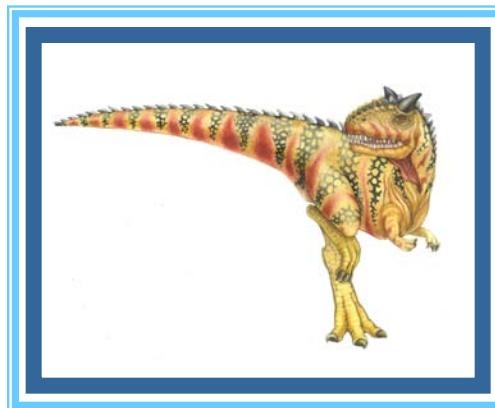
- `struct task_struct` points to process data structures (shared or unique)



End of Chapter 4



Chapter 5: Process Synchronization





Chapter 5: Process Synchronization

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





Objectives

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





Background

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





Producer

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





Consumer

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





Race Condition

- `counter++` could be implemented as

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

- `counter--` could be implemented as

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

- Consider this execution interleaving with “count = 5” initially:

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





Critical Section Problem

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





Critical Section

- General structure of process P_i

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





Algorithm for Process P_i

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





Solution to Critical-Section Problem

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





Critical-Section Handling in OS

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

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





Peterson's Solution

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





Algorithm for Process P_i

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





Peterson's Solution (Cont.)

- Provable that the three CS requirement are met:

1. Mutual exclusion is preserved

P_i enters CS only if:

either `flag[j] = false` or `turn = i`

2. Progress requirement is satisfied
3. Bounded-waiting requirement is met





Synchronization Hardware

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





Solution to Critical-section Problem Using Locks

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





test_and_set Instruction

Definition:

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

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





Solution using test_and_set()

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

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





compare_and_swap Instruction

Definition:

```
int compare_and_swap(int *value, int expected, int new_value) {  
    int temp = *value;  
  
    if (*value == expected)  
        *value = new_value;  
  
    return temp;  
}
```

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





Solution using compare_and_swap

- Shared integer “lock” initialized to 0;
- Solution:

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

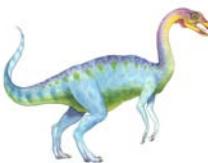




Bounded-waiting Mutual Exclusion with test_and_set

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





Mutex Locks

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





acquire() and release()

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





Semaphore

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

- Definition of the **wait()** operation

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

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

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





Semaphore Usage

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

P1:

```
s1;  
signal(synch);
```

P2:

```
wait(synch);  
s2;
```

- Can implement a counting semaphore S as a binary semaphore





Semaphore Implementation

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





Semaphore Implementation with no Busy waiting

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





## Implementation with no Busy waiting (Cont.)

---

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

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





# Deadlock and Starvation

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

|                         |                         |
|-------------------------|-------------------------|
| $P_0$                   | $P_1$                   |
| <code>wait(S);</code>   | <code>wait(Q);</code>   |
| <code>wait(Q);</code>   | <code>wait(S);</code>   |
| ...                     | ...                     |
| <code>signal(S);</code> | <code>signal(Q);</code> |
| <code>signal(Q);</code> | <code>signal(S);</code> |

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





# Classical Problems of Synchronization

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





# Bounded-Buffer Problem

---

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





# Bounded Buffer Problem (Cont.)

- The structure of the producer process

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





# Bounded Buffer Problem (Cont.)

---

- The structure of the consumer process

```
Do {
 wait(full);
 wait(mutex);

 ...
 /* remove an item from buffer to next_consumed */

 ...
 signal(mutex);
 signal(empty);

 ...
 /* consume the item in next consumed */

 ...
} while (true);
```





# Readers-Writers Problem

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





# Readers-Writers Problem (Cont.)

- The structure of a writer process

```
do {
 wait(rw_mutex);

 ...
 /* writing is performed */

 ...

 signal(rw_mutex);
} while (true);
```





# Readers-Writers Problem (Cont.)

- The structure of a reader process

```
do {
 wait(mutex);
 read_count++;
 if (read_count == 1)
 wait(rw_mutex);

 signal(mutex);

 ...
 /* reading is performed */

 ...

 wait(mutex);
 read_count--;
 if (read_count == 0)
 signal(rw_mutex);
 signal(mutex);
} while (true);
```





# Readers-Writers Problem Variations

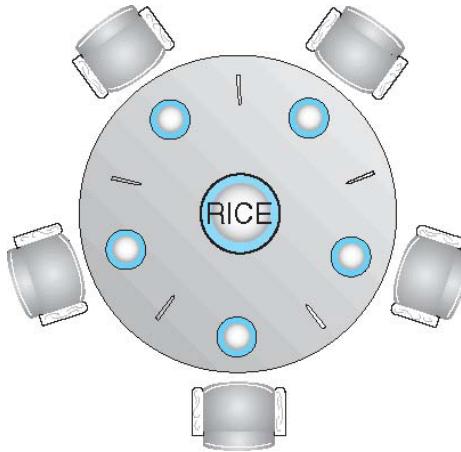
---

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





# Dining-Philosophers Problem



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





# Dining-Philosophers Problem Algorithm

- The structure of Philosopher  $i$ :

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

 // eat

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

 // think

} while (TRUE);
```

- What is the problem with this algorithm?





# Dining-Philosophers Problem Algorithm (Cont.)

## ■ Deadlock handling

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





# Problems with Semaphores

---

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





# Monitors

---

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

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

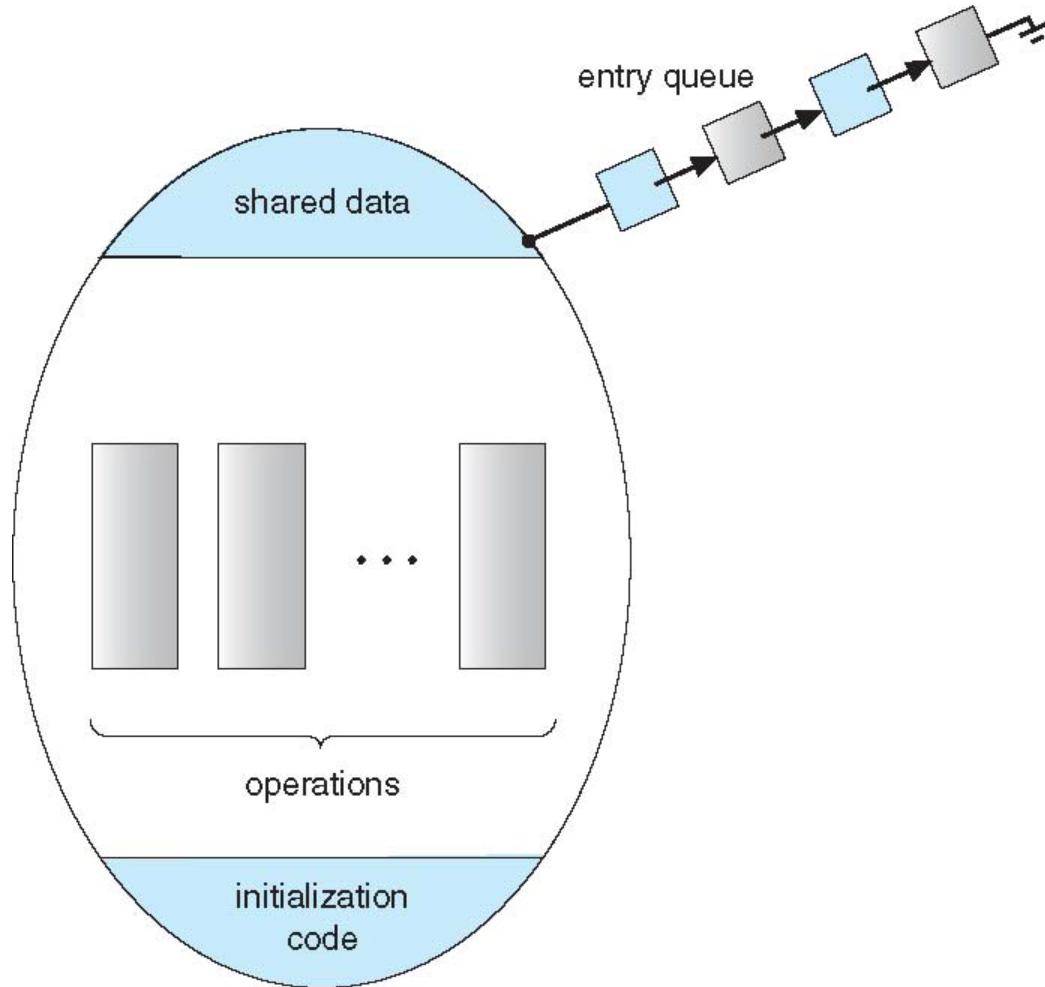
 procedure Pn (...) {.....}

 Initialization code (...) { ... }
}
```





# Schematic view of a Monitor





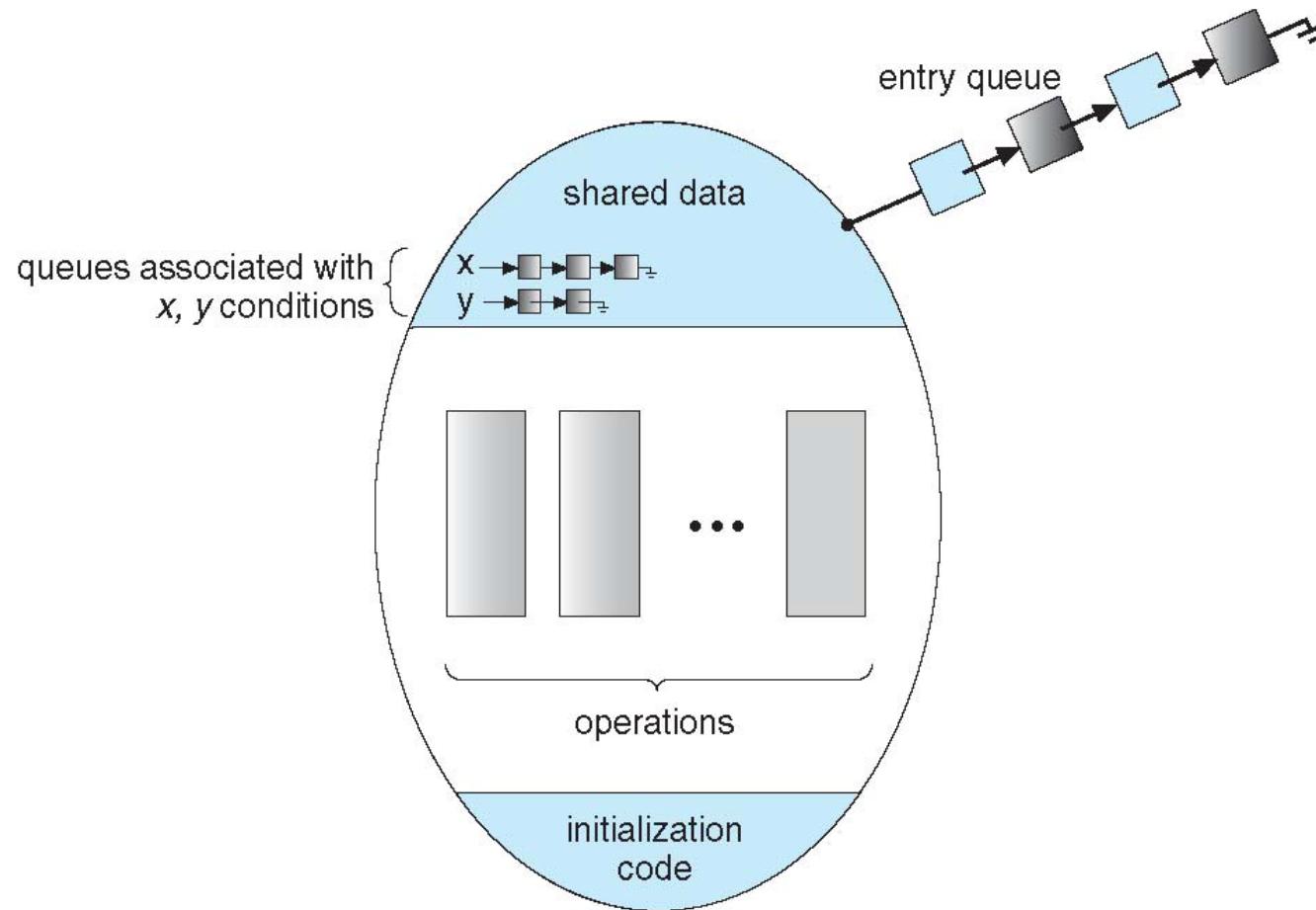
# Condition Variables

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





# Monitor with Condition Variables





# Condition Variables Choices

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



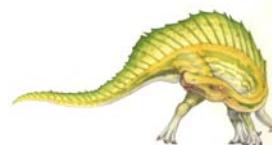


# Monitor Solution to Dining Philosophers

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

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

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

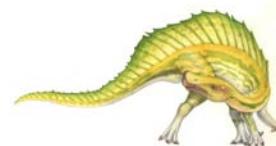




# Solution to Dining Philosophers (Cont.)

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

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





# Solution to Dining Philosophers (Cont.)

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

```
DiningPhilosophers.pickup(i);
```

EAT

```
DiningPhilosophers.putdown(i);
```

- No deadlock, but starvation is possible





# Monitor Implementation Using Semaphores

- Variables

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

- Each procedure *F* will be replaced by

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

- Mutual exclusion within a monitor is ensured





# Monitor Implementation – Condition Variables

---

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

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

- The operation  $x.wait$  can be implemented as:

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





# Monitor Implementation (Cont.)

---

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

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





# Resuming Processes within a Monitor

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





# Single Resource allocation

---

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

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

R.release;
```

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





# A Monitor to Allocate Single Resource

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





# Synchronization Examples

- Solaris
- Windows
- Linux
- Pthreads





# Solaris Synchronization

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





# Windows Synchronization

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





# Linux Synchronization

---

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





# Pthreads Synchronization

---

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





# Alternative Approaches

---

- Transactional Memory
- OpenMP
- Functional Programming Languages





# Transactional Memory

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

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





# OpenMP

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

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

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





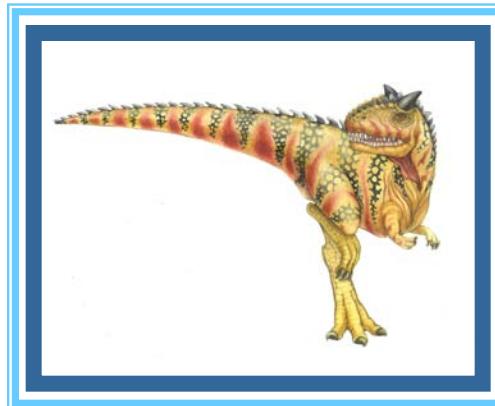
# Functional Programming Languages

---

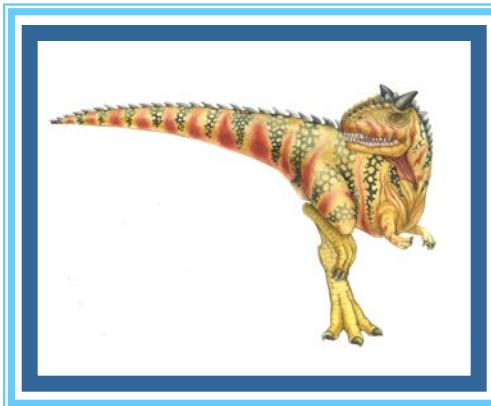
- Functional programming languages offer a different paradigm than procedural languages in that they do not maintain state.
- Variables are treated as immutable and cannot change state once they have been assigned a value.
- There is increasing interest in functional languages such as Erlang and Scala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

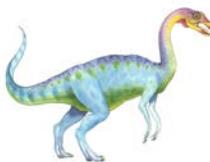


# End of Chapter 5



# Chapter 6: CPU Scheduling



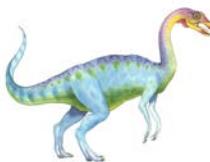


# Chapter 6: CPU Scheduling

---

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

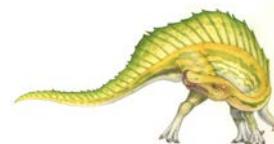


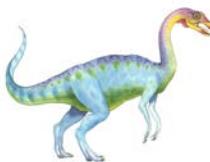


# Objectives

---

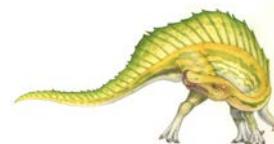
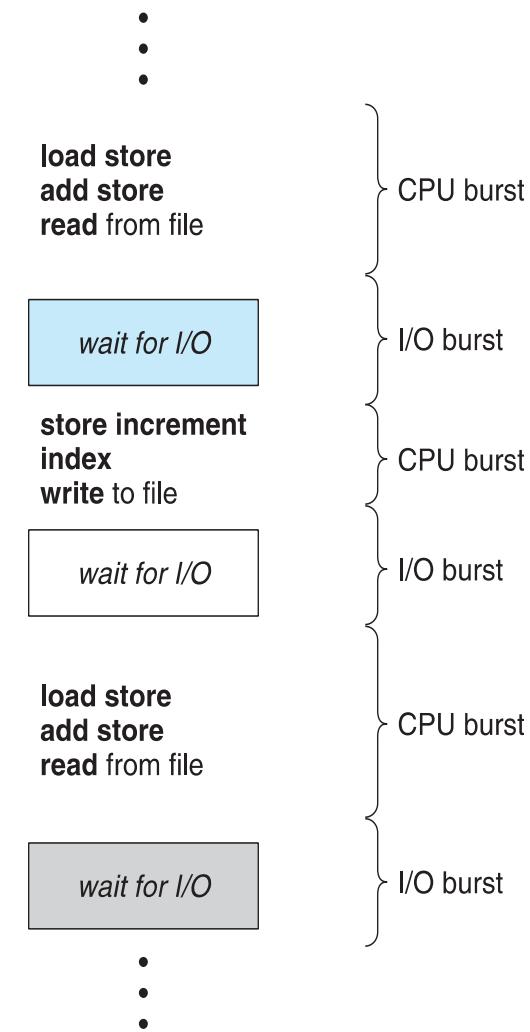
- To introduce CPU scheduling, which is the basis for multiprogrammed operating systems
- To describe various CPU-scheduling algorithms
- To discuss evaluation criteria for selecting a CPU-scheduling algorithm for a particular system
- To examine the scheduling algorithms of several operating systems

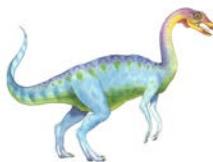




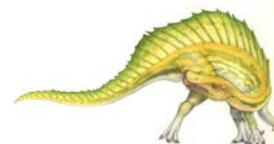
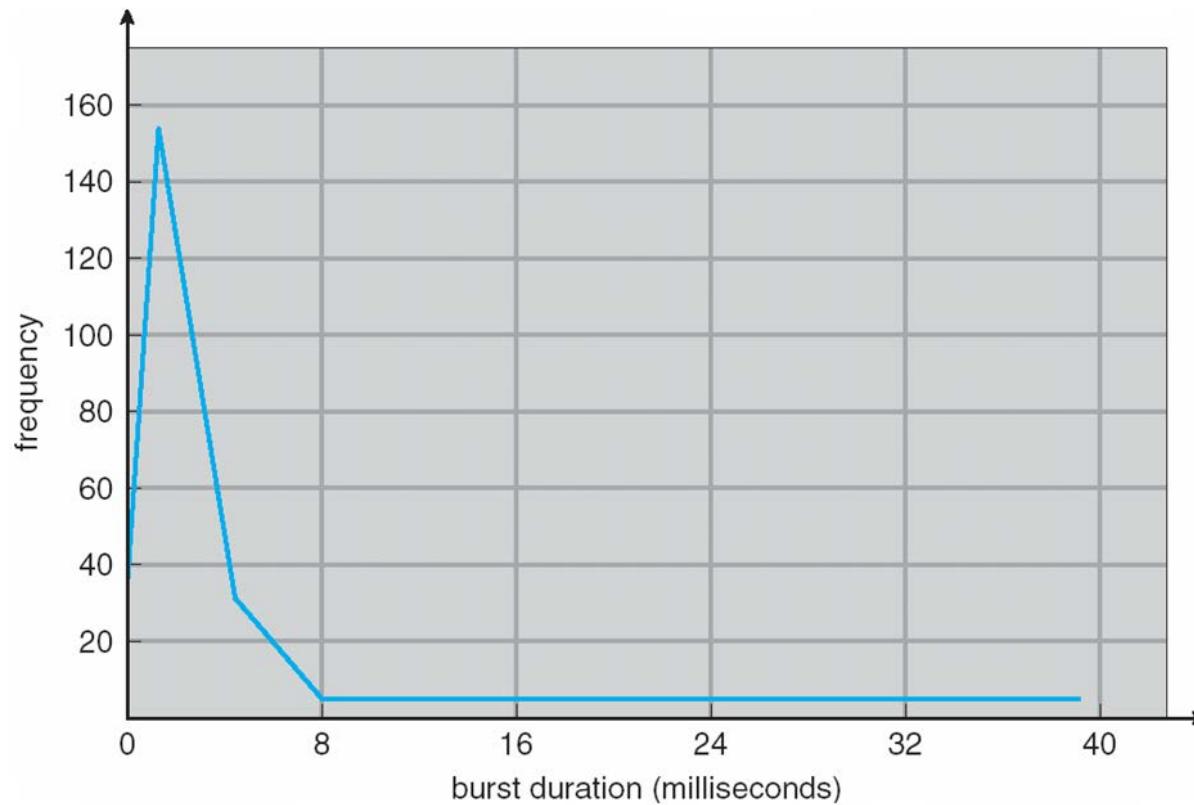
# Basic Concepts

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





# Histogram of CPU-burst Times



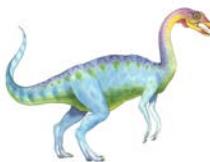


# CPU Scheduler

---

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

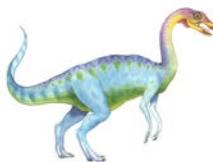




# Dispatcher

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



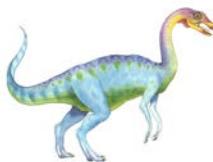


# Scheduling Criteria

---

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

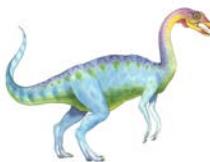




# Scheduling Algorithm Optimization Criteria

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





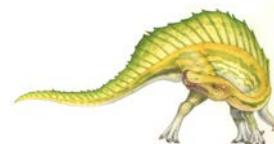
# First-Come, First-Served (FCFS) Scheduling

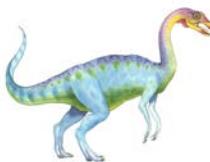
| <u>Process</u> | <u>Burst Time</u> |
|----------------|-------------------|
| $P_1$          | 24                |
| $P_2$          | 3                 |
| $P_3$          | 3                 |

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



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





# FCFS Scheduling (Cont.)

Suppose that the processes arrive in the order:

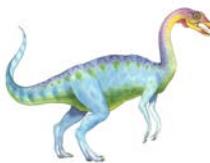
$$P_2, P_3, P_1$$

- The Gantt chart for the schedule is:



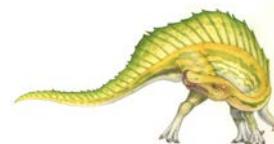
- Waiting time for  $P_1 = 6$ ;  $P_2 = 0$ ,  $P_3 = 3$
- Average waiting time:  $(6 + 0 + 3)/3 = 3$
- Much better than previous case
- **Convoy effect** - short process behind long process
  - Consider one CPU-bound and many I/O-bound processes

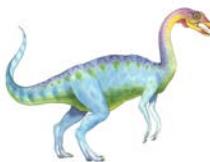




# Shortest-Job-First (SJF) Scheduling

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

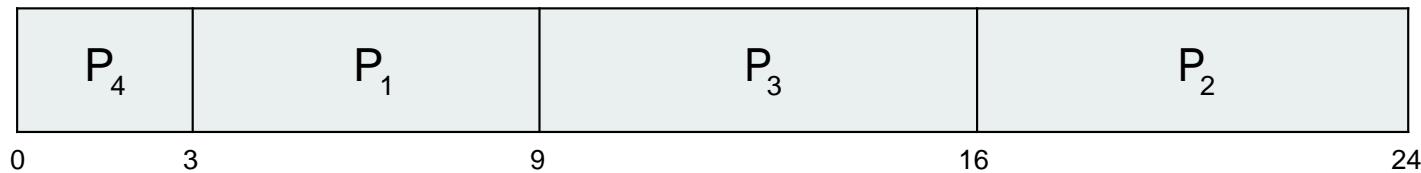




# Example of SJF

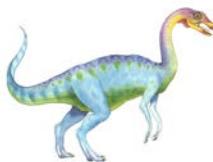
| <u>Process</u> | <u>Burst Time</u> |
|----------------|-------------------|
| $P_1$          | 6                 |
| $P_2$          | 8                 |
| $P_3$          | 7                 |
| $P_4$          | 3                 |

- SJF scheduling chart



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





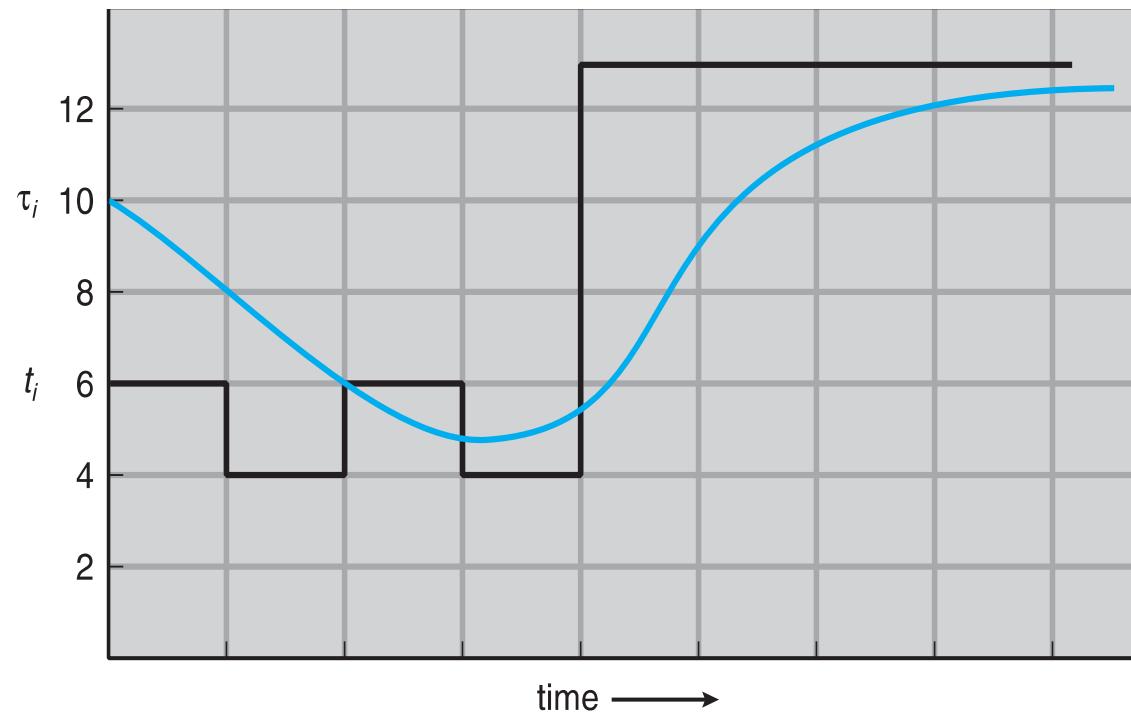
# Determining Length of Next CPU Burst

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





# Prediction of the Length of the Next CPU Burst



CPU burst ( $t_i$ )

6

4

6

4

13

13

13

...

"guess" ( $\tau_i$ )

10

8

6

6

5

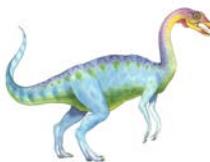
9

11

12

...

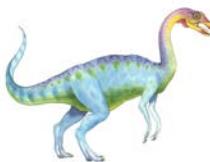




# Examples of Exponential Averaging

- $\alpha = 0$ 
  - $\tau_{n+1} = \tau_n$
  - Recent history does not count
- $\alpha = 1$ 
  - $\tau_{n+1} = \alpha t_n$
  - Only the actual last CPU burst counts
- If we expand the formula, we get:
$$\begin{aligned}\tau_{n+1} &= \alpha t_n + (1 - \alpha) \alpha t_{n-1} + \dots \\ &\quad + (1 - \alpha)^j \alpha t_{n-j} + \dots \\ &\quad + (1 - \alpha)^{n+1} \tau_0\end{aligned}$$
- Since both  $\alpha$  and  $(1 - \alpha)$  are less than or equal to 1, each successive term has less weight than its predecessor



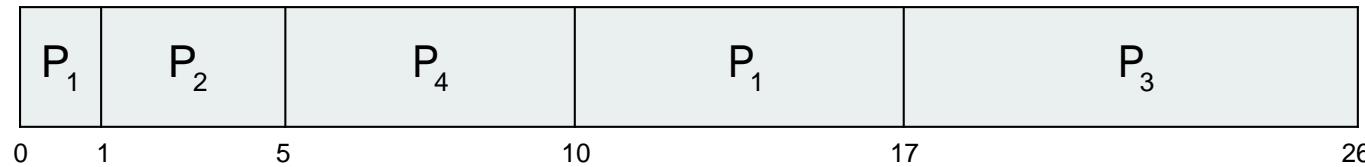


## Example of Shortest-remaining-time-first

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

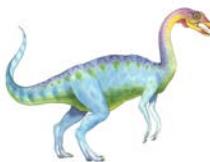
| <u>Process</u> | <u>Arrival Time</u> | <u>Burst Time</u> |
|----------------|---------------------|-------------------|
| $P_1$          | 0                   | 8                 |
| $P_2$          | 1                   | 4                 |
| $P_3$          | 2                   | 9                 |
| $P_4$          | 3                   | 5                 |

- Preemptive SJF Gantt Chart*



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

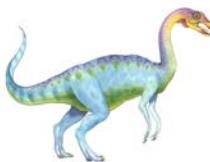




# Priority Scheduling

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





# Example of Priority Scheduling

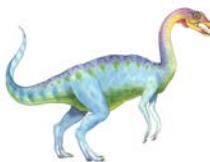
| <u>Process</u> | <u>Burst Time</u> | <u>Priority</u> |
|----------------|-------------------|-----------------|
| $P_1$          | 10                | 3               |
| $P_2$          | 1                 | 1               |
| $P_3$          | 2                 | 4               |
| $P_4$        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

- Priority scheduling Gantt Chart



- Average waiting time = 8.2 msec



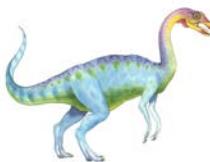


# Round Robin (RR)

---

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

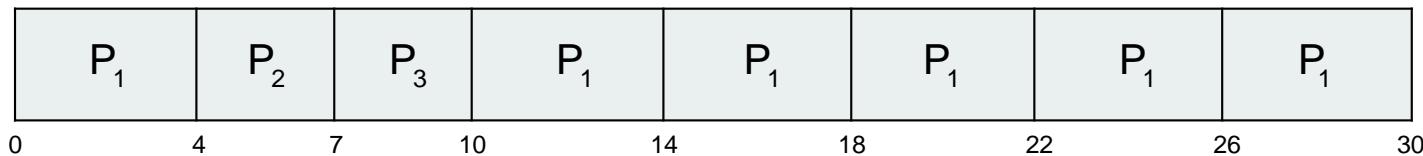




# Example of RR with Time Quantum = 4

| <u>Process</u> | <u>Burst Time</u> |
|----------------|-------------------|
| $P_1$          | 24                |
| $P_2$          | 3                 |
| $P_3$          | 3                 |

- The Gantt chart is:

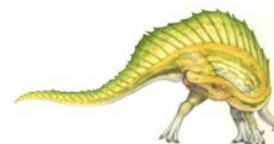
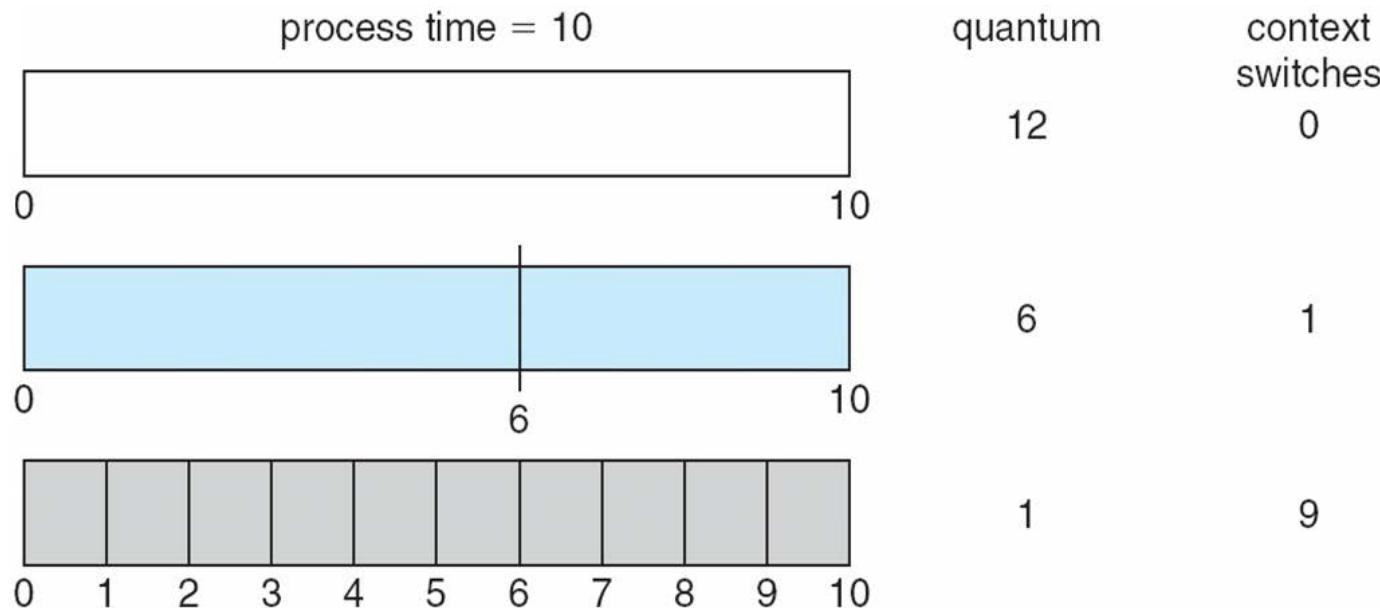


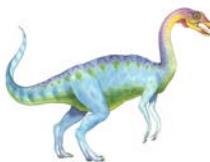
- Typically, higher average turnaround than SJF, but better **response**
- $q$  should be large compared to context switch time
- $q$  usually 10ms to 100ms, context switch < 10 usec



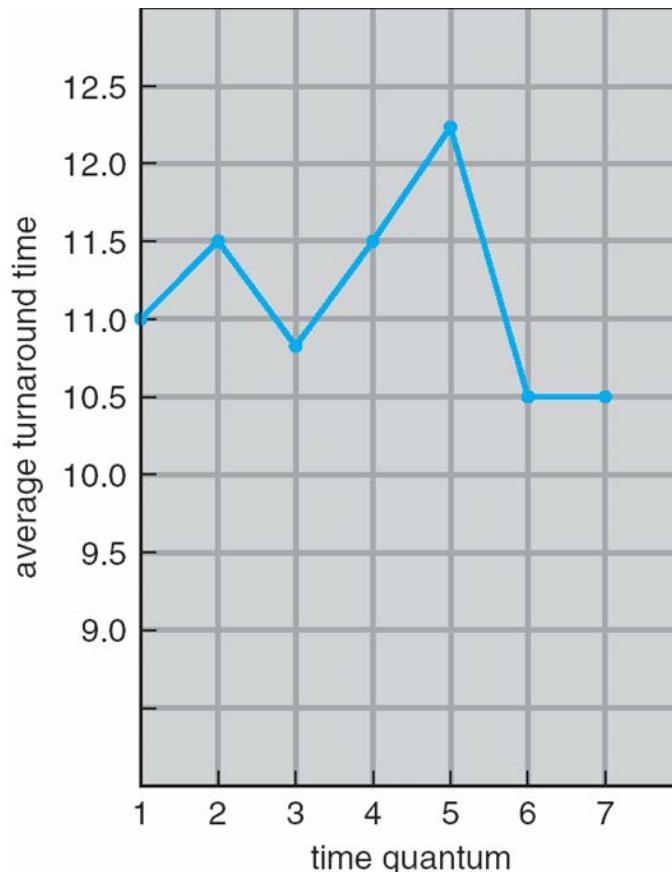


# Time Quantum and Context Switch Time



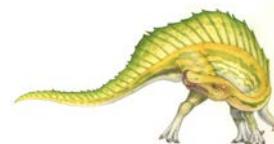


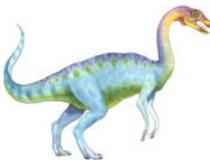
# Turnaround Time Varies With The Time Quantum



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

80% of CPU bursts  
should be shorter than  $q$

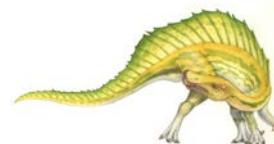


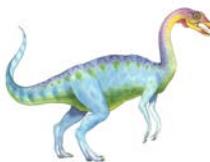


# Multilevel Queue

---

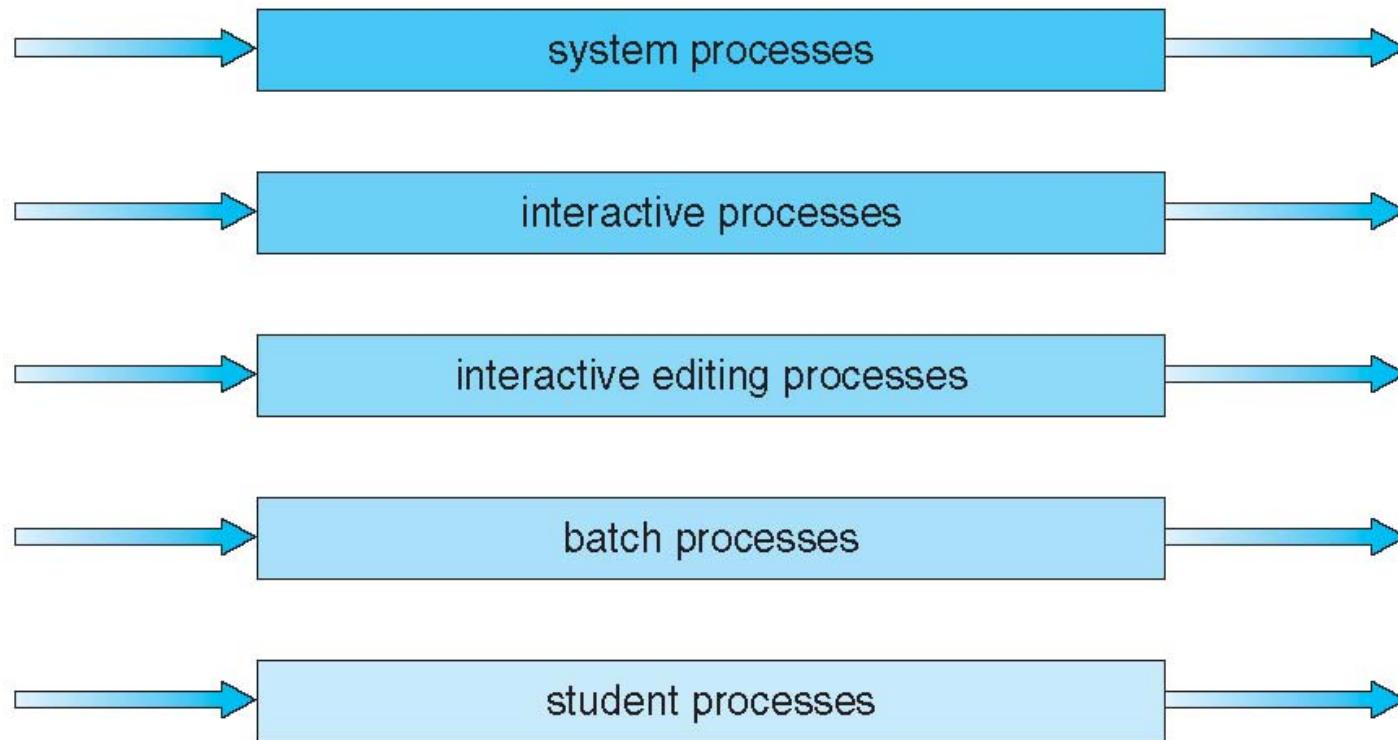
- Ready queue is partitioned into separate queues, eg:
  - **foreground** (interactive)
  - **background** (batch)
- Process permanently in a given queue
- Each queue has its own scheduling algorithm:
  - foreground – RR
  - background – FCFS
- Scheduling must be done between the queues:
  - Fixed priority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



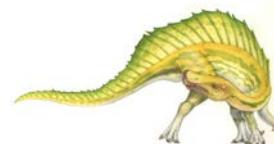


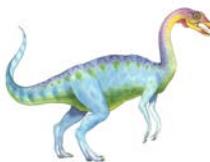
# Multilevel Queue Scheduling

highest priority



lowest priority

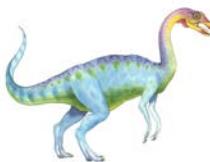




# Multilevel Feedback Queue

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





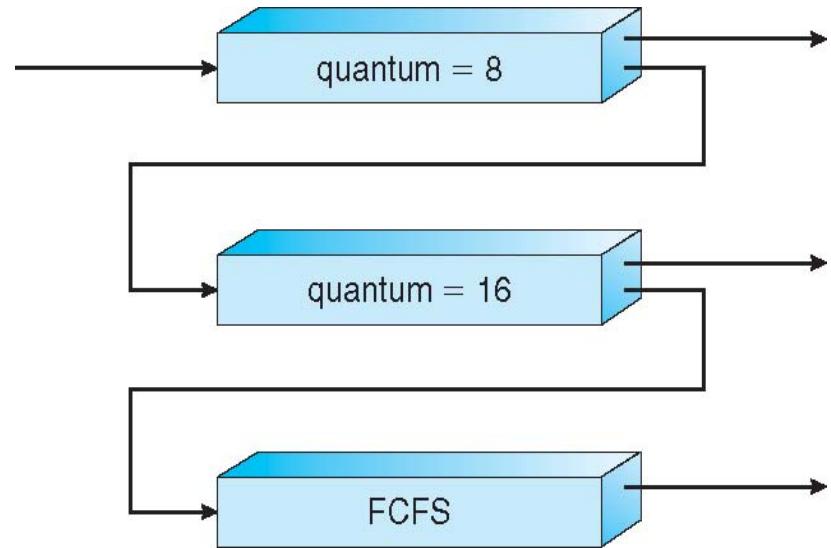
# Example of Multilevel Feedback Queue

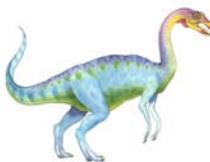
## ■ Three queues:

- $Q_0$  – RR with time quantum 8 milliseconds
- $Q_1$  – RR time quantum 16 milliseconds
- $Q_2$  – FCFS

## ■ Scheduling

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

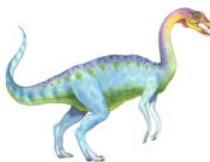




# Thread Scheduling

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

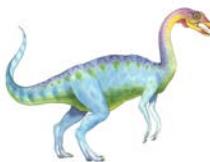




# Pthread Scheduling

- API allows specifying either PCS or SCS during thread creation
  - PTHREAD\_SCOPE\_PROCESS schedules threads using PCS scheduling
  - PTHREAD\_SCOPE\_SYSTEM schedules threads using SCS scheduling
- Can be limited by OS – Linux and Mac OS X only allow PTHREAD\_SCOPE\_SYSTEM

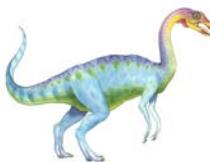




# Pthread Scheduling API

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





# Pthread Scheduling API

```
/* set the scheduling algorithm to PCS or SCS */
pthread_attr_setscope(&attr, PTHREAD_SCOPE_SYSTEM);

/* create the threads */
for (i = 0; i < NUM_THREADS; i++)
 pthread_create(&tid[i], &attr, runner, NULL);

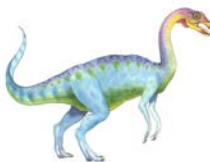
/* now join on each thread */
for (i = 0; i < NUM_THREADS; i++)
 pthread_join(tid[i], NULL);

}

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

 pthread_exit(0);
}
```



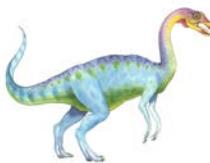


# Multiple-Processor Scheduling

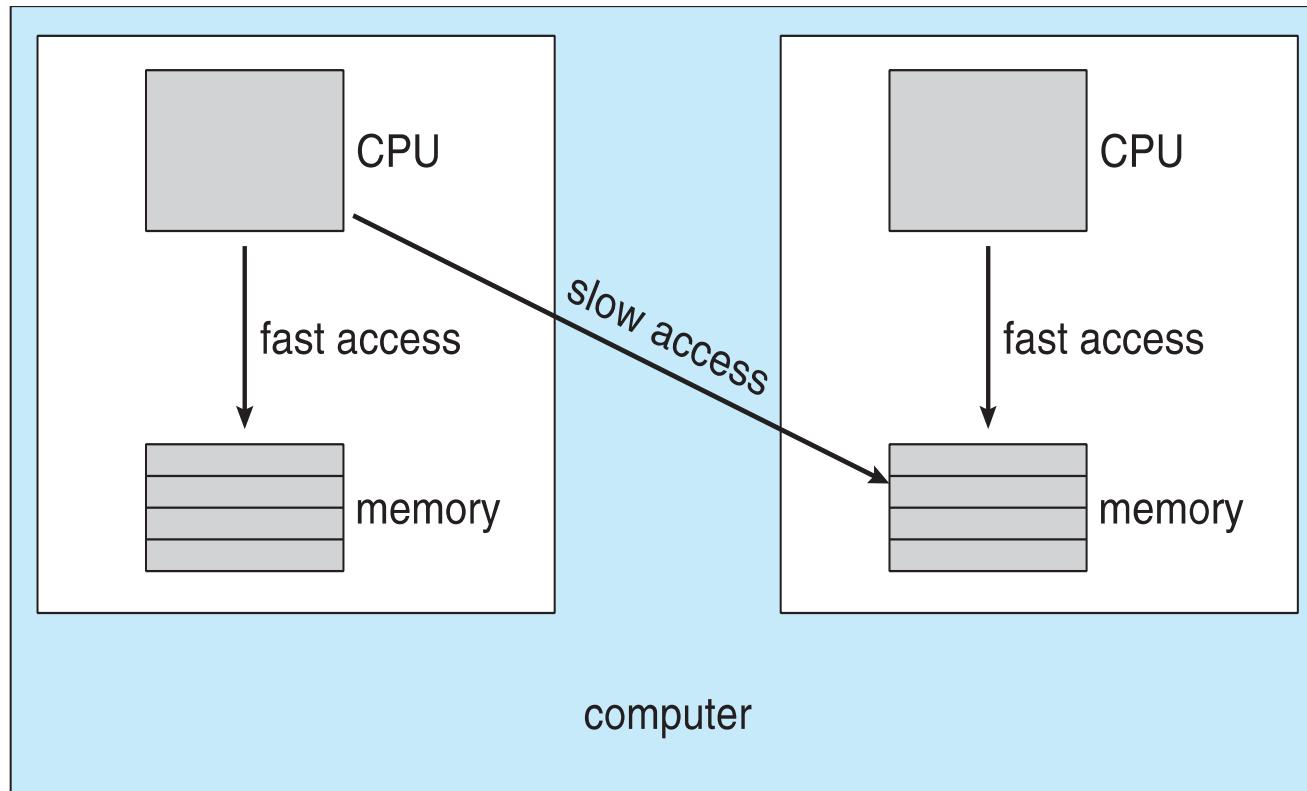
---

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



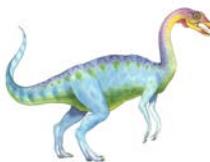


# NUMA and CPU Scheduling



Note that memory-placement algorithms can also consider affinity

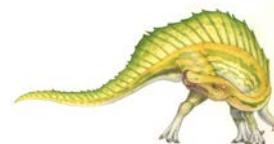


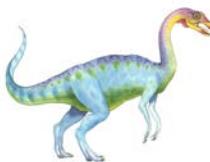


# Multiple-Processor Scheduling – Load Balancing

---

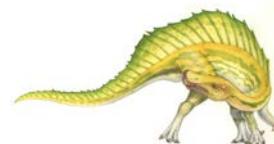
- If SMP, need to keep all CPUs loaded for efficiency
- **Load balancing** attempts to keep workload evenly distributed
- **Push migration** – periodic task checks load on each processor, and if found pushes task from overloaded CPU to other CPUs
- **Pull migration** – idle processors pulls waiting task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

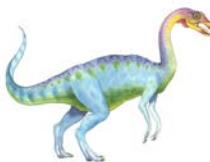




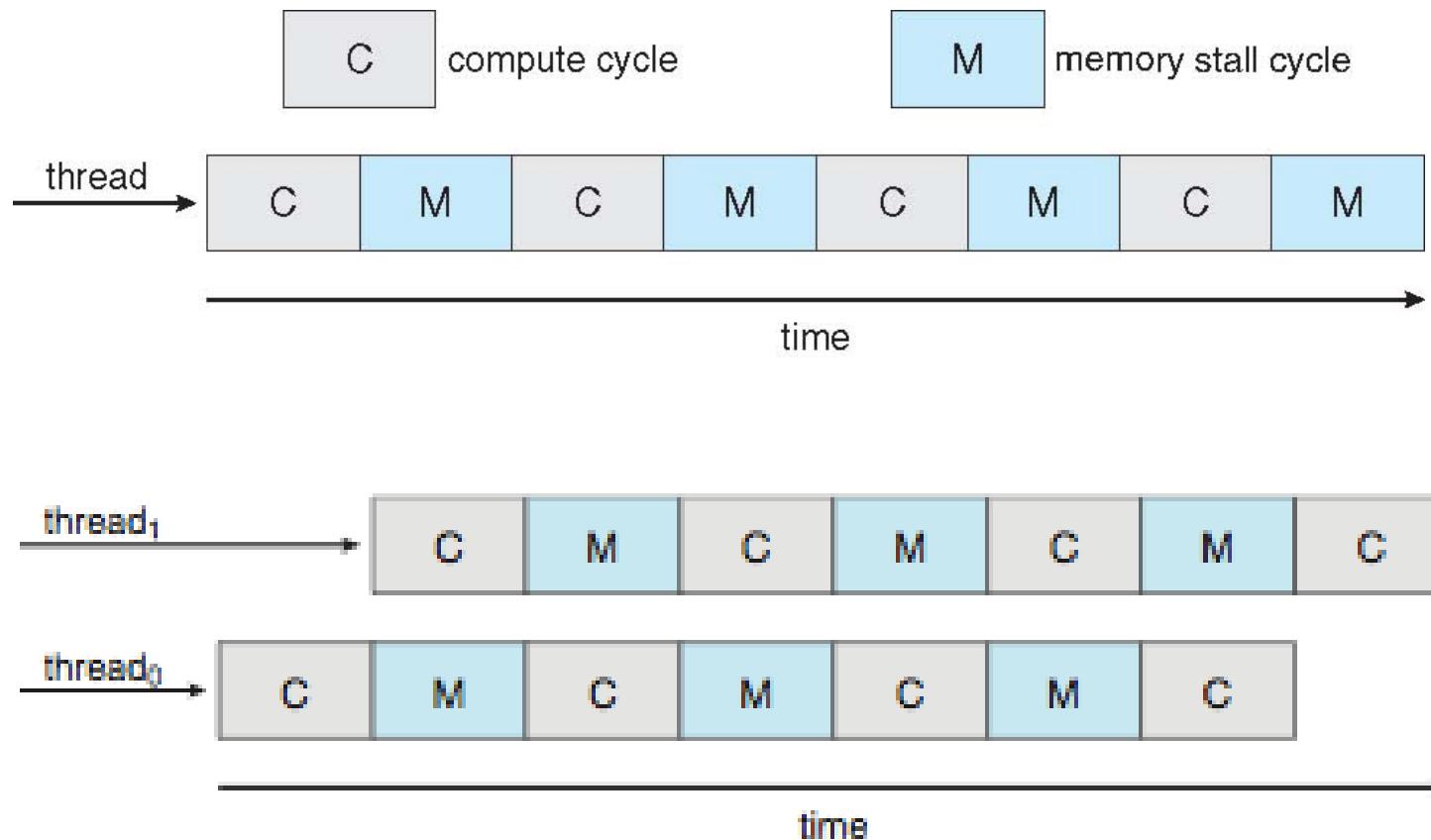
# Multicore Processors

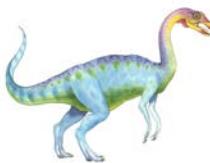
- Recent trend to place multiple processor cores on same physical chip
- Faster and consumes less power
- Multiple threads per core also growing
  - Takes advantage of memory stall to make progress on another thread while memory retrieve happens





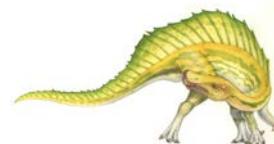
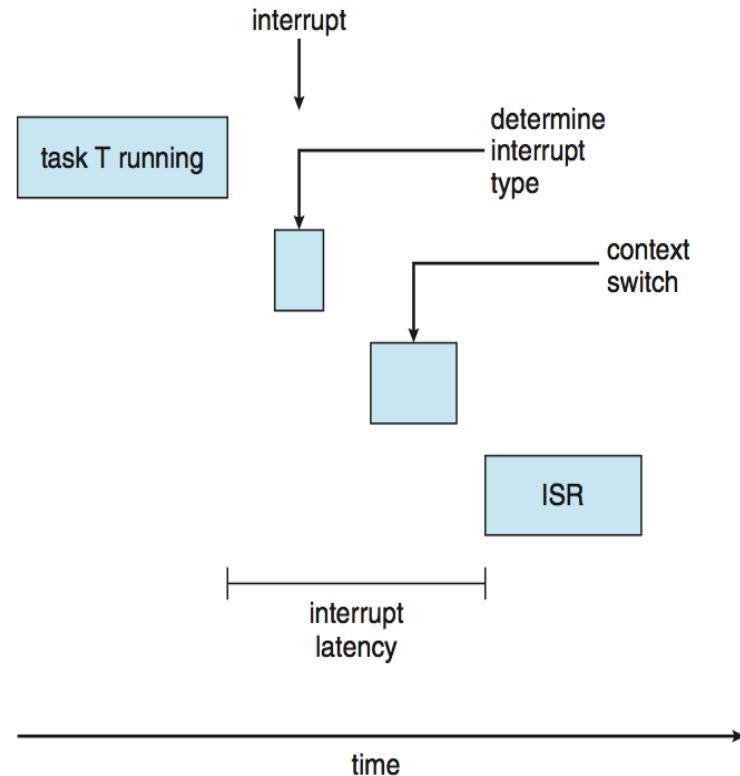
# Multithreaded Multicore System





# Real-Time CPU Scheduling

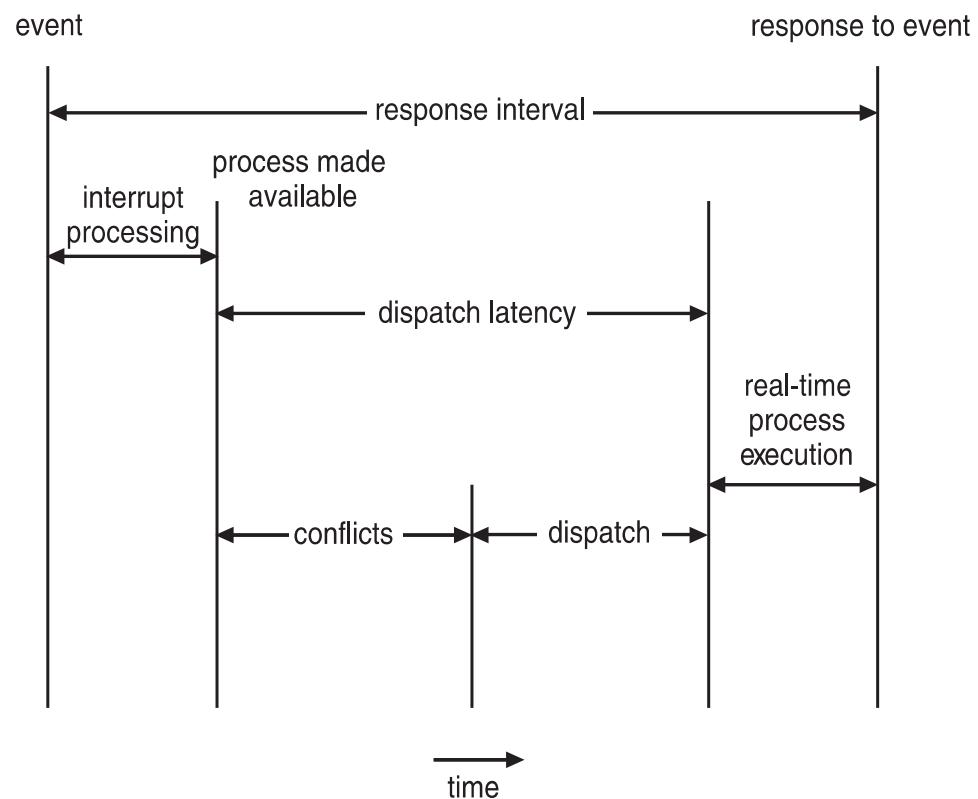
- Can present obvious challenges
- **Soft real-time systems** – no guarantee as to when critical real-time process will be scheduled
- **Hard real-time systems** – task must be serviced by its deadline
- Two types of latencies affect performance
  1. Interrupt latency – time from arrival of interrupt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

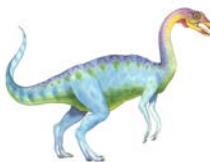




# Real-Time CPU Scheduling (Cont.)

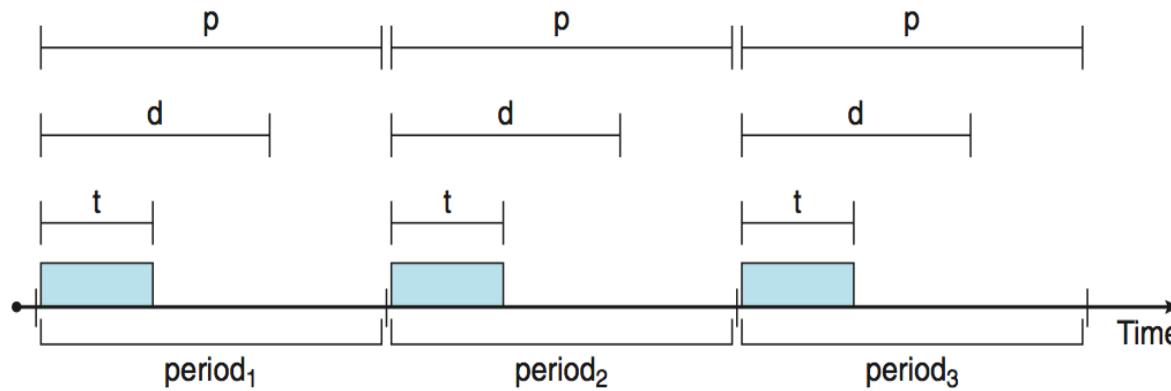
- Conflict phase of dispatch latency:
  1. Preemption of any process running in kernel mode
  2. Release by low-priority process of resources needed by high-priority processes

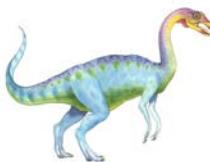




# Priority-based Scheduling

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

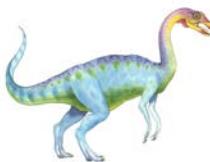




# Virtualization and Scheduling

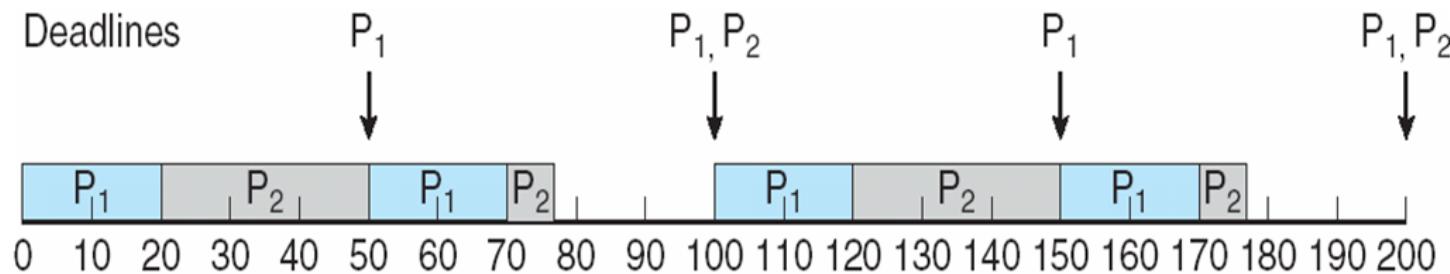
- Virtualization software schedules multiple guests onto CPU(s)
- Each guest doing its own scheduling
  - Not knowing it doesn't own the CPUs
  - Can result in poor response time
  - Can effect time-of-day clocks in guests
- Can undo good scheduling algorithm efforts of guests





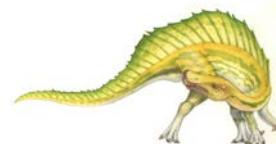
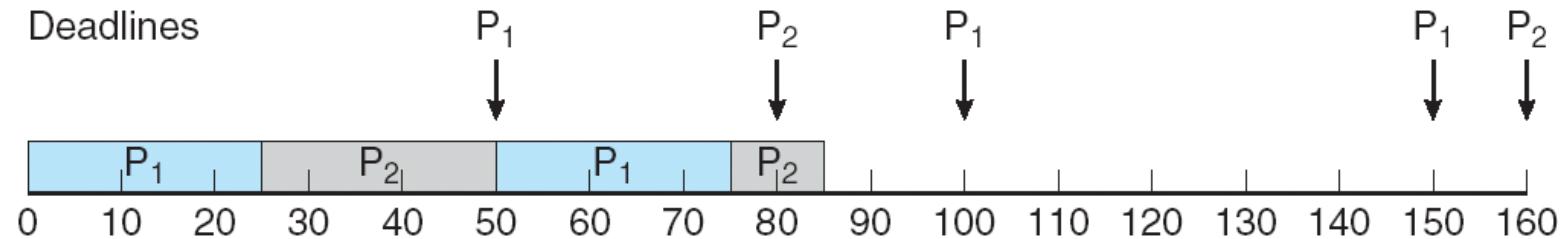
# Rate Montonic Scheduling

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





# Missed Deadlines with Rate Monotonic Scheduling

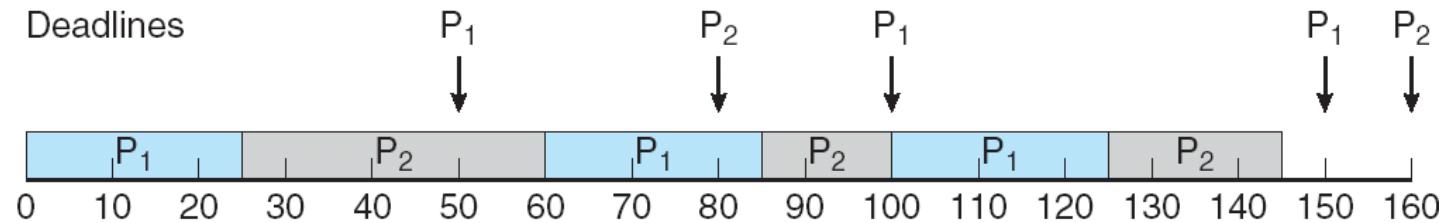


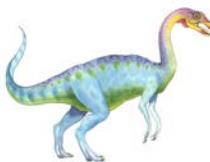


# Earliest Deadline First Scheduling (EDF)

- Priorities are assigned according to deadlines:

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

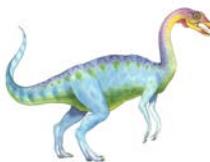




# Proportional Share Scheduling

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

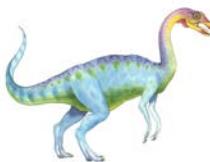




# POSIX Real-Time Scheduling

- The POSIX.1b standard
- API provides functions for managing real-time threads
- Defines two scheduling classes for real-time threads:
  1. SCHED\_FIFO - threads are scheduled using a FCFS strategy with a FIFO queue. There is no time-slicing for threads of equal priority
  2. SCHED\_RR - similar to SCHED\_FIFO except time-slicing occurs for threads of equal priority
- Defines two functions for getting and setting scheduling policy:
  1. `pthread_attr_getsched_policy(pthread_attr_t *attr, int *policy)`
  2. `pthread_attr_setsched_policy(pthread_attr_t *attr, int policy)`

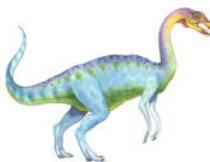




# POSIX Real-Time Scheduling API

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





# POSIX Real-Time Scheduling API (Cont.)

```
/* set the scheduling policy - FIFO, RR, or OTHER */
if (pthread_attr_setschedpolicy(&attr, SCHED_FIFO) != 0)
 fprintf(stderr, "Unable to set policy.\n");

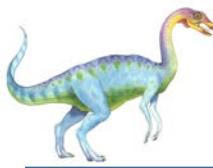
/* create the threads */
for (i = 0; i < NUM_THREADS; i++)
 pthread_create(&tid[i], &attr, runner, NULL);

/* now join on each thread */
for (i = 0; i < NUM_THREADS; i++)
 pthread_join(tid[i], NULL);

}

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





# Operating System Examples

---

- Linux scheduling
- Windows scheduling
- Solaris scheduling

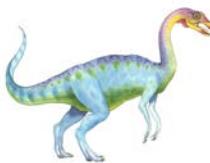




# Linux Scheduling Through Version 2.5

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



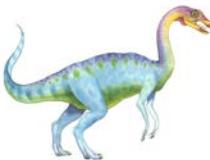


# Linux Scheduling in Version 2.6.23 +

---

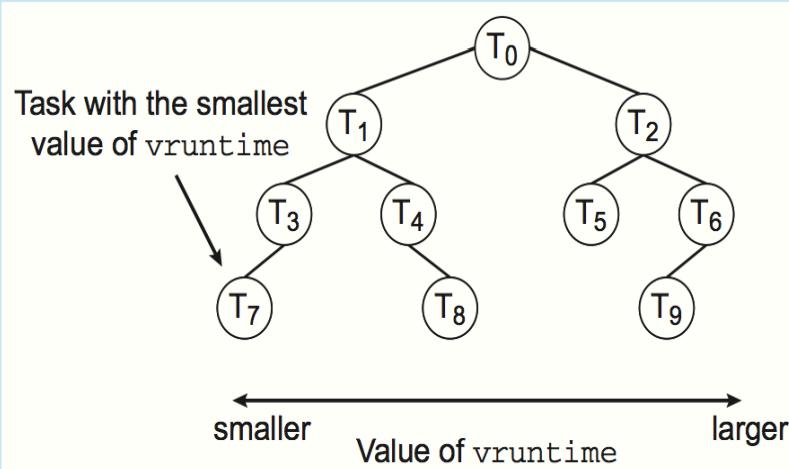
- **Completely Fair Scheduler (CFS)**
- **Scheduling classes**
  - Each has specific priority
  - Scheduler picks highest priority task in highest scheduling class
  - Rather than quantum based on fixed time allotments, based on proportion of CPU time
  - 2 scheduling classes included, others can be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





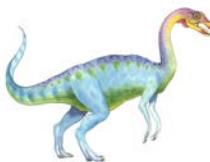
# CFS Performance

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



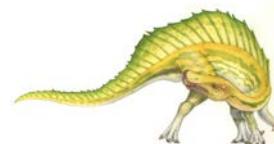
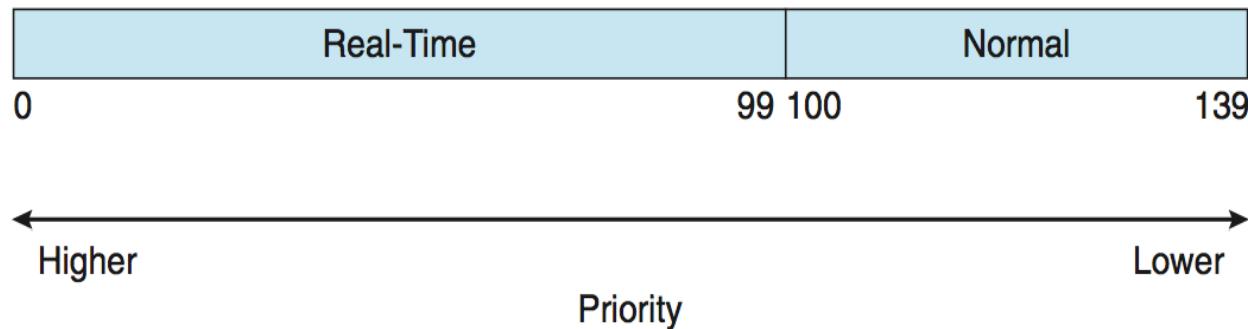
When a task becomes runnable, it is added to the tree. If a task on the tree is not runnable (for example, if it is blocked while waiting for I/O), it is removed. Generally speaking, tasks that have been given less processing time (smaller values of `vruntime`) are toward the left side of the tree, and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

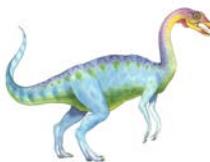




# Linux Scheduling (Cont.)

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



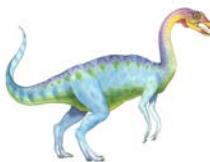


# Windows Scheduling

---

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

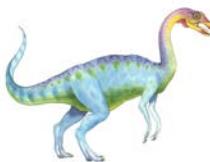




# Windows Priority Classes

- Win32 API identifies several priority classes to which a process can belong
  - REALTIME\_PRIORITY\_CLASS, HIGH\_PRIORITY\_CLASS,  
ABOVE\_NORMAL\_PRIORITY\_CLASS, NORMAL\_PRIORITY\_CLASS,  
BELOW\_NORMAL\_PRIORITY\_CLASS, IDLE\_PRIORITY\_CLASS
  - All are variable except REALTIME
- A thread within a given priority class has a relative priority
  - TIME\_CRITICAL, HIGHEST, ABOVE\_NORMAL, NORMAL, BELOW\_NORMAL,  
LOWEST, IDLE
- Priority class and relative priority combine to give numeric priority
- Base priority is NORMAL within the class
- If quantum expires, priority lowered, but never below base





# Windows Priority Classes (Cont.)

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

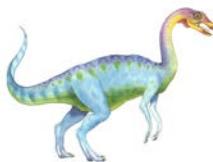




# Windows Priorities

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





# Solaris

---

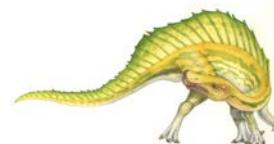
- Priority-based scheduling
- Six classes available
  - Time sharing (default) (TS)
  - Interactive (IA)
  - Real time (RT)
  - System (SYS)
  - Fair Share (FSS)
  - Fixed priority (FP)
- Given thread can be in one class at a time
- Each class has its own scheduling algorithm
- Time sharing is multi-level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





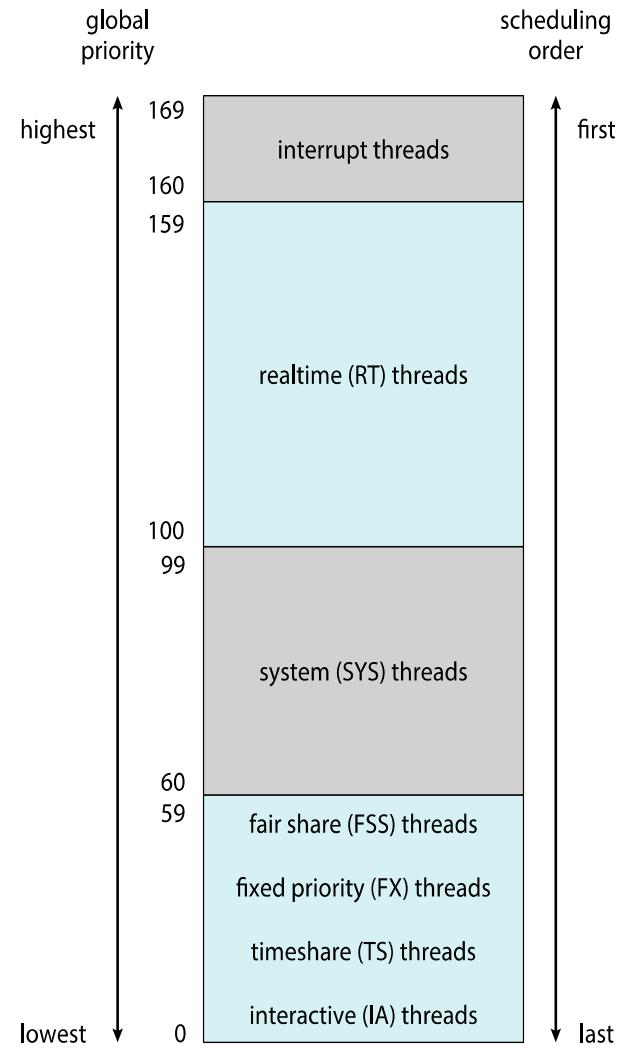
# Solaris Dispatch Table

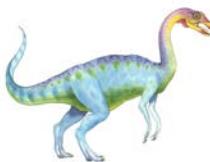
| priority | time quantum | time quantum expired | return from sleep |
|----------|--------------|----------------------|-------------------|
| 0        | 200          | 0                    | 50                |
| 5        | 200          | 0                    | 50                |
| 10       | 160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





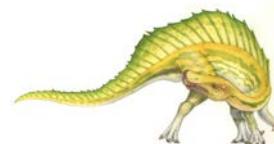
# Solaris Scheduling

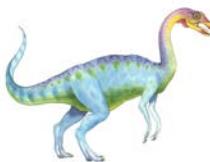




# Solaris Scheduling (Cont.)

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



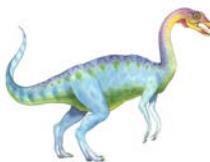


# Algorithm Evaluation

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

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



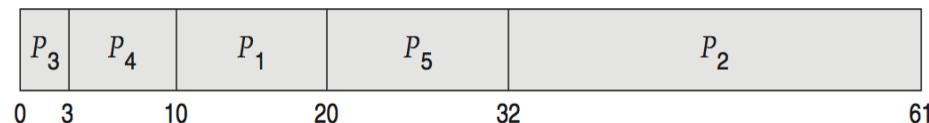


# Deterministic Evaluation

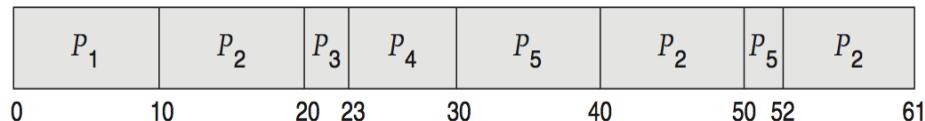
- For each algorithm, calculate minimum average waiting time
- Simple and fast, but requires exact numbers for input, applies only to those inputs
  - FCS is 28ms:

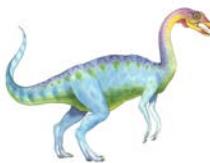


- Non-preemptive SJF is 13ms:



- RR is 23ms:

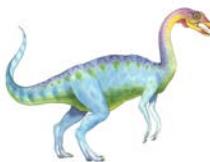




# Queueing Models

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



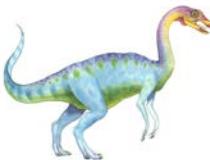


# Little's Formula

---

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



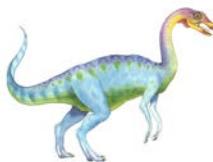


# Simulations

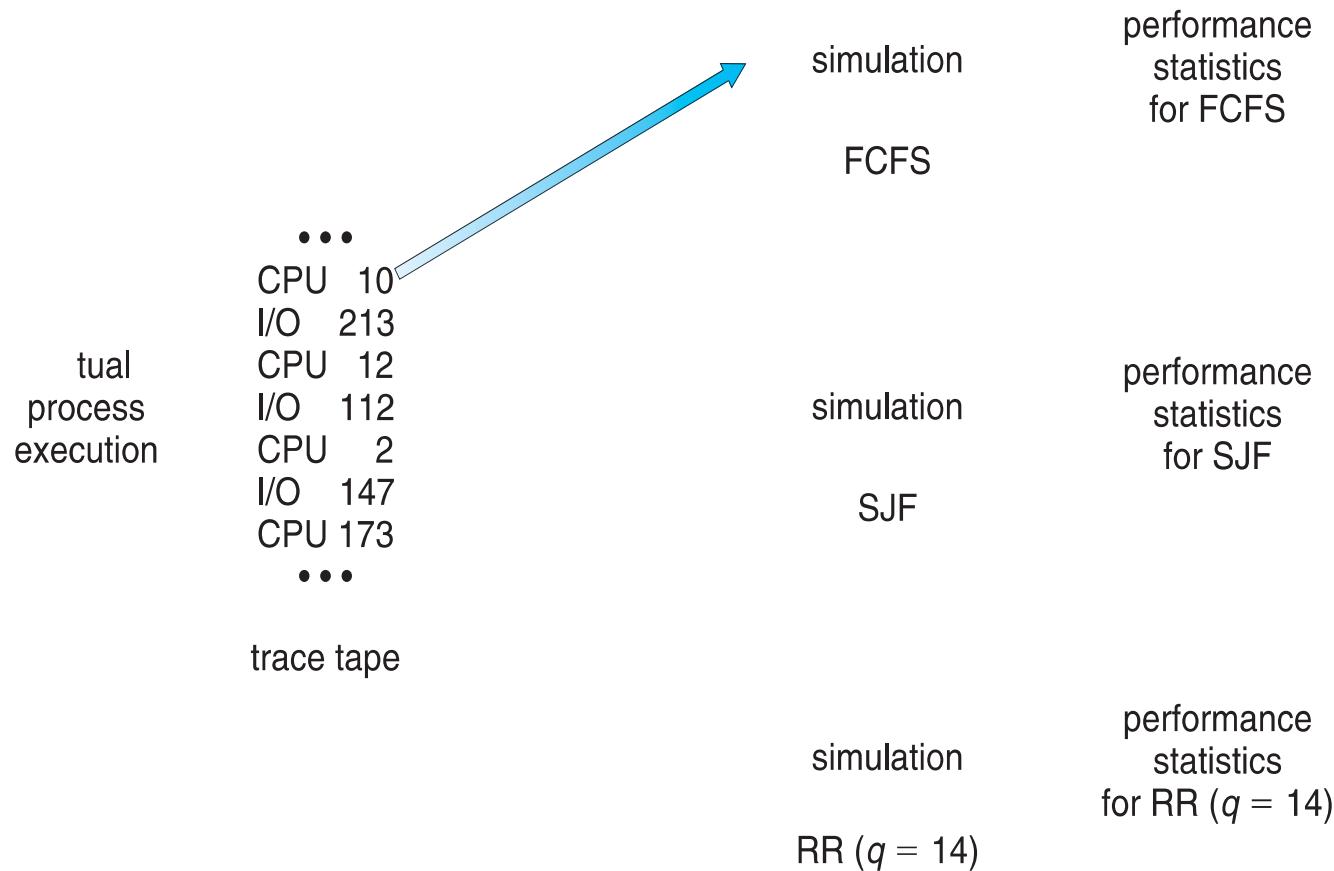
---

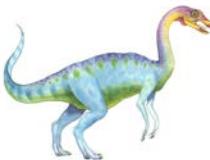
- Queueing models limited
- **Simulations** more accurate
  - Programmed model of computer system
  - Clock is a variable
  - Gather statistics indicating algorithm performance
  - Data to drive simulation gathered via
    - ▶ Random number generator according to probabilities
    - ▶ Distributions defined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





# Evaluation of CPU Schedulers by Simulation



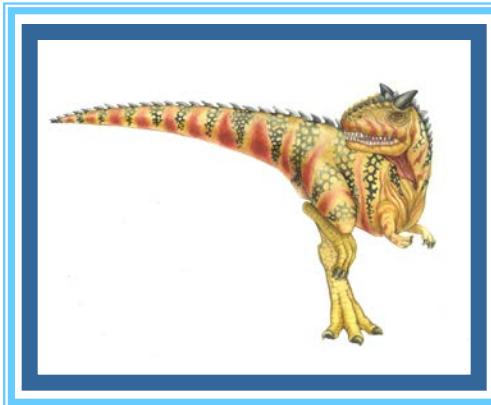


# Implementation

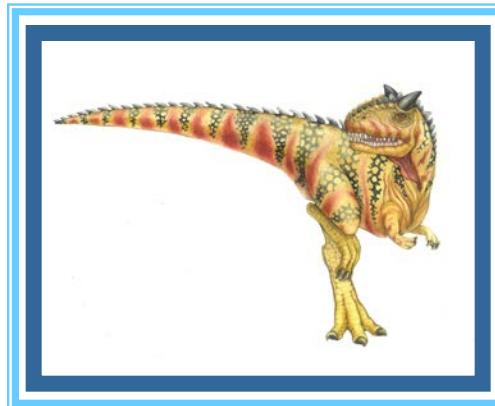
- Even simulations have limited accuracy
- Just implement new scheduler and test in real systems
  - High cost, high risk
  - Environments vary
- Most flexible schedulers can be modified per-site or per-system
- Or APIs to modify priorities
- But again environments vary

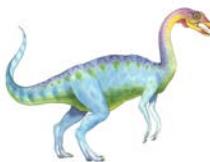


# End of Chapter 6



# Chapter 7: Deadlocks

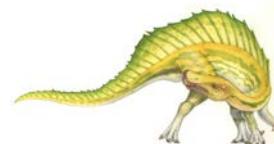


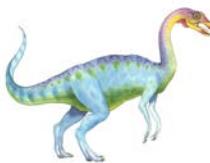


# Chapter 7: Deadlocks

---

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



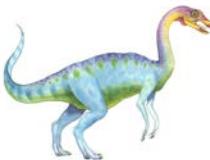


# Chapter Objectives

---

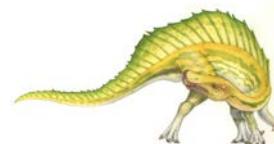
- To develop a description of deadlocks, which prevent sets of concurrent processes from completing their tasks
- To present a number of different methods for preventing or avoiding deadlocks in a computer system

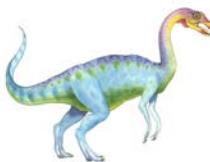




# System Model

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





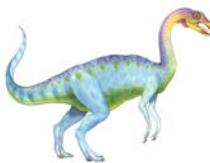
# Deadlock Characterization

---

Deadlock can arise if four conditions hold simultaneously.

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



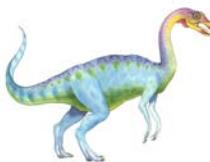


# Deadlock with Mutex Locks

---

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





# Resource-Allocation Graph

---

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

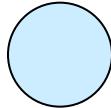
- $V$  is partitioned into two types:
  - $P = \{P_1, P_2, \dots, P_n\}$ , the set consisting of all the processes in the system
  - $R = \{R_1, R_2, \dots, R_m\}$ , the set consisting of all resource types in the system
- **request edge** – directed edge  $P_i \rightarrow R_j$
- **assignment edge**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



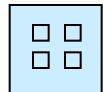


# Resource-Allocation Graph (Cont.)

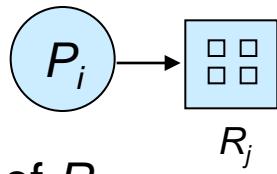
- Process



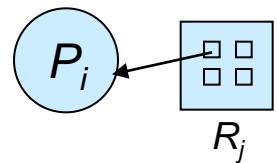
- Resource Type with 4 instances



- $P_i$  requests instance of  $R_j$

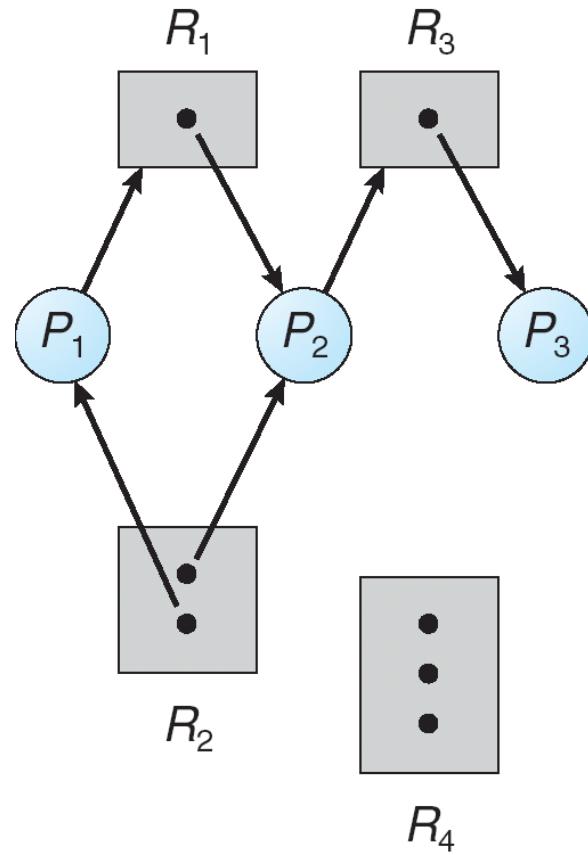


- $P_i$  is holding an instance of  $R_j$



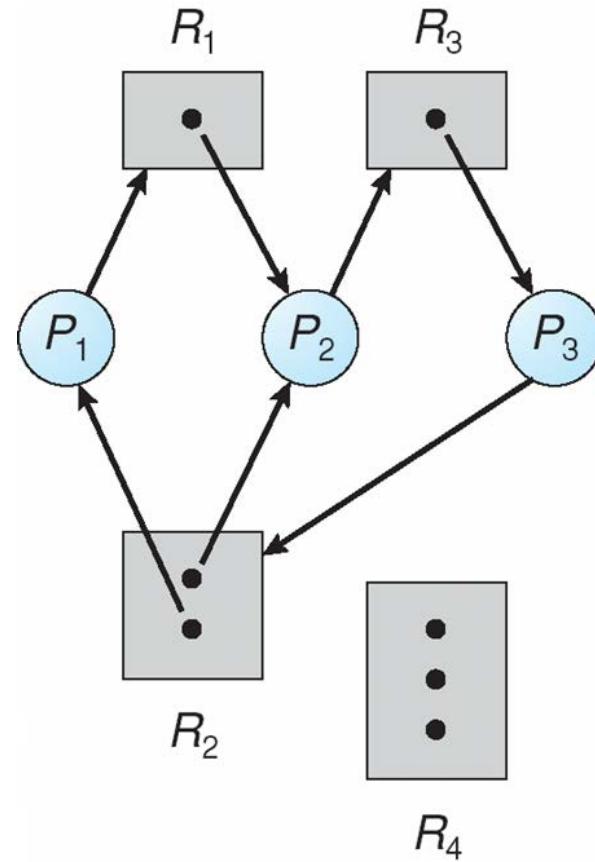


# Example of a Resource Allocation Graph



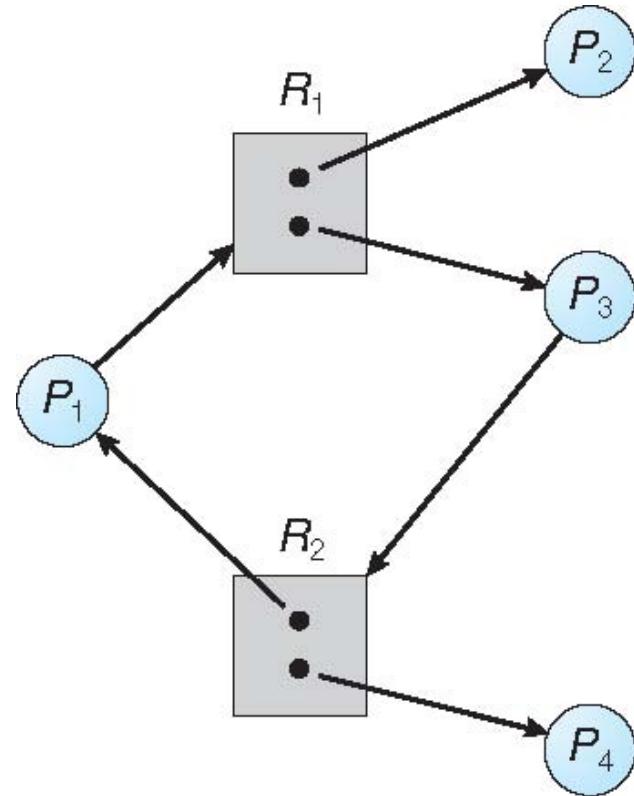


# Resource Allocation Graph With A Deadlock





# Graph With A Cycle But No Deadlock



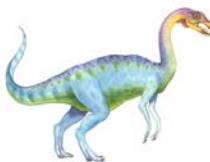


# Basic Facts

---

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

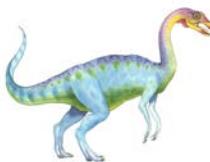




# Methods for Handling Deadlocks

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



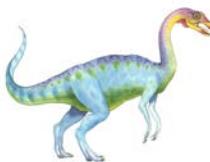


# Deadlock Prevention

Restrain the ways request can be made

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





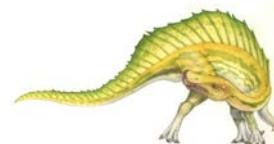
# Deadlock Prevention (Cont.)

---

## ■ No Preemption –

- If a process that is holding some resources requests another resource that cannot be immediately allocated to it, then all resources currently being held are released
- Preempted resources are added to the list of resources for which the process is waiting
- Process will be restarted only when it can regain its old resources, as well as the new ones that it is requesting

## ■ Circular Wait – impose a total ordering of all resource types, and require that each process requests resources in an increasing order of enumeration





# Deadlock Example

---

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

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





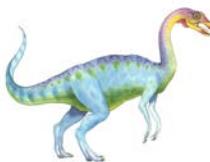
# Deadlock Example with Lock Ordering

---

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

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



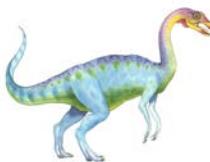


# Deadlock Avoidance

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

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



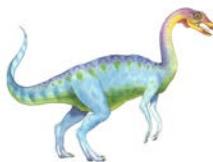


# Safe State

---

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

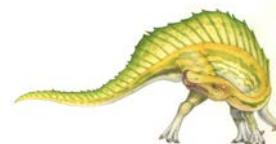




# Basic Facts

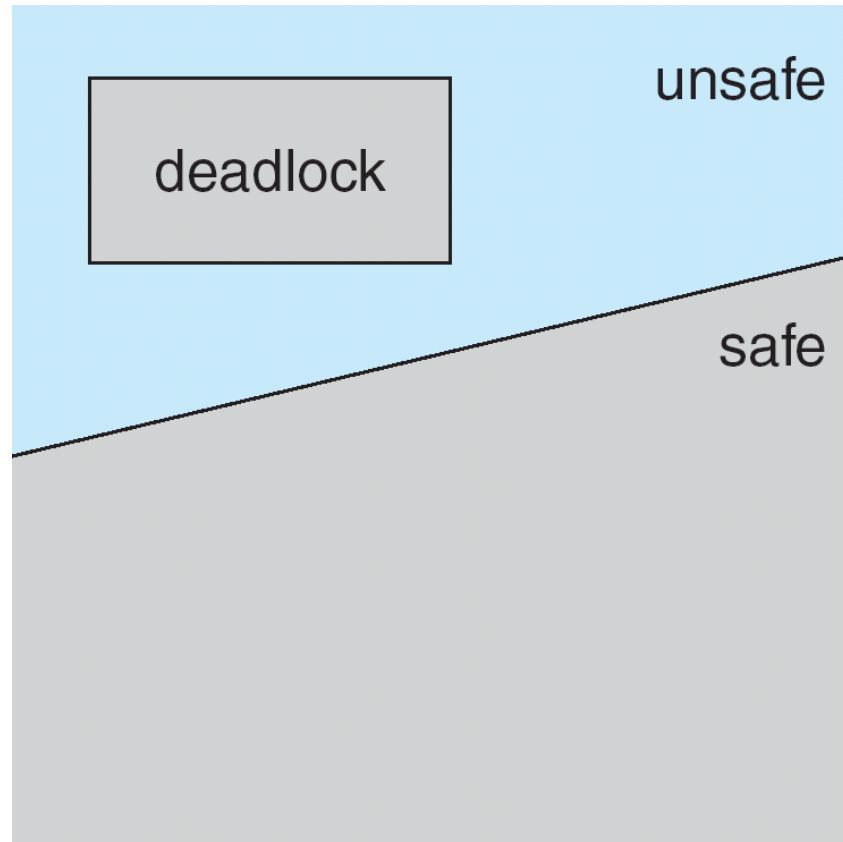
---

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





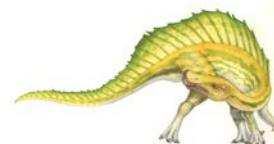
# Safe, Unsafe, Deadlock State

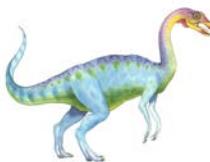




# Avoidance Algorithms

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

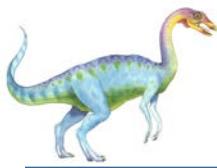




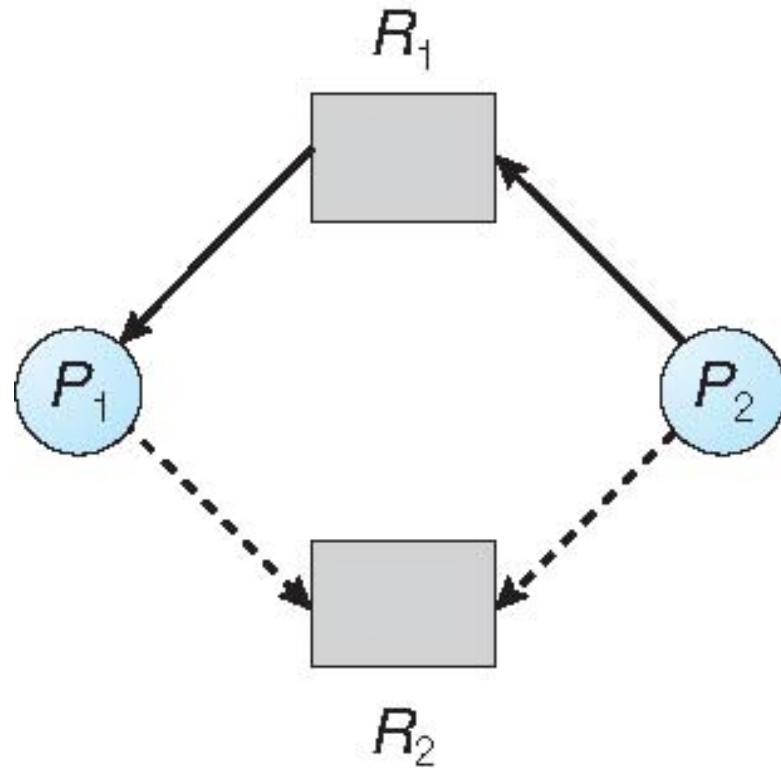
# Resource-Allocation Graph Scheme

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



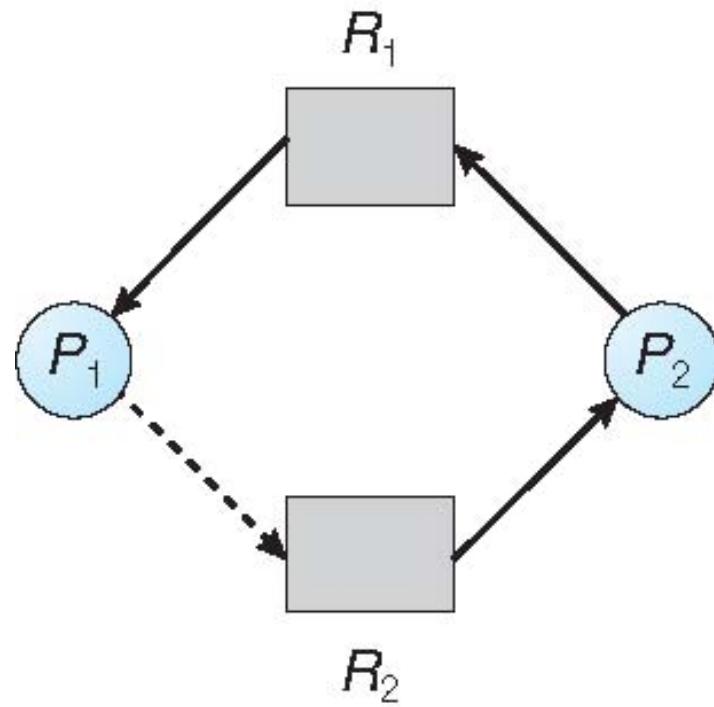


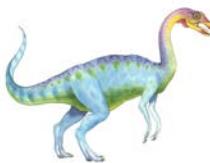
# Resource-Allocation Graph





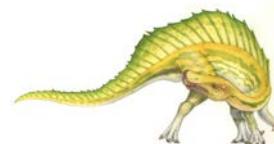
# Unsafe State In Resource-Allocation Graph

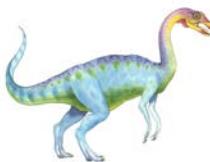




# Resource-Allocation Graph Algorithm

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



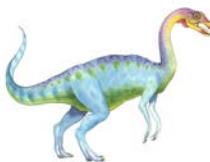


# Banker's Algorithm

---

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





# Data Structures for the Banker' s Algorithm

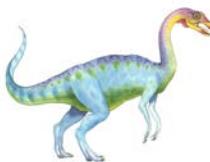
---

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

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

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





# Safety Algorithm

---

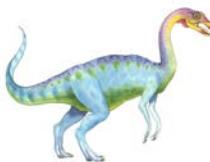
1. Let **Work** and **Finish** be vectors of length  $m$  and  $n$ , respectively.  
Initialize:

**Work = Available**

**Finish [i] = false for  $i = 0, 1, \dots, n-1$**

2. Find an  $i$  such that both:
  - (a) **Finish [i] = false**
  - (b) **Need<sub>i</sub> ≤ Work**If no such  $i$  exists, go to step 4
3. **Work = Work + Allocation<sub>i</sub>**,  
**Finish[i] = true**  
go to step 2
4. If **Finish [i] == true** for all  $i$ , then the system is in a safe state





# Resource-Request Algorithm for Process $P_i$

$\text{Request}_i$  = request vector for process  $P_i$ . If  $\text{Request}_i[j] = k$  then process  $P_i$  wants  $k$  instances of resource type  $R_j$

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

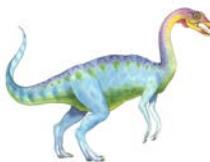
$$\text{Available} = \text{Available} - \text{Request}_i;$$

$$\text{Allocation}_i = \text{Allocation}_i + \text{Request}_i;$$

$$\text{Need}_i = \text{Need}_i - \text{Request}_i;$$

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



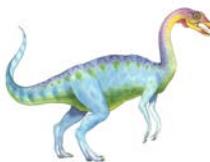


# Example of Banker's Algorithm

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

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





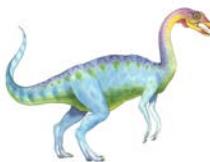
## Example (Cont.)

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

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

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



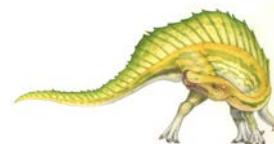


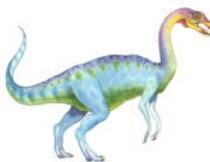
# Example: $P_1$ Request (1,0,2)

- Check that Request  $\leq$  Available (that is,  $(1,0,2) \leq (3,3,2) \Rightarrow$  true

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

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



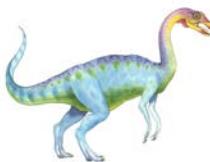


# Deadlock Detection

---

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





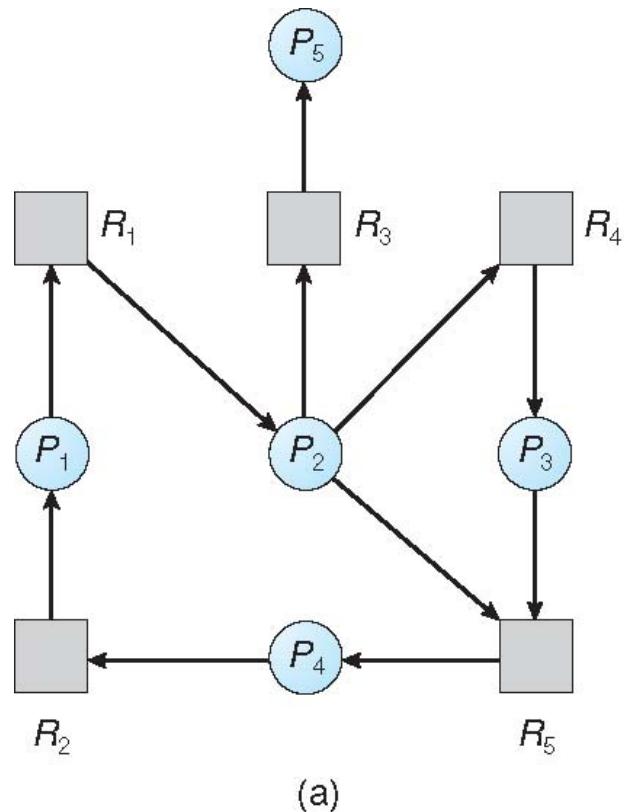
# Single Instance of Each Resource Type

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



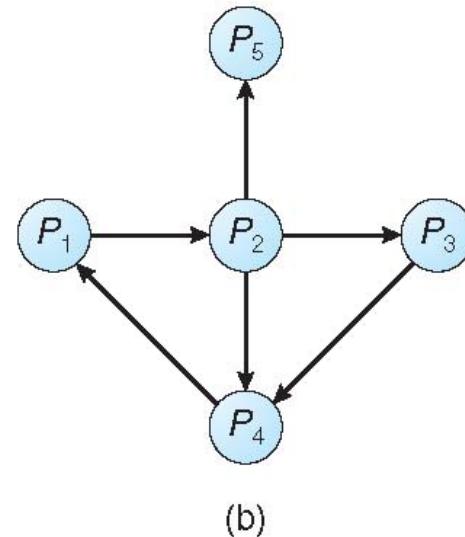


# Resource-Allocation Graph and Wait-for Graph



(a)

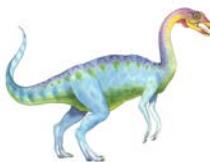
Resource-Allocation Graph



(b)

Corresponding wait-for graph

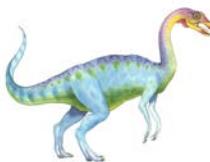




# Several Instances of a Resource Type

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





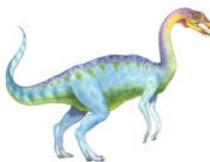
# Detection Algorithm

---

1. Let **Work** and **Finish** be vectors of length  $m$  and  $n$ , respectively  
Initialize:
  - (a) **Work = Available**
  - (b) For  $i = 1, 2, \dots, n$ , if **Allocation<sub>i</sub>** ≠ 0, then  
**Finish[i] = false**; otherwise, **Finish[i] = true**
2. Find an index  $i$  such that both:
  - (a) **Finish[i] == false**
  - (b) **Request<sub>i</sub> ≤ Work**

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





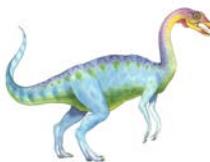
# Detection Algorithm (Cont.)

---

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

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





# Example of Detection Algorithm

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

|       | <u>Allocation</u> |   |   | <u>Request</u> |   |   | <u>Available</u> |   |   |
|-------|-------------------|---|---|----------------|---|---|------------------|---|---|
|       | A                 | B | C | A              | B | C | A                | B | C |
| $P_0$ | 0                 | 1 | 0 | 0              | 0 | 0 | 0                | 0 | 0 |
| $P_1$ | 2                 | 0 | 0 | 2              | 0 | 2 |                  |   |   |
| $P_2$ | 3                 | 0 | 3 | 0              | 0 | 0 |                  |   |   |
| $P_3$ | 2                 | 1 | 1 | 1              | 0 | 0 |                  |   |   |
| $P_4$ | 0                 | 0 | 2 | 0              | 0 | 2 |                  |   |   |

- Sequence  $\langle P_0, P_2, P_3, P_1, P_4 \rangle$  will result in  $Finish[i] = \text{true}$  for all  $i$





## Example (Cont.)

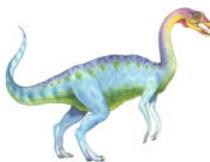
- $P_2$  requests an additional instance of type **C**

Request

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

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

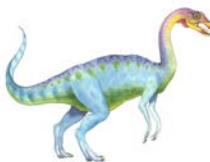




# Detection-Algorithm Usage

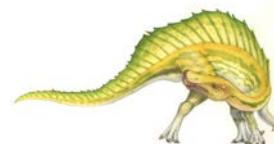
- When, and how often, to invoke depends on:
  - How often a deadlock is likely to occur?
  - How many processes will need to be rolled back?
    - ▶ one for each disjoint cycle
- If detection algorithm is invoked arbitrarily, there may be many cycles in the resource graph and so we would not be able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

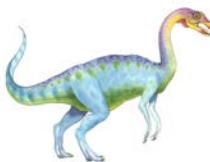




# Recovery from Deadlock: Process Termination

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



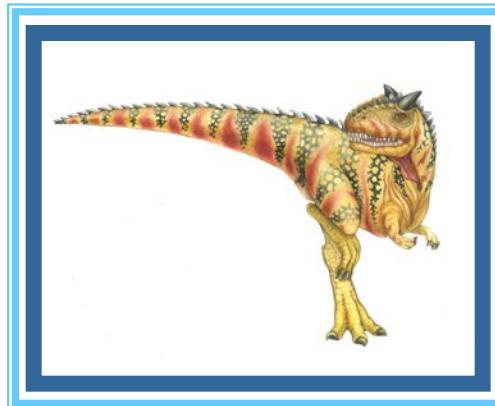


# Recovery from Deadlock: Resource Preemption

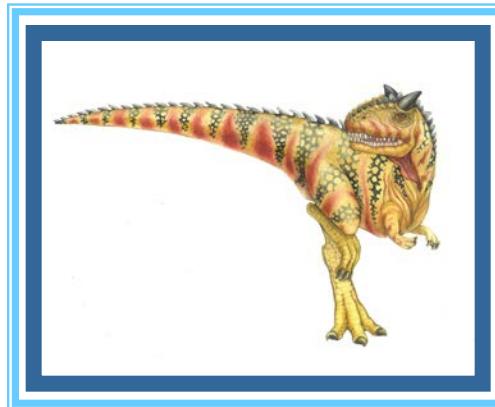
- **Selecting a victim** – minimize cost
- **Rollback** – return to some safe state, restart process for that state
- **Starvation** – same process may always be picked as victim, include number of rollback in cost factor

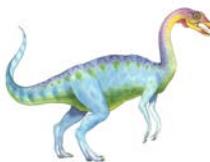


# End of Chapter 7



# Chapter 8: Main Memory



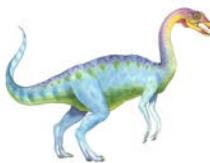


# Chapter 8: Memory Management

---

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



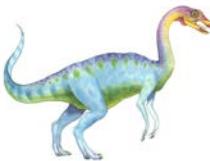


# Objectives

---

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



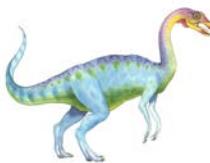


# Background

---

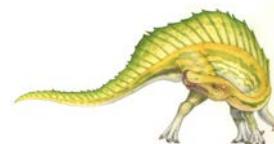
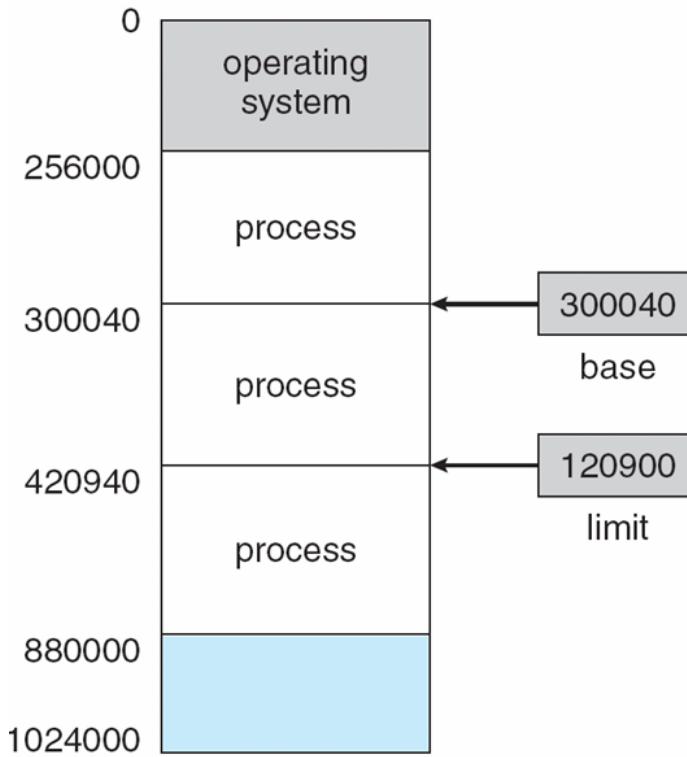
- Program must be brought (from disk) into memory and placed within a process for it to be run
- Main memory and registers are only storage CPU can access directly
- Memory unit only sees a stream of addresses + read requests, or address + data and write requests
- Register access in one CPU clock (or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

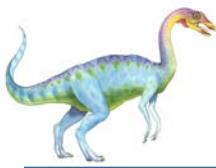




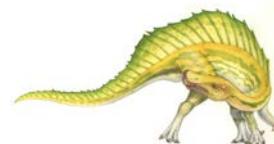
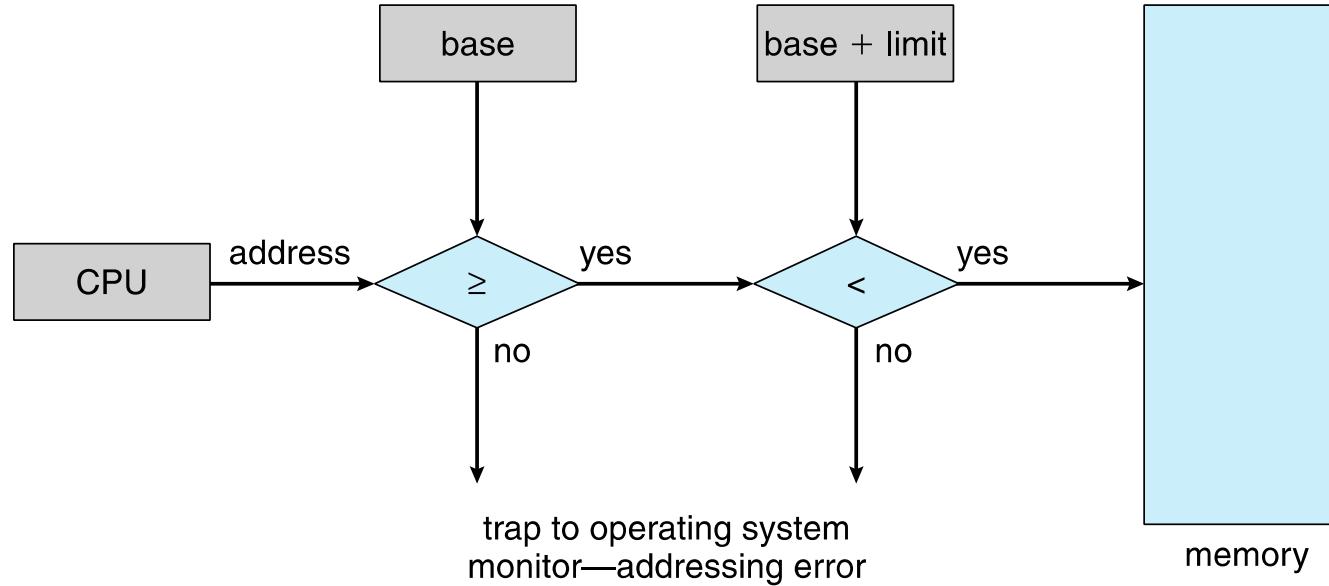
# Base and Limit Registers

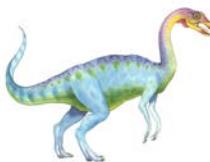
- A pair of **base** and **limit registers** define the logical address space
- CPU must check every memory access generated in user mode to be sure it is between base and limit for that user





# Hardware Address Protection

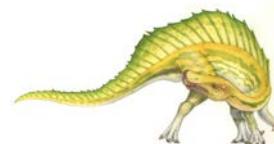


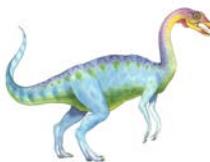


# Address Binding

---

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

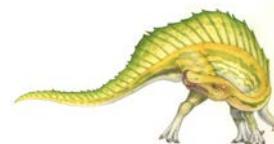




# Binding of Instructions and Data to Memory

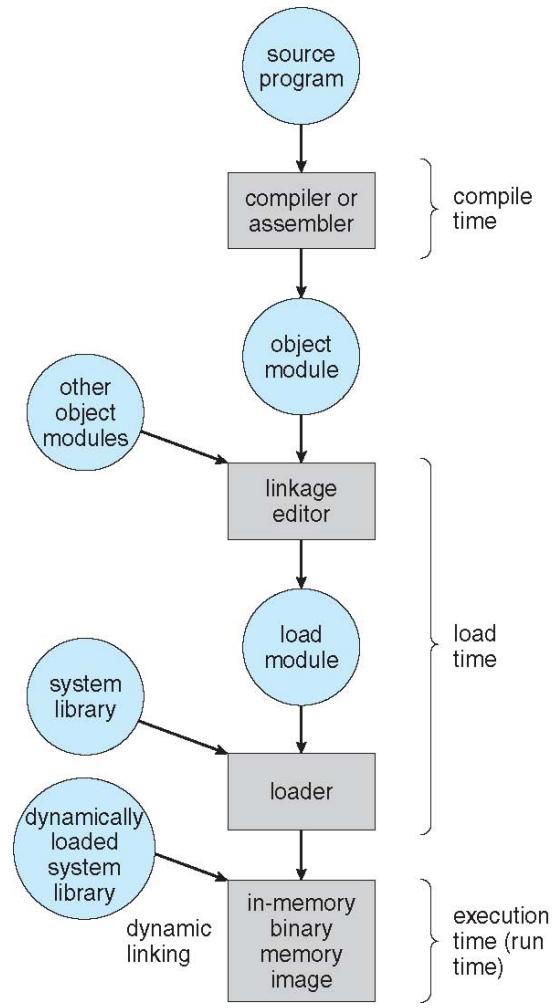
---

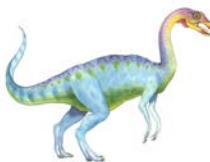
- Address binding of instructions and data to memory addresses can happen at three different stages
  - **Compile time:** If memory location known a priori, **absolute code** can be generated; must recompile code if starting location changes
  - **Load time:** Must generate **relocatable code** if memory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





# Multistep Processing of a User Program



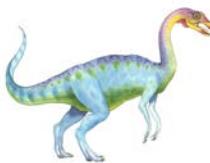


# Logical vs. Physical Address Space

---

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

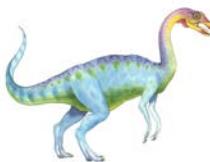




# Memory-Management Unit (MMU)

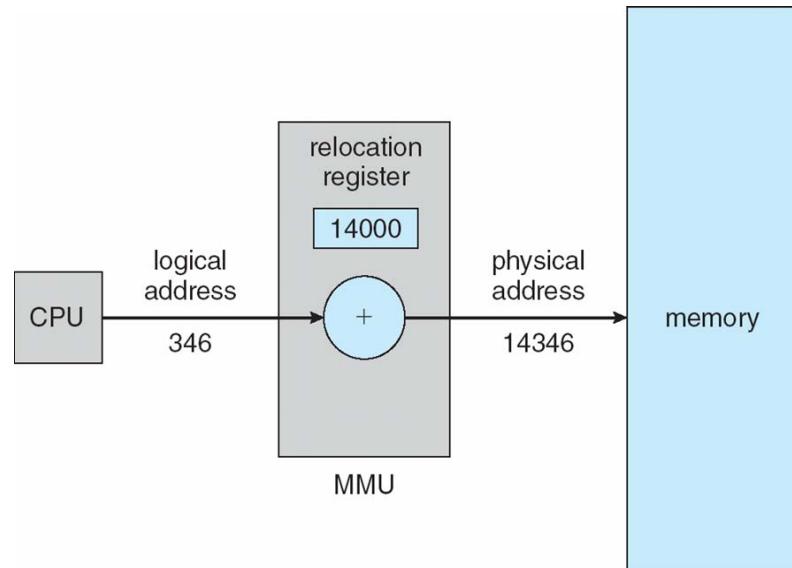
- Hardware device that at run time maps virtual to physical address
- Many methods possible, covered in the rest of this chapter
- To start, consider simple scheme where the value in the relocation register is added to every address generated by a user process at the time it is sent to memory
  - Base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

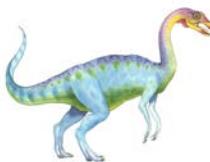




# Dynamic relocation using a relocation register

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

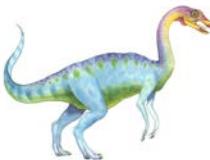




# Dynamic Linking

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

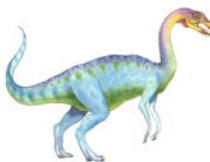




# Swapping

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





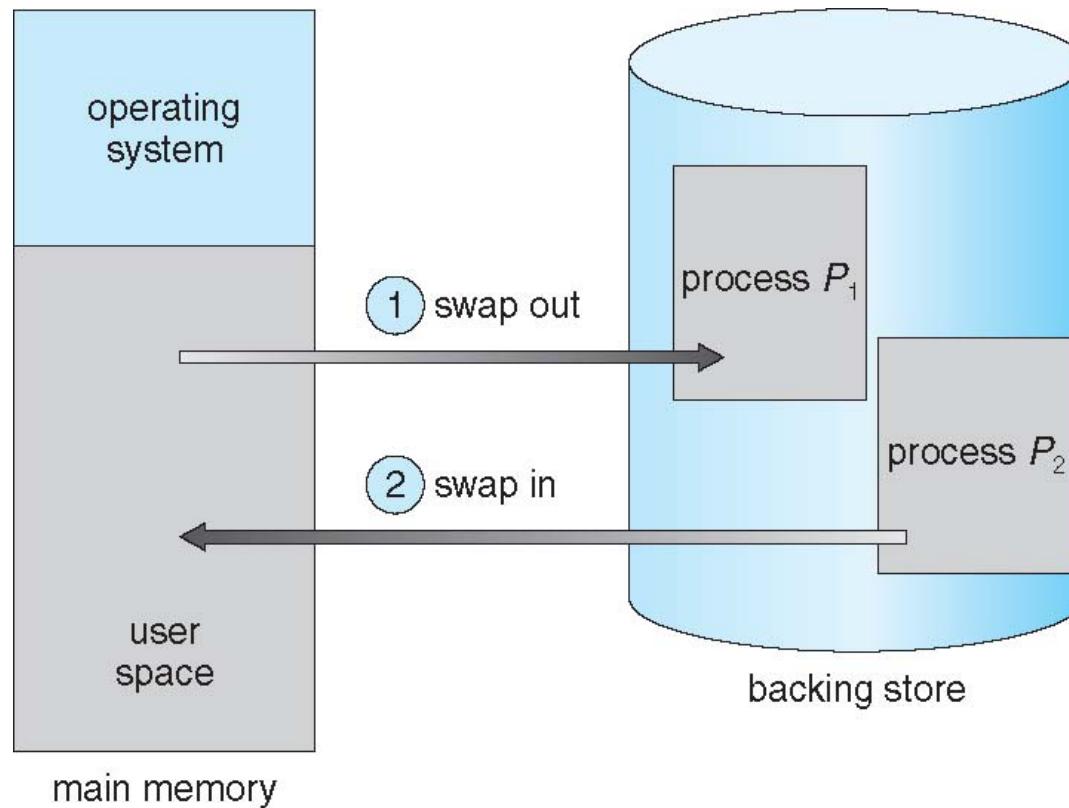
# Swapping (Cont.)

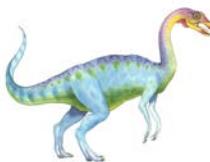
- Does the swapped out process need to swap back in to same physical addresses?
- Depends on address binding method
  - Plus consider pending I/O to / from process memory space
- Modified versions of swapping are found on many systems (i.e., UNIX, Linux, and Windows)
  - Swapping normally disabled
 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





# Schematic View of Swapping

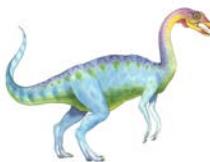




# Context Switch Time including Swapping

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

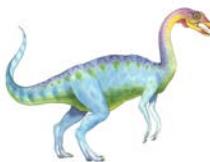




# Context Switch Time and Swapping (Cont.)

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

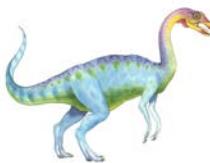




# Swapping on Mobile Systems

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



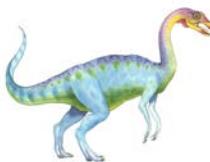


# Contiguous Allocation

---

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





# Contiguous Allocation (Cont.)

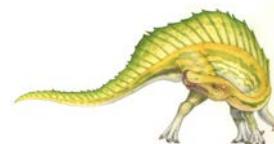
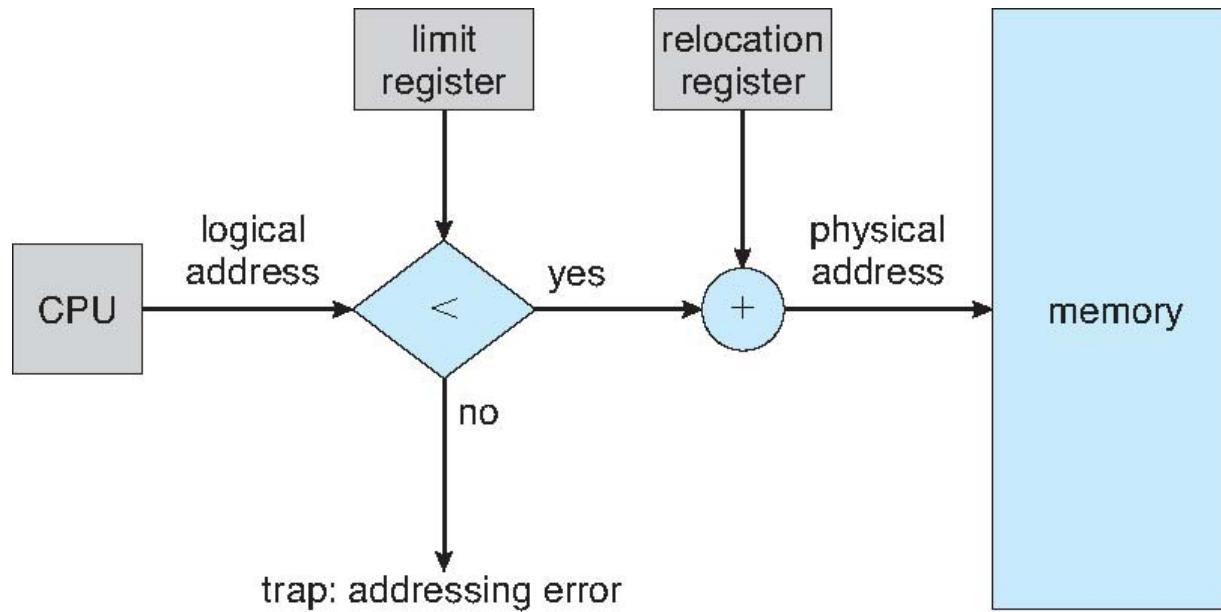
---

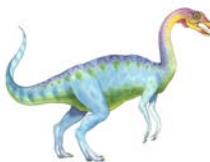
- Relocation registers used to protect user processes from each other, and from changing operating-system code and data
  - Base register contains value of smallest physical address
  - Limit register contains range of logical addresses – each logical address must be less than the limit register
  -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





# Hardware Support for Relocation and Limit Registers

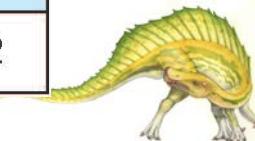
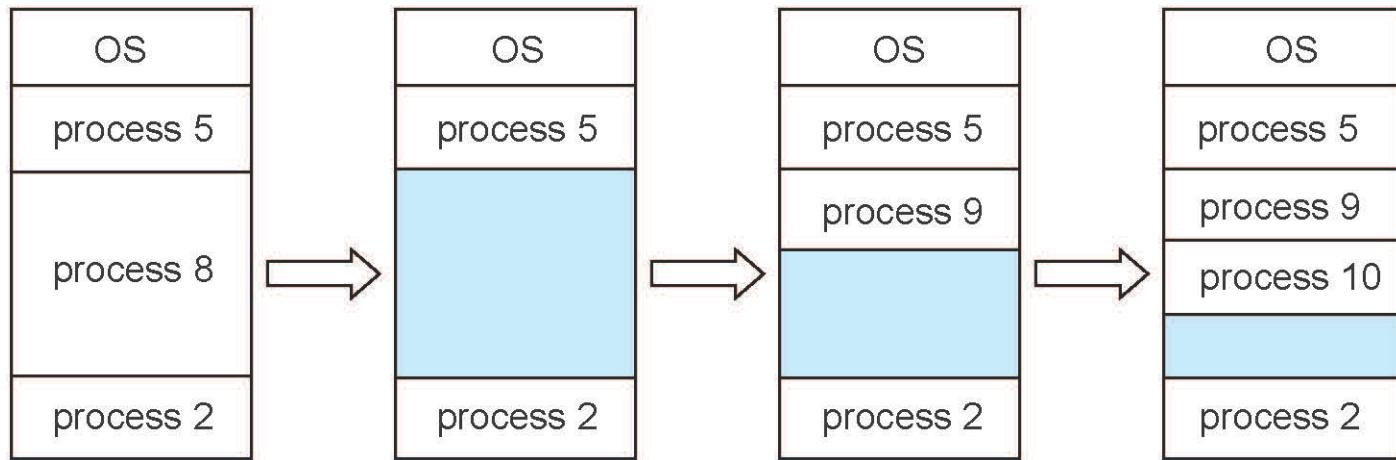


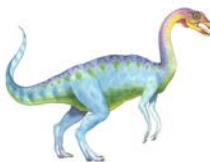


# Multiple-partition allocation

## ■ Multiple-partition allocation

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





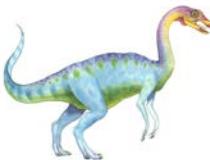
# Dynamic Storage-Allocation Problem

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

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

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

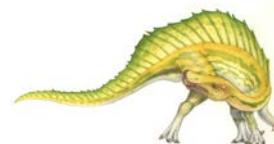


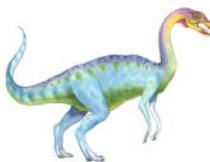


# Fragmentation

---

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

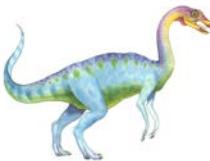




# Fragmentation (Cont.)

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





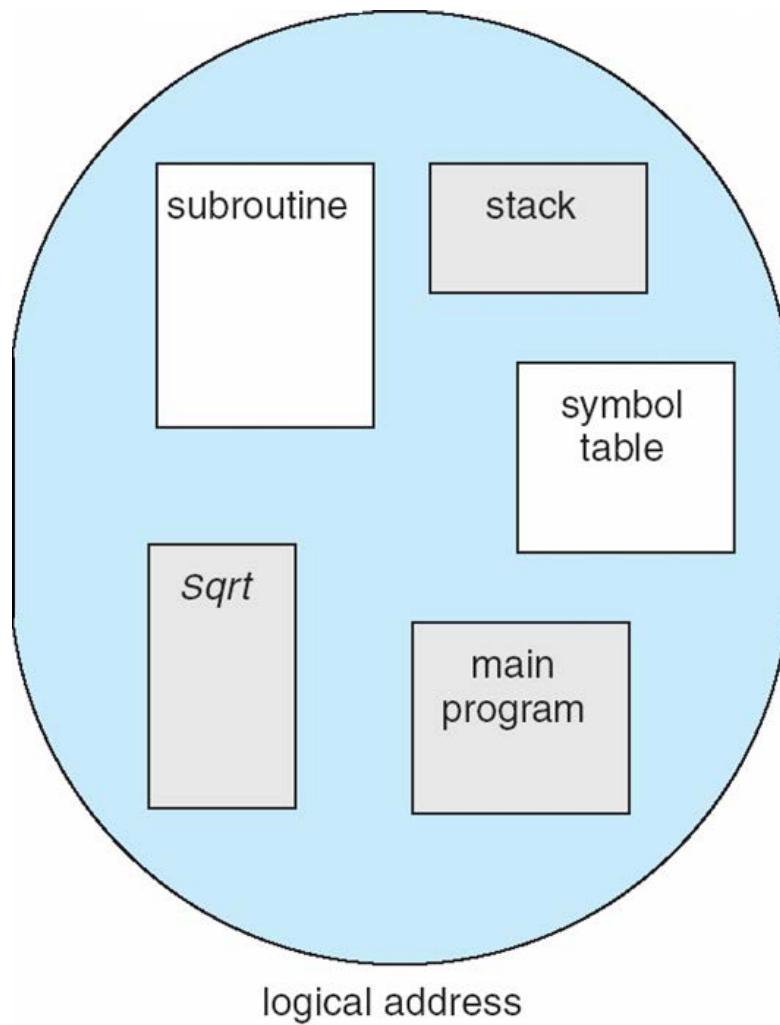
# Segmentation

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



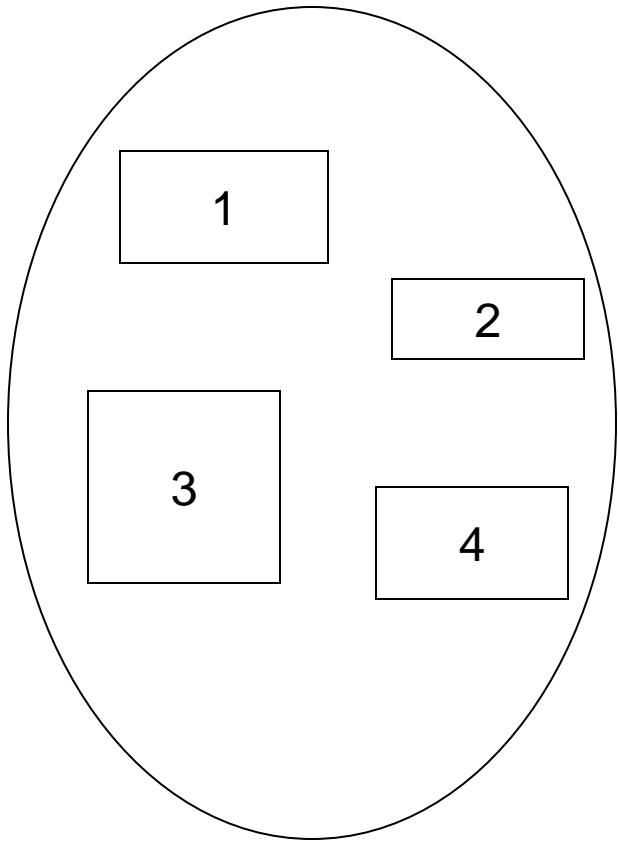


# User's View of a Program

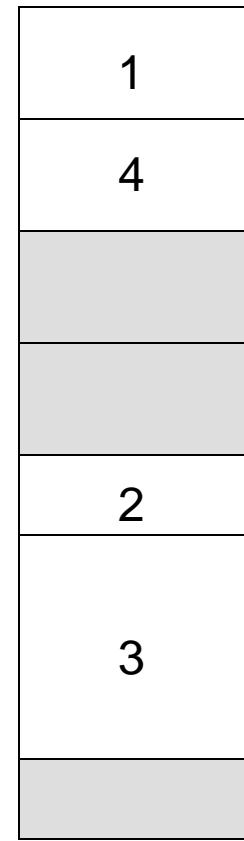




# Logical View of Segmentation

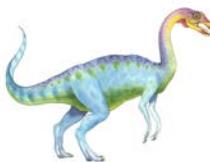


user space



physical memory space

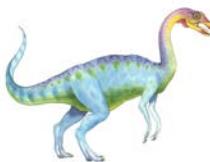




# Segmentation Architecture

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

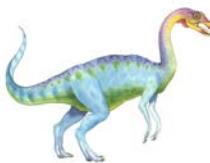




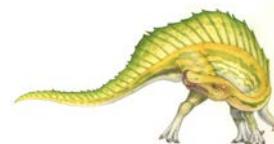
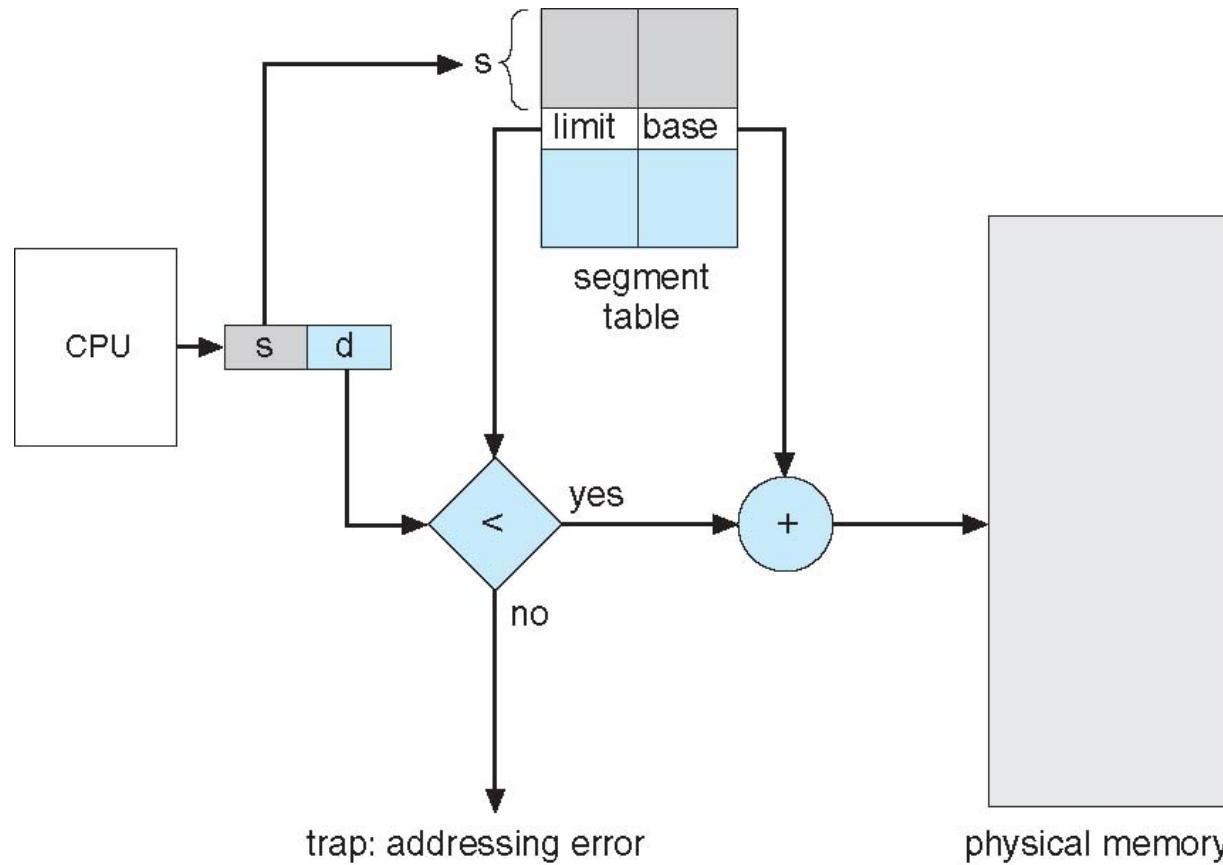
# Segmentation Architecture (Cont.)

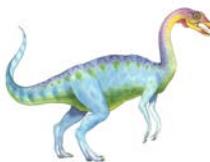
- Protection
  - With each entry in segment table associate:
    - ▶ validation bit = 0  $\Rightarrow$  illegal segment
    - ▶ read/write/execute privileges
- Protection bits associated with segments; code sharing occurs at segment level
- Since segments vary in length, memory allocation is a dynamic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





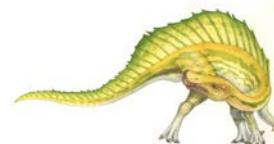
# Segmentation Hardware

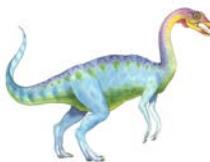




# Paging

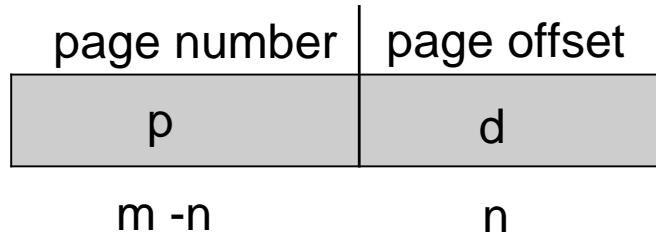
- Physical address space of a process can be noncontiguous; process is allocated physical memory whenever the latter is available
  - Avoids external fragmentation
  - Avoids problem of varying sized memory chunks
- Divide physical memory into fixed-sized blocks called **frames**
  - Size is power of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





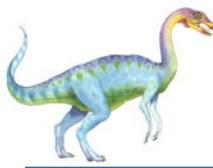
# Address Translation Scheme

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

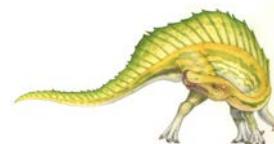
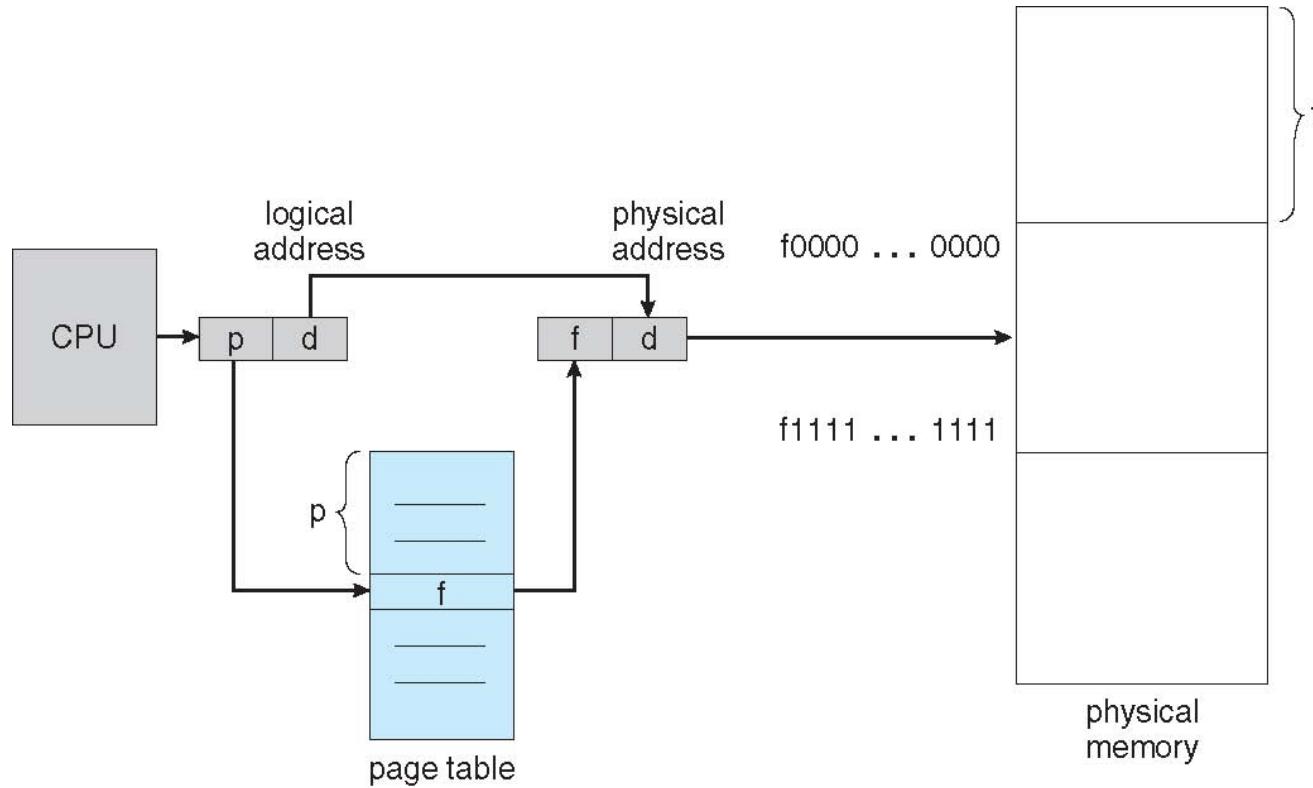


- For given logical address space  $2^m$  and page size  $2^n$



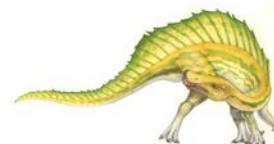
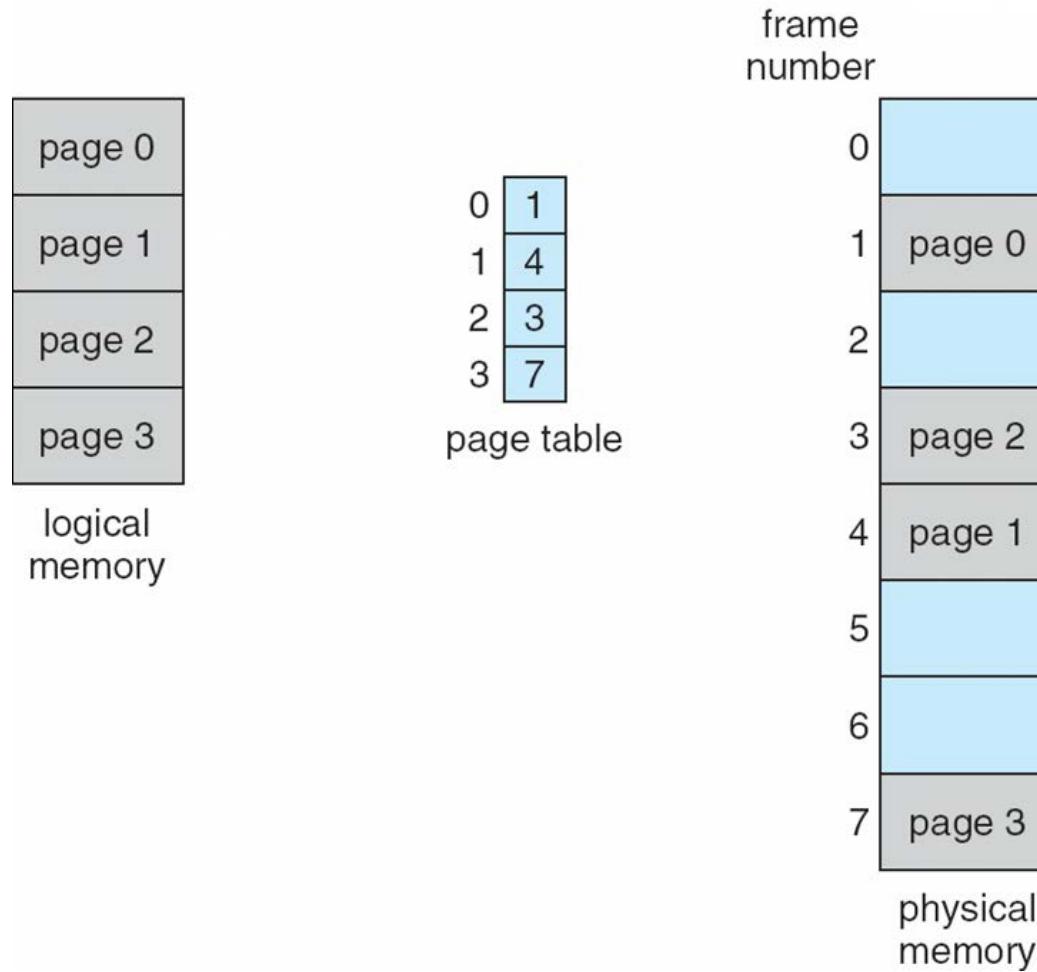


# Paging Hardware





# Paging Model of Logical and Physical Memory





# Paging Example

|    |   |
|----|---|
| 0  | a |
| 1  | b |
| 2  | c |
| 3  | d |
| 4  | e |
| 5  | f |
| 6  | g |
| 7  | h |
| 8  | i |
| 9  | j |
| 10 | k |
| 11 | l |
| 12 | m |
| 13 | n |
| 14 | o |
| 15 | p |

logical memory

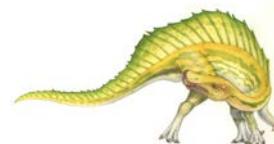
|   |   |
|---|---|
| 0 | 5 |
| 1 | 6 |
| 2 | 1 |
| 3 | 2 |

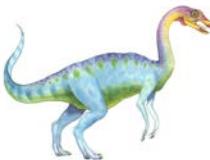
page table

|    |   |
|----|---|
| 0  |   |
| 4  |   |
| 8  |   |
| 12 |   |
| 16 |   |
| 20 | a |
| 21 | b |
| 22 | c |
| 23 | d |
| 24 | e |
| 25 | f |
| 26 | g |
| 27 | h |
| 28 |   |

physical memory

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





# Paging (Cont.)

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

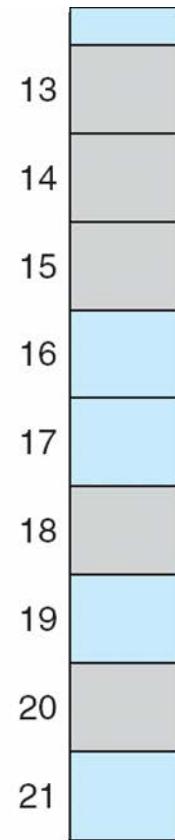
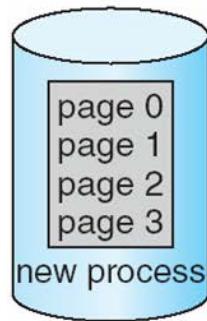




# Free Frames

free-frame list

14  
13  
18  
20  
15

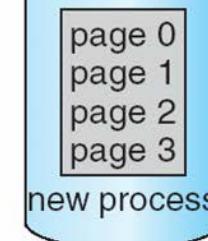


(a)

Before allocation

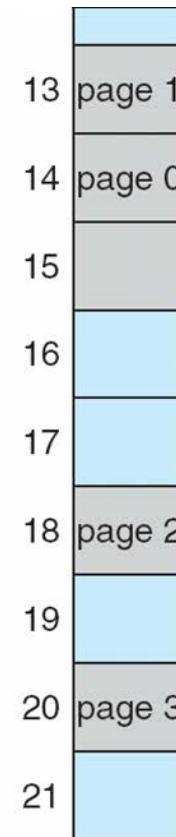
free-frame list

15



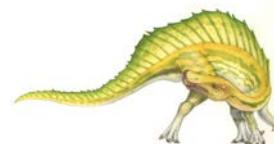
|   |    |
|---|----|
| 0 | 14 |
| 1 | 13 |
| 2 | 18 |
| 3 | 20 |

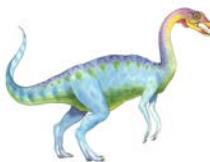
new-process page table



(b)

After allocation

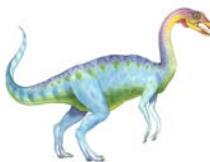




# Implementation of Page Table

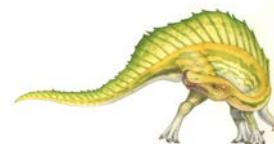
- Page table is kept in main memory
- **Page-table base register (PTBR)** points to the page table
- **Page-table length register (PTLR)** indicates size of the page table
- In this scheme every data/instruction access requires two memory accesses
  - One for the page table and one for the data / instruction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

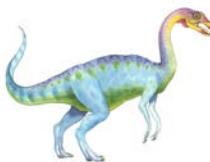




# Implementation of Page Table (Cont.)

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





# Associative Memory

- Associative memory – parallel search

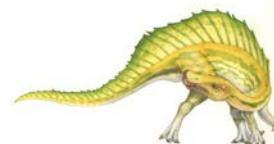
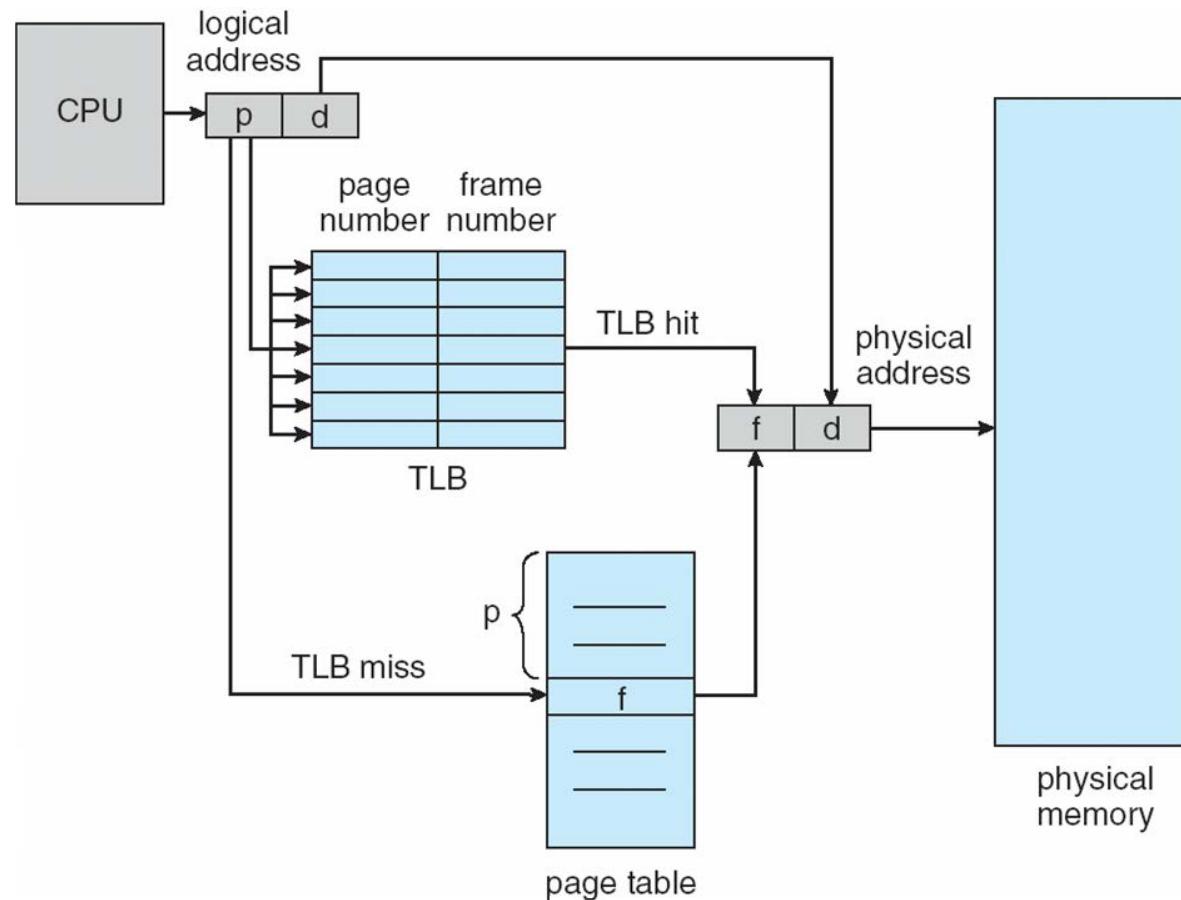
| Page # | Frame # |
|--------|---------|
|        |         |
|        |         |
|        |         |
|        |         |

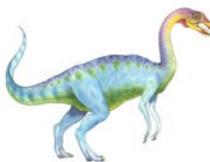
- Address translation (p, d)
  - If p is in associative register, get frame # out
  - Otherwise get frame # from page table in memory





# Paging Hardware With TLB





# Effective Access Time

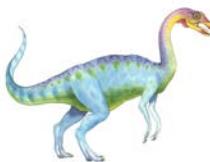
---

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

$$\begin{aligned}\text{EAT} &= (1 + \varepsilon) \alpha + (2 + \varepsilon)(1 - \alpha) \\ &= 2 + \varepsilon - \alpha\end{aligned}$$

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

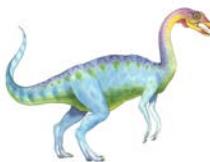




# Memory Protection

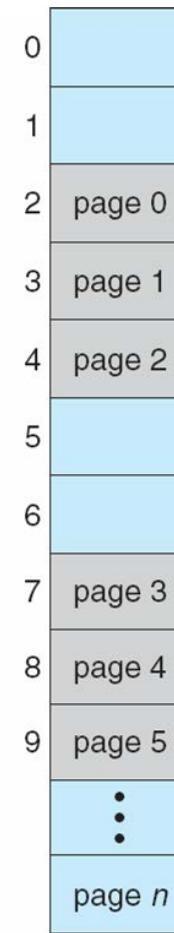
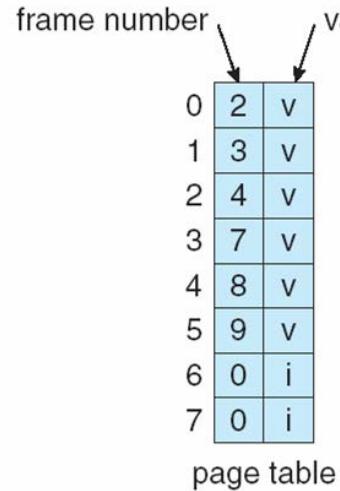
- Memory protection implemented by associating protection bit with each frame to indicate if read-only or read-write access is allowed
  - Can also add more bits to indicate page execute-only, and so on
- **Valid-invalid** bit attached to each entry in the page table:
  - “valid” indicates that the associated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





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

|        |        |
|--------|--------|
| 00000  | page 0 |
|        | page 1 |
|        | page 2 |
|        | page 3 |
|        | page 4 |
| 10,468 | page 5 |
| 12,287 |        |





# Shared Pages

## ■ Shared code

- One copy of read-only (**reentrant**) code shared among processes (i.e., text editors, compilers, window systems)
- Similar to multiple threads sharing the same process space
- Also useful for interprocess communication if sharing of read-write pages is allowed

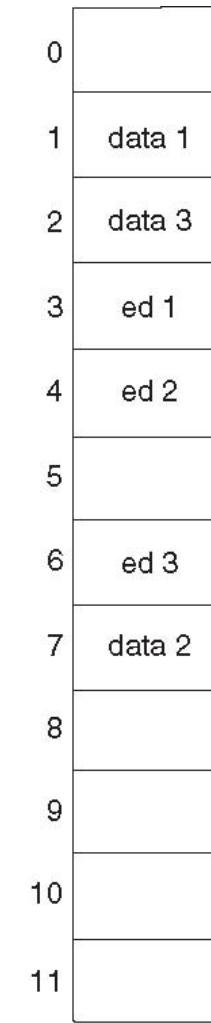
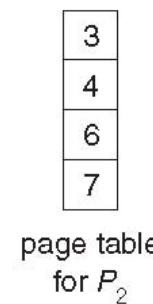
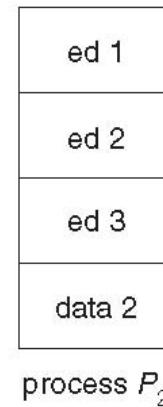
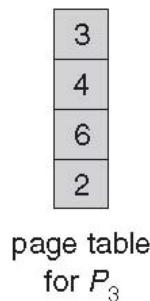
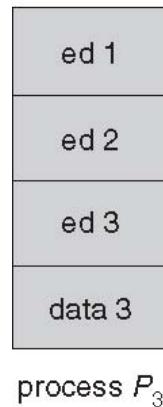
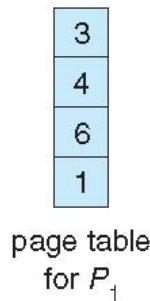
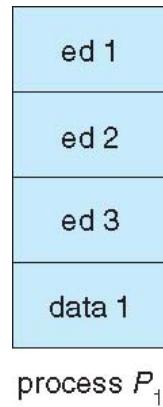
## ■ Private code and data

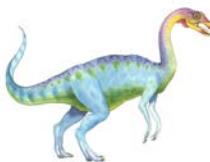
- Each process keeps a separate copy of the code and data
- The pages for the private code and data can appear anywhere in the logical address space





# Shared Pages Example

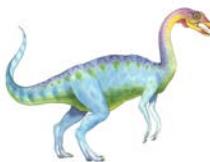




# Structure of the Page Table

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





# Hierarchical Page Tables

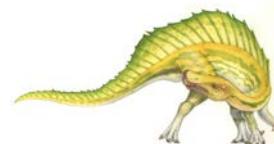
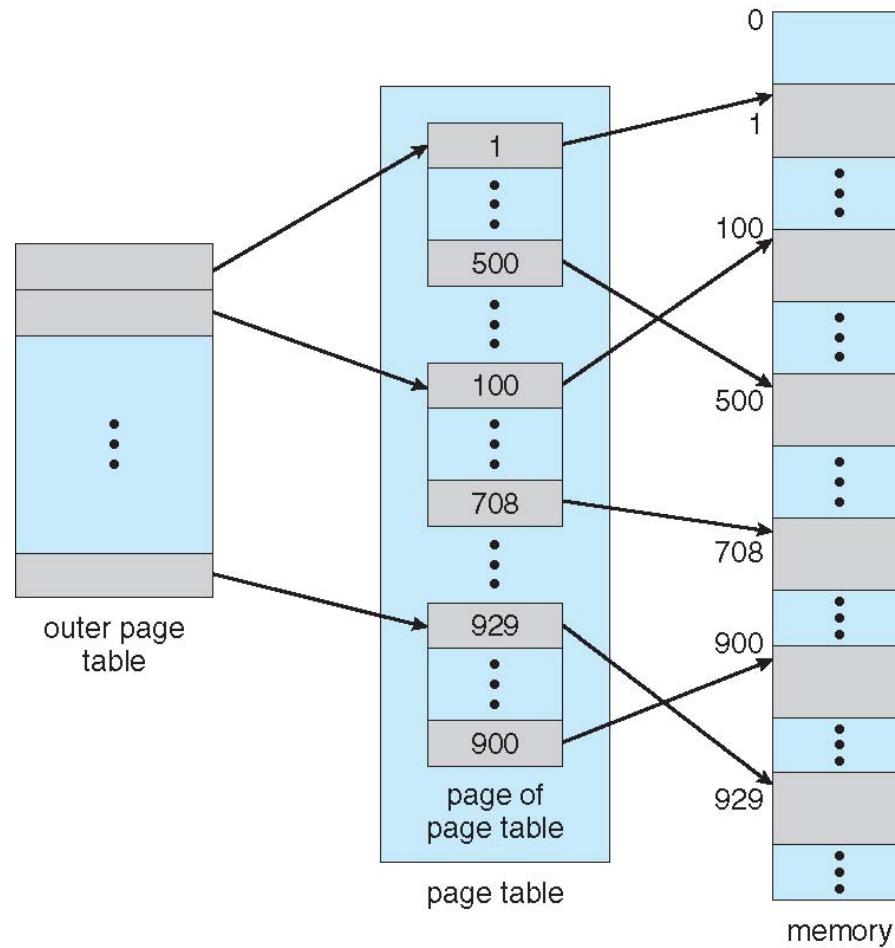
---

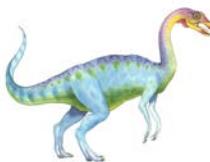
- Break up the logical address space into multiple page tables
- A simple technique is a two-level page table
- We then page the page table





# Two-Level Page-Table Scheme





# Two-Level Paging Example

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

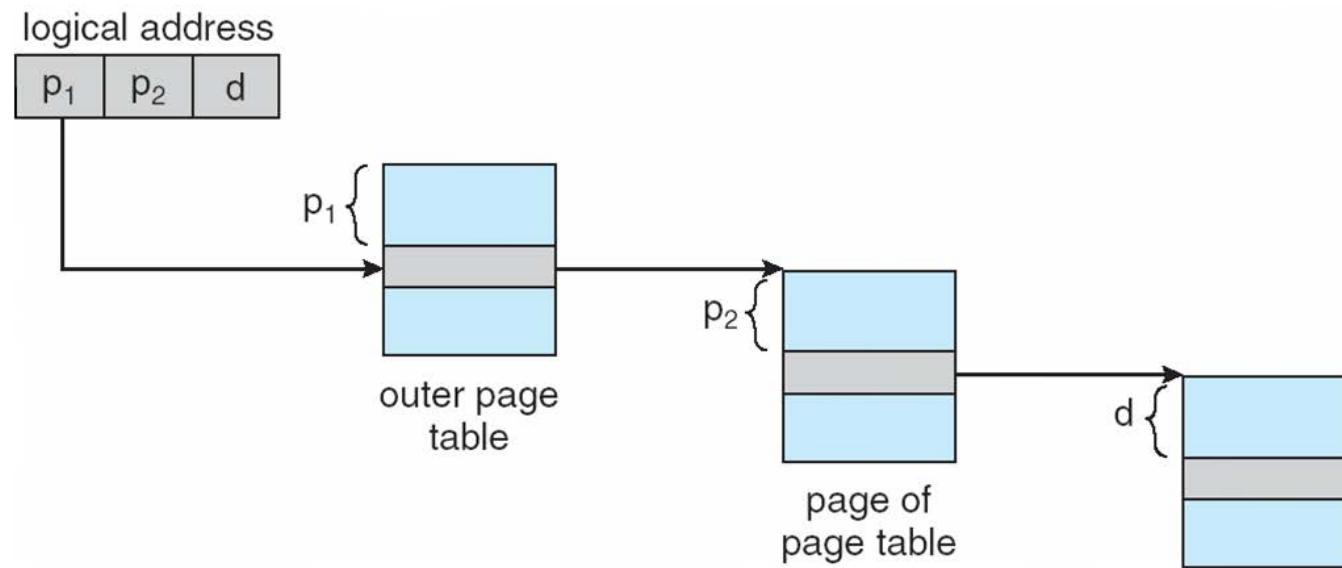
| page number | page offset |
|-------------|-------------|
| $p_1$       | $p_2$       |
| 12          | 10          |

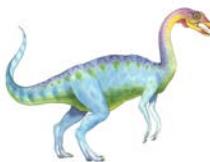
- where  $p_1$  is an index into the outer page table, and  $p_2$  is the displacement within the page of the inner page table
- Known as **forward-mapped page table**





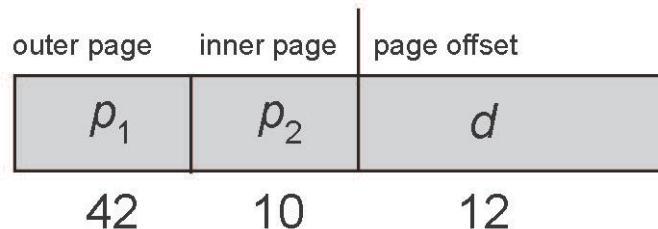
# Address-Translation Scheme





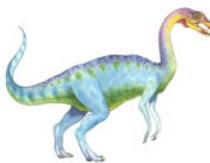
# 64-bit Logical Address Space

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

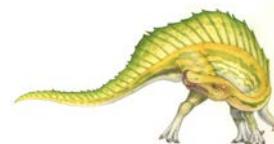
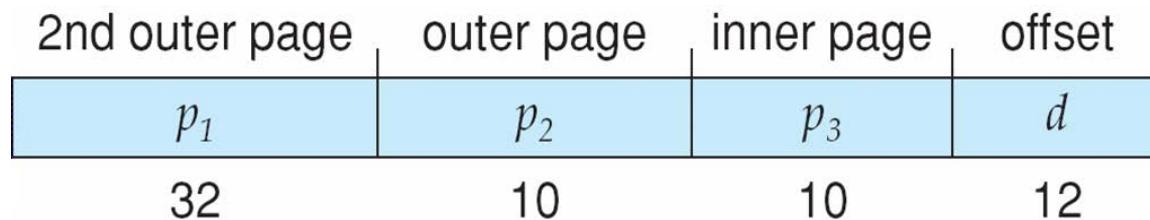
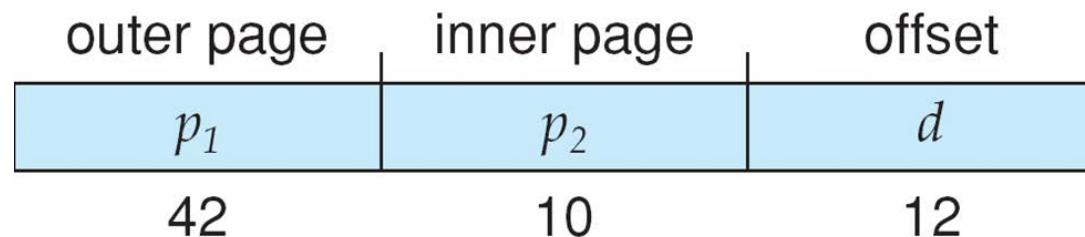


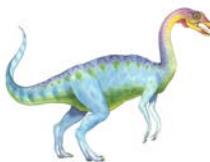
- Outer page table has  $2^{42}$  entries or  $2^{44}$  bytes
- One solution is to add a 2<sup>nd</sup> outer page table
- But in the following example the 2<sup>nd</sup> outer page table is still  $2^{34}$  bytes in size
  - ▶ And possibly 4 memory access to get to one physical memory location





# Three-level Paging Scheme



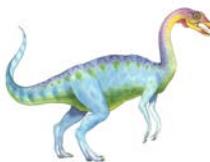


# Hashed Page Tables

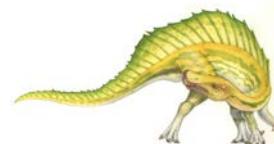
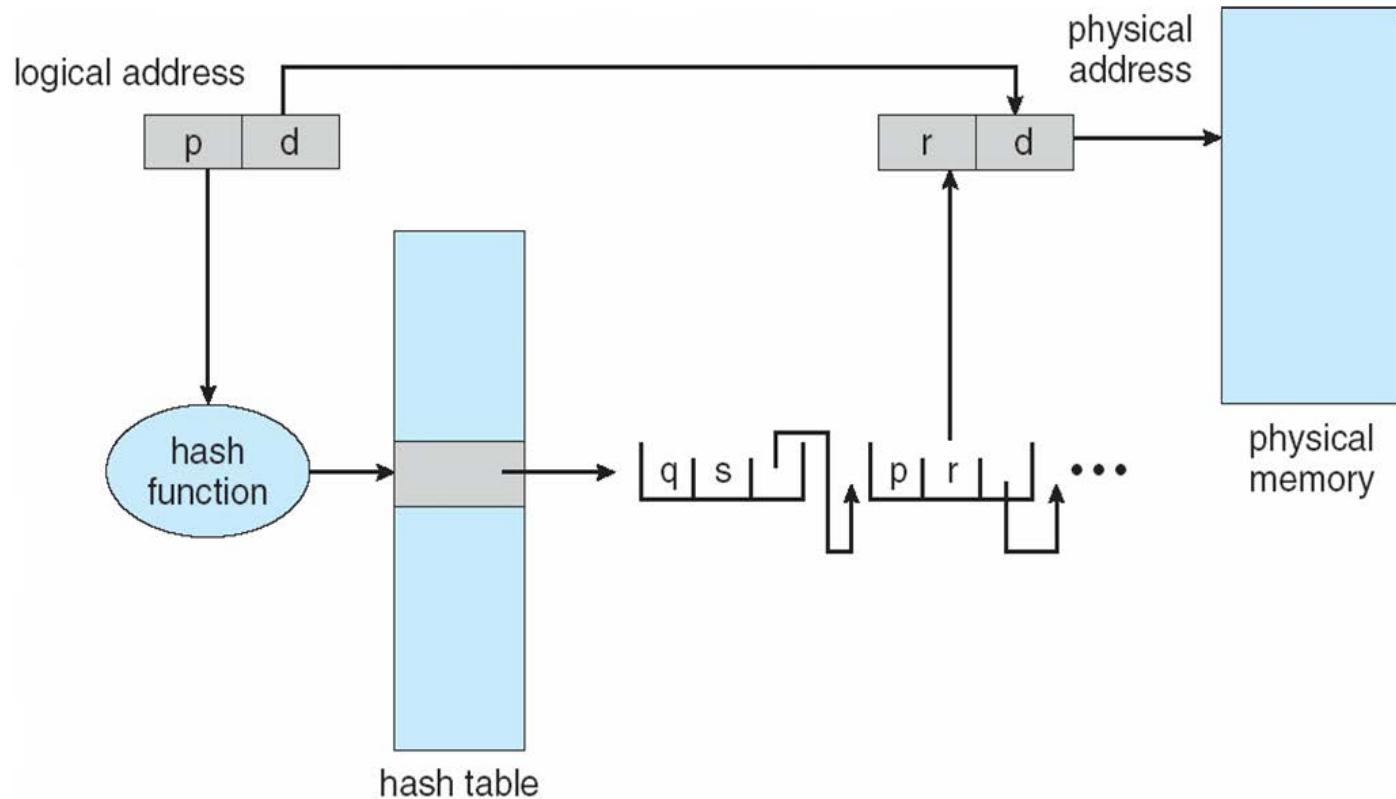
---

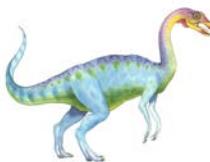
- Common in address spaces > 32 bits
- The virtual page number is hashed into a page table
  - This page table contains a chain of elements hashing to the same location
- Each element contains (1) the virtual page number (2) the value of the mapped page frame (3) a pointer to the next element
- Virtual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





# Hashed Page Table





# Inverted Page Table

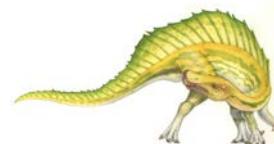
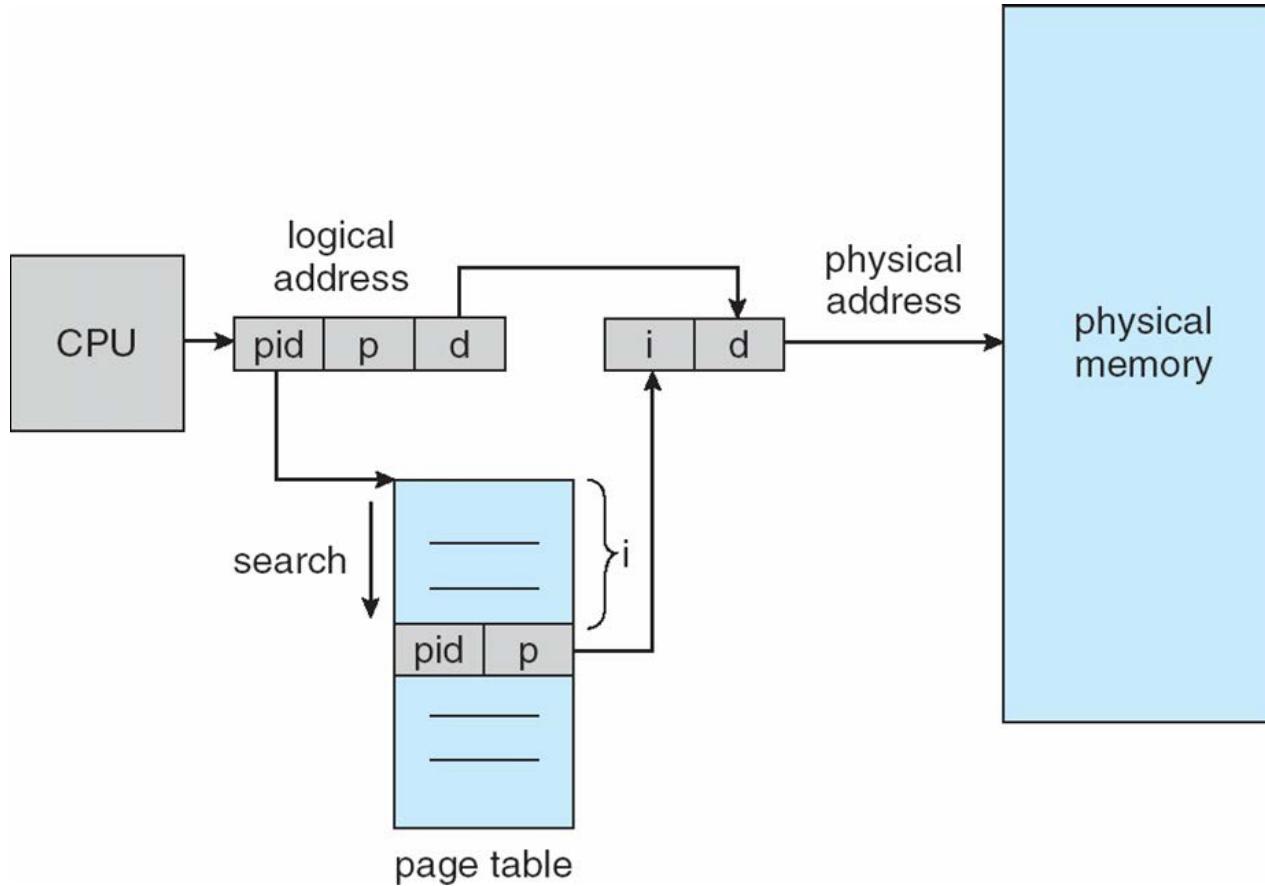
---

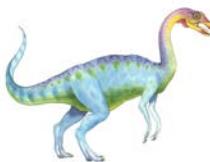
- Rather than each process having a page table and keeping track of all possible logical pages, track all physical pages
- One entry for each real page of memory
- Entry consists of the virtual address of the page stored in that real memory location, with information about the process that owns that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





# Inverted Page Table Architecture

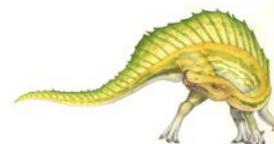


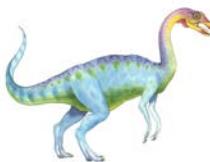


# Oracle SPARC Solaris

---

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

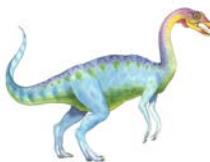




# Oracle SPARC Solaris (Cont.)

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

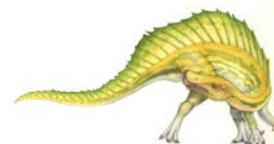


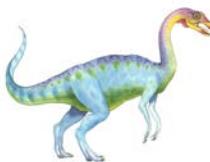


## Example: The Intel 32 and 64-bit Architectures

---

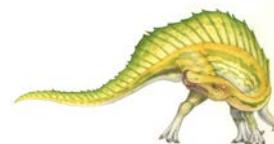
- Dominant industry chips
- Pentium CPUs are 32-bit and called IA-32 architecture
- Current Intel CPUs are 64-bit and called IA-64 architecture
- Many variations in the chips, cover the main ideas here





# Example: The Intel IA-32 Architecture

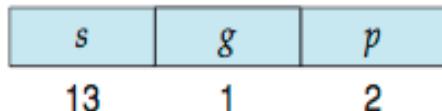
- Supports both segmentation and segmentation with paging
  - Each segment can be 4 GB
  - Up to 16 K segments per process
  - Divided into two partitions
    - ▶ First partition of up to 8 K segments are private to process (kept in **local descriptor table (LDT)**)
    - ▶ Second partition of up to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



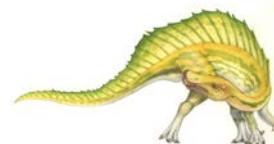


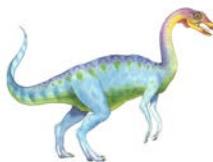
## Example: The Intel IA-32 Architecture (Cont.)

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

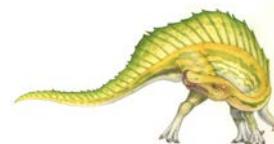
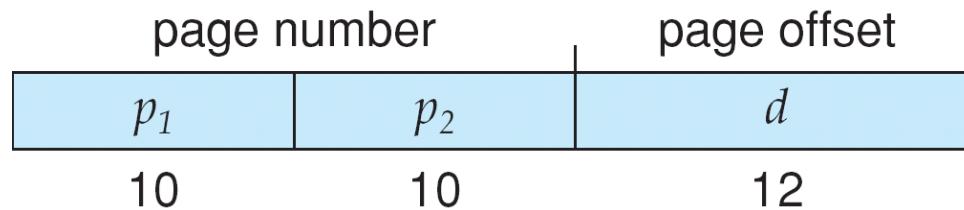
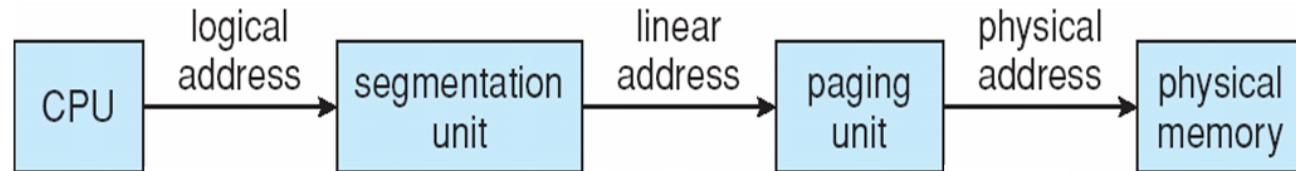


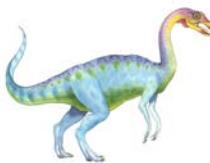
- Linear address given to paging unit
  - ▶ Which generates physical address in main memory
  - ▶ Paging units form equivalent of MMU
  - ▶ Pages sizes can be 4 KB or 4 MB



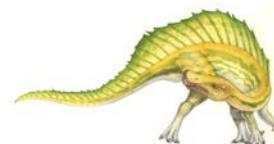
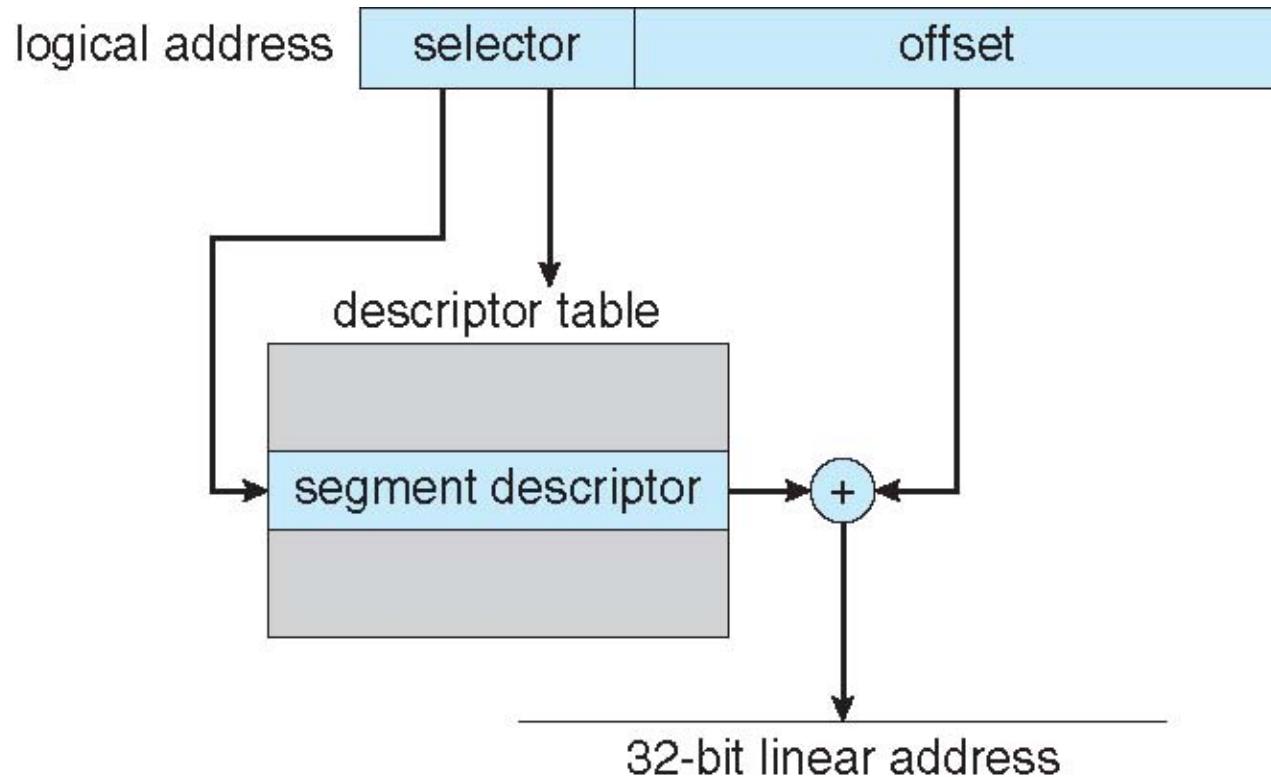


# Logical to Physical Address Translation in IA-32



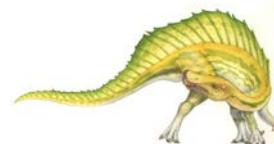
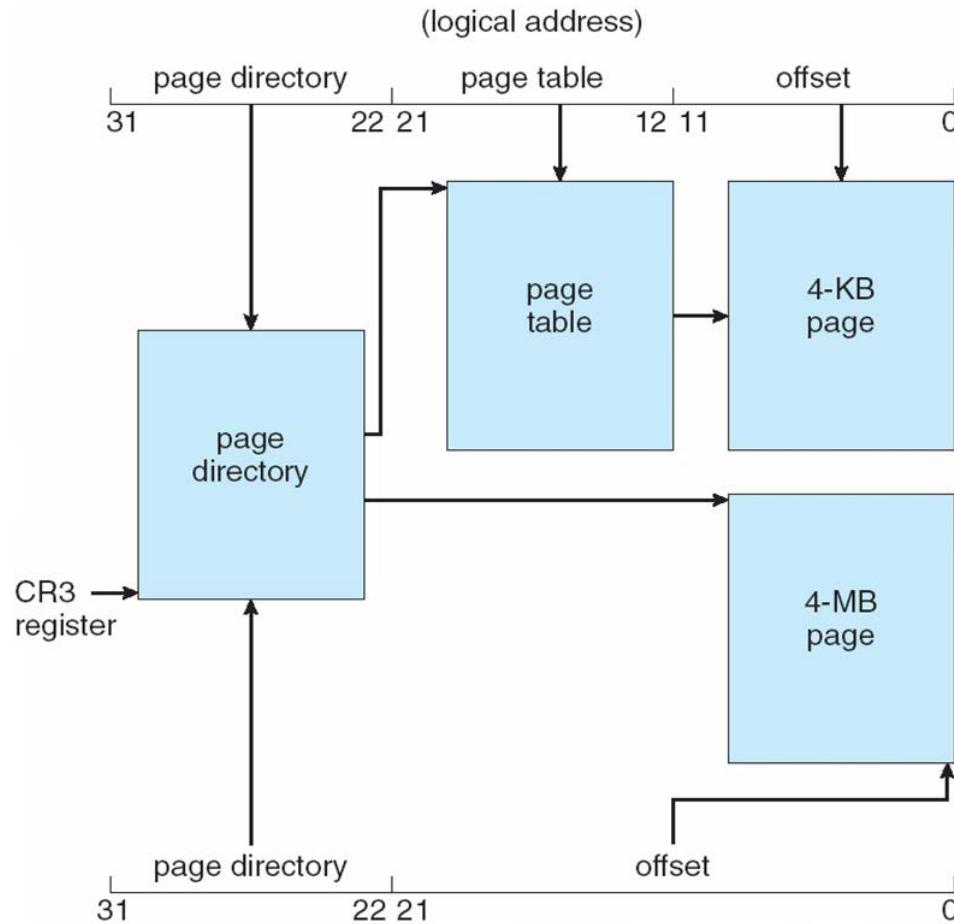


# Intel IA-32 Segmentation





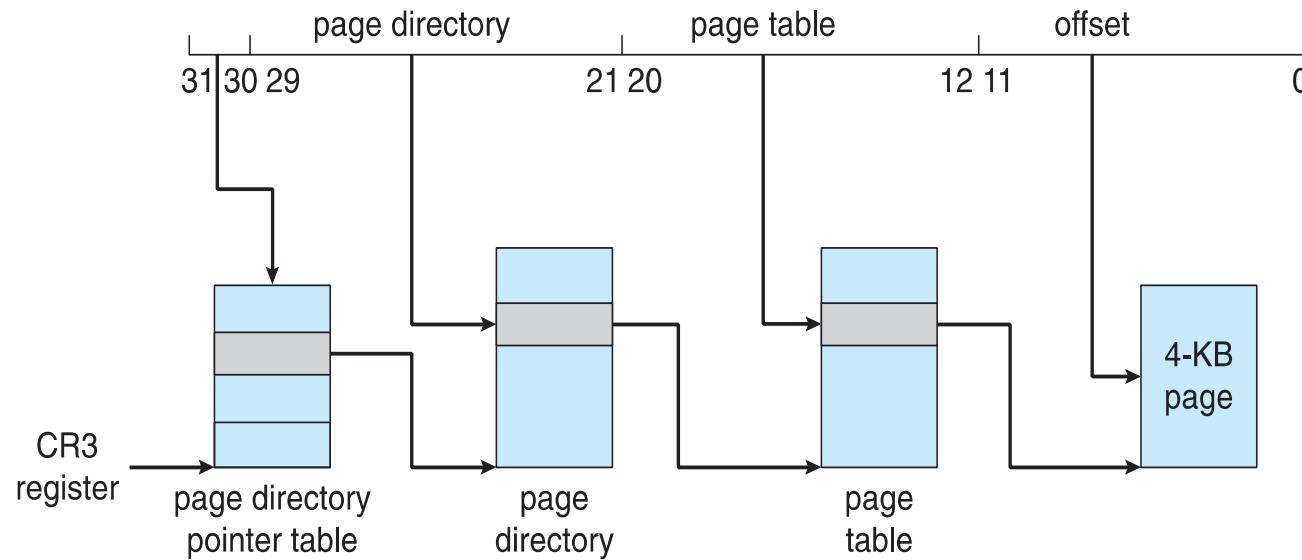
# Intel IA-32 Paging Architecture

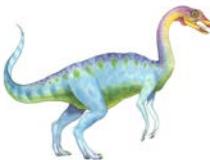




# Intel IA-32 Page Address Extensions

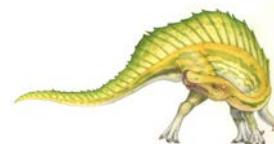
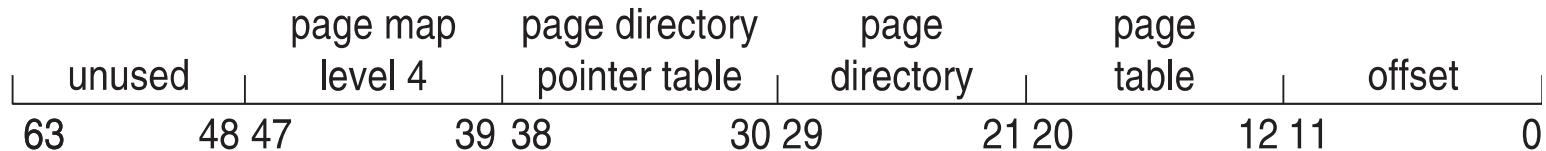
- 32-bit address limits led Intel to create **page address extension (PAE)**, allowing 32-bit apps access to more than 4GB of memory space
  - Paging went to a 3-level scheme
  - Top two bits refer to a **page directory pointer table**
  - Page-directory and page-table entries moved to 64-bits in size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

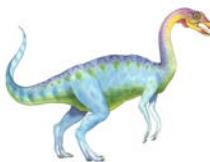




# Intel x86-64

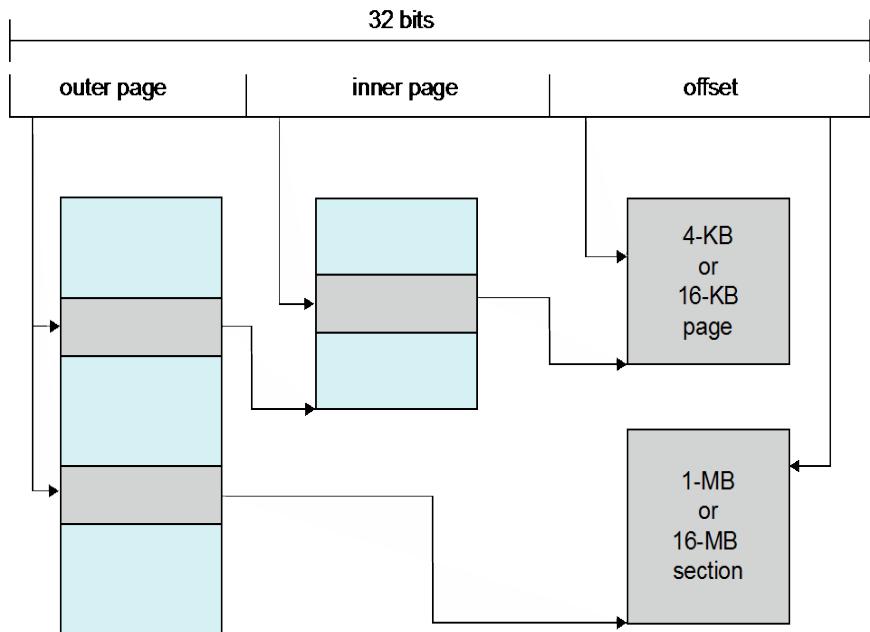
- Current generation Intel x86 architecture
- 64 bits is ginormous (> 16 exabytes)
- In practice only implement 48 bit addressing
  - Page sizes of 4 KB, 2 MB, 1 GB
  - Four levels of paging hierarchy
- Can also use PAE so virtual addresses are 48 bits and physical addresses are 52 bits



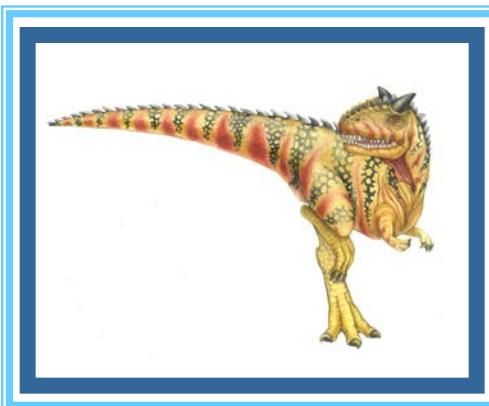


# Example: ARM Architecture

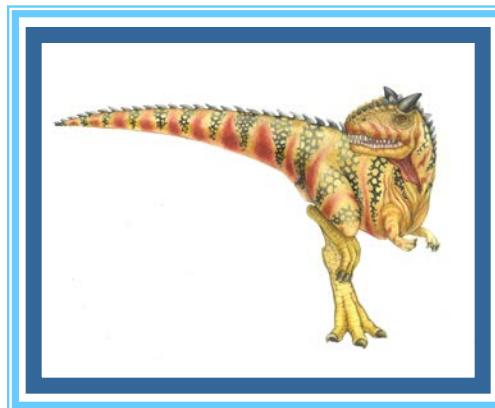
- Dominant mobile platform chip (Apple iOS and Google Android devices for example)
- Modern, energy efficient, 32-bit CPU
- 4 KB and 16 KB pages
- 1 MB and 16 MB pages (termed **sections**)
- One-level paging for sections, two-level for smaller pages
- Two levels of TLBs
  - Outer level has two micro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

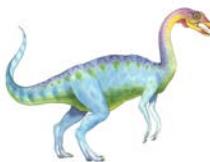


# End of Chapter 8



# Chapter 9: Virtual Memory



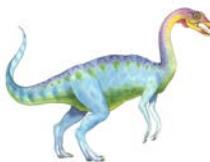


# Chapter 9: Virtual Memory

---

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



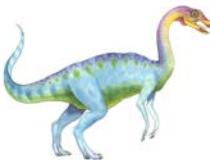


# Objectives

---

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

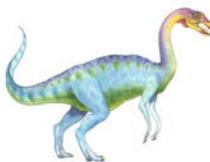




# Background

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

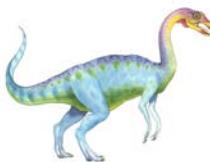




# Background (Cont.)

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

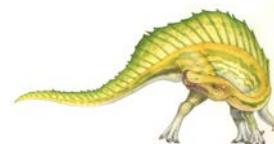




# Background (Cont.)

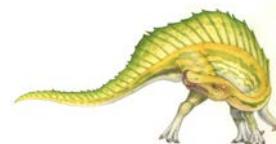
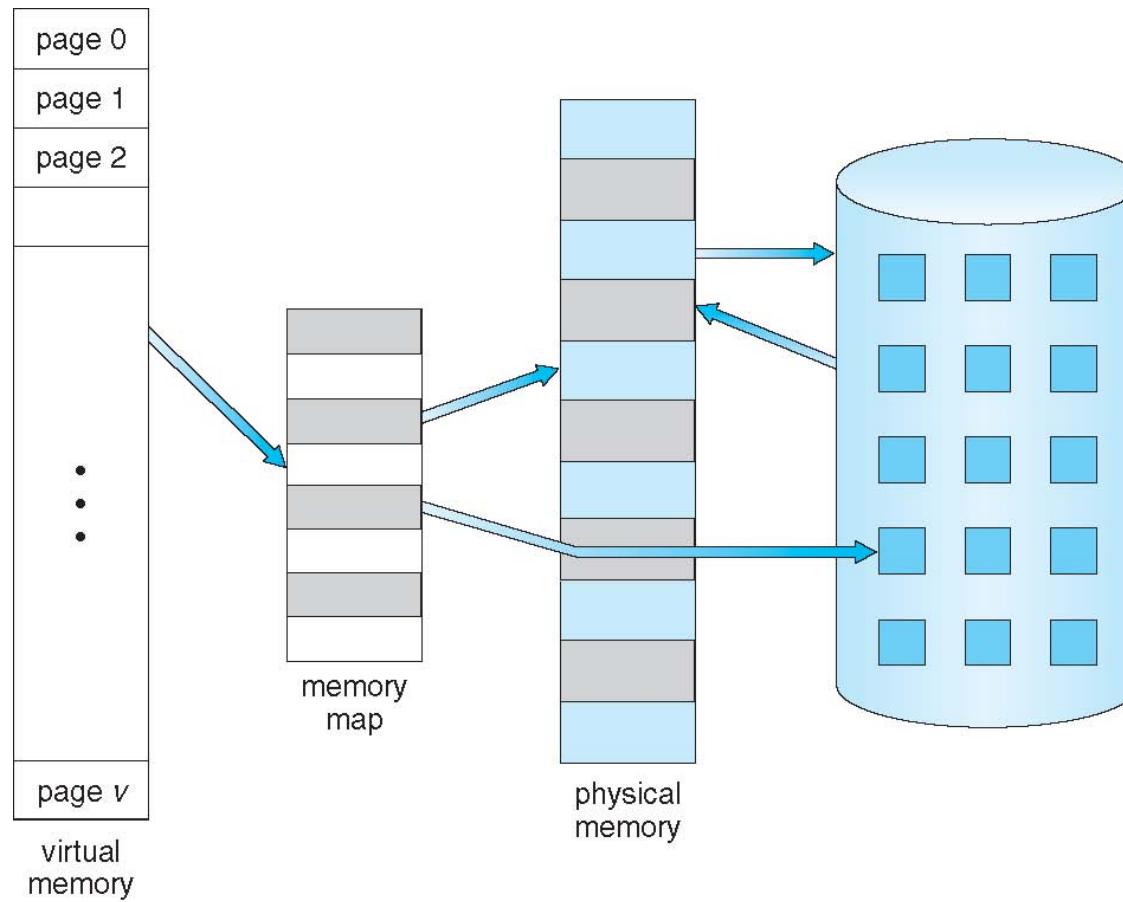
---

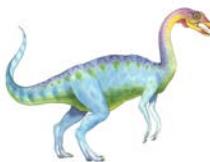
- **Virtual address space** – logical view of how process is stored in memory
  - Usually start at address 0, contiguous addresses until end of space
  - Meanwhile, physical memory organized in page frames
  - MMU must map logical to physical
- Virtual memory can be implemented via:
  - Demand paging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





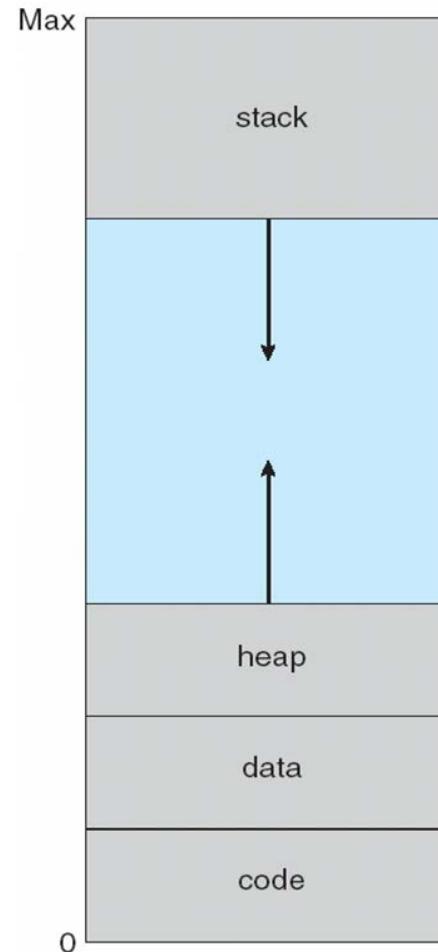
# Virtual Memory That is Larger Than Physical Memory





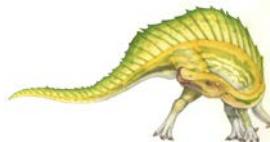
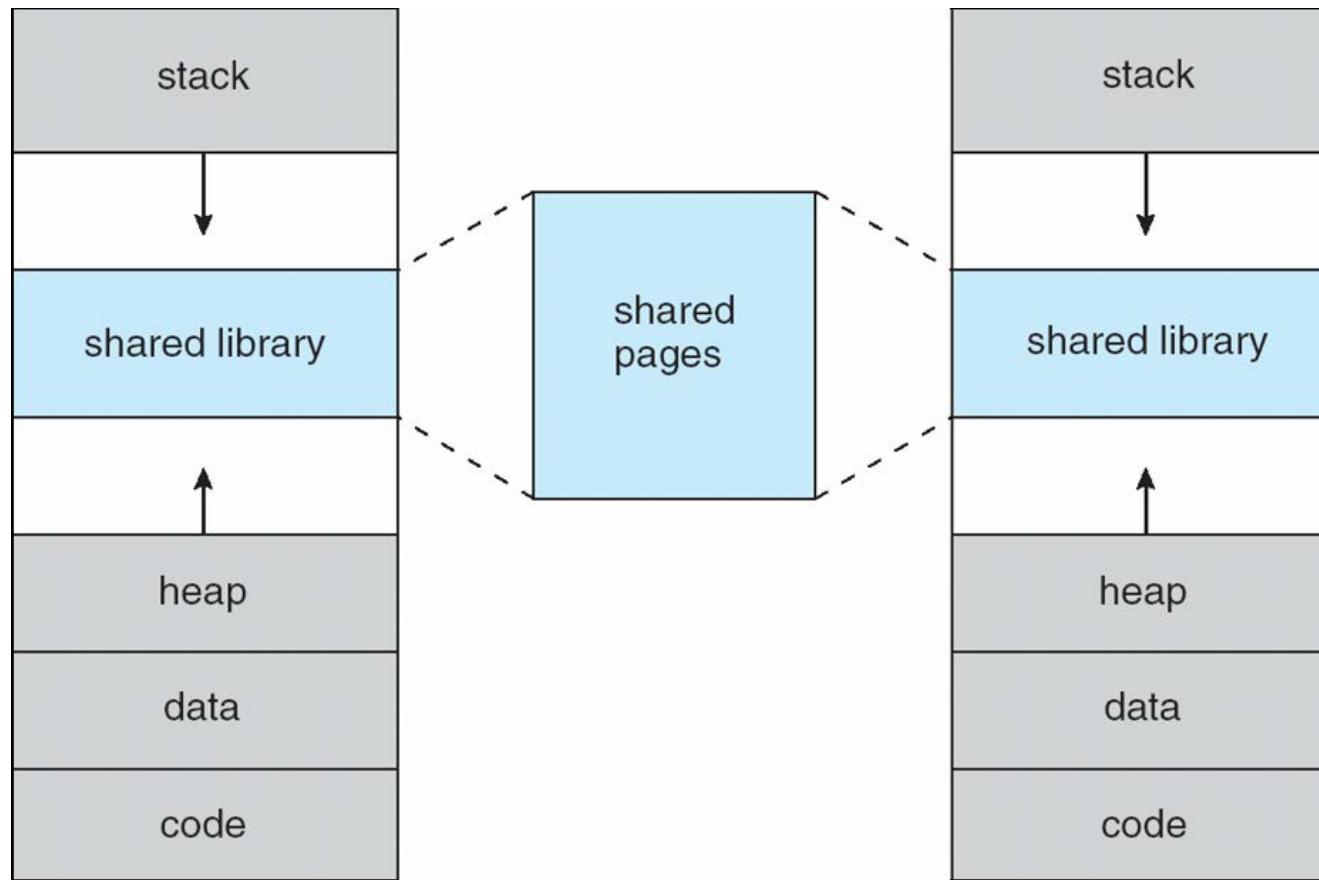
# Virtual-address Space

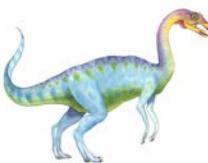
- Usually design logical address space for stack to start at Max logical address and grow “down” while heap grows “up”
  - Maximizes address space use
  - Unused address space between the two is hole
    - ▶ No physical memory needed until heap or stack grows to a given new page
- Enables **sparse**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





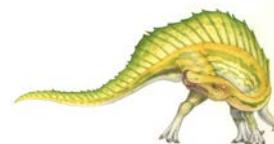
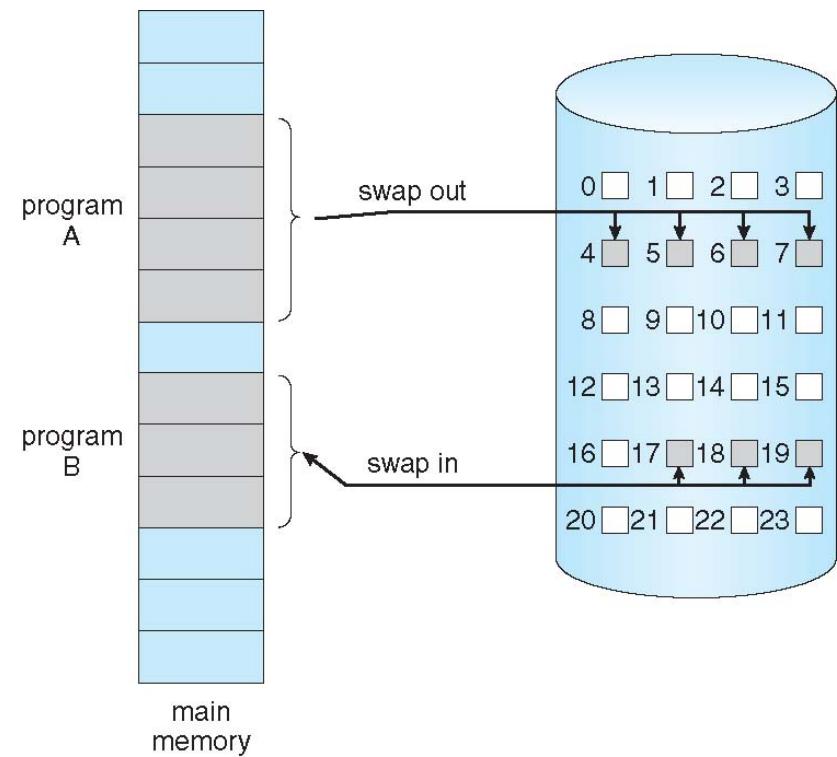
# Shared Library Using Virtual Memory

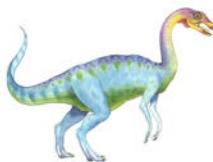




# Demand Paging

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



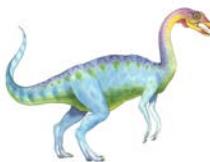


# Basic Concepts

---

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





# Valid-Invalid Bit

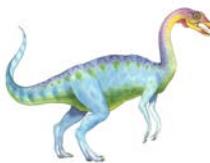
- With each page table entry a valid–invalid bit is associated (**v** ⇒ in-memory – **memory resident**, **i** ⇒ not-in-memory)
- Initially valid–invalid bit is set to **i** on all entries
- Example of a page table snapshot:

| Frame # | valid-invalid bit |
|---------|-------------------|
|         |                   |
|         | v                 |
|         | v                 |
|         | v                 |
|         | i                 |
| ...     |                   |
|         | i                 |
|         | i                 |

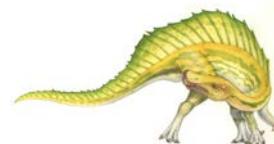
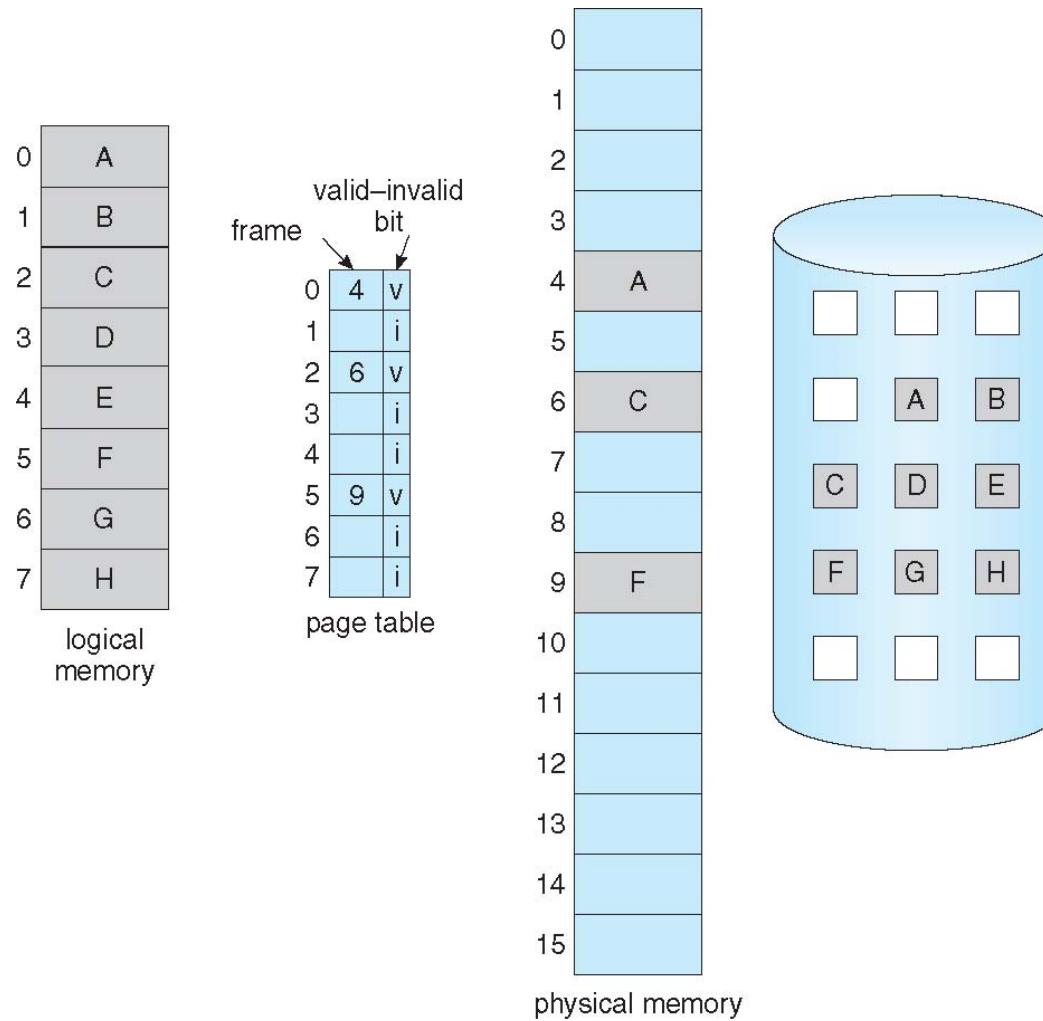
page table

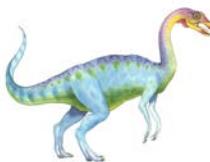
- During MMU address translation, if valid–invalid bit in page table entry is **i** ⇒ page fault





# Page Table When Some Pages Are Not in Main Memory





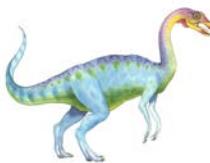
# Page Fault

- If there is a reference to a page, first reference to that page will trap to operating system:

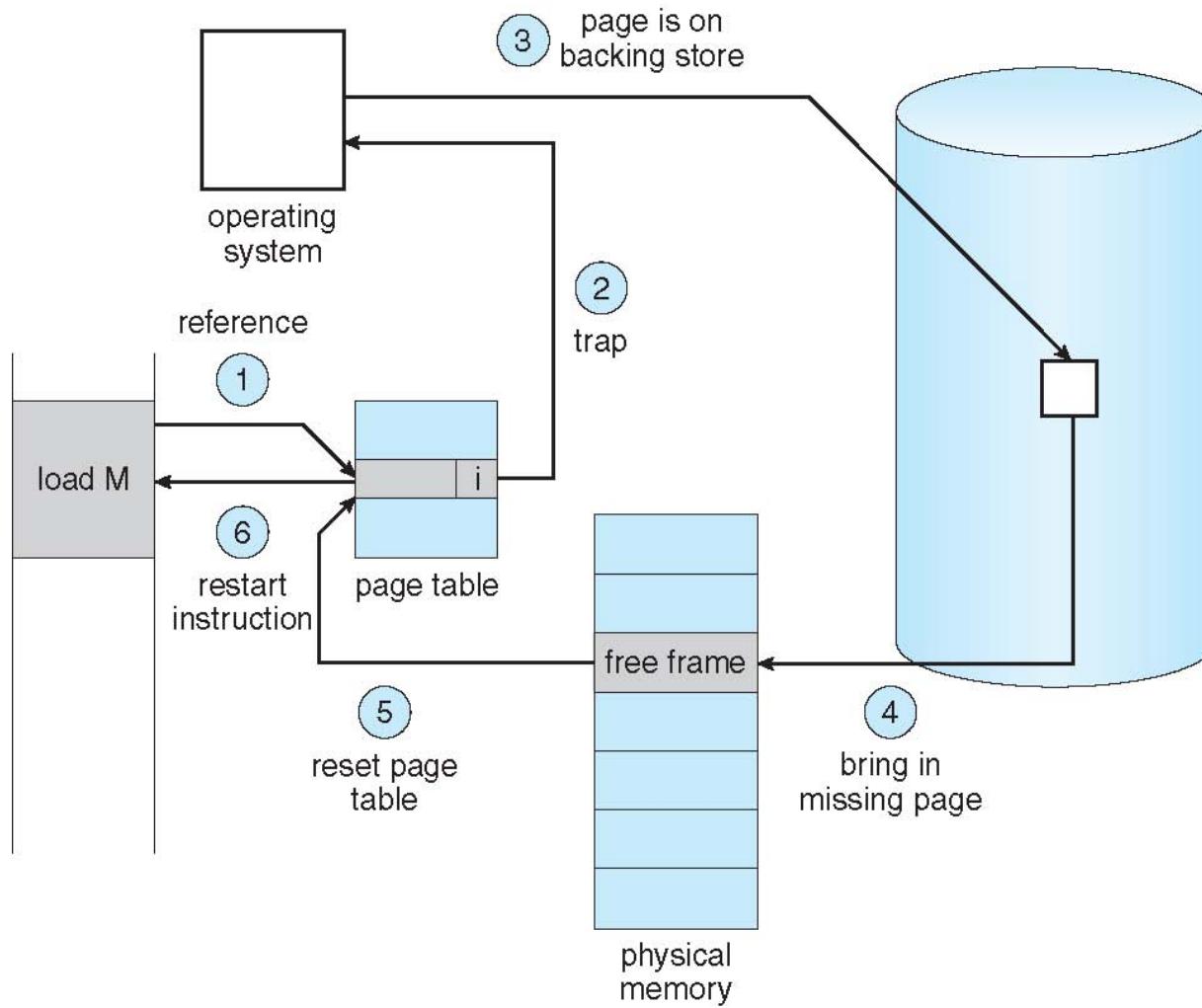
## page fault

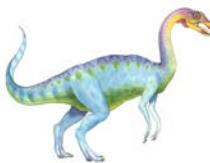
1. Operating system looks at another table to decide:
  - Invalid reference  $\Rightarrow$  abort
  - Just not in memory
2. Find free frame
3. Swap page into frame via scheduled disk operation
4. Reset tables to indicate page now in memory  
Set validation bit = **V**
5. Restart the instruction that caused the page fault





# Steps in Handling a Page Fault

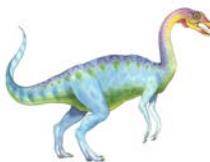




# Aspects of Demand Paging

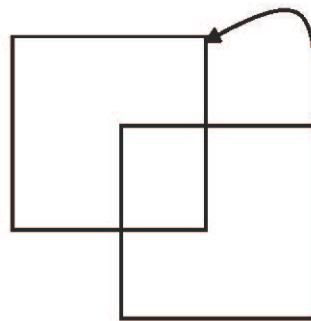
- Extreme case – start process with *no* pages in memory
  - OS sets instruction pointer to first instruction of process, non-memory-resident -> page fault
  - And for every other process pages on first access
  - **Pure demand paging**
- Actually, a given instruction could access multiple pages -> multiple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





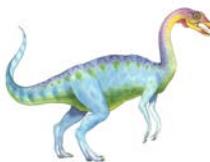
# Instruction Restart

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



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





# Performance of Demand Paging

## ■ Stages in Demand Paging (worse case)

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



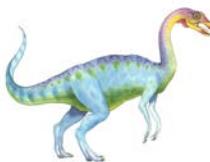


# Performance of Demand Paging (Cont.)

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

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



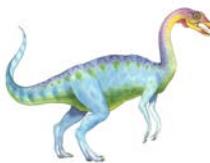


# Demand Paging Example

---

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

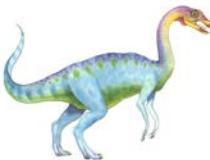




# Demand Paging Optimizations

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





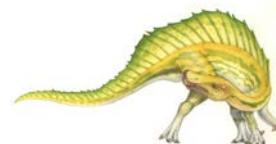
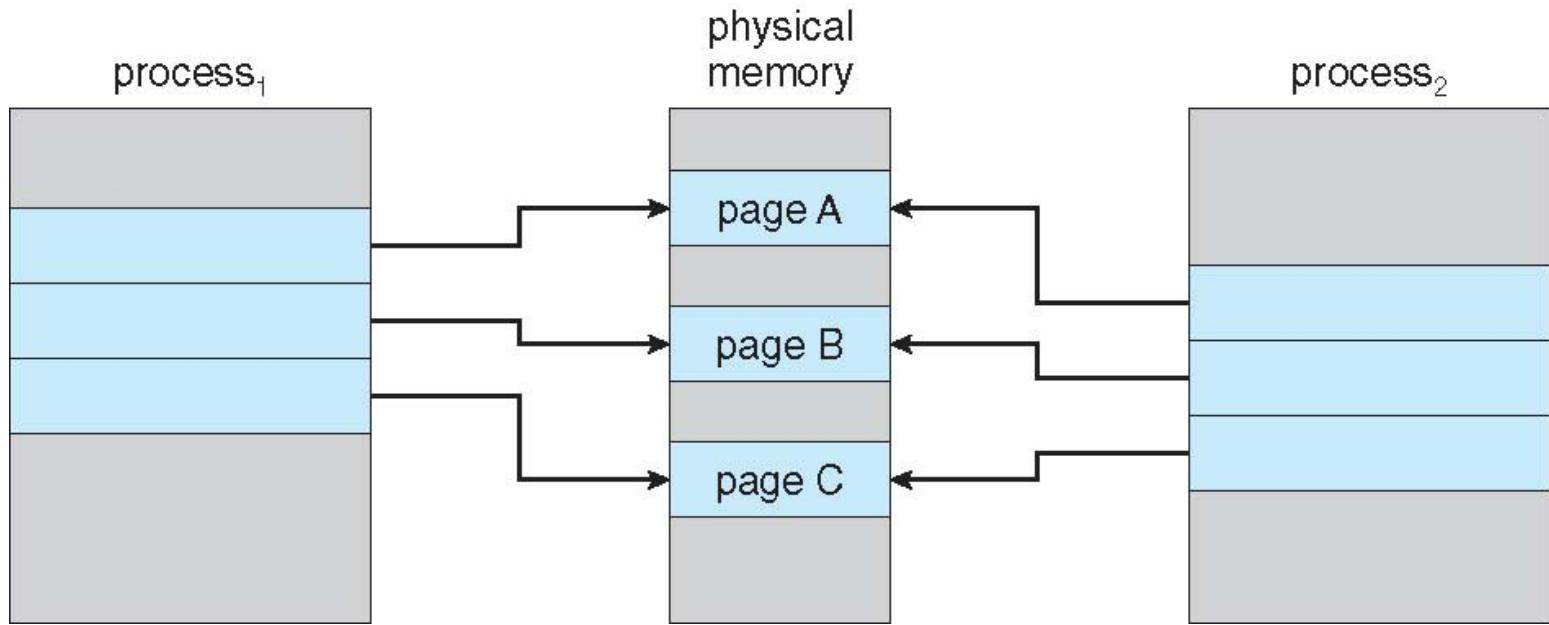
# Copy-on-Write

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



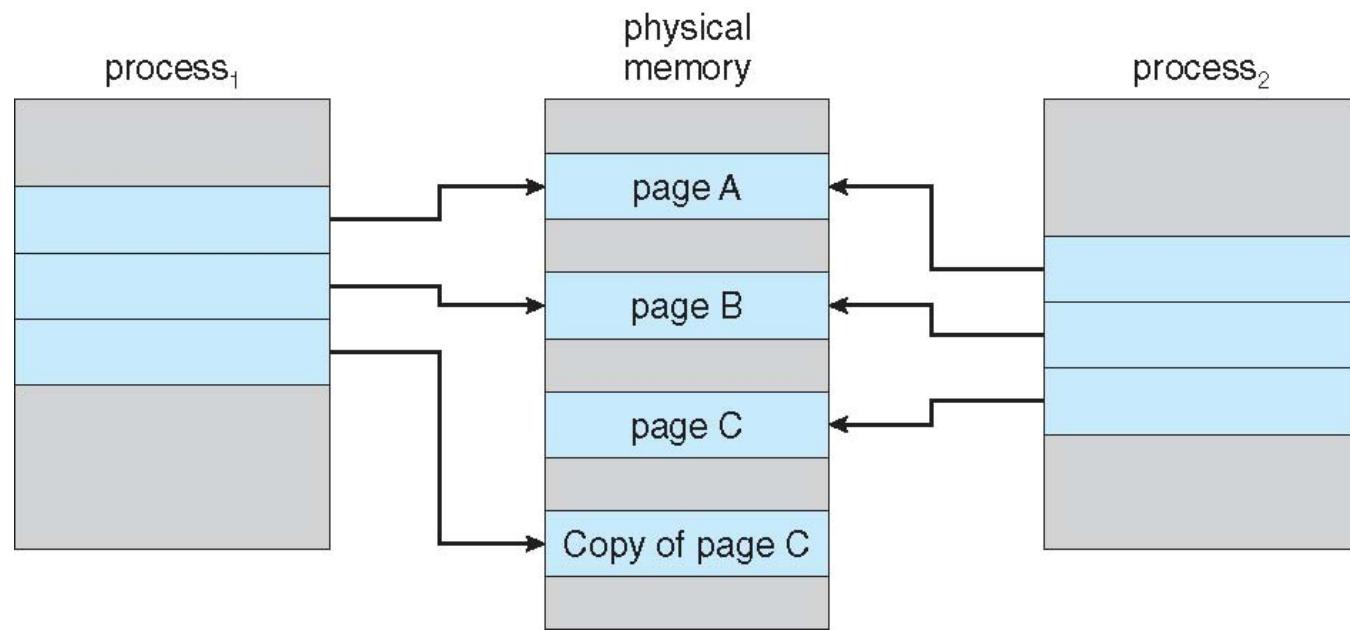


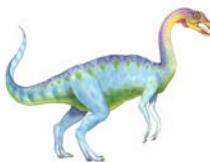
# Before Process 1 Modifies Page C





# After Process 1 Modifies Page C

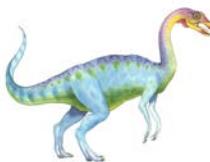




# What Happens if There is no Free Frame?

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

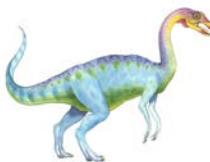




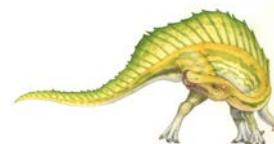
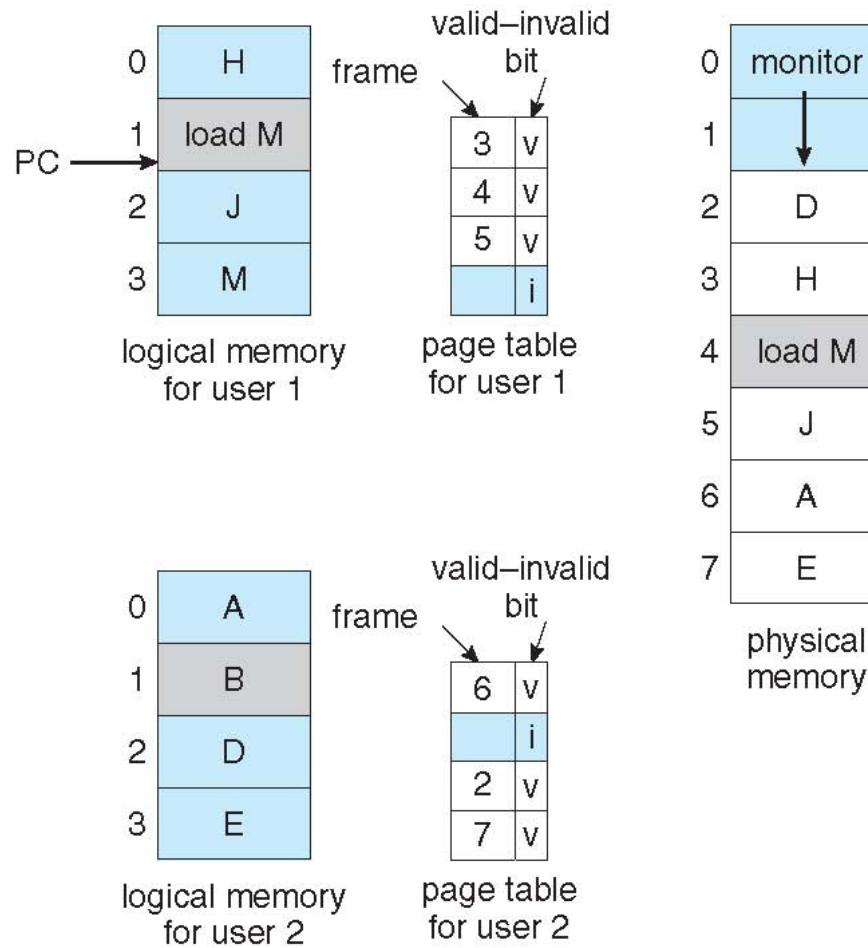
# Page Replacement

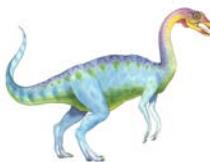
- Prevent **over-allocation** of memory by modifying page-fault service routine to include page replacement
- Use **modify (dirty) bit** to reduce overhead of page transfers – only modified pages are written to disk
- Page replacement completes separation between logical memory and physical memory –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





# Need For Page Replacement





# Basic Page Replacement

---

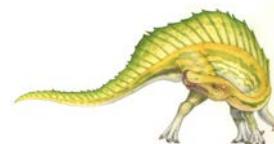
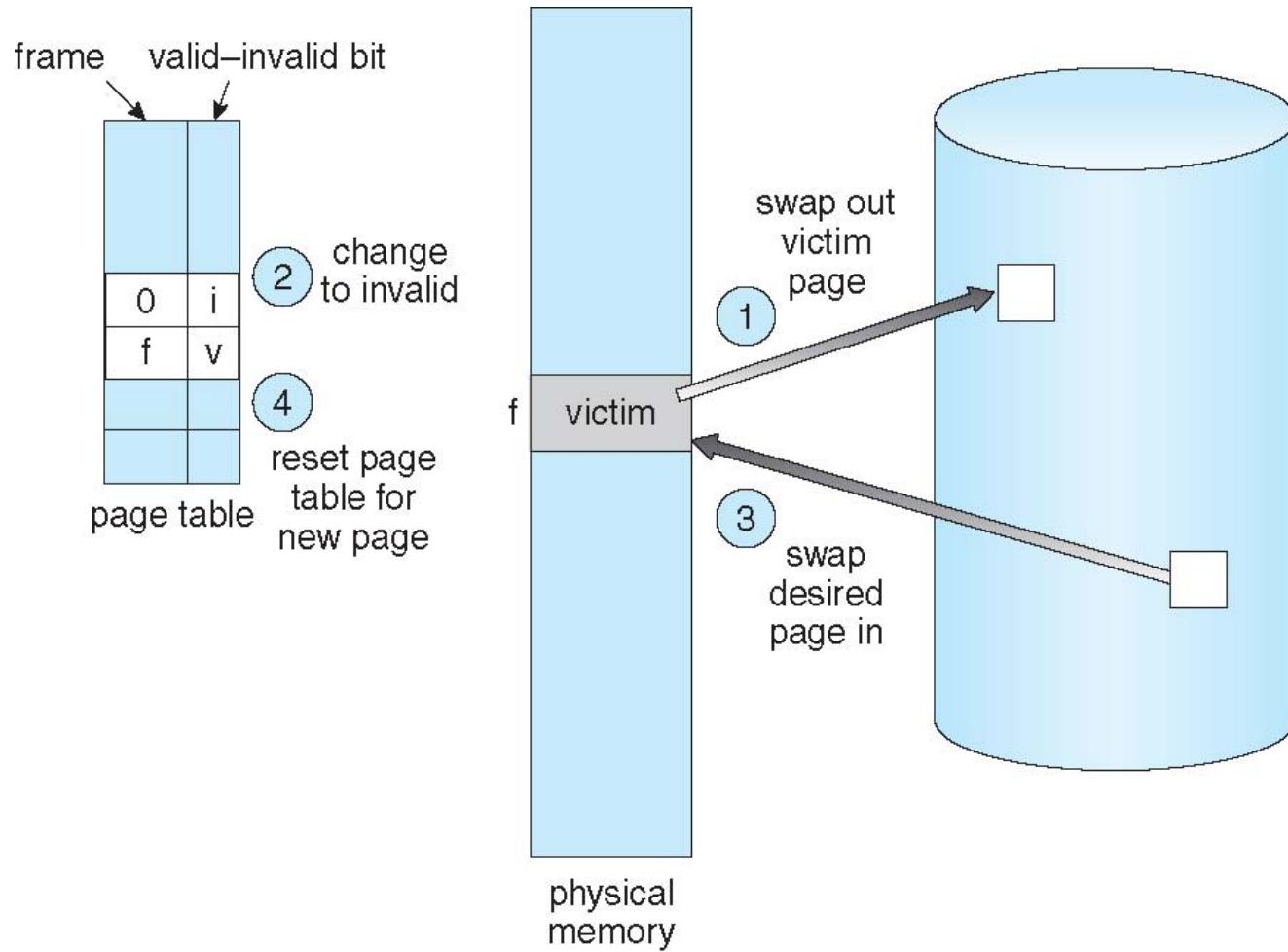
1. Find the location of the desired page on disk
2. Find a free frame:
  - If there is a free frame, use it
  - If there is no free frame, use a page replacement algorithm to select a **victim frame**
    - Write victim frame to disk if dirty
3. Bring the desired page into the (newly) free frame; update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

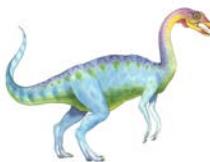
Note now potentially 2 page transfers for page fault – increasing EAT





# Page Replacement



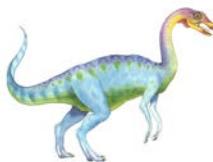


# Page and Frame Replacement Algorithms

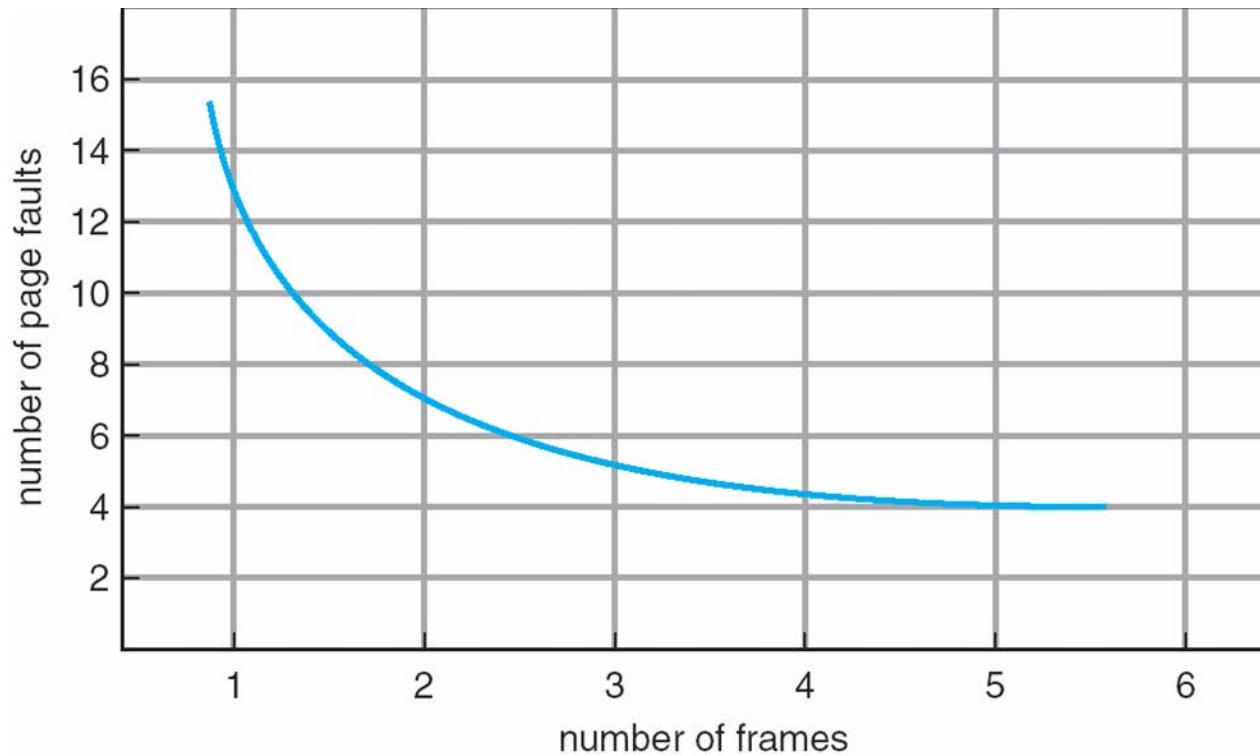
- **Frame-allocation algorithm** determines
  - How many frames to give each process
  - Which frames to replace
- **Page-replacement algorithm**
  - Want lowest page-fault rate on both first access and re-access
- Evaluate algorithm by running it on a particular string of memory references (reference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

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





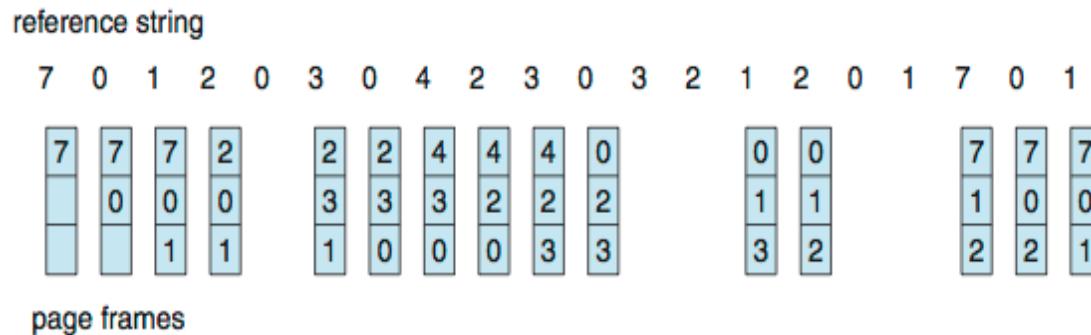
# Graph of Page Faults Versus The Number of Frames





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

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



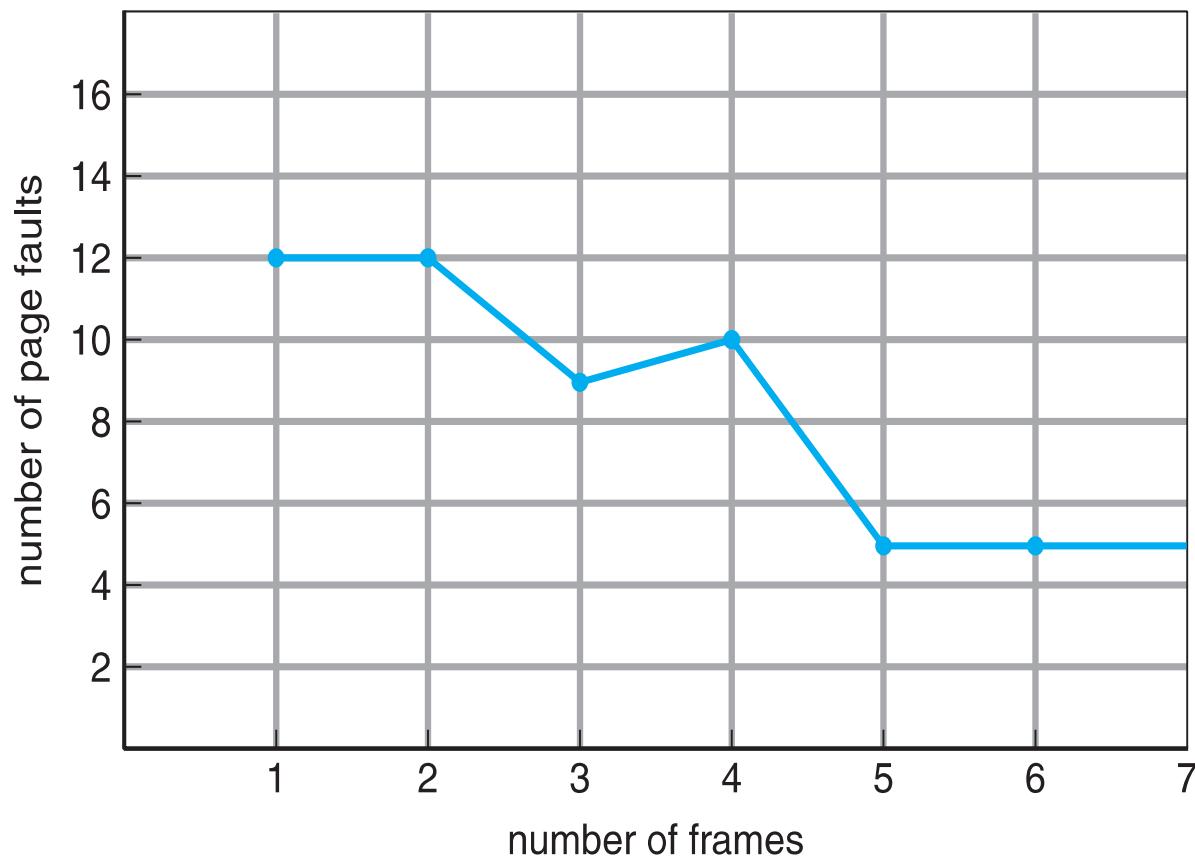
15 page faults

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





# FIFO Illustrating Belady's Anomaly



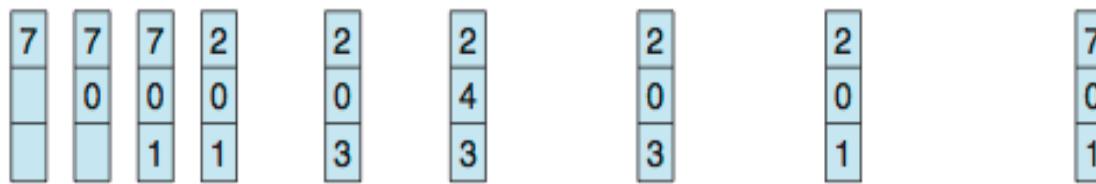


# Optimal Algorithm

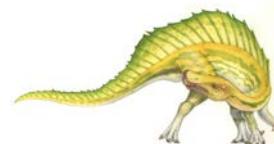
- Replace page that will not be used for longest period of time
  - 9 is optimal for the example
- How do you know this?
  - Can't read the future
- Used for measuring how well your algorithm performs

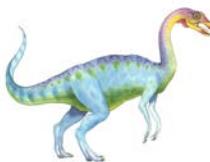
reference string

7 0 1 2 0 3 0 4 2 3 0 3 2 1 2 0 1 7 0 1



page frames



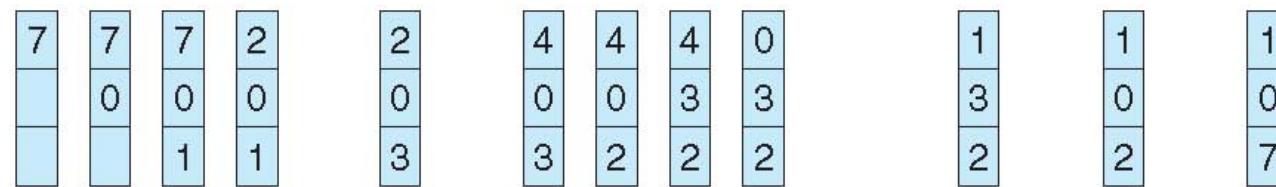


# Least Recently Used (LRU) Algorithm

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

reference string

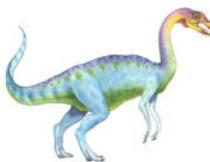
7 0 1 2 0 3 0 4 2 3 0 3 2 1 2 0 1 7 0 1



page frames

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





# LRU Algorithm (Cont.)

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

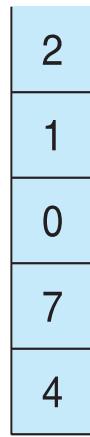




## Use Of A Stack to Record Most Recent Page References

reference string

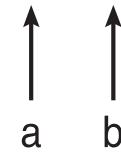
4 7 0 7 1 0 1 2 1 2 7 1 2

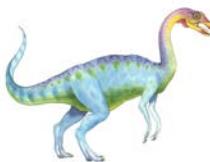


stack  
before  
a



stack  
after  
b

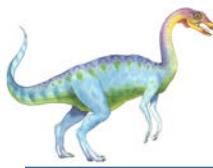




# LRU Approximation Algorithms

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





## Second-Chance (clock) Page-Replacement Algorithm

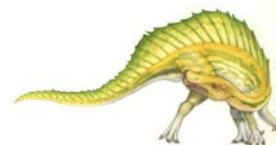


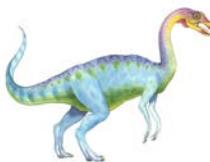
next  
victim



circular queue of pages

(a)



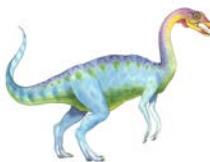


# Enhanced Second-Chance Algorithm

---

- Improve algorithm by using reference bit and modify bit (if available) in concert
- Take ordered pair (reference, modify)
  1. (0, 0) neither recently used nor modified – best page to replace
  2. (0, 1) not recently used but modified – not quite as good, must write out before replacement
  3. (1, 0) recently used but clean – probably will be used again soon
  4. (1, 1) recently used and modified – probably will be used again soon and need to write out before replacement
- When page replacement called for, use the clock scheme but use the four classes replace page in lowest non-empty class
  - Might need to search circular queue several times



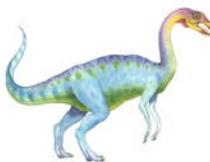


# Counting Algorithms

---

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



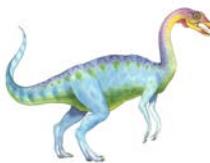


# Page-Buffering Algorithms

---

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

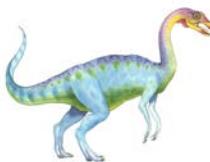




# Applications and Page Replacement

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



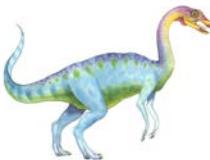


# Allocation of Frames

---

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





# Fixed Allocation

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

$$m = 64$$

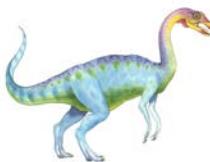
$$s_1 = 10$$

$$s_2 = 127$$

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

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



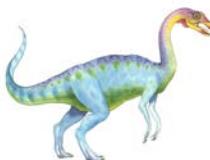


# Priority Allocation

---

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

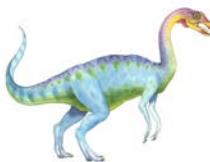




# Global vs. Local Allocation

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

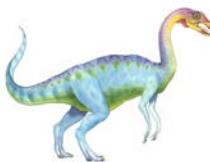




# Non-Uniform Memory Access

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





# Thrashing

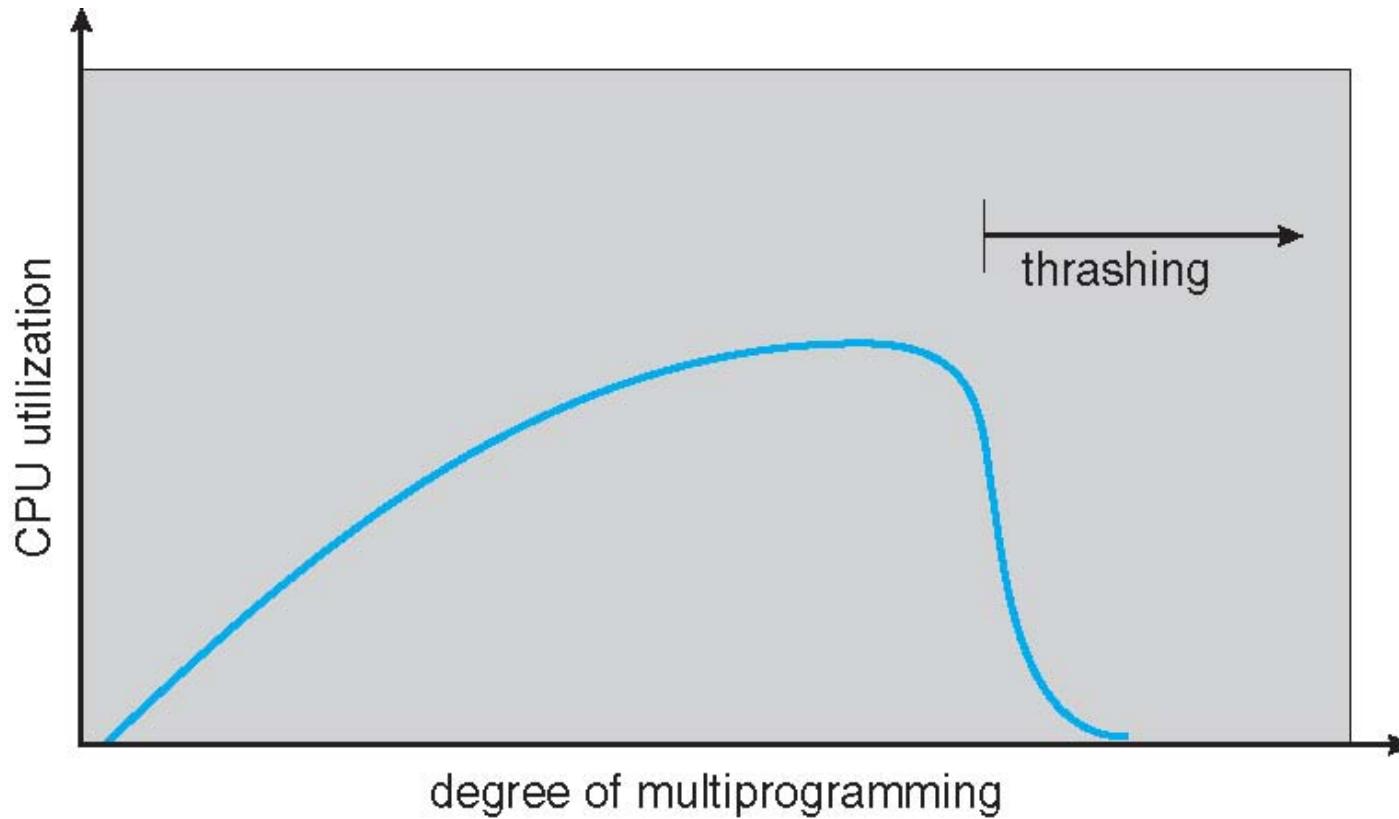
---

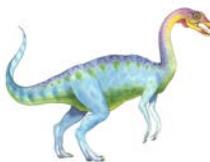
- If a process does not have “enough” pages, the page-fault rate is very high
  - Page fault to get page
  - Replace existing frame
  - But quickly need replaced frame back
  - This leads to:
    - ▶ Low CPU utilization
    - ▶ Operating system thinking that it needs to increase the degree of multiprogramming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





# Thrashing (Cont.)





# Demand Paging and Thrashing

- Why does demand paging work?

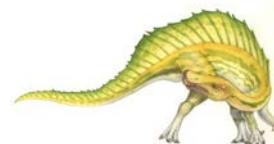
## Locality model

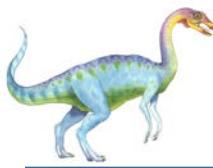
- Process migrates from one locality to another
- Localities may overlap

- Why does thrashing occur?

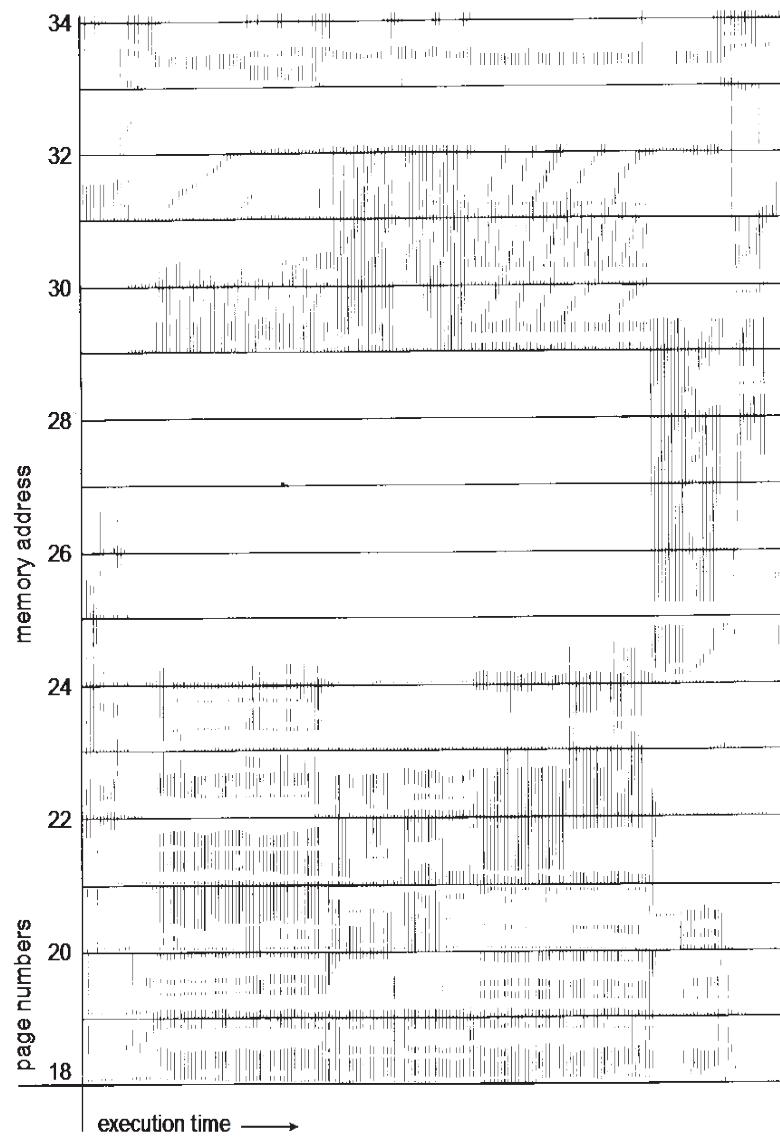
$\Sigma$  size of locality > total memory size

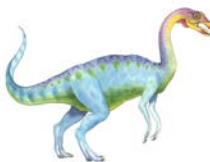
- Limit effects by using local or priority page replacement





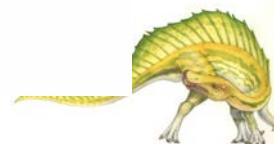
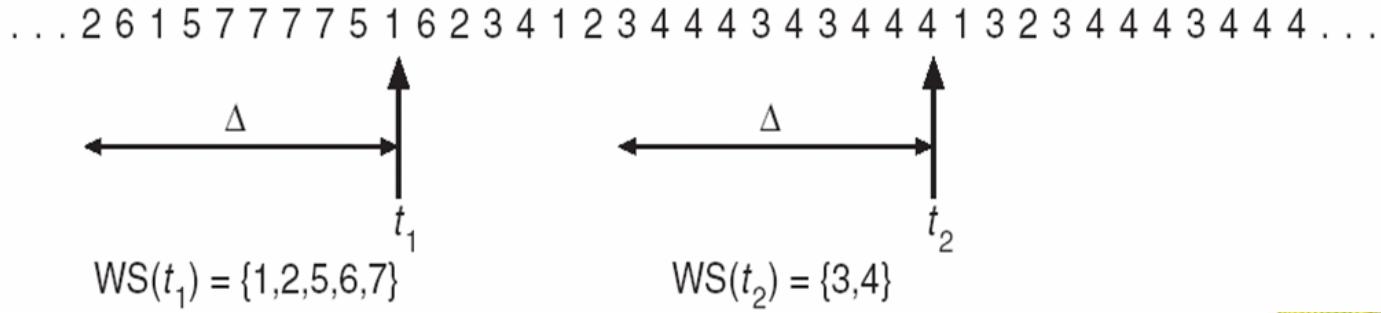
# Locality In A Memory-Reference Pattern





# Working-Set Model

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



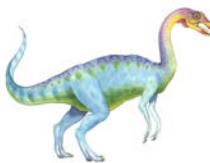


# Keeping Track of the Working Set

---

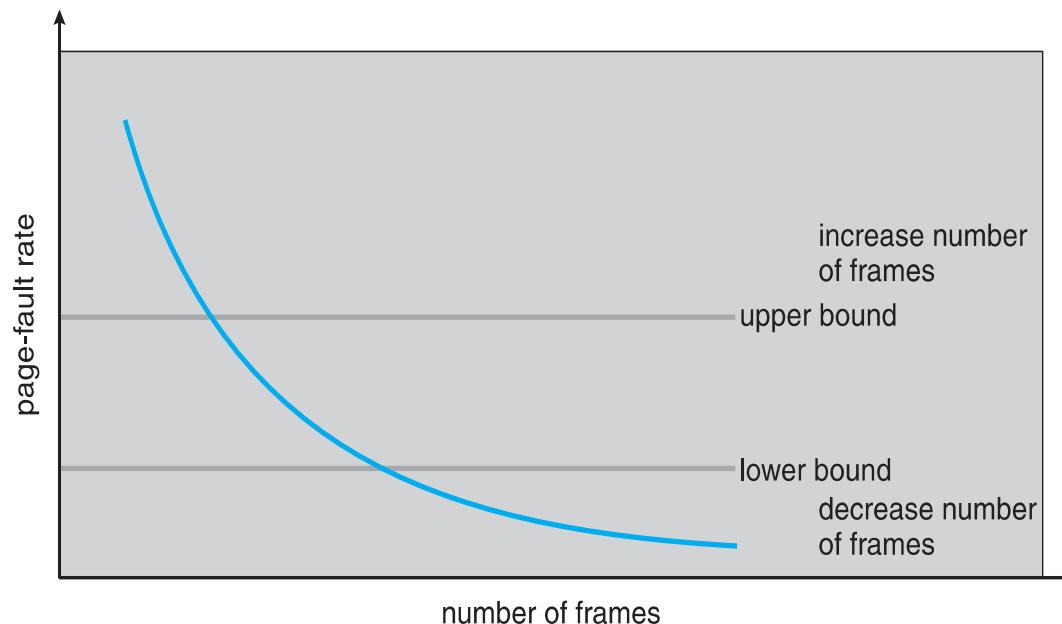
- Approximate with interval timer + a reference bit
- Example:  $\Delta = 10,000$ 
  - Timer interrupts after every 5000 time units
  - Keep in memory 2 bits for each page
  - Whenever a timer interrupts copy and sets the values of all reference bits to 0
  - If one of the bits in memory = 1  $\Rightarrow$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

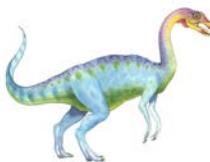




# Page-Fault Frequency

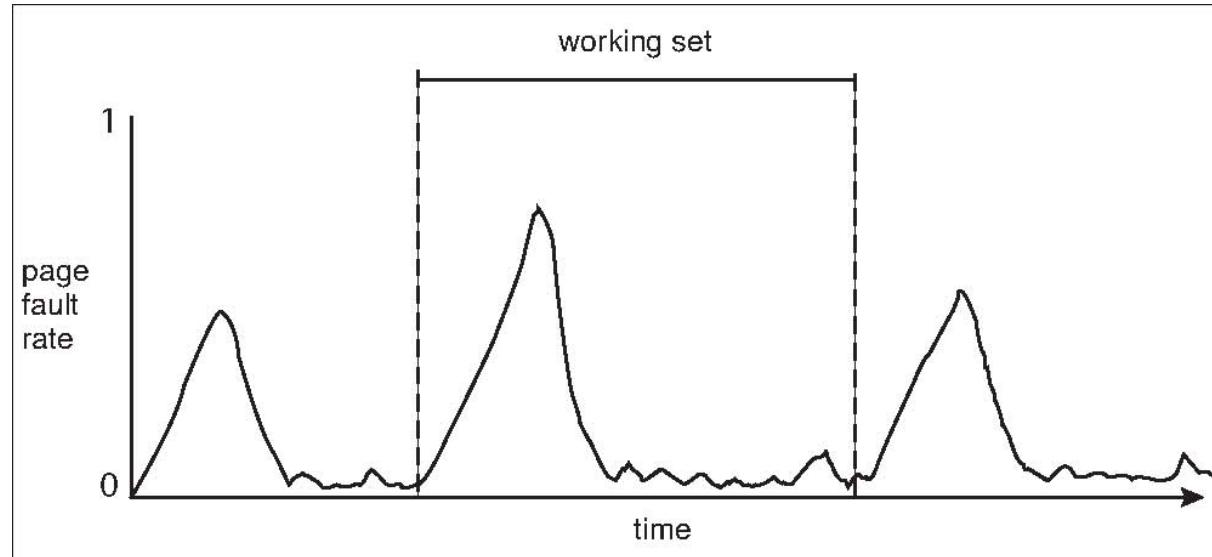
- More direct approach than WSS
- Establish “acceptable” **page-fault frequency (PFF)** rate and use local replacement policy
  - If actual rate too low, process loses frame
  - If actual rate too high, process gains frame

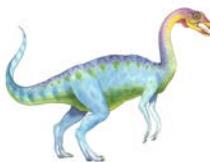




# Working Sets and Page Fault Rates

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



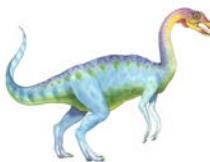


# Memory-Mapped Files

---

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





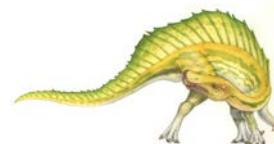
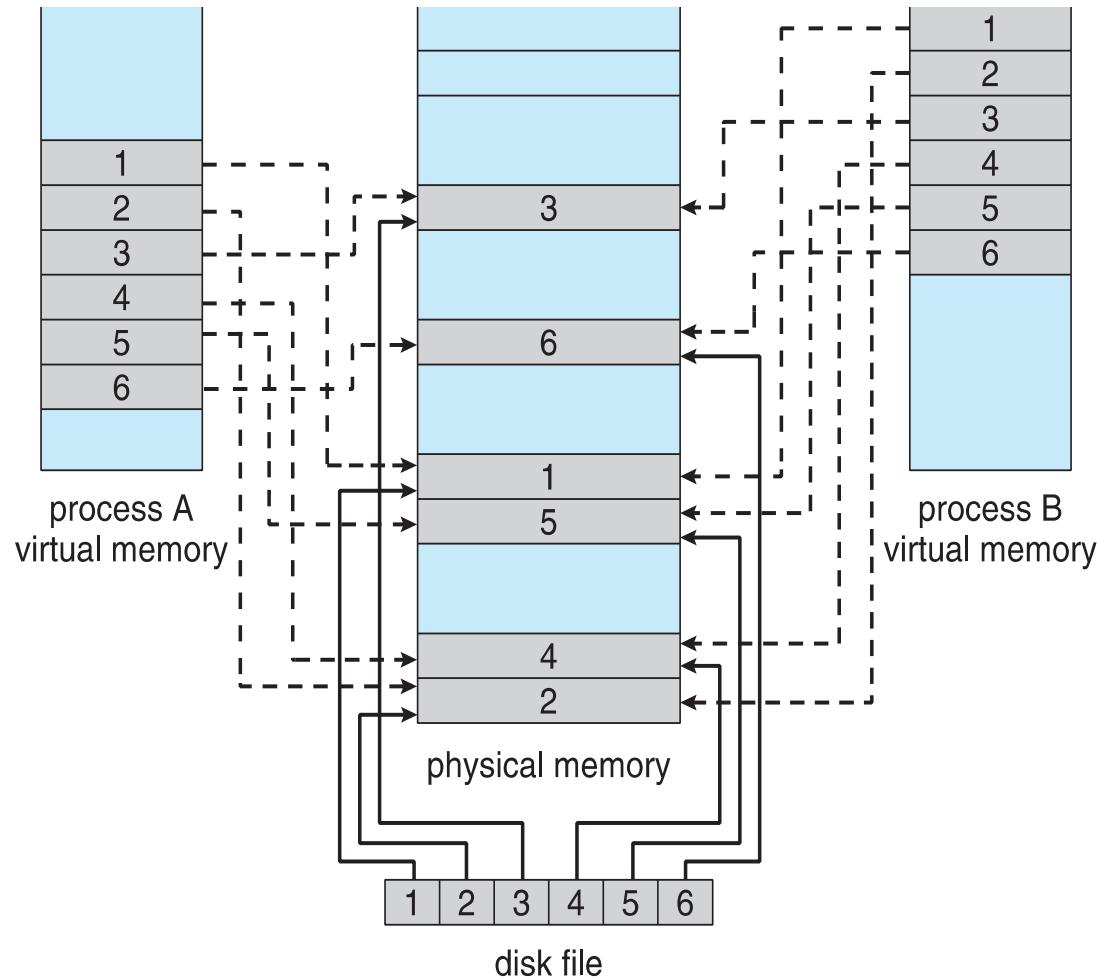
# Memory-Mapped File Technique for all I/O

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



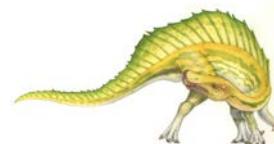
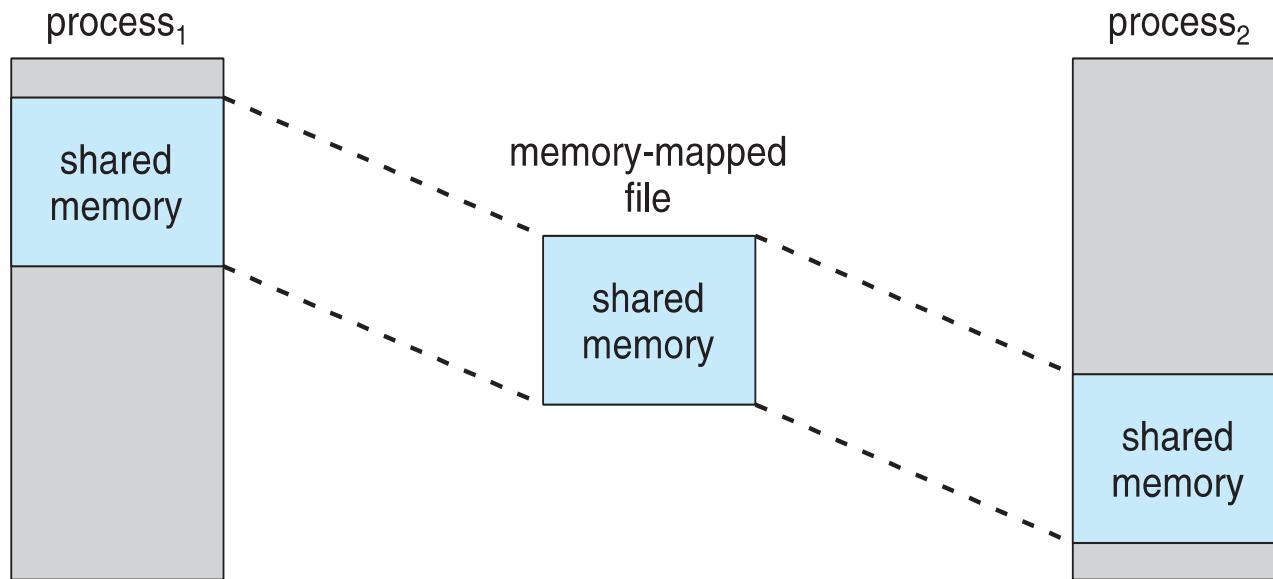


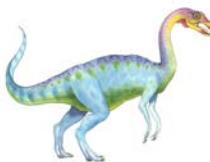
# Memory Mapped Files





# Shared Memory via Memory-Mapped I/O



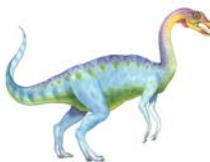


# Shared Memory in Windows API

---

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



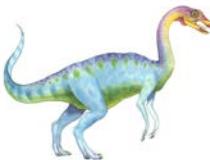


# Allocating Kernel Memory

---

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



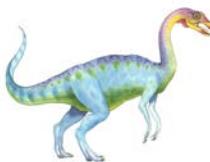


# Buddy System

---

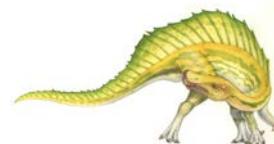
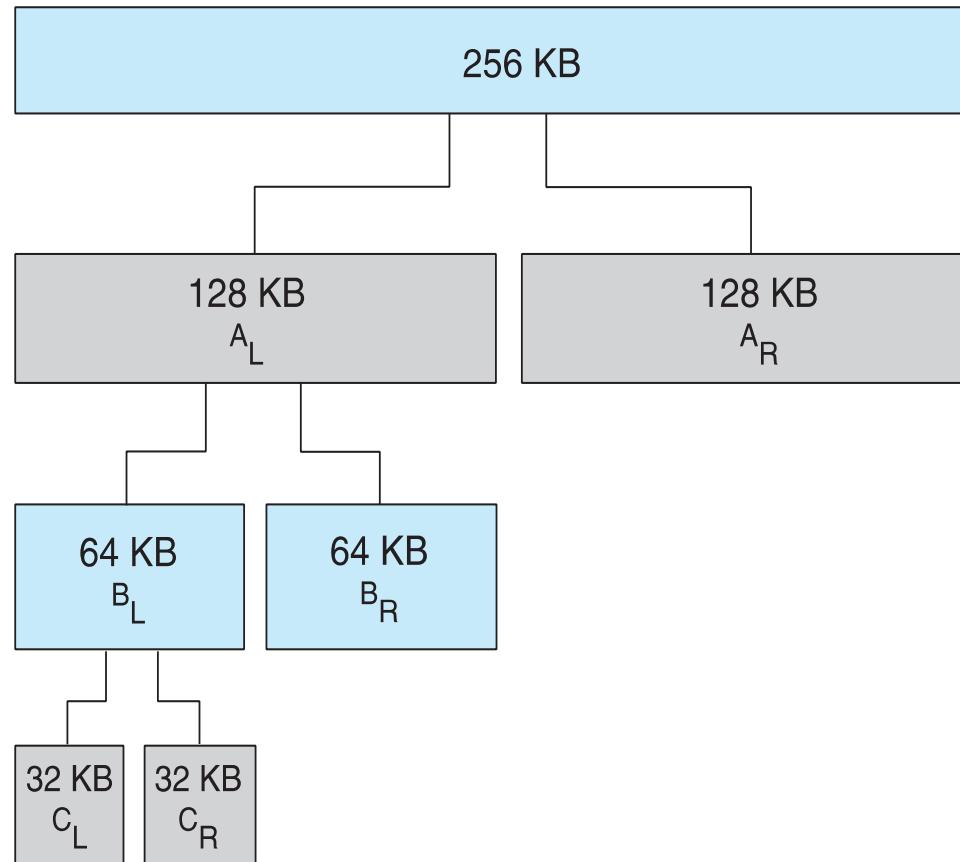
- Allocates memory from fixed-size segment consisting of physically-contiguous pages
- Memory allocated using **power-of-2 allocator**
  - Satisfies requests in units sized as power of 2
  - Request rounded up to next highest power of 2
  - When smaller allocation needed than is available, current chunk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

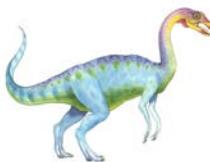




# Buddy System Allocator

physically contiguous pages





# Slab Allocator

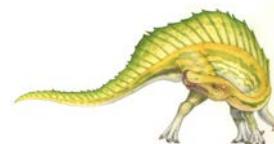
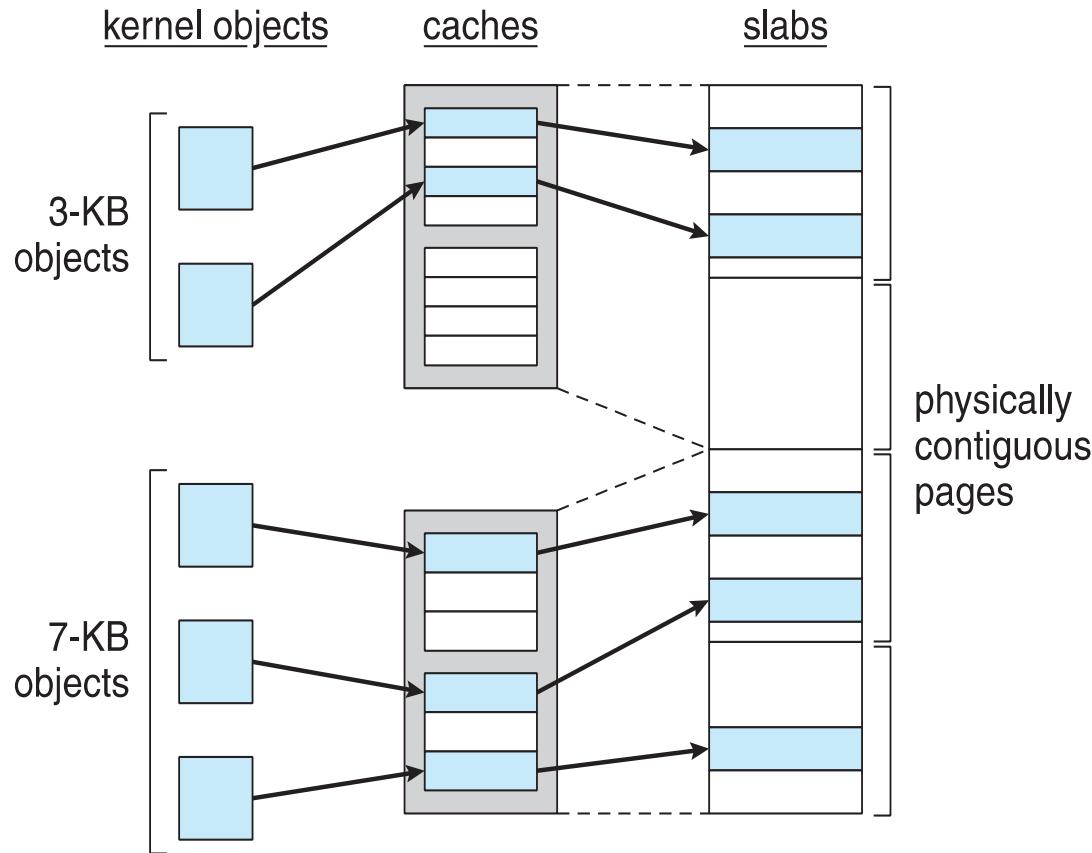
---

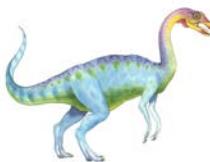
- Alternate strategy
- **Slab** is one or more physically contiguous pages
- **Cache** consists of one or more slabs
- Single cache for each unique kernel data structure
  - Each cache filled with **objects** – instantiations of the data structure
- When cache created, filled with objects marked as **free**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





# Slab Allocation



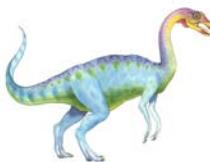


# Slab Allocator in Linux

---

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



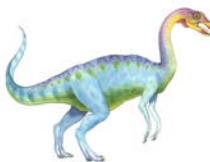


# Slab Allocator in Linux (Cont.)

---

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

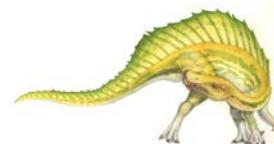


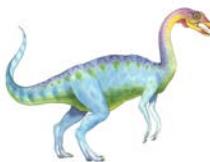


# Other Considerations -- Prepaging

## ■ Prepaging

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

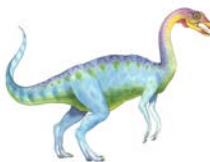




# Other Issues – Page Size

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



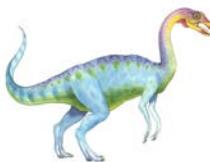


# Other Issues – TLB Reach

---

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





# Other Issues – Program Structure

## ■ Program structure

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

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

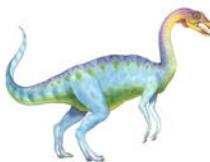
$128 \times 128 = 16,384$  page faults

- Program 2

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

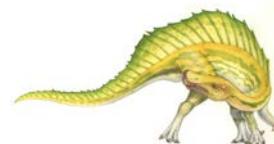
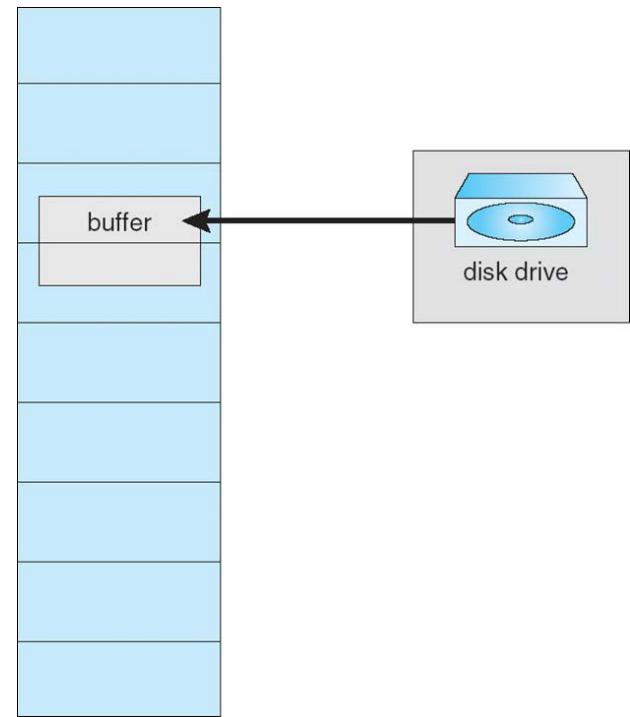
128 page faults

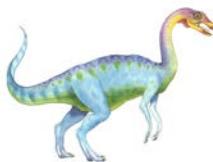




# Other Issues – I/O interlock

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



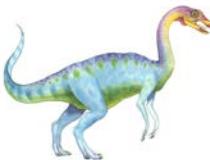


# Operating System Examples

---

- Windows
- Solaris





# Windows

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



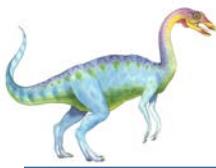


# Solaris

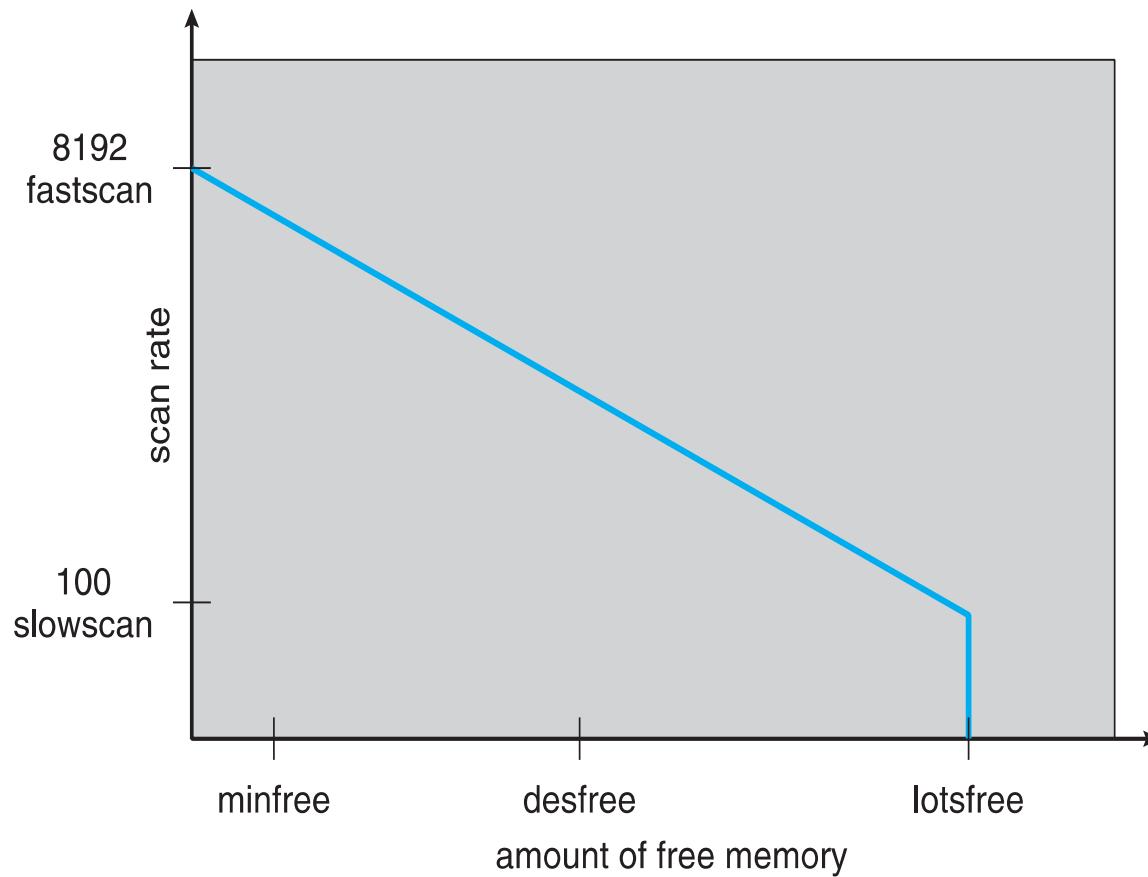
---

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

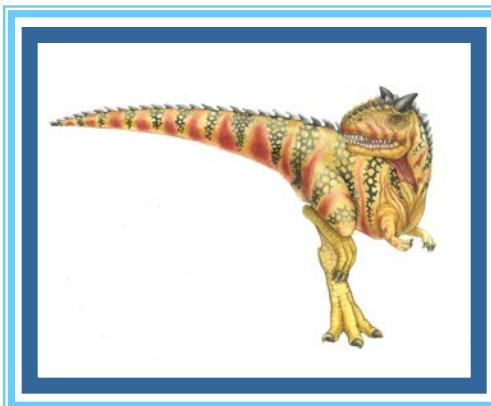




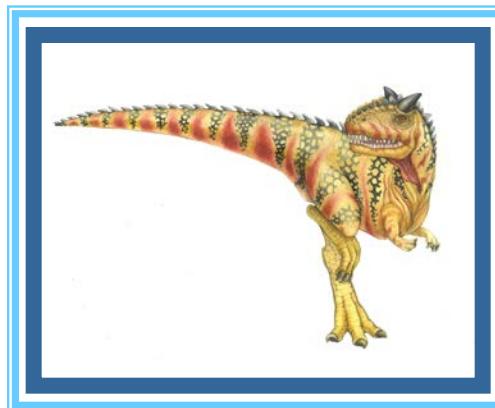
# Solaris 2 Page Scanner

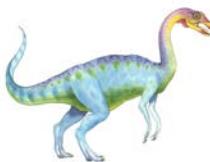


# End of Chapter 9



# Chapter 10: Mass-Storage Systems

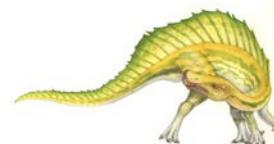


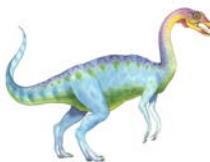


# Chapter 10: Mass-Storage Systems

---

- Overview of Mass Storage Structure
- Disk Structure
- Disk Attachment
- Disk Scheduling
- Disk Management
- Swap-Space Management
- RAID Structure
- Stable-Storage Implementation

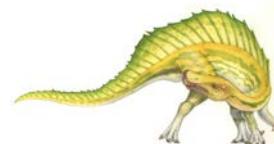




# Objectives

---

- To describe the physical structure of secondary storage devices and its effects on the uses of the devices
- To explain the performance characteristics of mass-storage devices
- To evaluate disk scheduling algorithms
- To discuss operating-system services provided for mass storage, including RAID



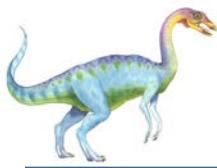


# Overview of Mass Storage Structure

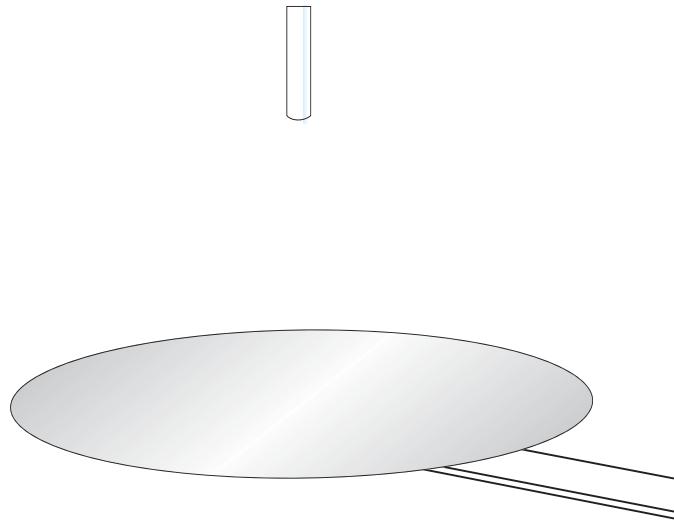
---

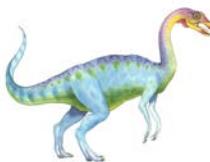
- **Magnetic disks** provide bulk of secondary storage of modern computers
  - Drives rotate at 60 to 250 times per second
  - **Transfer rate** is rate at which data flow between drive and computer
  - **Positioning time (random-access time)** is time to move disk arm to desired cylinder (**seek time**) and time for desired sector to rotate under the disk head (**rotational latency**)
  - **Head crash** results from disk head making contact with the disk surface -- That's bad
- Disks can be removable
- Drive attached to computer via **I/O bus**
  - Busses vary, including **EIDE, ATA, SATA, USB, Fibre Channel, SCSI, SAS, Firewire**
  - **Host controller** in computer uses bus to talk to **disk controller** built into drive or storage array





# Moving-head Disk Mechanism





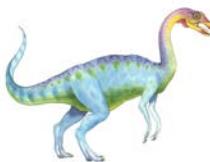
# Hard Disks

- Platters range from .85" to 14" (historically)
  - Commonly 3.5", 2.5", and 1.8"
- Range from 30GB to 3TB per drive
- Performance
  - Transfer Rate – theoretical – 6 Gb/sec
  - Effective Transfer Rate – real – 1Gb/sec
  - Seek time from 3ms to 12ms – 9ms common for desktop drives
  - Average seek time measured or calculated based on 1/3 of tracks
  - Latency based on spindle speed
    - ▶  $1 / (\text{RPM} / 60) = 60 / \text{RPM}$
  - Average latency =  $\frac{1}{2}$  latency

| Spindle [rpm] | Average latency [ms] |
|---------------|----------------------|
| 4200          | 7.14                 |
| 5400          | 5.56                 |
| 7200          | 4.17                 |
| 10000         | 3                    |
| 15000         | 2                    |

(From Wikipedia)



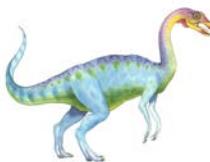


# Hard Disk Performance

---

- **Access Latency** = **Average access time** = average seek time + average latency
  - For fastest disk  $3\text{ms} + 2\text{ms} = 5\text{ms}$
  - For slow disk  $9\text{ms} + 5.56\text{ms} = 14.56\text{ms}$
- Average I/O time = average access time + (amount to transfer / transfer rate) + controller overhead
- For example to transfer a 4KB block on a 7200 RPM disk with a 5ms average seek time, 1Gb/sec transfer rate with a .1ms controller overhead =
  - $5\text{ms} + 4.17\text{ms} + 0.1\text{ms} + \text{transfer time} =$
  - Transfer time =  $4\text{KB} / 1\text{Gb/s} * 8\text{Gb} / \text{GB} * 1\text{GB} / 1024^2\text{KB} = 32 / (1024^2) = 0.031 \text{ ms}$
  - Average I/O time for 4KB block =  $9.27\text{ms} + .031\text{ms} = 9.301\text{ms}$





# The First Commercial Disk Drive



1956

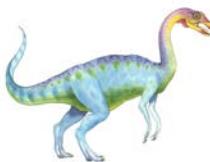
IBM RAMDAC computer  
included the IBM Model  
350 disk storage system

5M (7 bit) characters

50 x 24" platters

Access time = < 1 second





# Solid-State Disks

- Nonvolatile memory used like a hard drive
  - Many technology variations
- Can be more reliable than HDDs
- More expensive per MB
- Maybe have shorter life span
- Less capacity
- But much faster
- Busses can be too slow -> connect directly to PCI for example
- No moving parts, so no seek time or rotational latency



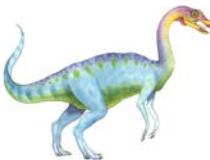


# Magnetic Tape

---

- Was early secondary-storage medium
  - Evolved from open spools to cartridges
- Relatively permanent and holds large quantities of data
- Access time slow
- Random access ~1000 times slower than disk
- Mainly used for backup, storage of infrequently-used data, transfer medium between systems
- Kept in spool and wound or rewound past read-write head
- Once data under head, transfer rates comparable to disk
  - 140MB/sec and greater
- 200GB to 1.5TB typical storage
- Common technologies are LTO-{3,4,5} and T10000





# Disk Structure

---

- Disk drives are addressed as large 1-dimensional arrays of **logical blocks**, where the logical block is the smallest unit of transfer
  - Low-level formatting creates **logical blocks** on physical media
- The 1-dimensional array of logical blocks is mapped into the sectors of the disk sequentially
  - Sector 0 is the first sector of the first track on the outermost cylinder
  - Mapping proceeds in order through that track, then the rest of the tracks in that cylinder, and then through the rest of the cylinders from outermost to innermost
  - Logical to physical address should be easy
    - ▶ Except for bad sectors
    - ▶ Non-constant # of sectors per track via constant angular velocity

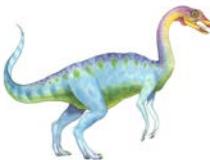




# Disk Attachment

- Host-attached storage accessed through I/O ports talking to I/O busses
- SCSI itself is a bus, up to 16 devices on one cable, **SCSI initiator** requests operation and **SCSI targets** perform tasks
  - Each target can have up to 8 **logical units** (disks attached to device controller)
- FC is high-speed serial architecture
  - Can be switched fabric with 24-bit address space – the basis of **storage area networks (SANs)** in which many hosts attach to many storage units
- I/O directed to bus ID, device ID, logical unit (LUN)

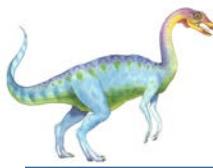




# Storage Array

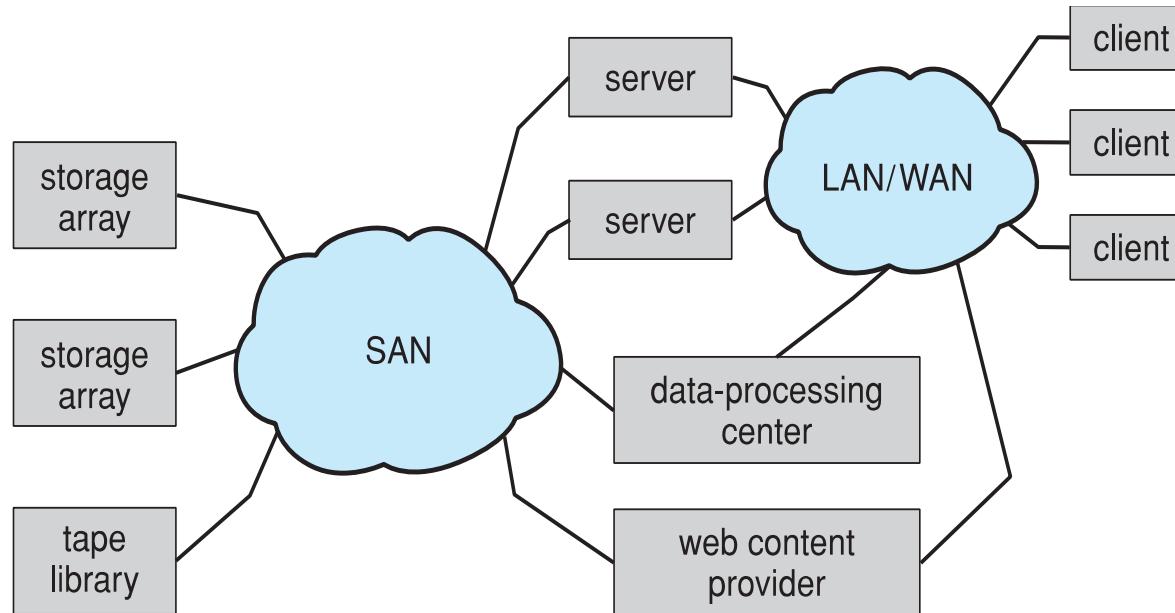
- Can just attach disks, or arrays of disks
- Storage Array has controller(s), provides features to attached host(s)
  - Ports to connect hosts to array
  - Memory, controlling software (sometimes NVRAM, etc)
  - A few to thousands of disks
  - RAID, hot spares, hot swap (discussed later)
  - Shared storage -> more efficiency
  - Features found in some file systems
    - ▶ Snapshots, clones, thin provisioning, replication, deduplication, etc

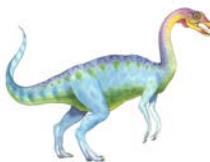




# Storage Area Network

- Common in large storage environments
- Multiple hosts attached to multiple storage arrays - flexible

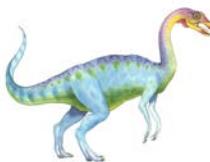




# Storage Area Network (Cont.)

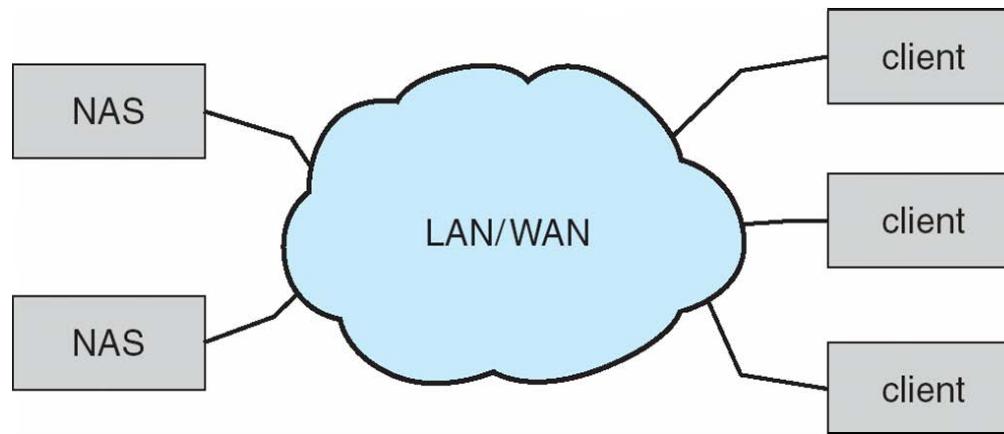
- SAN is one or more storage arrays
  - Connected to one or more Fibre Channel switches
- Hosts also attach to the switches
- Storage made available via **LUN Masking** from specific arrays to specific servers
- Easy to add or remove storage, add new host and allocate it storage
  - Over low-latency Fibre Channel fabric
- Why have separate storage networks and communications networks?
  - Consider iSCSI, FCOE

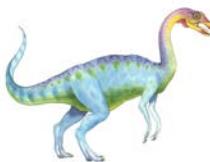




# Network-Attached Storage

- Network-attached storage (**NAS**) is storage made available over a network rather than over a local connection (such as a bus)
  - Remotely attaching to file systems
- NFS and CIFS are common protocols
- Implemented via remote procedure calls (RPCs) between host and storage over typically TCP or UDP on IP network
- **iSCSI** protocol uses IP network to carry the SCSI protocol
  - Remotely attaching to devices (blocks)

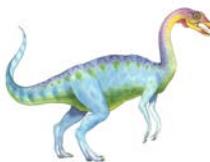




# Disk Scheduling

- The operating system is responsible for using hardware efficiently — for the disk drives, this means having a fast access time and disk bandwidth
- Minimize seek time
- Seek time  $\approx$  seek distance
- Disk **bandwidth** is the total number of bytes transferred, divided by the total time between the first request for service and the completion of the last transfer

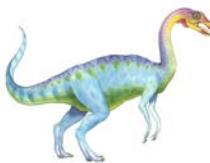




# Disk Scheduling (Cont.)

- There are many sources of disk I/O request
  - OS
  - System processes
  - Users processes
- I/O request includes input or output mode, disk address, memory address, number of sectors to transfer
- OS maintains queue of requests, per disk or device
- Idle disk can immediately work on I/O request, busy disk means work must queue
  - Optimization algorithms only make sense when a queue exists





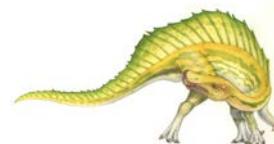
# Disk Scheduling (Cont.)

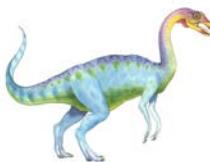
---

- Note that drive controllers have small buffers and can manage a queue of I/O requests (of varying “depth”)
- Several algorithms exist to schedule the servicing of disk I/O requests
- The analysis is true for one or many platters
- We illustrate scheduling algorithms with a request queue (0-199)

98, 183, 37, 122, 14, 124, 65, 67

Head pointer 53



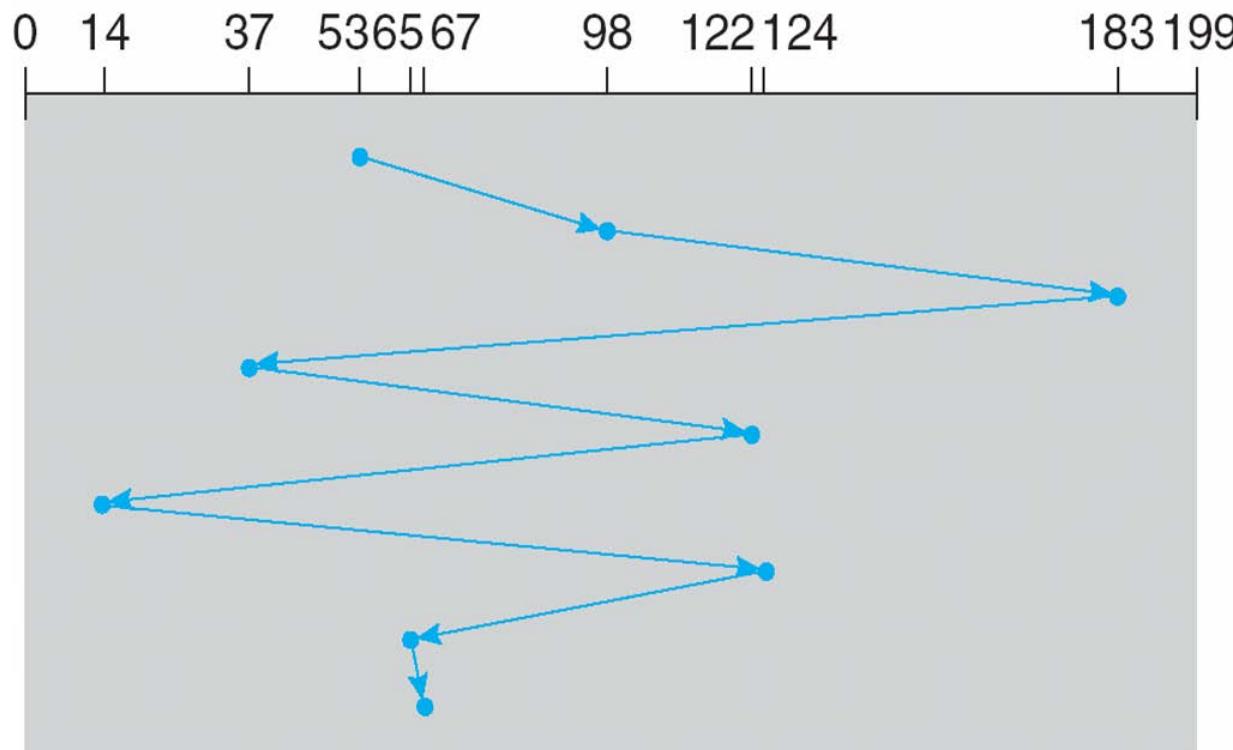


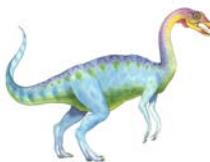
# FCFS

Illustration shows total head movement of 640 cylinders

queue = 98, 183, 37, 122, 14, 124, 65, 67

head starts at 53



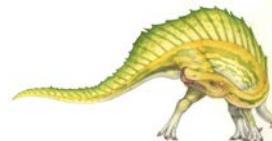
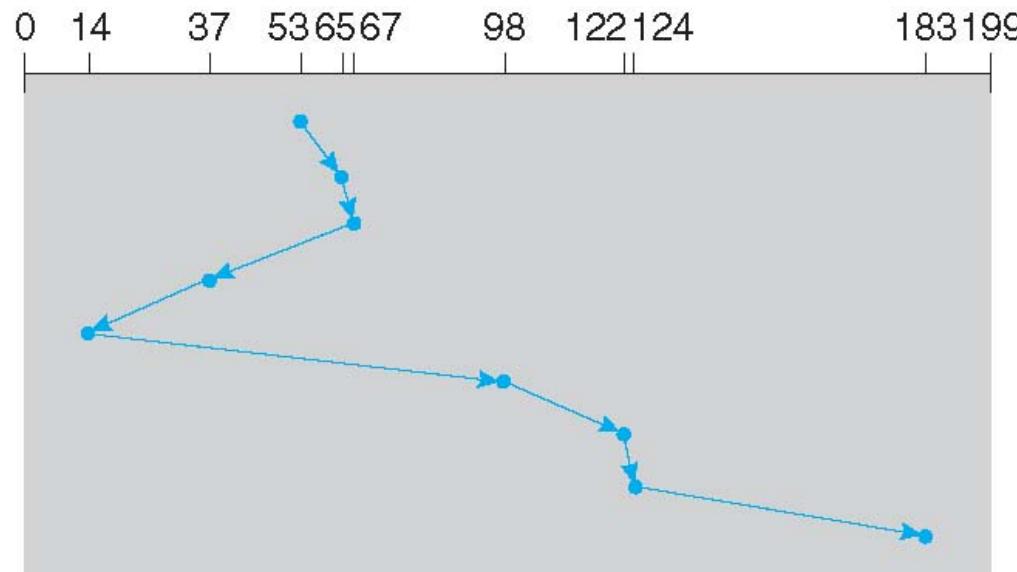


# SSTF

- Shortest Seek Time First selects the request with the minimum seek time from the current head position
- SSTF scheduling is a form of SJF scheduling; may cause starvation of some requests
- Illustration shows total head movement of 236 cylinders

queue = 98, 183, 37, 122, 14, 124, 65, 67

head starts at 53



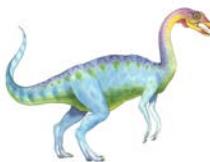


# SCAN

---

- The disk arm starts at one end of the disk, and moves toward the other end, servicing requests until it gets to the other end of the disk, where the head movement is reversed and servicing continues.
- **SCAN algorithm** Sometimes called the **elevator algorithm**
- Illustration shows total head movement of 208 cylinders
- But note that if requests are uniformly dense, largest density at other end of disk and those wait the longest

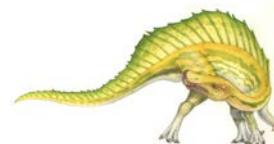
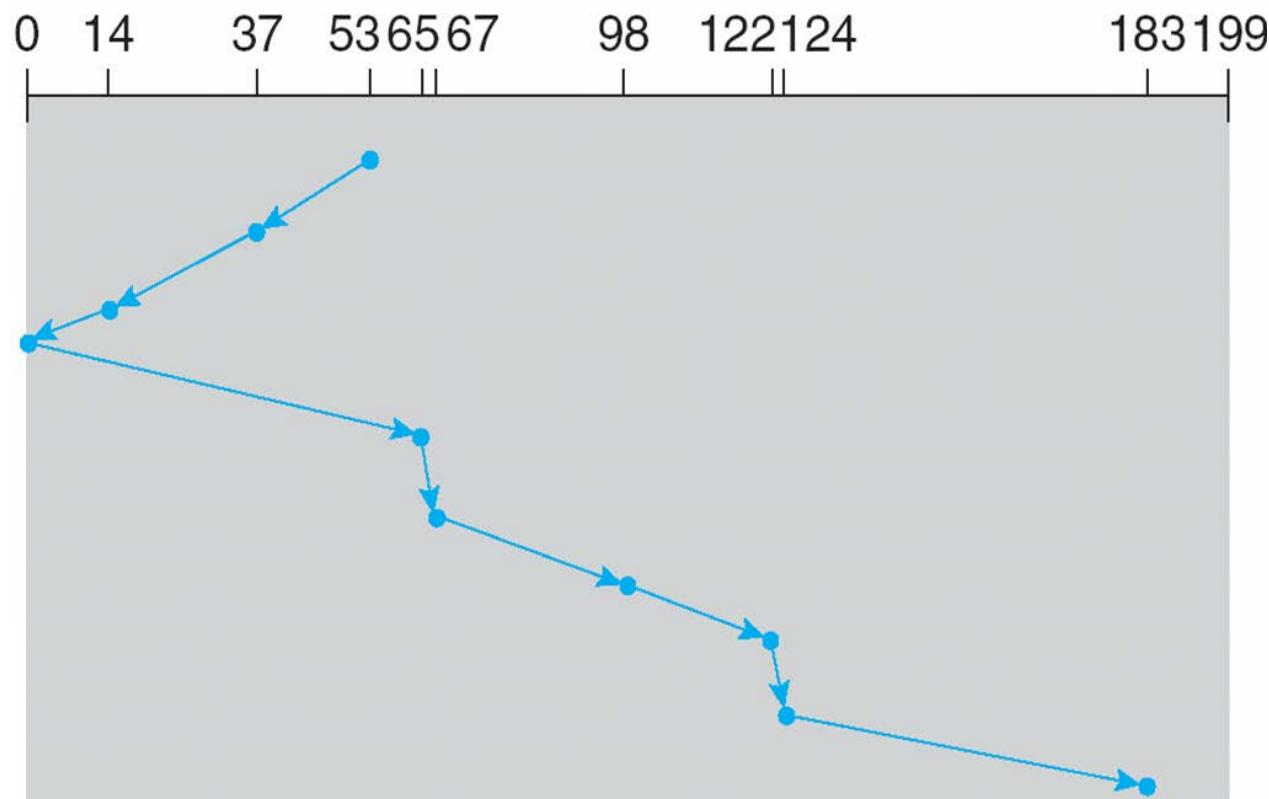


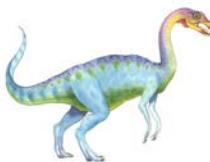


# SCAN (Cont.)

queue = 98, 183, 37, 122, 14, 124, 65, 67

head starts at 53





# C-SCAN

- Provides a more uniform wait time than SCAN
- The head moves from one end of the disk to the other, servicing requests as it goes
  - When it reaches the other end, however, it immediately returns to the beginning of the disk, without servicing any requests on the return trip
- Treats the cylinders as a circular list that wraps around from the last cylinder to the first one
- Total number of cylinders?

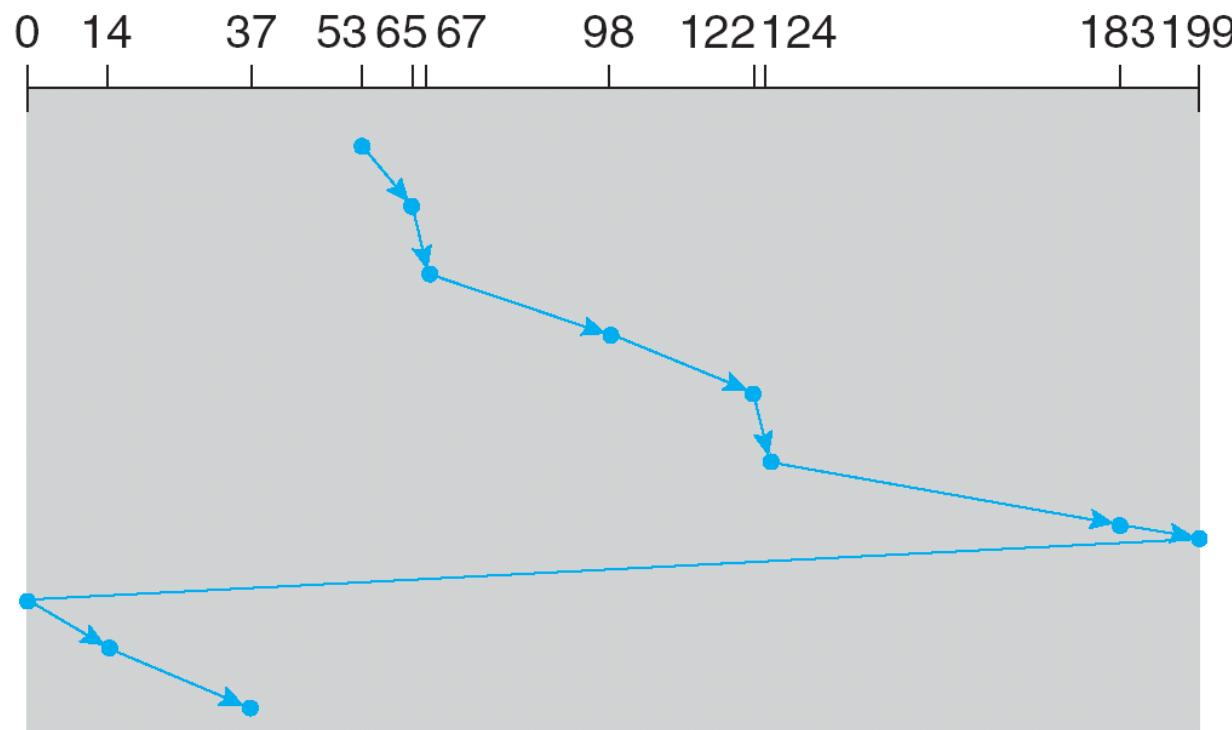




# C-SCAN (Cont.)

queue = 98, 183, 37, 122, 14, 124, 65, 67

head starts at 53



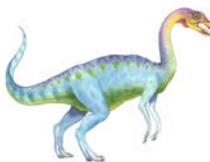


# C-LOOK

---

- LOOK a version of SCAN, C-LOOK a version of C-SCAN
- Arm only goes as far as the last request in each direction, then reverses direction immediately, without first going all the way to the end of the disk
- Total number of cylinders?

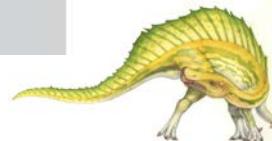
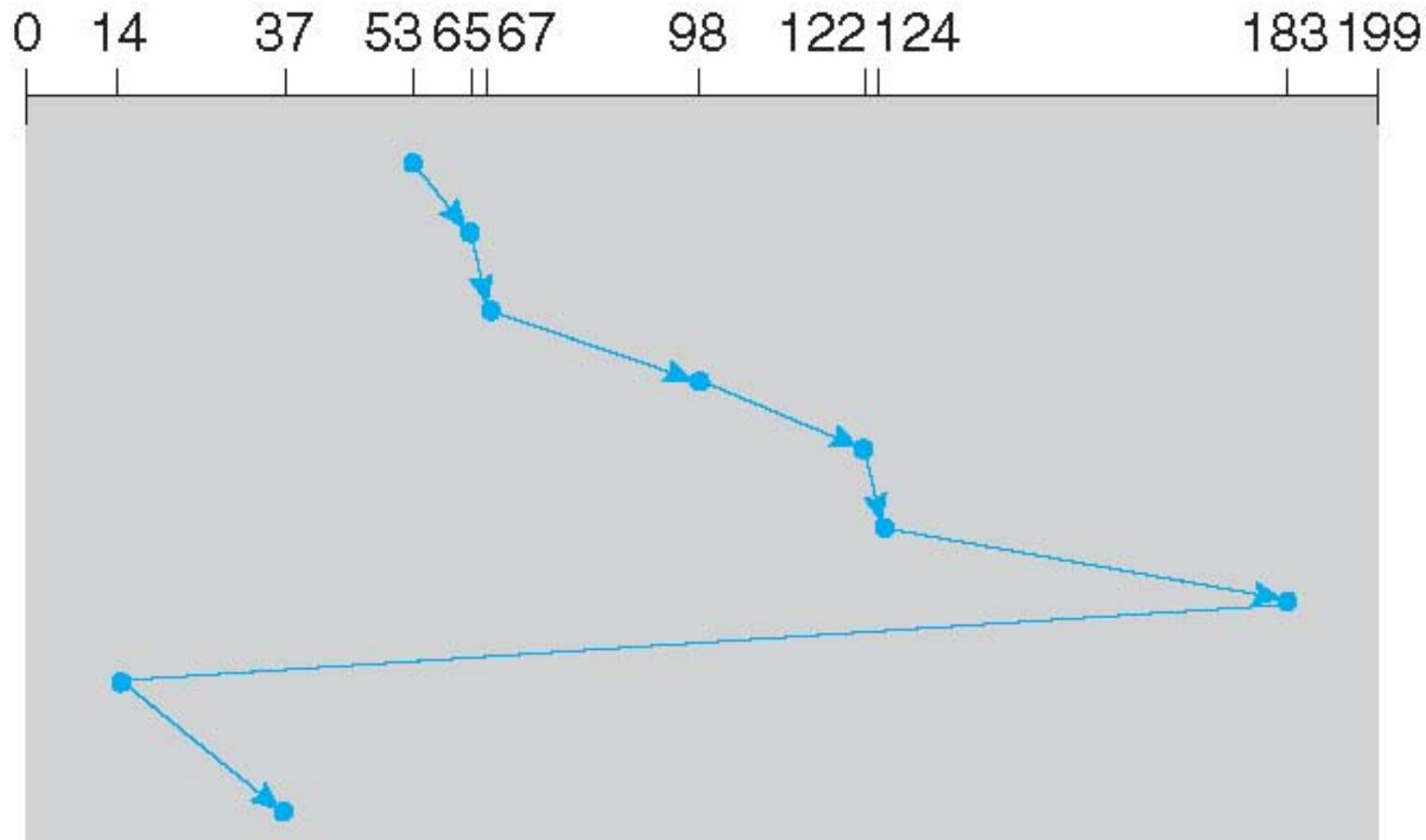


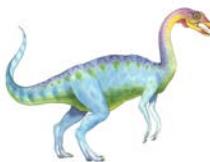


## C-LOOK (Cont.)

queue = 98, 183, 37, 122, 14, 124, 65, 67

head starts at 53

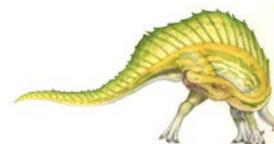


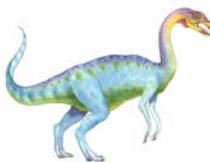


# Selecting a Disk-Scheduling Algorithm

---

- SSTF is common and has a natural appeal
- SCAN and C-SCAN perform better for systems that place a heavy load on the disk
  - Less starvation
- Performance depends on the number and types of requests
- Requests for disk service can be influenced by the file-allocation method
  - And metadata layout
- The disk-scheduling algorithm should be written as a separate module of the operating system, allowing it to be replaced with a different algorithm if necessary
- Either SSTF or LOOK is a reasonable choice for the default algorithm
- What about rotational latency?
  - Difficult for OS to calculate
- How does disk-based queueing effect OS queue ordering efforts?

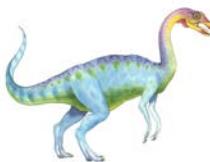




# Disk Management

- **Low-level formatting**, or **physical formatting** — Dividing a disk into sectors that the disk controller can read and write
  - Each sector can hold header information, plus data, plus error correction code (**ECC**)
  - Usually 512 bytes of data but can be selectable
- To use a disk to hold files, the operating system still needs to record its own data structures on the disk
  - **Partition** the disk into one or more groups of cylinders, each treated as a logical disk
  - **Logical formatting** or “making a file system”
  - To increase efficiency most file systems group blocks into **clusters**
    - ▶ Disk I/O done in blocks
    - ▶ File I/O done in clusters

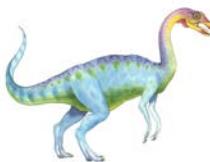




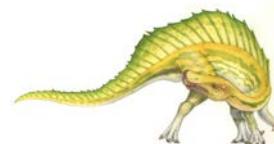
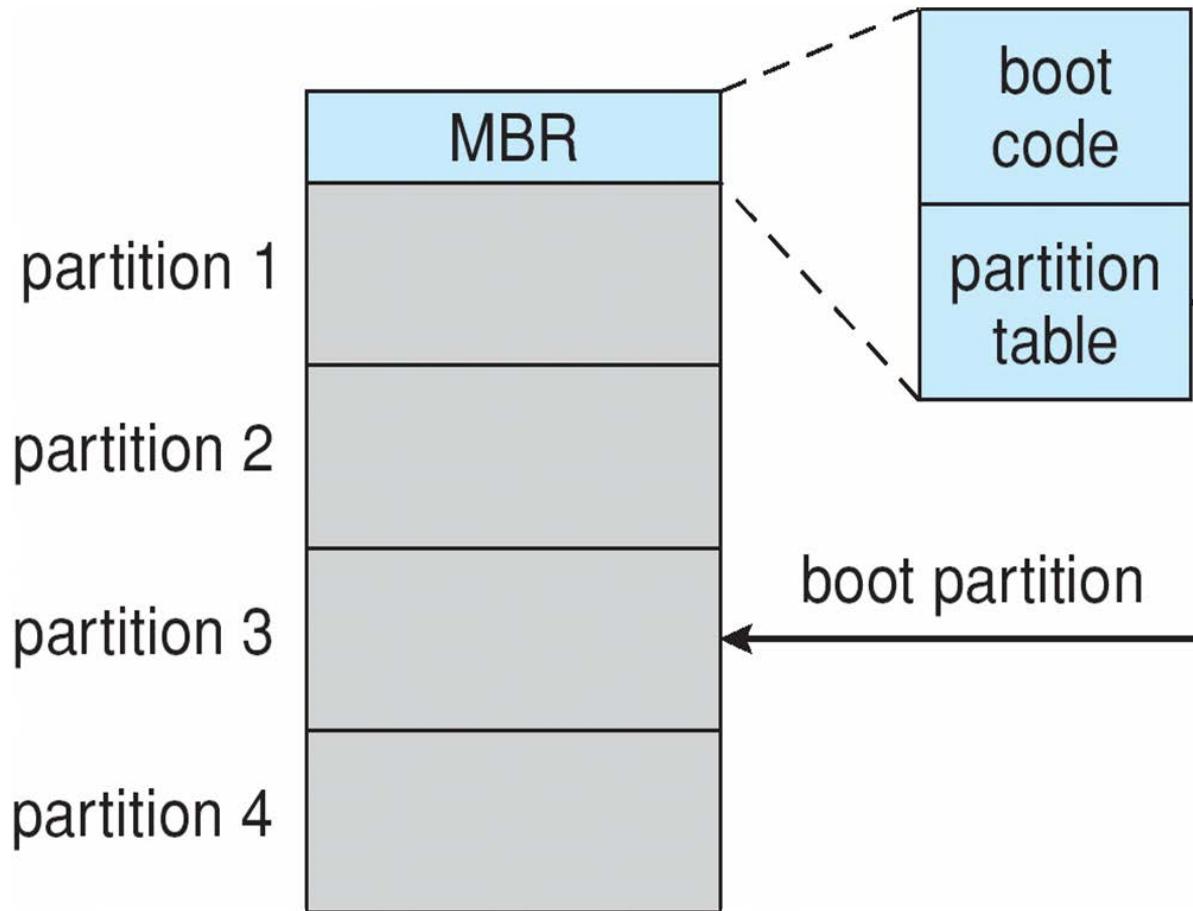
# Disk Management (Cont.)

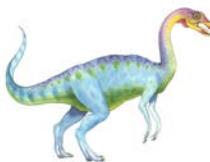
- Raw disk access for apps that want to do their own block management, keep OS out of the way (databases for example)
- Boot block initializes system
  - The bootstrap is stored in ROM
  - **Bootstrap loader** program stored in boot blocks of boot partition
- Methods such as **sector sparing** used to handle bad blocks





# Booting from a Disk in Windows

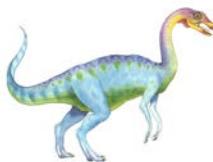




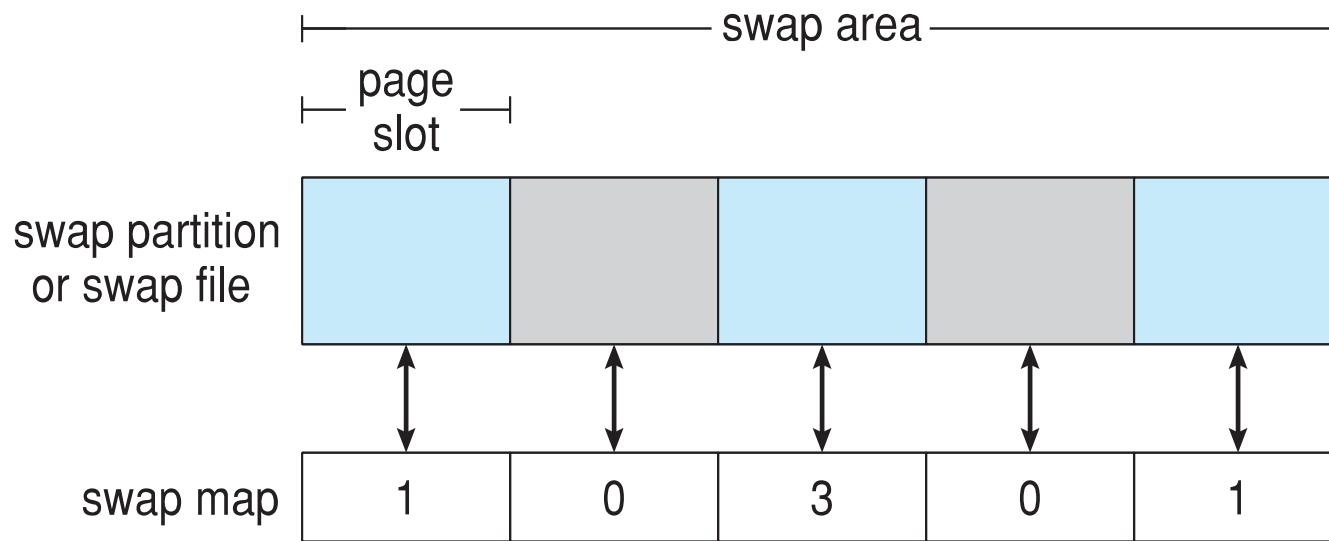
# Swap-Space Management

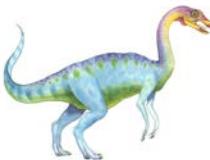
- Swap-space — Virtual memory uses disk space as an extension of main memory
  - Less common now due to memory capacity increases
- Swap-space can be carved out of the normal file system, or, more commonly, it can be in a separate disk partition (raw)
- Swap-space management
  - 4.3BSD allocates swap space when process starts; holds text segment (the program) and data segment
  - Kernel uses **swap maps** to track swap-space use
  - Solaris 2 allocates swap space only when a dirty page is forced out of physical memory, not when the virtual memory page is first created
    - ▶ File data written to swap space until write to file system requested
    - ▶ Other dirty pages go to swap space due to no other home
    - ▶ Text segment pages thrown out and reread from the file system as needed
- What if a system runs out of swap space?
- Some systems allow multiple swap spaces





# Data Structures for Swapping on Linux Systems



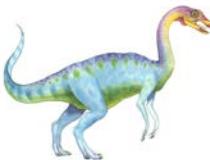


# RAID Structure

---

- RAID – redundant array of inexpensive disks
  - multiple disk drives provides reliability via **redundancy**
- Increases the **mean time to failure**
- **Mean time to repair** – exposure time when another failure could cause data loss
- **Mean time to data loss** based on above factors
- If mirrored disks fail independently, consider disk with 1300,000 mean time to failure and 10 hour mean time to repair
  - Mean time to data loss is  $100,000^2 / (2 * 10) = 500 * 10^6$  hours, or 57,000 years!
- Frequently combined with **NVRAM** to improve write performance
- Several improvements in disk-use techniques involve the use of multiple disks working cooperatively



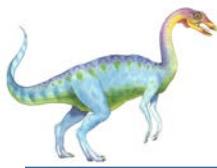


# RAID (Cont.)

---

- Disk **striping** uses a group of disks as one storage unit
- RAID is arranged into six different levels
- RAID schemes improve performance and improve the reliability of the storage system by storing redundant data
  - **Mirroring or shadowing (RAID 1)** keeps duplicate of each disk
  - Striped mirrors (**RAID 1+0**) or mirrored stripes (**RAID 0+1**) provides high performance and high reliability
  - **Block interleaved parity (RAID 4, 5, 6)** uses much less redundancy
- RAID within a storage array can still fail if the array fails, so automatic **replication** of the data between arrays is common
- Frequently, a small number of **hot-spare** disks are left unallocated, automatically replacing a failed disk and having data rebuilt onto them



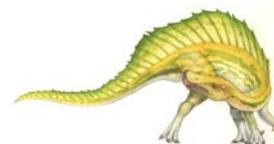
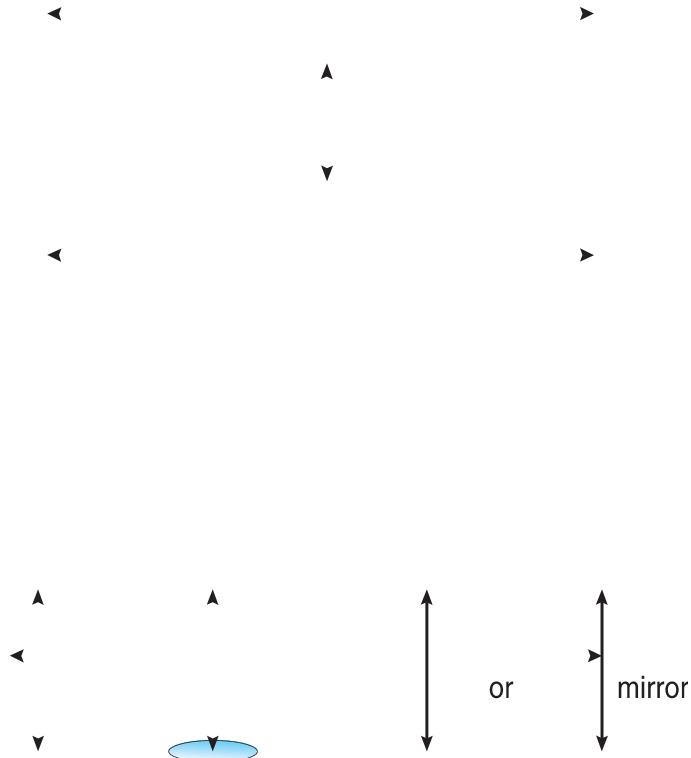


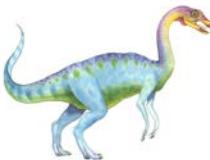
# RAID Levels





# RAID (0 + 1) and (1 + 0)



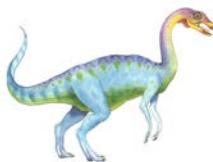


# Other Features

---

- Regardless of where RAID implemented, other useful features can be added
- **Snapshot** is a view of file system before a set of changes take place (i.e. at a point in time)
  - More in Ch 12
- Replication is automatic duplication of writes between separate sites
  - For redundancy and disaster recovery
  - Can be synchronous or asynchronous
- Hot spare disk is unused, automatically used by RAID production if a disk fails to replace the failed disk and rebuild the RAID set if possible
  - Decreases mean time to repair





# Extensions

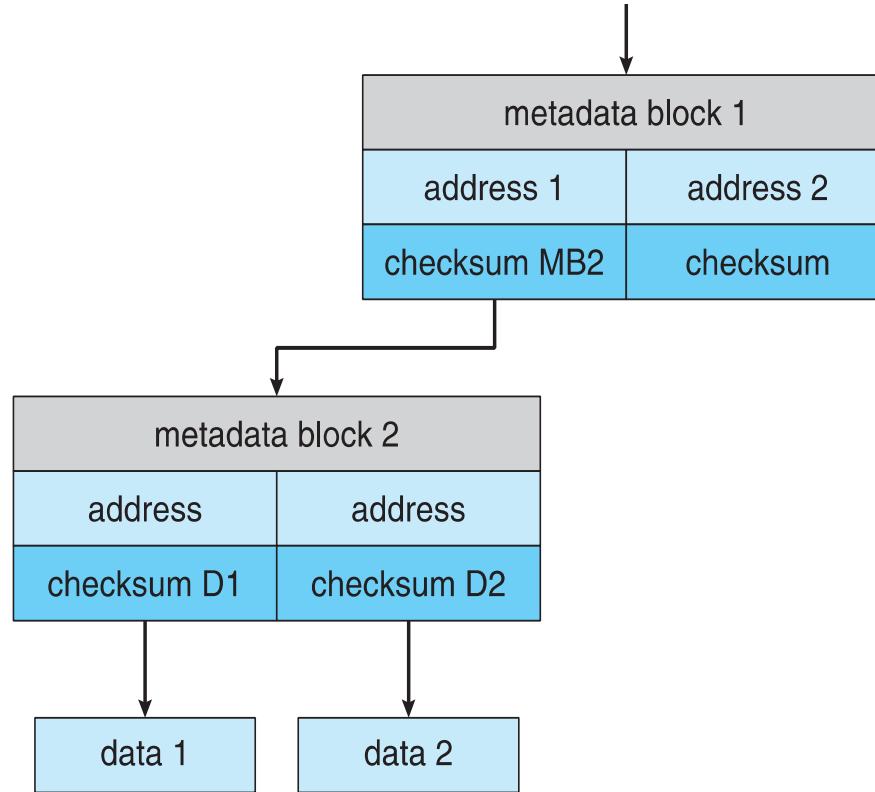
---

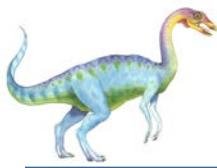
- RAID alone does not prevent or detect data corruption or other errors, just disk failures
- Solaris ZFS adds **checksums** of all data and metadata
- Checksums kept with pointer to object, to detect if object is the right one and whether it changed
- Can detect and correct data and metadata corruption
- ZFS also removes volumes, partitions
  - Disks allocated in **pools**
  - Filesystems with a pool share that pool, use and release space like `malloc()` and `free()` memory allocate / release calls



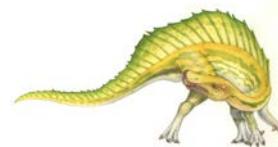


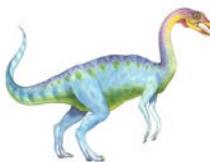
# ZFS Checksums All Metadata and Data





# Traditional and Pooled Storage

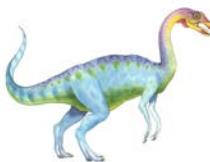




# Stable-Storage Implementation

- Write-ahead log scheme requires stable storage
- Stable storage means data is never lost (due to failure, etc)
- To implement stable storage:
  - Replicate information on more than one nonvolatile storage media with independent failure modes
  - Update information in a controlled manner to ensure that we can recover the stable data after any failure during data transfer or recovery
- Disk write has 1 of 3 outcomes
  1. **Successful completion** - The data were written correctly on disk
  2. **Partial failure** - A failure occurred in the midst of transfer, so only some of the sectors were written with the new data, and the sector being written during the failure may have been corrupted
  3. **Total failure** - The failure occurred before the disk write started, so the previous data values on the disk remain intact





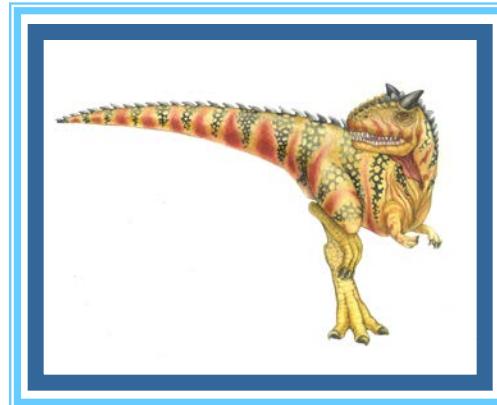
# Stable-Storage Implementation (Cont.)

- If failure occurs during block write, recovery procedure restores block to consistent state
  - System maintains 2 physical blocks per logical block and does the following:
    1. Write to 1<sup>st</sup> physical
    2. When successful, write to 2<sup>nd</sup> physical
    3. Declare complete only after second write completes successfully

Systems frequently use NVRAM as one physical to accelerate

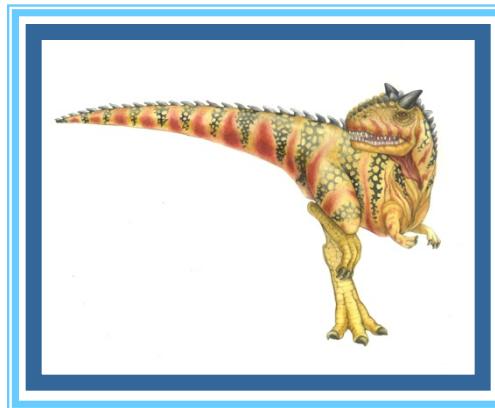


# End of Chapter 10



# Chapter 11:

# File-System Interface





# Chapter 11: File-System Interface

---

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





# Objectives

---

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





# File Concept

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





# File Attributes

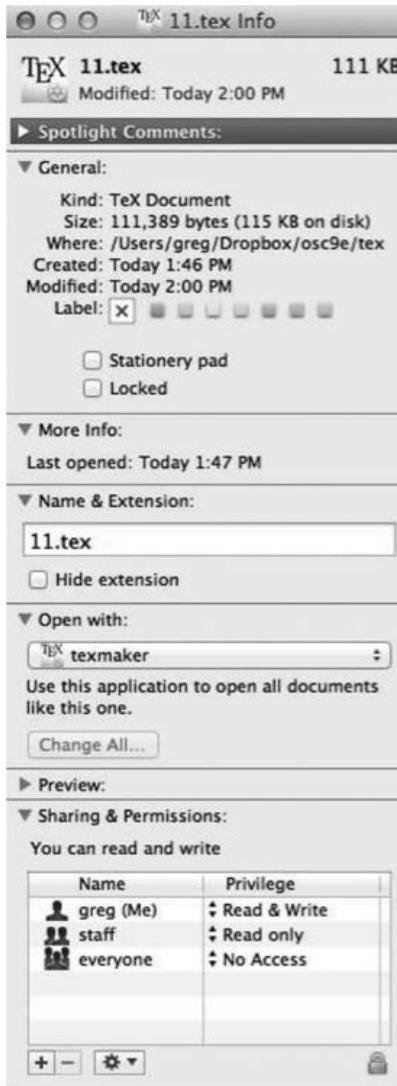
---

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





# File info Window on Mac OS X





# File Operations

---

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





# Open Files

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





# Open File Locking

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





# File Locking Example – Java API

---

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





# File Locking Example – Java API (Cont.)

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





# File Types – Name, Extension

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





# File Structure

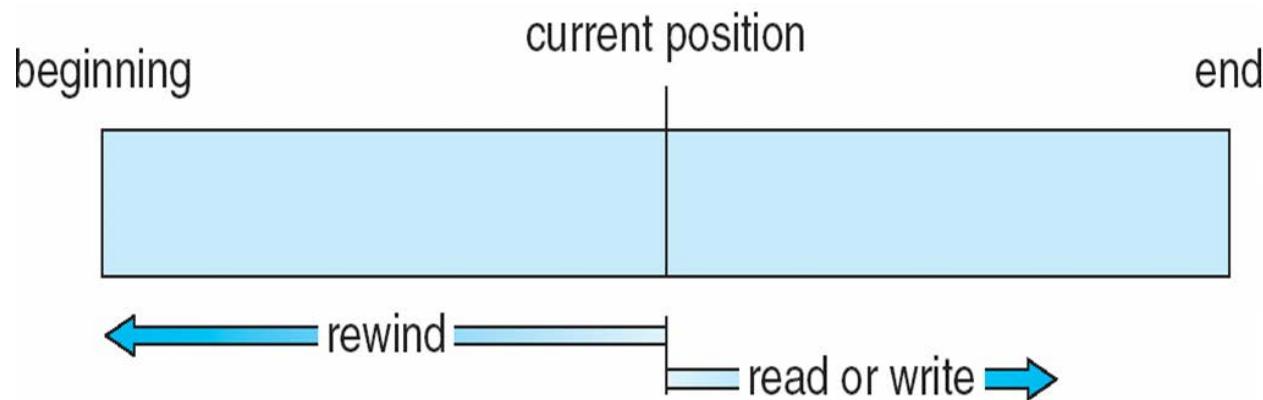
---

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





# Sequential-access File





# Access Methods

---

- **Sequential Access**

```
read next
write next
reset
no read after last write
(rewrite)
```

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

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

*n* = relative block number

- Relative block numbers allow OS to decide where file should be placed
  - See [allocation problem](#) in Ch 12





## Simulation of Sequential Access on Direct-access File

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





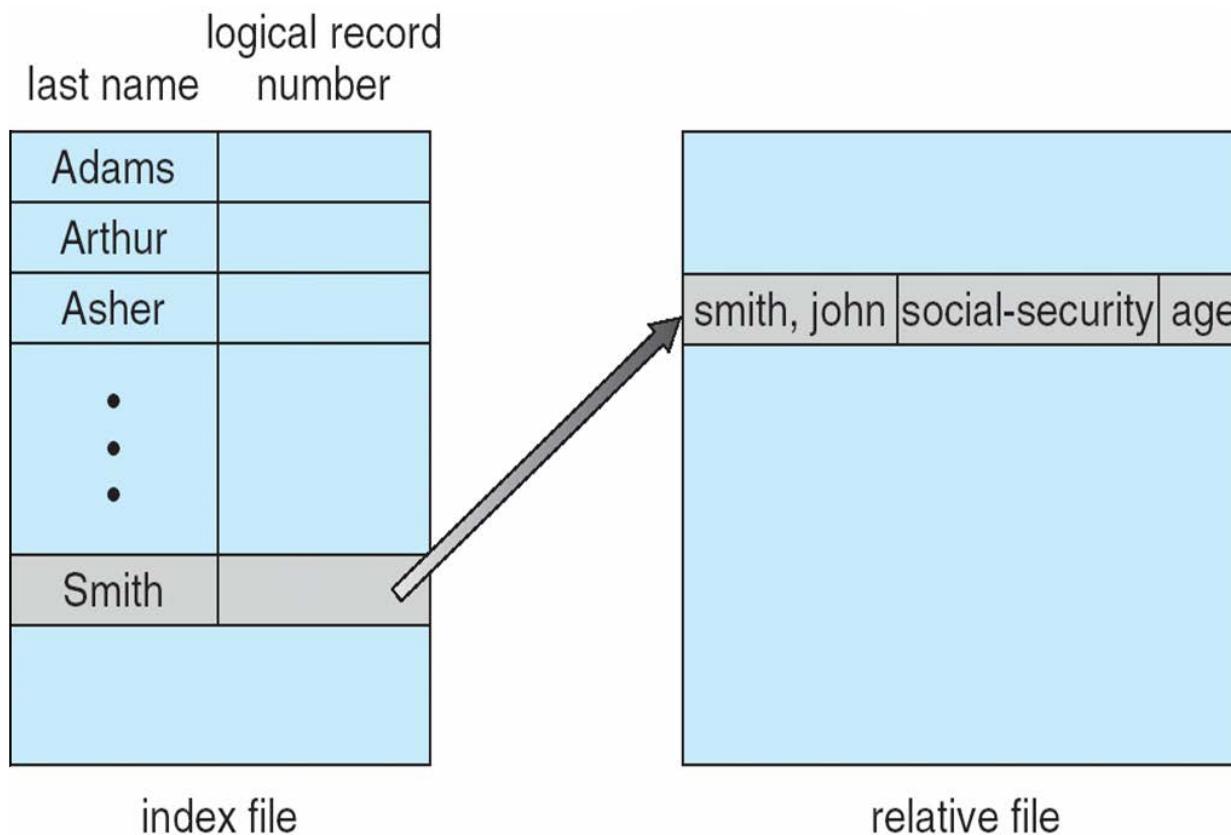
# Other Access Methods

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





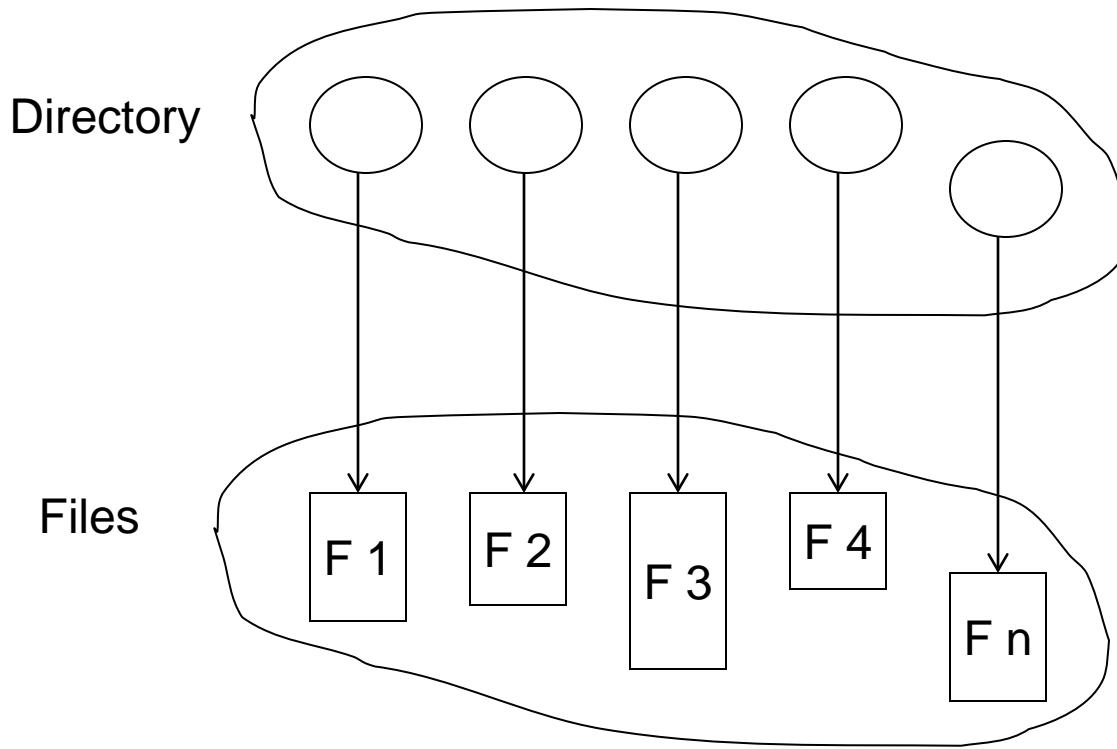
# Example of Index and Relative Files





# Directory Structure

- A collection of nodes containing information about all files



Both the directory structure and the files reside on disk





# Disk Structure

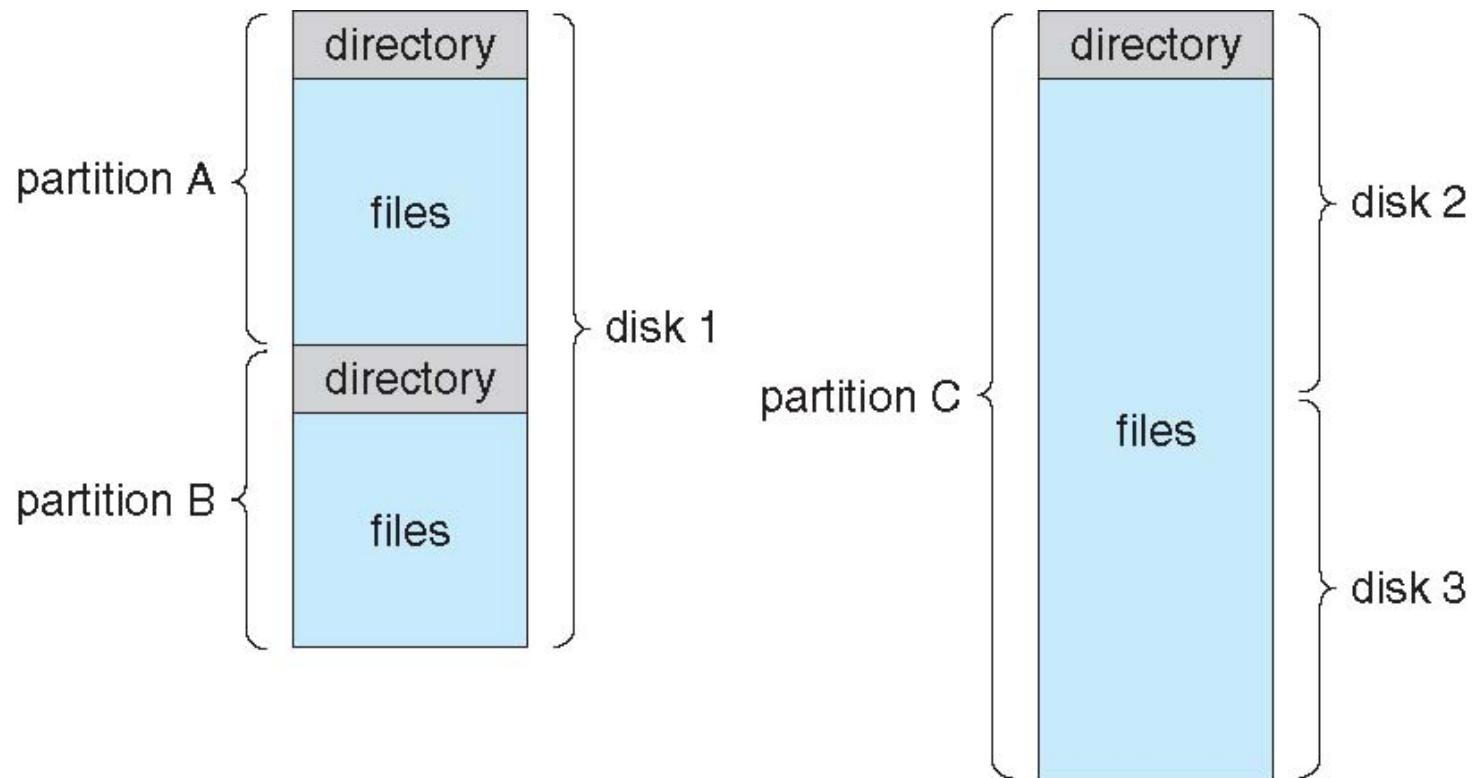
---

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





# A Typical File-system Organization





# Types of File Systems

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





# Operations Performed on Directory

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





# Directory Organization

---

The directory is organized logically to obtain

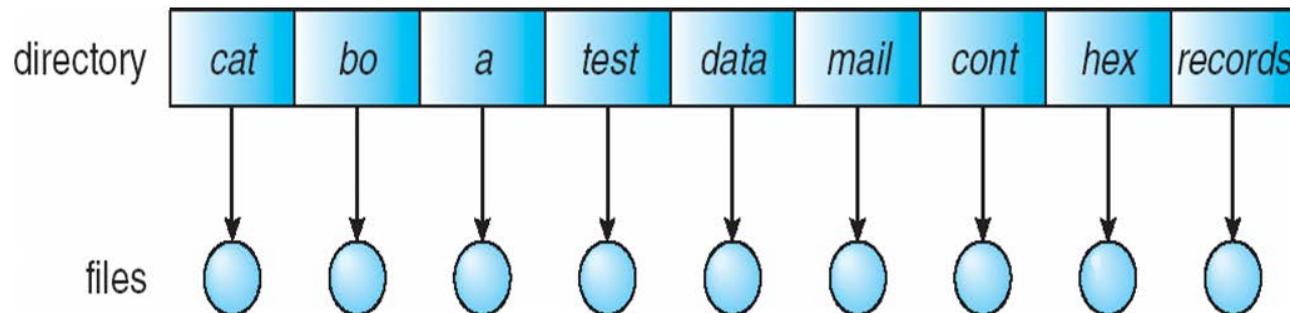
- Efficiency – locating a file quickly
- Naming – convenient to users
  - Two users can have same name for different files
  - The same file can have several different names
- Grouping – logical grouping of files by properties, (e.g., all Java programs, all games, ...)





# Single-Level Directory

- A single directory for all users



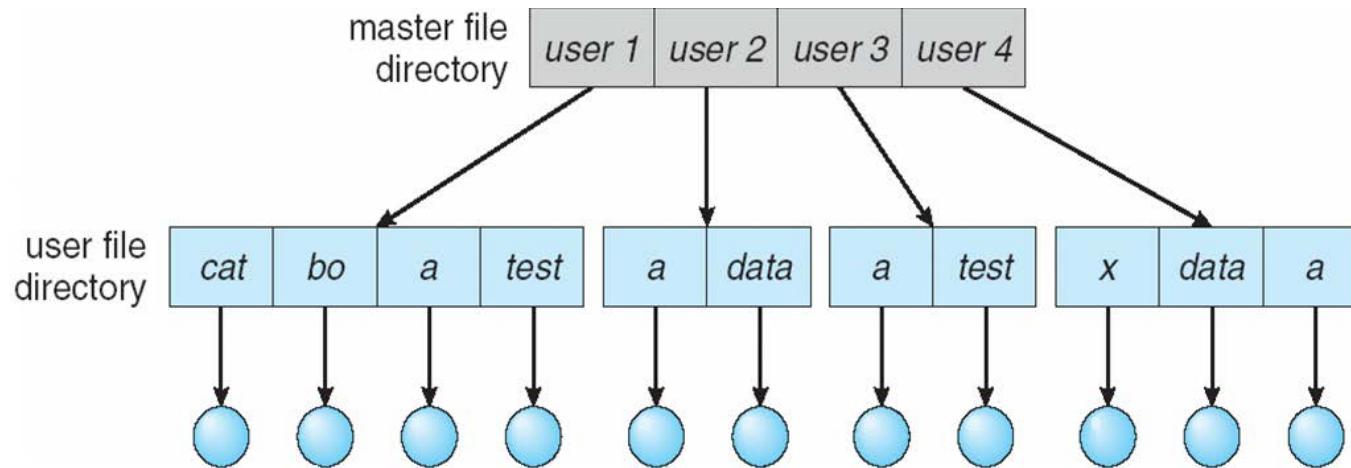
- Naming problem
- Grouping problem





# Two-Level Directory

- Separate directory for each user

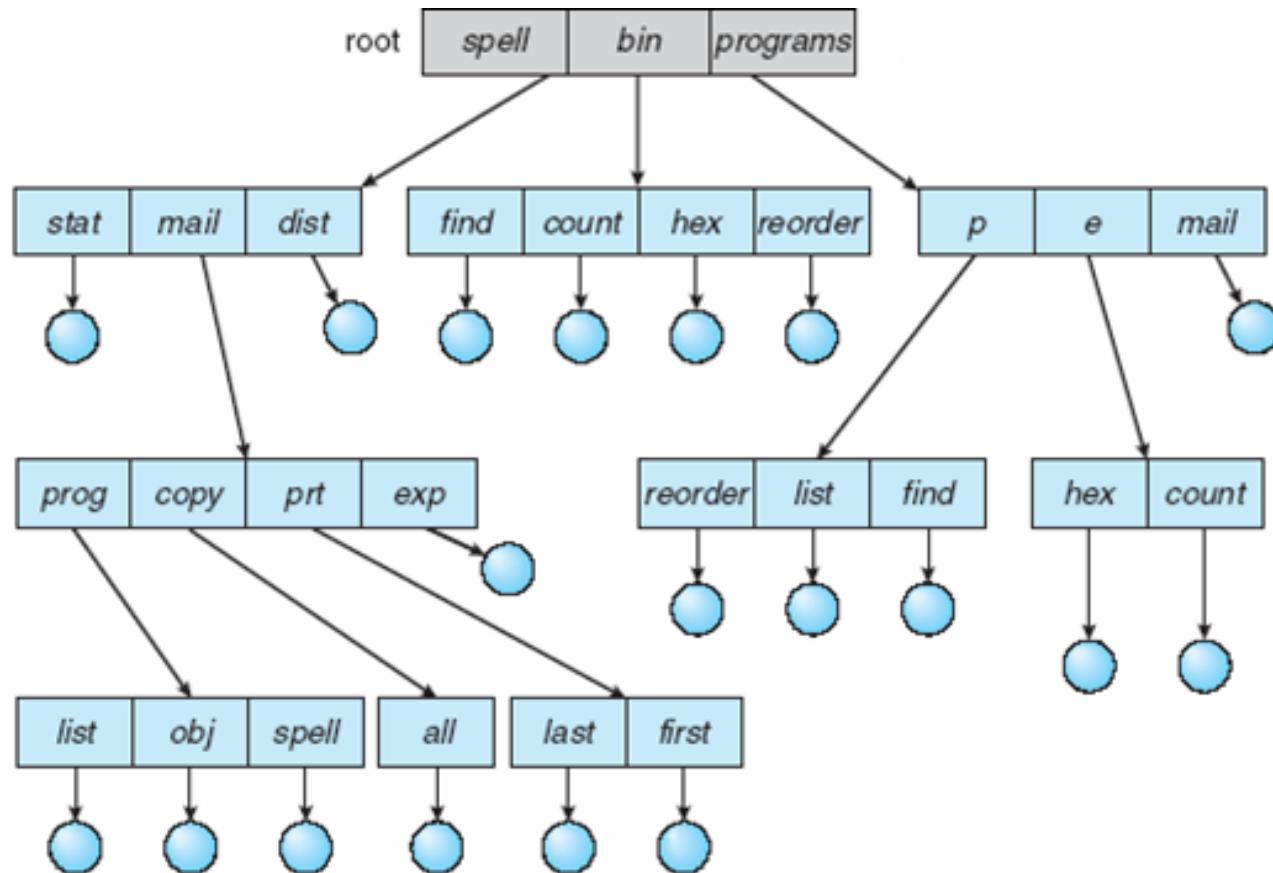


- Path name
- Can have the same file name for different user
- Efficient searching
- No grouping capability





# Tree-Structured Directories





# Tree-Structured Directories (Cont.)

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





# Tree-Structured Directories (Cont)

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

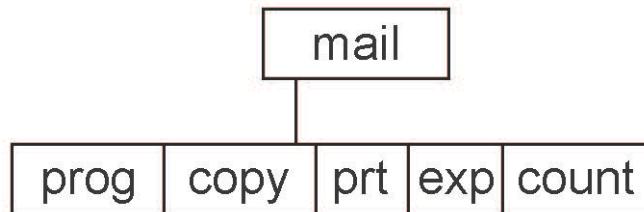
`rm <file-name>`

- Creating a new subdirectory is done in current directory

`mkdir <dir-name>`

Example: if in current directory `/mail`

`mkdir count`



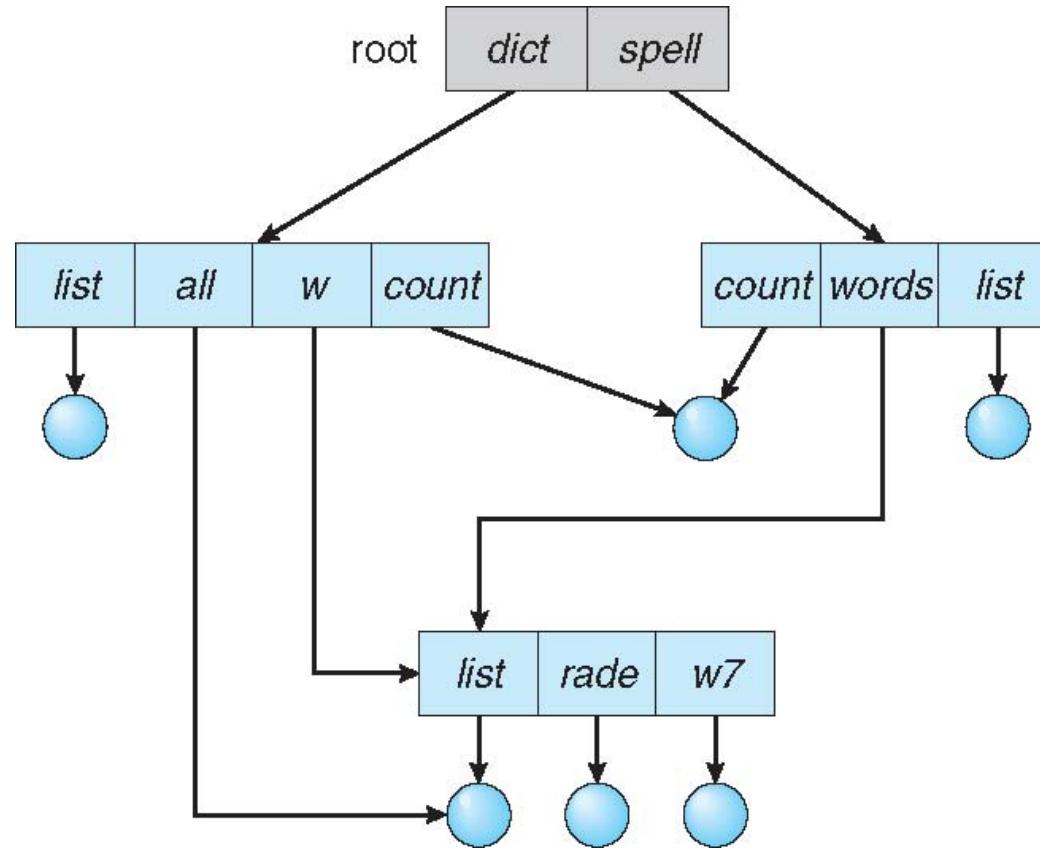
Deleting “mail” ⇒ deleting the entire subtree rooted by “mail”





# Acyclic-Graph Directories

- Have shared subdirectories and files





# Acyclic-Graph Directories (Cont.)

- Two different names (aliasing)
- If *dict* deletes *list*  $\Rightarrow$  dangling pointer

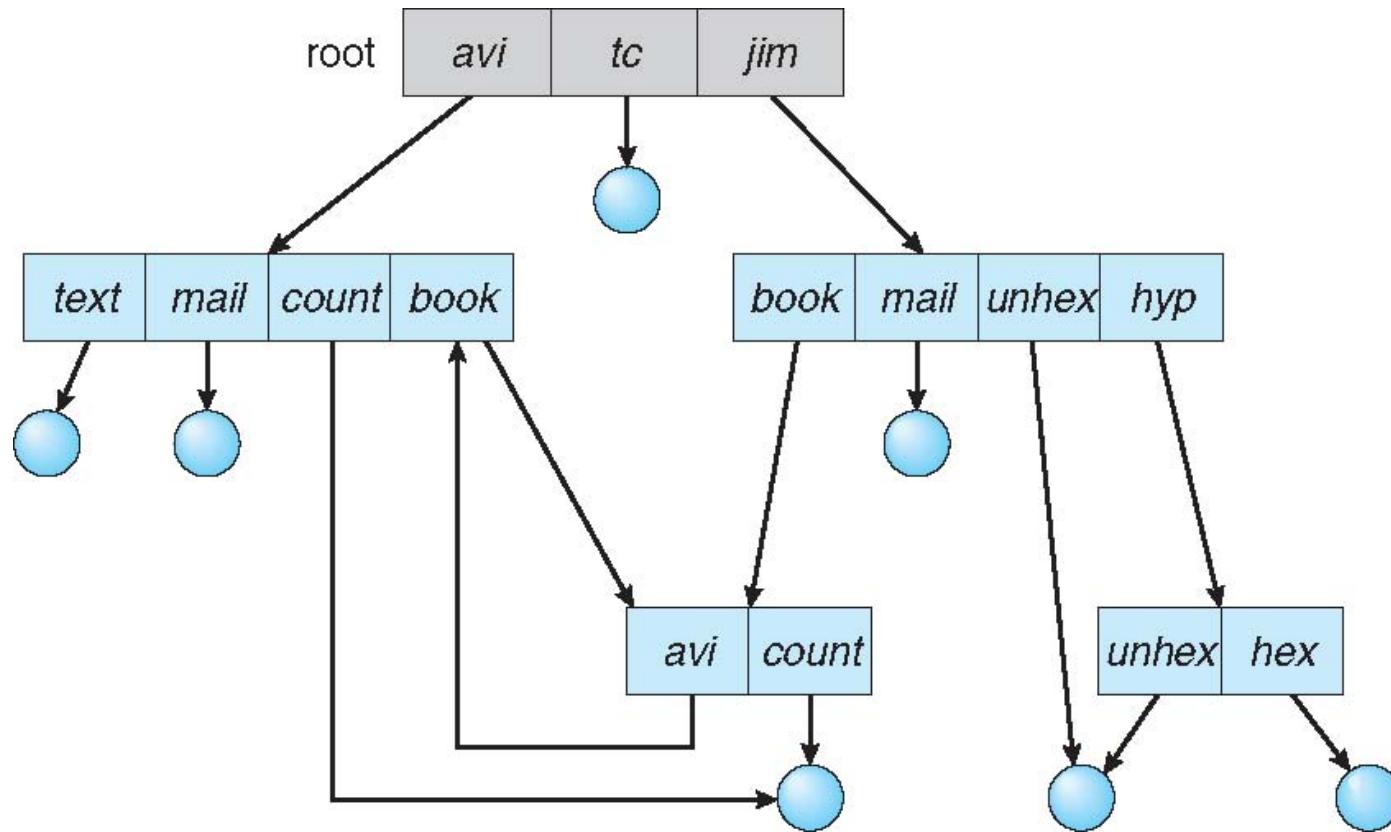
Solutions:

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





# General Graph Directory





# General Graph Directory (Cont.)

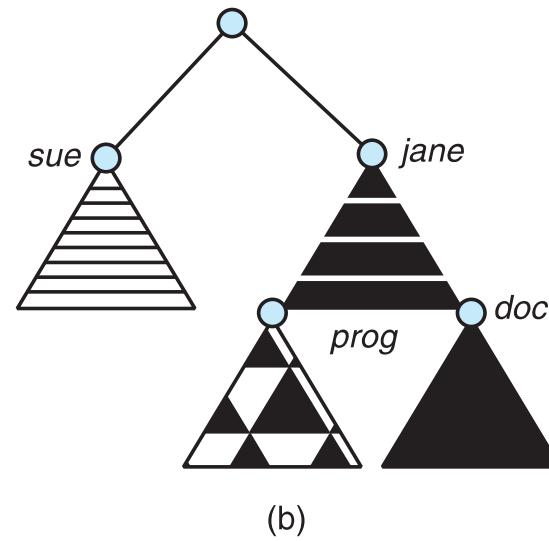
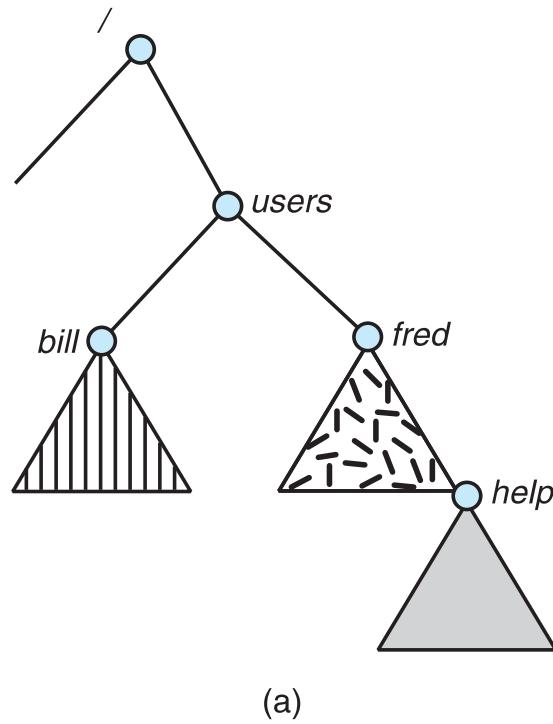
- How do we guarantee no cycles?
  - Allow only links to file not subdirectories
  - **Garbage collection**
  - Every time a new link is added use a cycle detection algorithm to determine whether it is OK





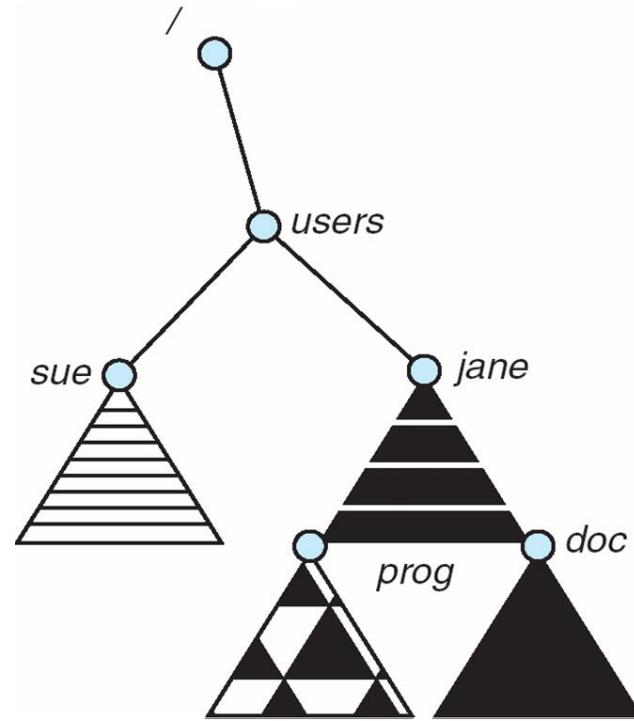
# File System Mounting

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





# Mount Point





# File Sharing

---

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





# File Sharing – Remote File Systems

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





# File Sharing – Failure Modes

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





# File Sharing – Consistency Semantics

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





# Protection

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



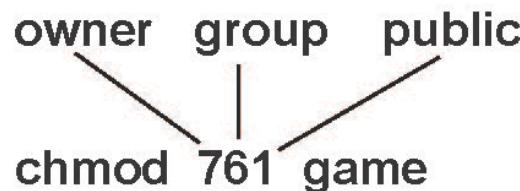


# Access Lists and Groups

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

|                         |   | RWX                        |
|-------------------------|---|----------------------------|
| a) <b>owner access</b>  | 7 | $\Rightarrow$ 1 1 1<br>RWX |
| b) <b>group access</b>  | 6 | $\Rightarrow$ 1 1 0<br>RWX |
| c) <b>public access</b> | 1 | $\Rightarrow$ 0 0 1        |

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



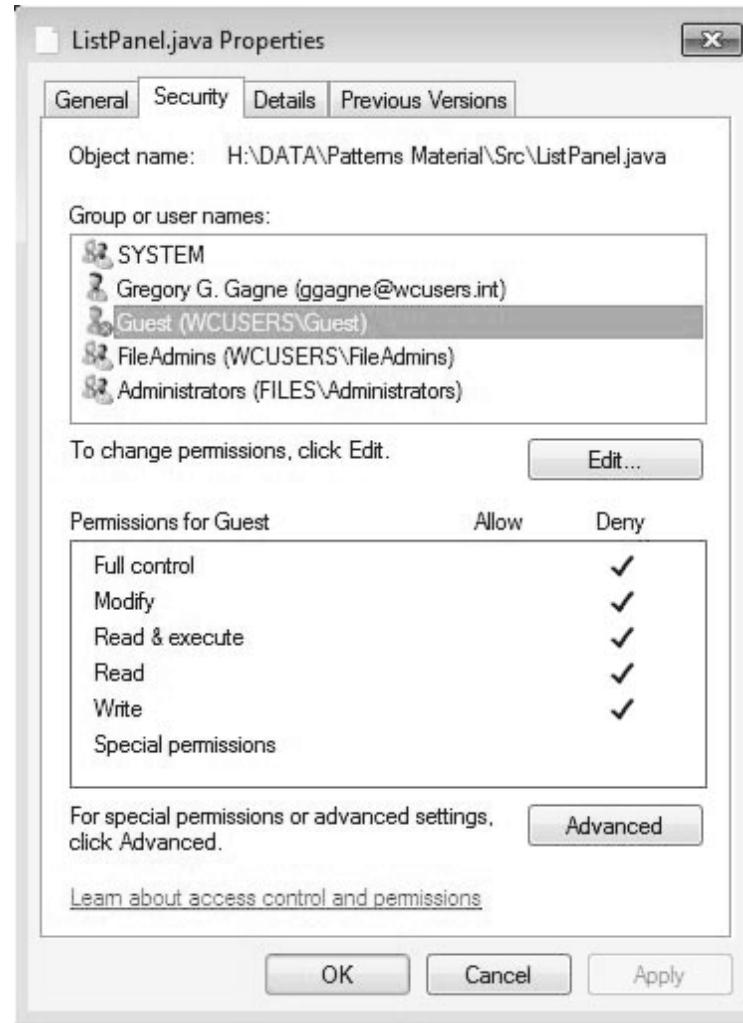
Attach a group to a file

**chgrp**      **G**      **game**





# Windows 7 Access-Control List Management





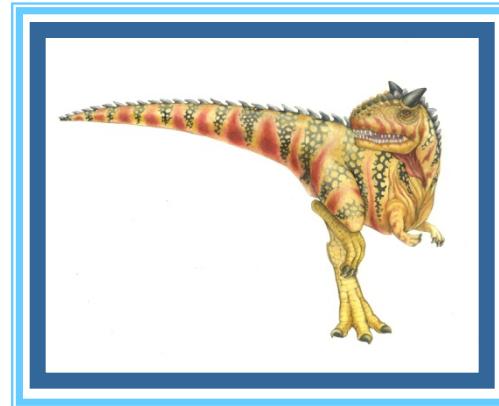
# A Sample UNIX Directory Listing

---

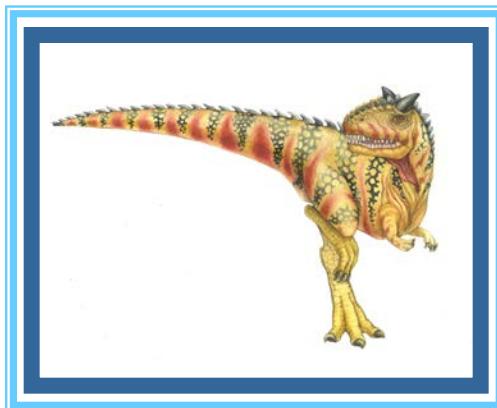
|            |   |     |         |       |              |               |
|------------|---|-----|---------|-------|--------------|---------------|
| -rw-rw-r-- | 1 | pbg | staff   | 31200 | Sep 3 08:30  | intro.ps      |
| drwx-----  | 5 | pbg | staff   | 512   | Jul 8 09:33  | private/      |
| drwxrwxr-x | 2 | pbg | staff   | 512   | Jul 8 09:35  | doc/          |
| drwxrwx--- | 2 | pbg | student | 512   | Aug 3 14:13  | student-proj/ |
| -rw-r--r-- | 1 | pbg | staff   | 9423  | Feb 24 2003  | program.c     |
| -rwxr-xr-x | 1 | pbg | staff   | 20471 | Feb 24 2003  | program       |
| drwx--x--x | 4 | pbg | faculty | 512   | Jul 31 10:31 | lib/          |
| drwx-----  | 3 | pbg | staff   | 1024  | Aug 29 06:52 | mail/         |
| drwxrwxrwx | 3 | pbg | staff   | 512   | Jul 8 09:35  | test/         |

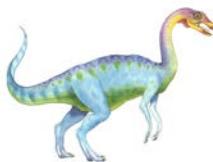


# End of Chapter 11



# Chapter 12: File System Implementation

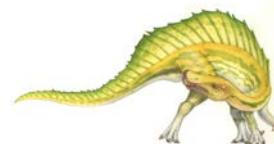


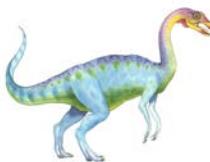


# Chapter 12: File System Implementation

---

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

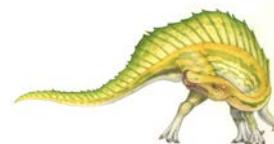


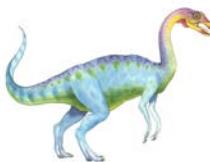


# Objectives

---

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





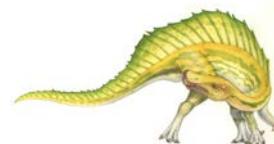
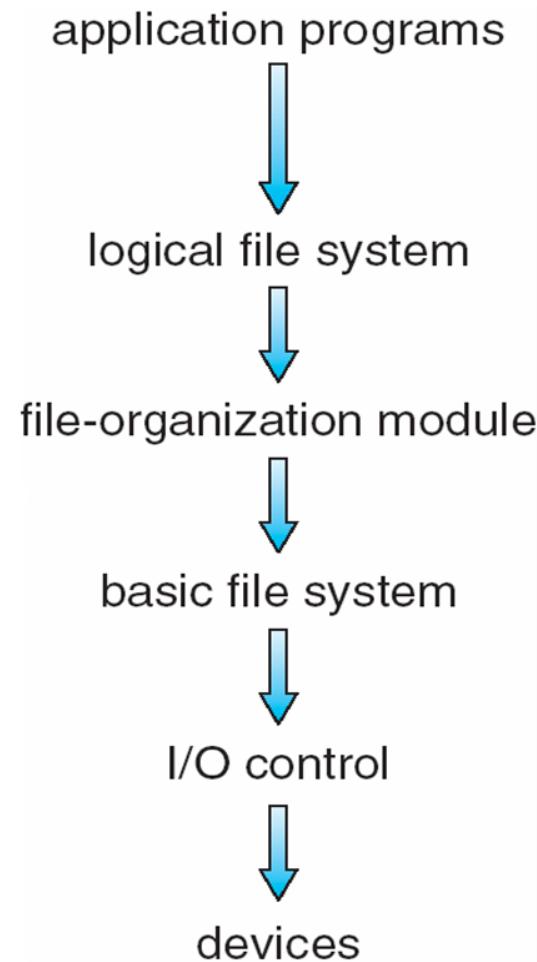
# File-System Structure

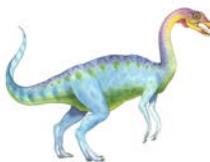
- File structure
  - Logical storage unit
  - Collection of related information
- **File system** resides on secondary storage (disks)
  - Provided user interface to storage, mapping logical to physical
  - Provides efficient and convenient access to disk by allowing data to be stored, located retrieved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





# Layered File System



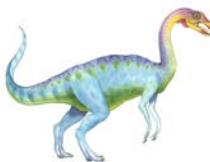


# File System Layers

---

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

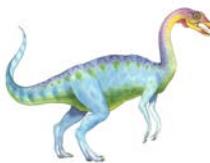




# File System Layers (Cont.)

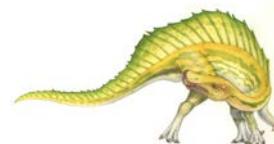
- **Logical file system** manages metadata information
  - Translates file name into file number, file handle, location by maintaining file control blocks (**inodes** in UNIX)
  - Directory management
  - Protection
- Layering useful for reducing complexity and redundancy, but adds overhead and can decrease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

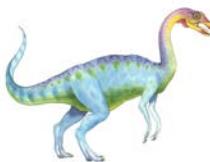




# File System Layers (Cont.)

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

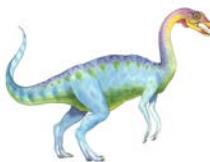




# File-System Implementation

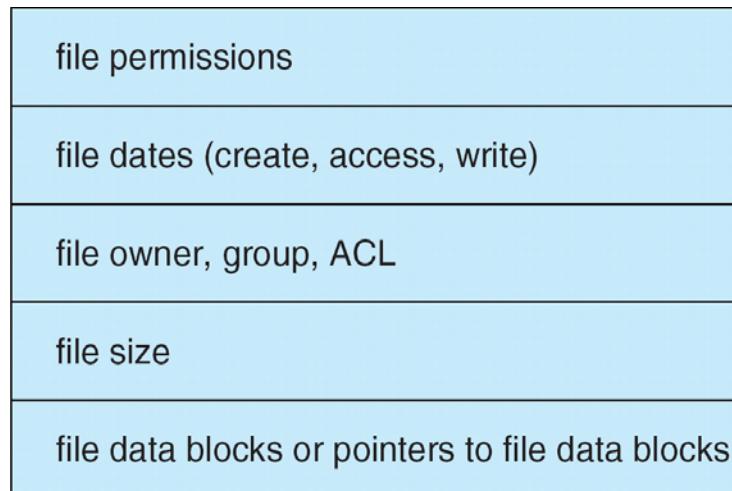
- We have system calls at the API level, but how do we implement their functions?
  - On-disk and in-memory structures
- **Boot control block** contains info needed by system to boot OS from that volume
  - Needed if volume contains OS, usually first block of volume
- **Volume control block (superblock,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

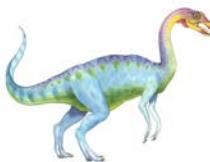




# File-System Implementation (Cont.)

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





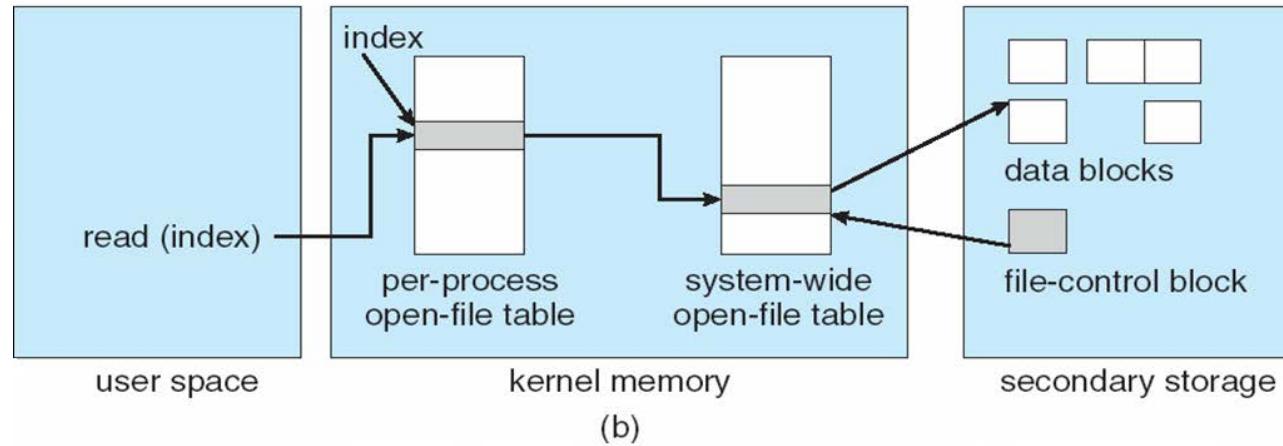
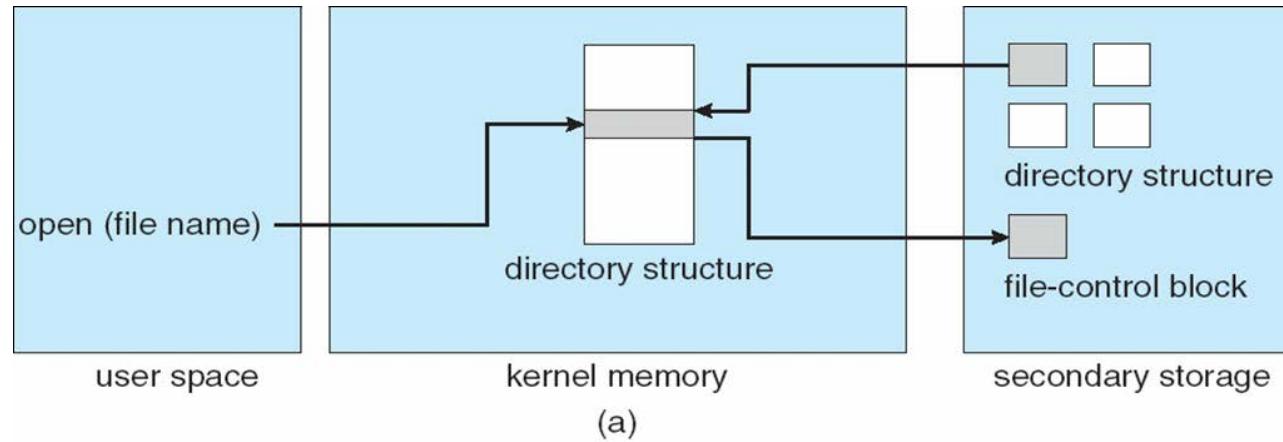
# In-Memory File System Structures

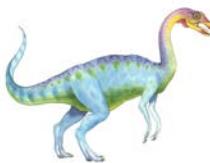
- Mount table storing file system mounts, mount points, file system types
- The following figure illustrates the necessary file system structures provided by the operating systems
- Figure 12-3(a) refers to opening a file
- Figure 12-3(b) refers to reading a file
- Plus buffers hold data blocks from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





# In-Memory File System Structures

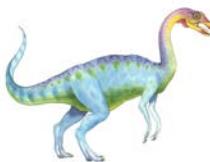




# Partitions and Mounting

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





# Virtual File Systems

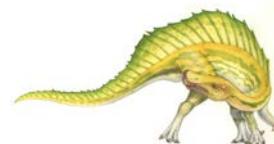
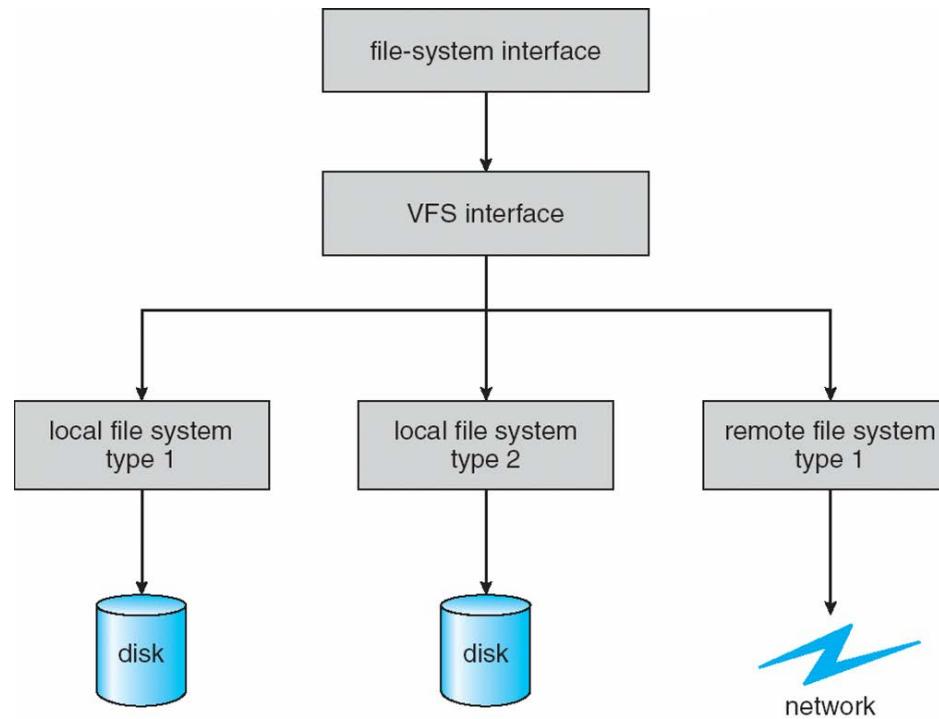
- **Virtual File Systems (VFS)** on Unix provide an object-oriented way of implementing file systems
- VFS allows the same system call interface (the API) to be used for different types of file systems
  - Separates file-system generic operations from implementation details
  - Implementation can be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

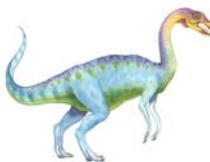




# Virtual File Systems (Cont.)

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

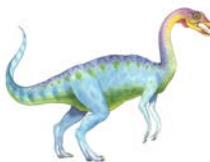




# Virtual File System Implementation

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



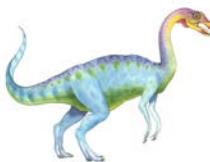


# Directory Implementation

---

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





# Allocation Methods - Contiguous

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





# Contiguous Allocation

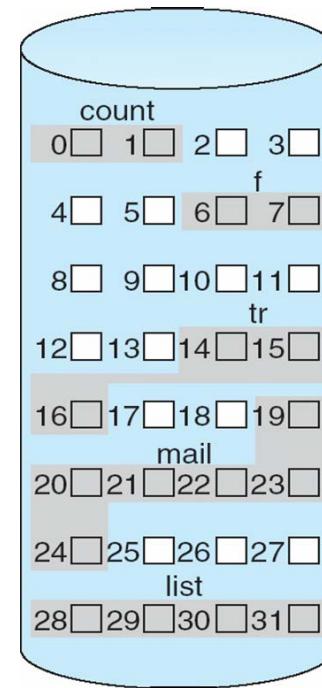
- Mapping from logical to physical

LA/512

Q

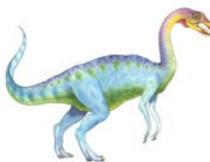
R

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



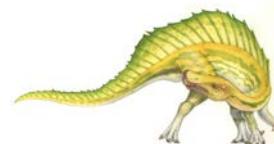
| directory |       |        |
|-----------|-------|--------|
| file      | start | length |
| count     | 0     | 2      |
| tr        | 14    | 3      |
| mail      | 19    | 6      |
| list      | 28    | 4      |
| f         | 6     | 2      |

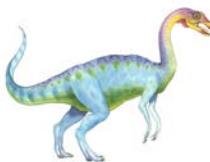




# Extent-Based Systems

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





# Allocation Methods - Linked

---

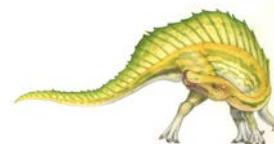
- **Linked allocation** – each file a linked list of blocks
  - File ends at nil pointer
  - No external fragmentation
  - Each block contains pointer to next block
  - No compaction, external fragmentation
  - Free space management system called when new block needed
  - Improve efficiency by clustering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

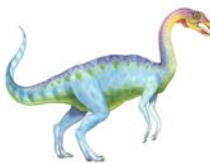




# Allocation Methods – Linked (Cont.)

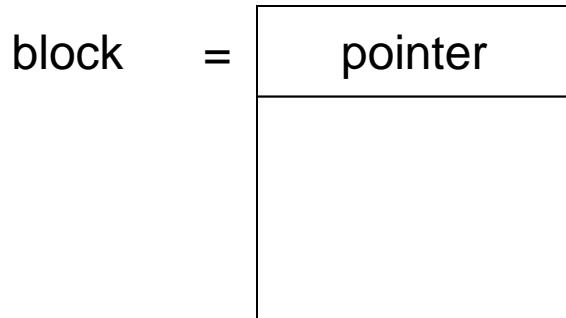
- FAT (File Allocation Table) variation
  - Beginning of volume has table, indexed by block number
  - Much like a linked list, but faster on disk and cacheable
  - New block allocation simple



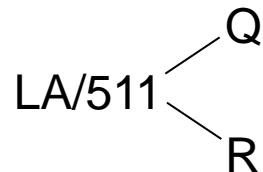


# Linked Allocation

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



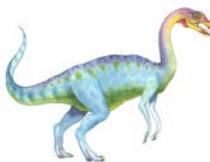
- Mapping



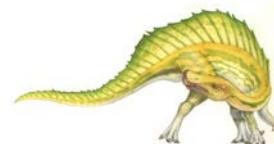
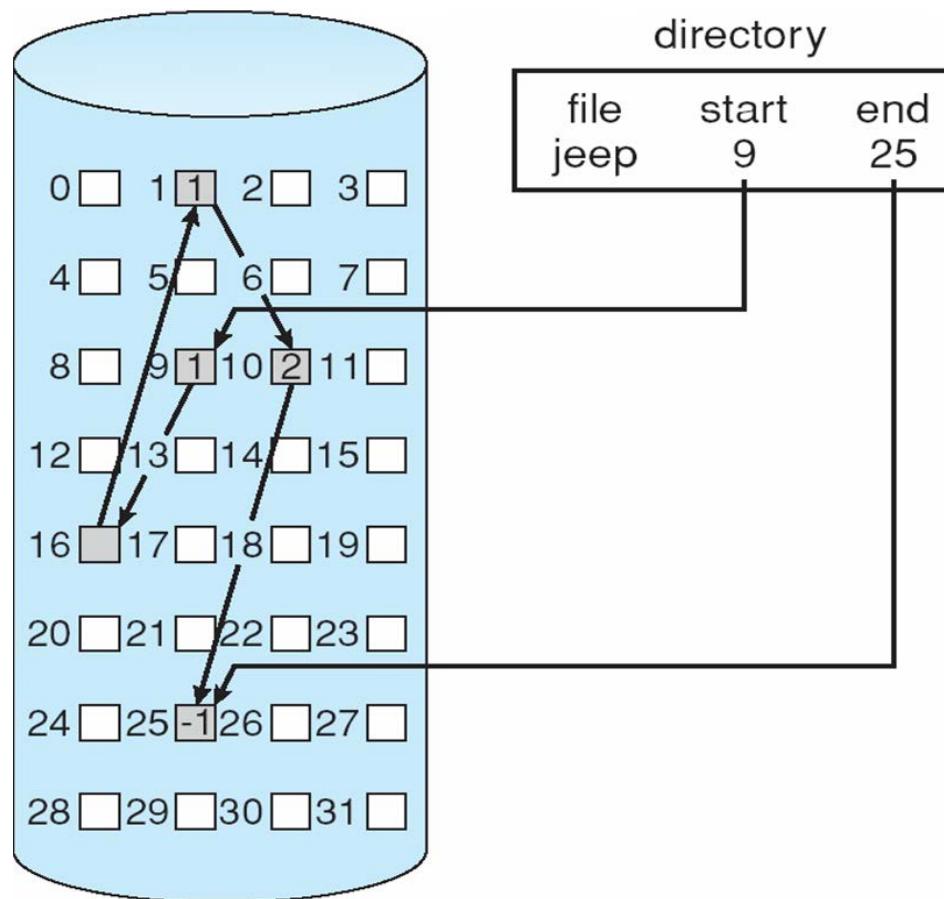
Block to be accessed is the Qth block in the linked chain of blocks representing the file.

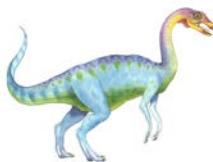
Displacement into block = R + 1





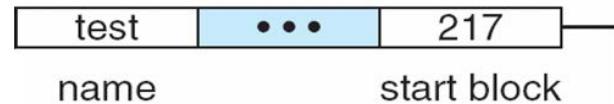
# Linked Allocation



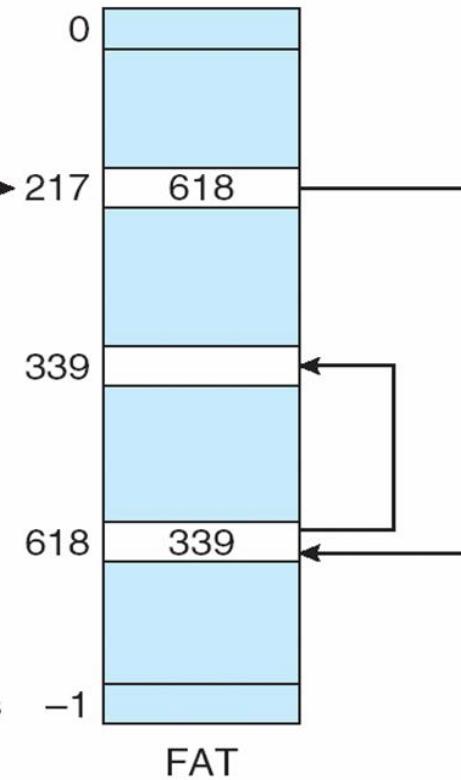


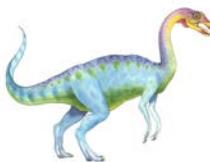
# File-Allocation Table

directory entry



start block



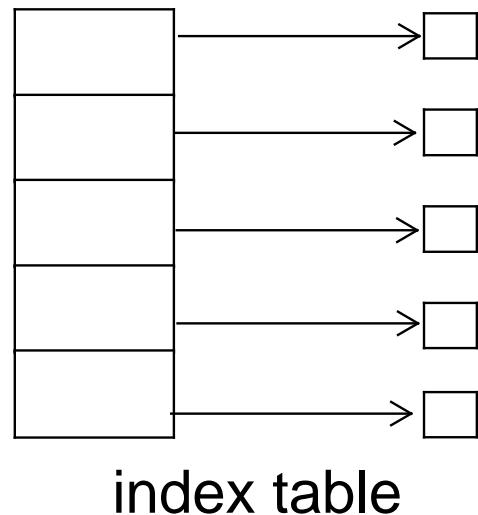


# Allocation Methods - Indexed

- **Indexed allocation**

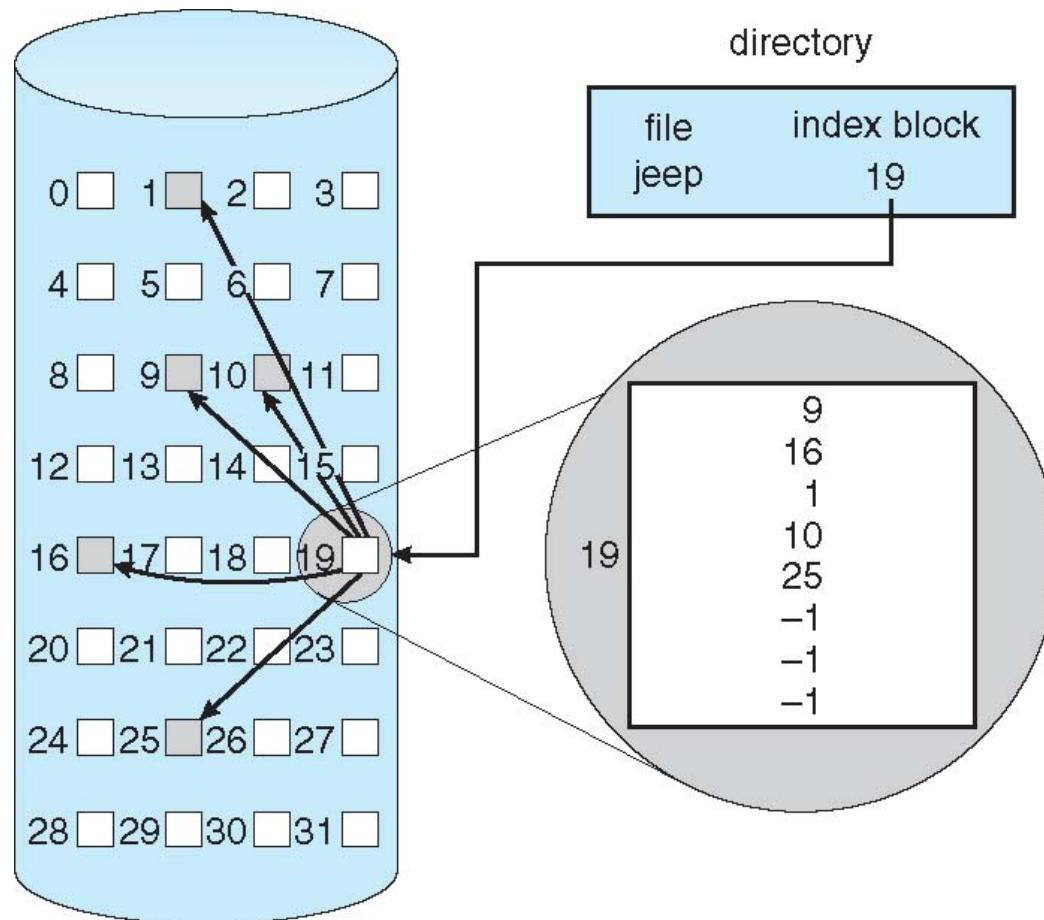
- Each file has its own **index block**(s) of pointers to its data blocks

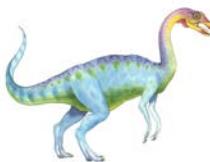
- Logical view





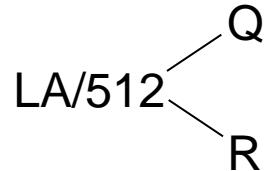
# Example of Indexed Allocation





# Indexed Allocation (Cont.)

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



Q = displacement into index table

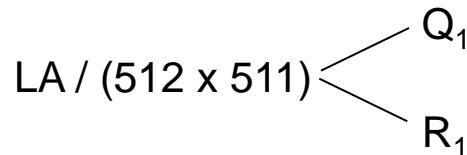
R = displacement into block





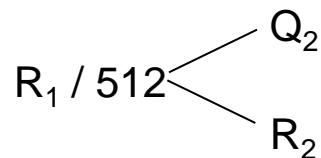
# Indexed Allocation – Mapping (Cont.)

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



$Q_1$  = block of index table

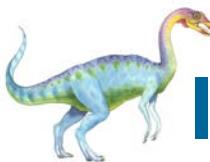
$R_1$  is used as follows:



$Q_2$  = displacement into block of index table

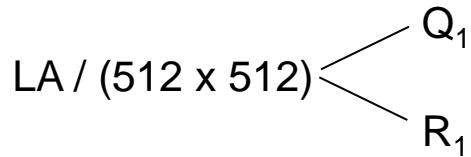
$R_2$  displacement into block of file:





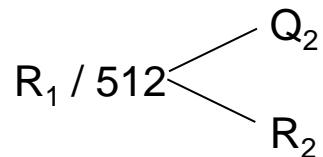
# Indexed Allocation – Mapping (Cont.)

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



$Q_1$  = displacement into outer-index

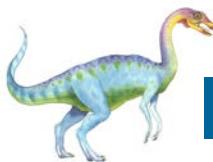
$R_1$  is used as follows:



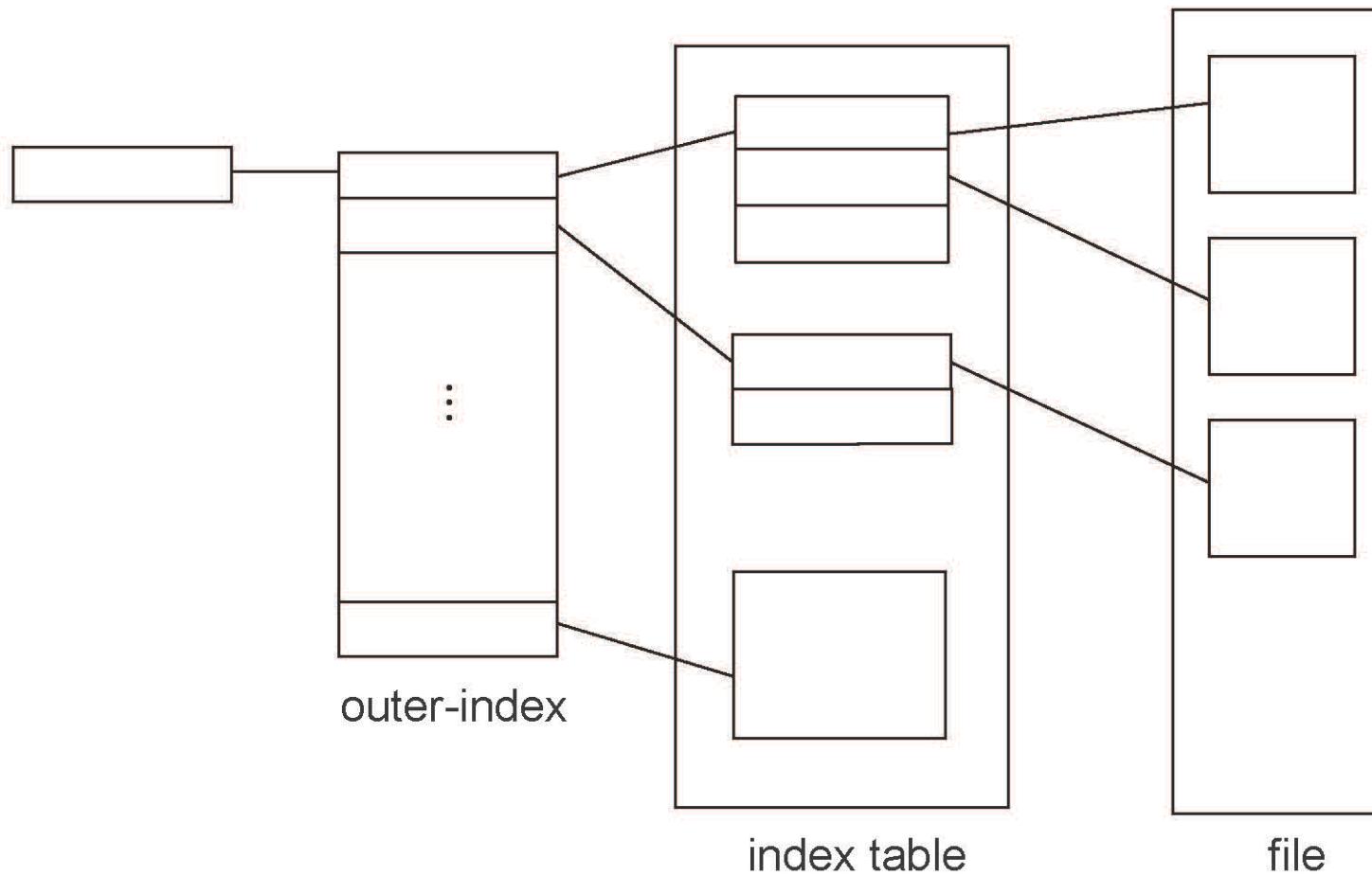
$Q_2$  = displacement into block of index table

$R_2$  displacement into block of file:





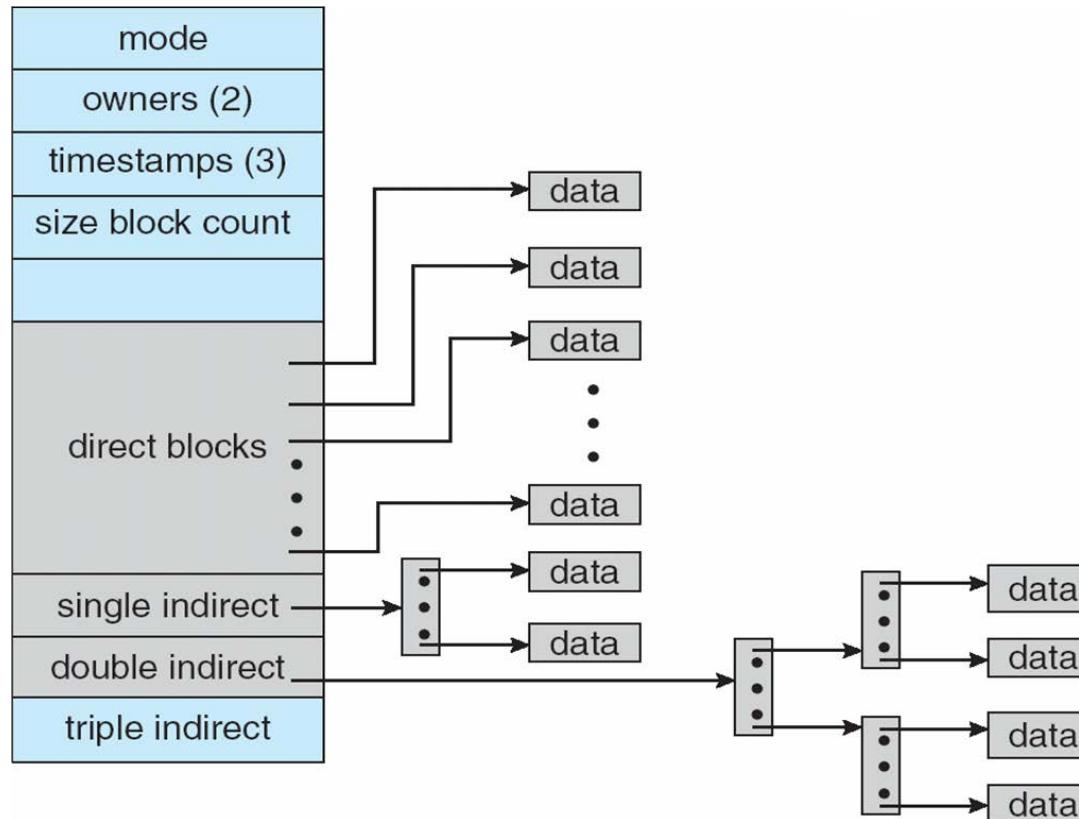
# Indexed Allocation – Mapping (Cont.)





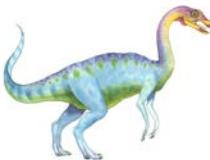
# Combined Scheme: UNIX UFS

4K bytes per block, 32-bit addresses



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

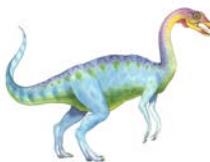




# Performance

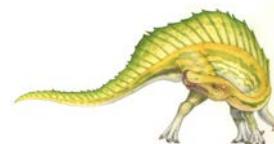
- Best method depends on file access type
  - Contiguous great for sequential and random
- Linked good for sequential, not random
- Declare access type at creation -> select either contiguous or linked
- Indexed more complex
  - Single block access could require 2 index block reads then data block read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





# Performance (Cont.)

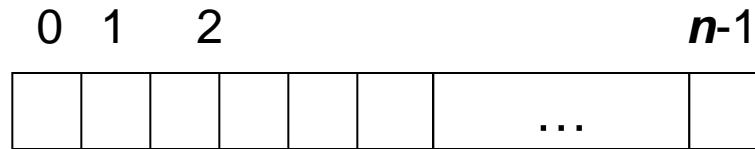
- Adding instructions to the execution path to save one disk I/O is reasonable
  - Intel Core i7 Extreme Edition 990x (2011) at 3.46Ghz = 159,000 MIPS
    - ▶ [http://en.wikipedia.org/wiki/Instructions\\_per\\_second](http://en.wikipedia.org/wiki/Instructions_per_second)
  - Typical disk drive at 250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





# Free-Space Management

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



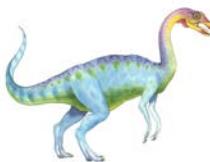
$$\text{bit}[i] = \begin{cases} 1 & \Rightarrow \text{block}[i] \text{ free} \\ 0 & \Rightarrow \text{block}[i] \text{ occupied} \end{cases}$$

## Block number calculation

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

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





# Free-Space Management (Cont.)

- Bit map requires extra space

- Example:

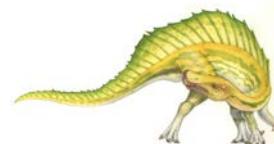
block size = 4KB =  $2^{12}$  bytes

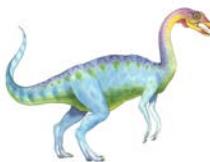
disk size =  $2^{40}$  bytes (1 terabyte)

$n = 2^{40}/2^{12} = 2^{28}$  bits (or 32MB)

if clusters of 4 blocks -> 8MB of memory

- Easy to get contiguous files

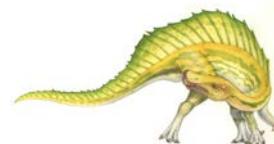
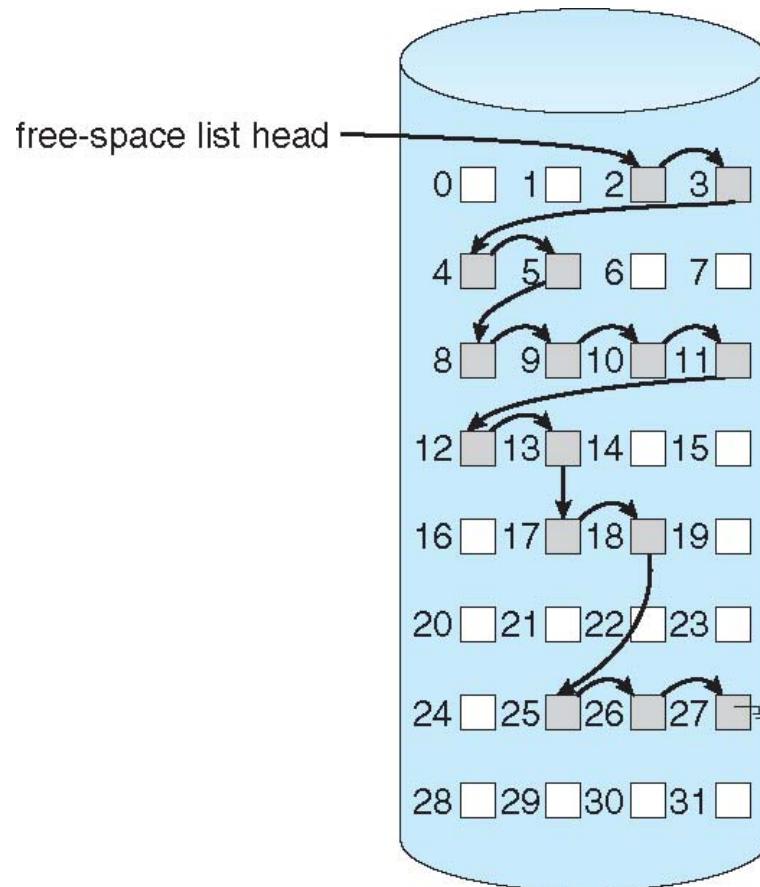


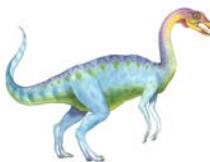


# Linked Free Space List on Disk

## ■ Linked list (free list)

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





# Free-Space Management (Cont.)

## ■ Grouping

- Modify linked list to store address of next  $n-1$  free blocks in first free block, plus a pointer to next block that contains free-block-pointers (like this one)

## ■ Counting

- Because space is frequently contiguously used and freed, with contiguous-allocation allocation, extents, or clustering
  - ▶ Keep address of first free block and count of following free blocks
  - ▶ Free space list then has entries containing addresses and counts



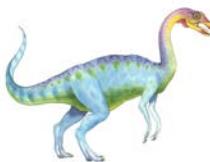


# Free-Space Management (Cont.)

## ■ Space Maps

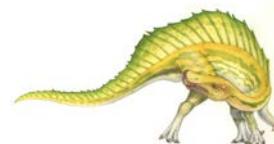
- Used in **ZFS**
- Consider meta-data I/O on very large file systems
  - ▶ Full data structures like bit maps couldn't fit in memory -> thousands of I/Os
- Divides device space into **metaslab** units and manages metaslabs
  - ▶ Given volume can contain hundreds of metaslabs
- Each metaslab has associated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

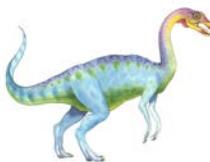




# Efficiency and Performance

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



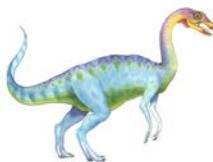


# Efficiency and Performance (Cont.)

## ■ Performance

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





# Page Cache

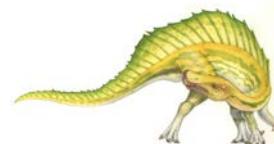
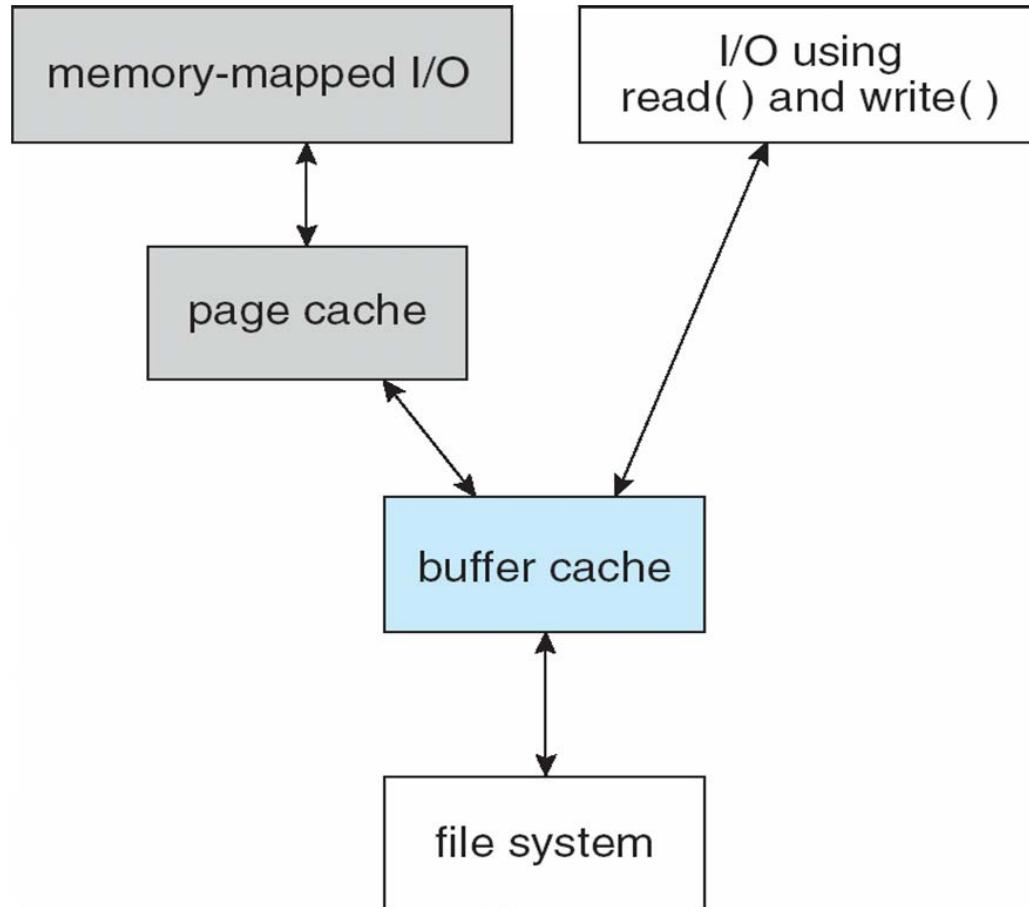
---

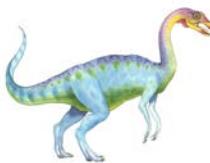
- A **page cache** caches pages rather than disk blocks using virtual memory techniques and addresses
- Memory-mapped I/O uses a page cache
- Routine I/O through the file system uses the buffer (disk) cache
- This leads to the following figure





# I/O Without a Unified Buffer Cache

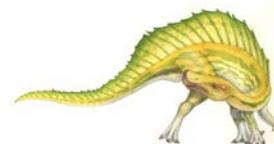


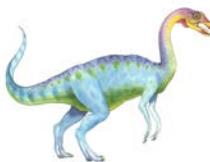


# Unified Buffer Cache

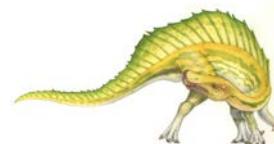
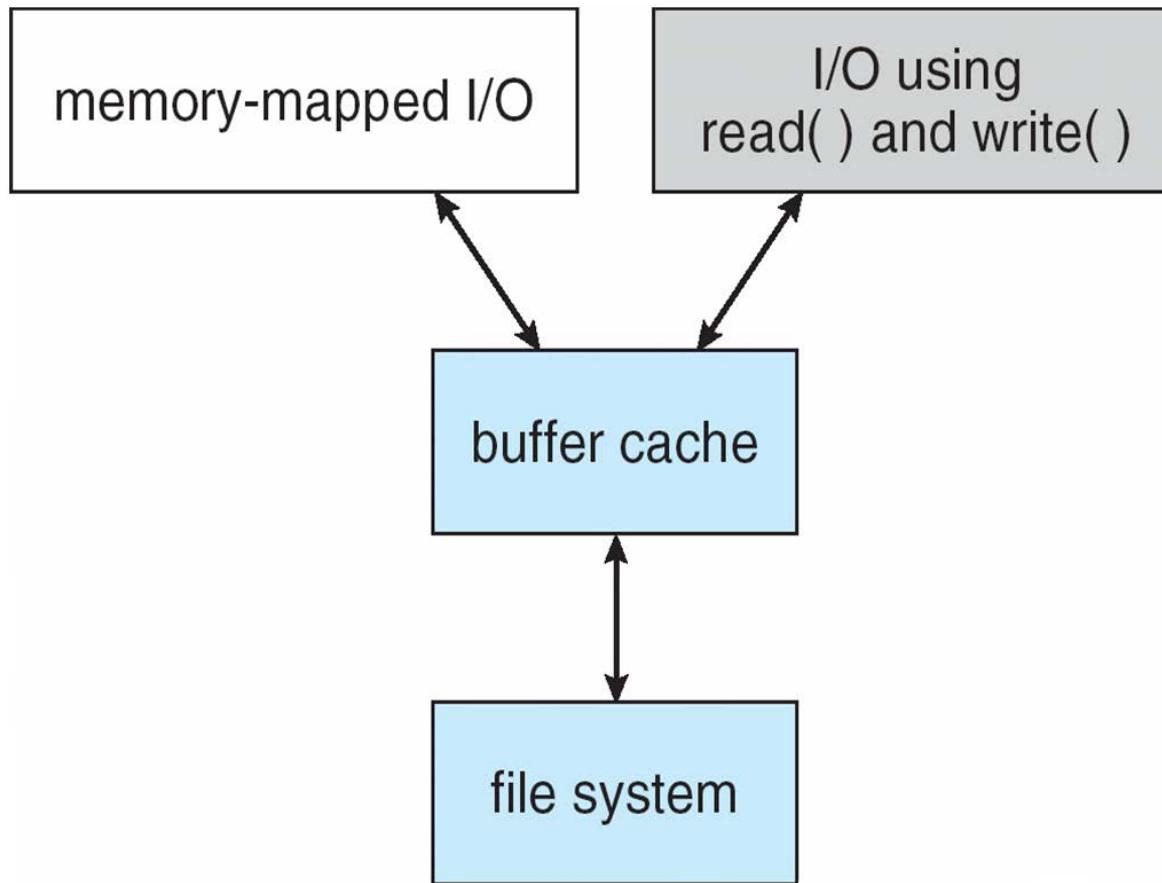
---

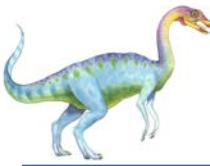
- A **unified buffer cache** uses the same page cache to cache both memory-mapped pages and ordinary file system I/O to avoid **double caching**
- But which caches get priority, and what replacement algorithms to use?





# I/O Using a Unified Buffer Cache

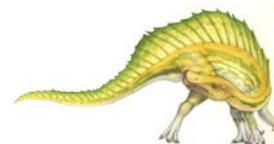


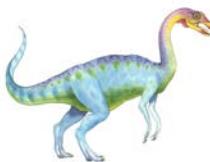


# Recovery

---

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





# Log Structured File Systems

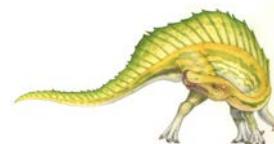
- Log structured (or journaling) file systems record each metadata update to the file system as a transaction
- All transactions are written to a log
  - A transaction is considered committed once it is written to the log (sequentially)
  - Sometimes to a separate device or section of disk
  - However,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

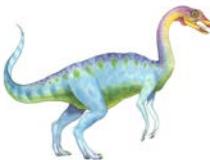




# The Sun Network File System (NFS)

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



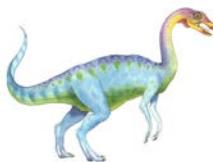


# NFS (Cont.)

---

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





# NFS (Cont.)

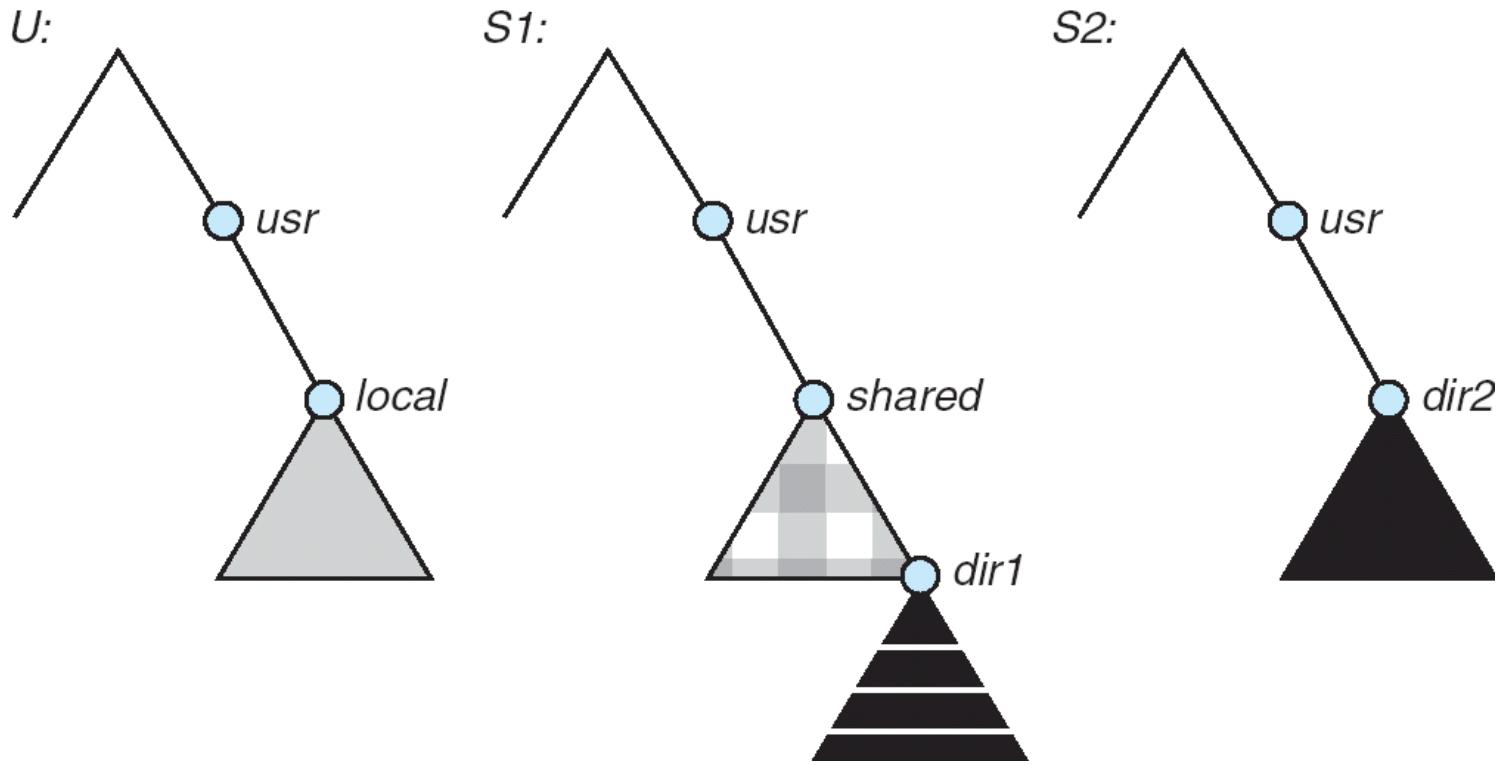
---

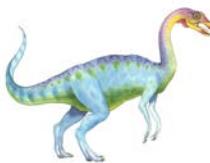
- NFS is designed to operate in a heterogeneous environment of different machines, operating systems, and network architectures; the NFS specifications independent of these media
- This independence is achieved through the use of RPC primitives built on top of an External Data Representation (XDR) protocol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



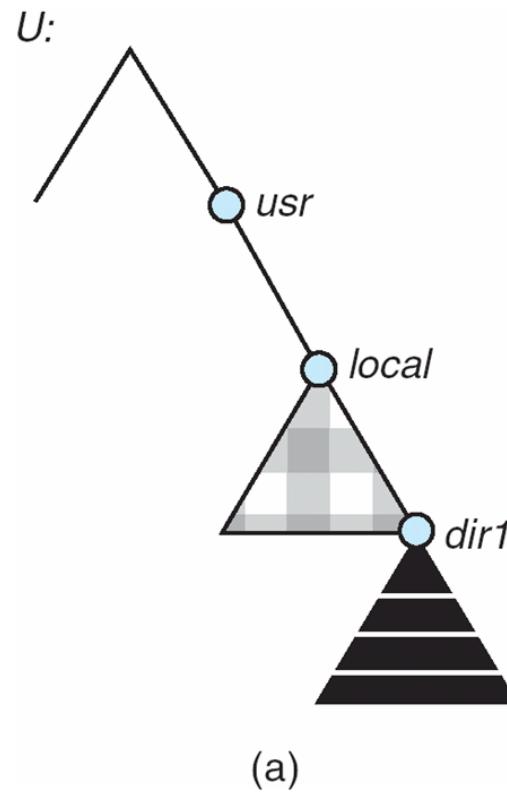


# Three Independent File Systems

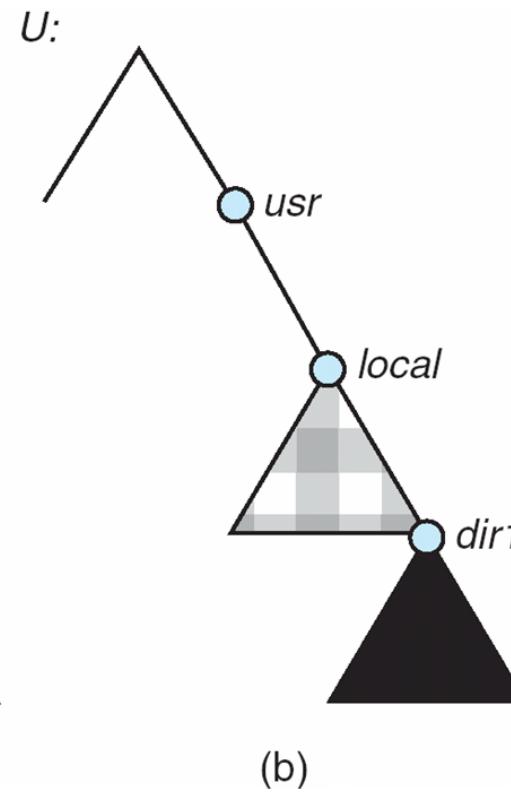




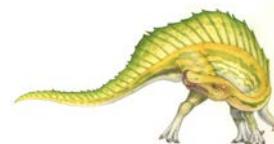
# Mounting in NFS

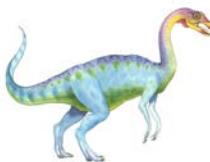


Mounts



Cascading mounts

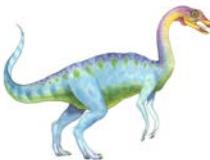




# NFS Mount Protocol

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





# NFS Protocol

---

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





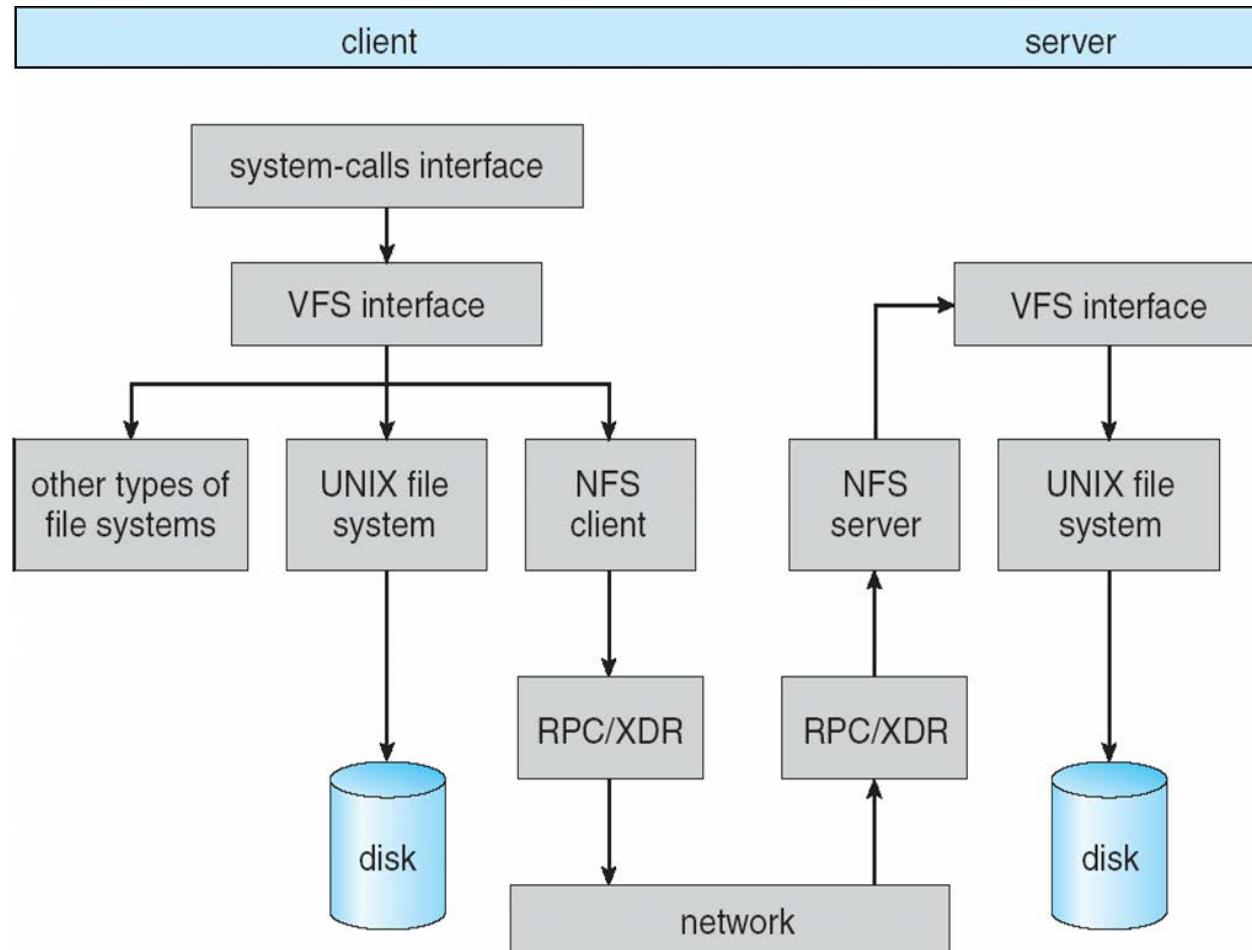
# Three Major Layers of NFS Architecture

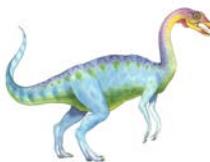
- UNIX file-system interface (based on the **open**, **read**, **write**, and **close** calls, and **file descriptors**)
- Virtual File System (VFS) layer – distinguishes local files from remote ones, and local files are further distinguished according to their file-system types
  - The VFS activates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





# Schematic View of NFS Architecture

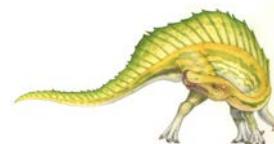


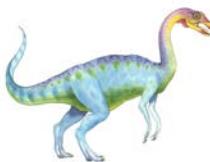


# NFS Path-Name Translation

---

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

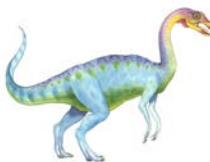




# NFS Remote Operations

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

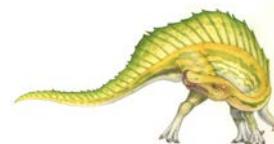




# Example: WAFL File System

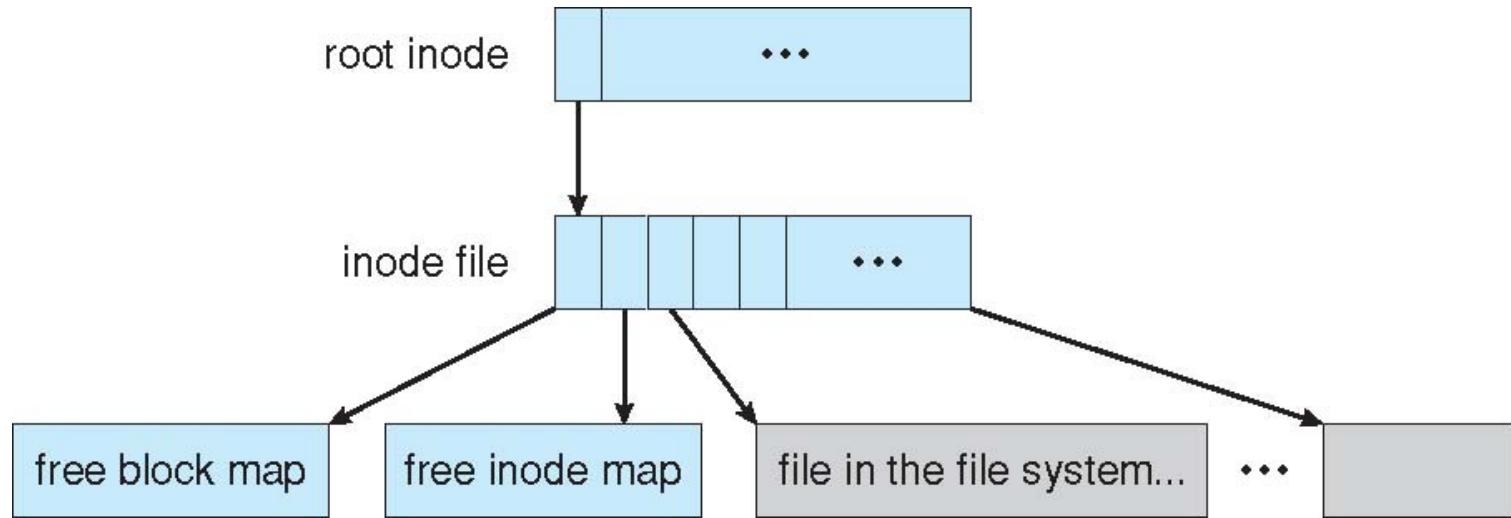
---

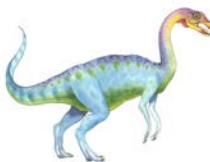
- Used on Network Appliance “Filers” – distributed file system appliances
- “Write-anywhere file layout”
- Serves up NFS, CIFS, http, ftp
- Random I/O optimized, write optimized
  - NVRAM for write caching
- Similar to Berkeley Fast File System, with extensive modifications



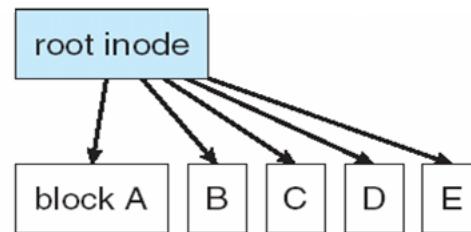


# The WAFL File Layout

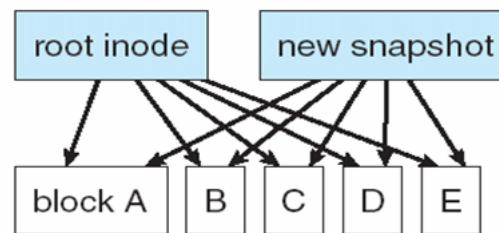




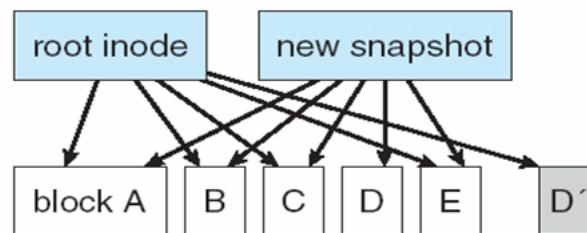
# Snapshots in WAFL



(a) Before a snapshot.



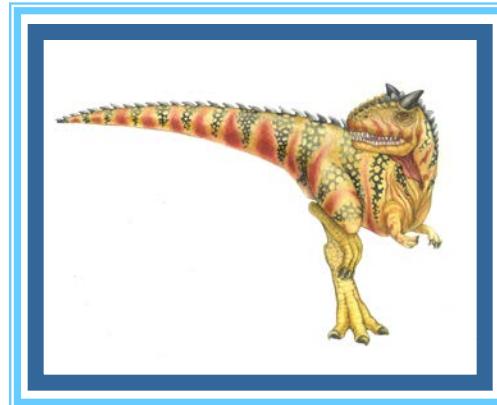
(b) After a snapshot, before any blocks change.



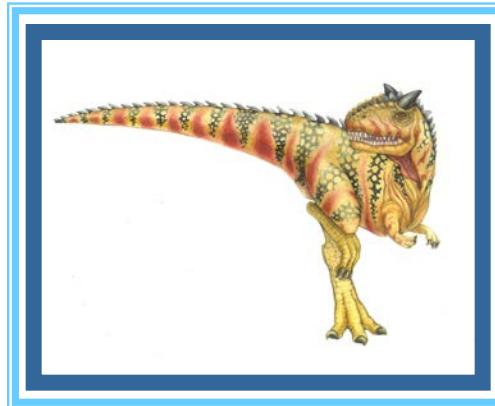
(c) After block D has changed to D'.

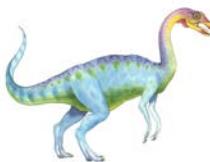


# End of Chapter 12



# Chapter 13: I/O Systems





# Chapter 13: I/O Systems

---

- Overview
- I/O Hardware
- Application I/O Interface
- Kernel I/O Subsystem
- Transforming I/O Requests to Hardware Operations
- STREAMS
- Performance



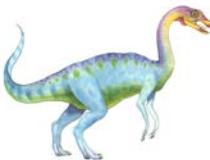


# Objectives

---

- Explore the structure of an operating system's I/O subsystem
- Discuss the principles of I/O hardware and its complexity
- Provide details of the performance aspects of I/O hardware and software

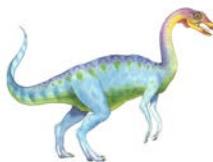




# Overview

- I/O management is a major component of operating system design and operation
  - Important aspect of computer operation
  - I/O devices vary greatly
  - Various methods to control them
  - Performance management
  - New types of devices frequent
- Ports, busses, device controllers connect to various devices
- **Device drivers** encapsulate device details
  - Present uniform device-access interface to I/O subsystem





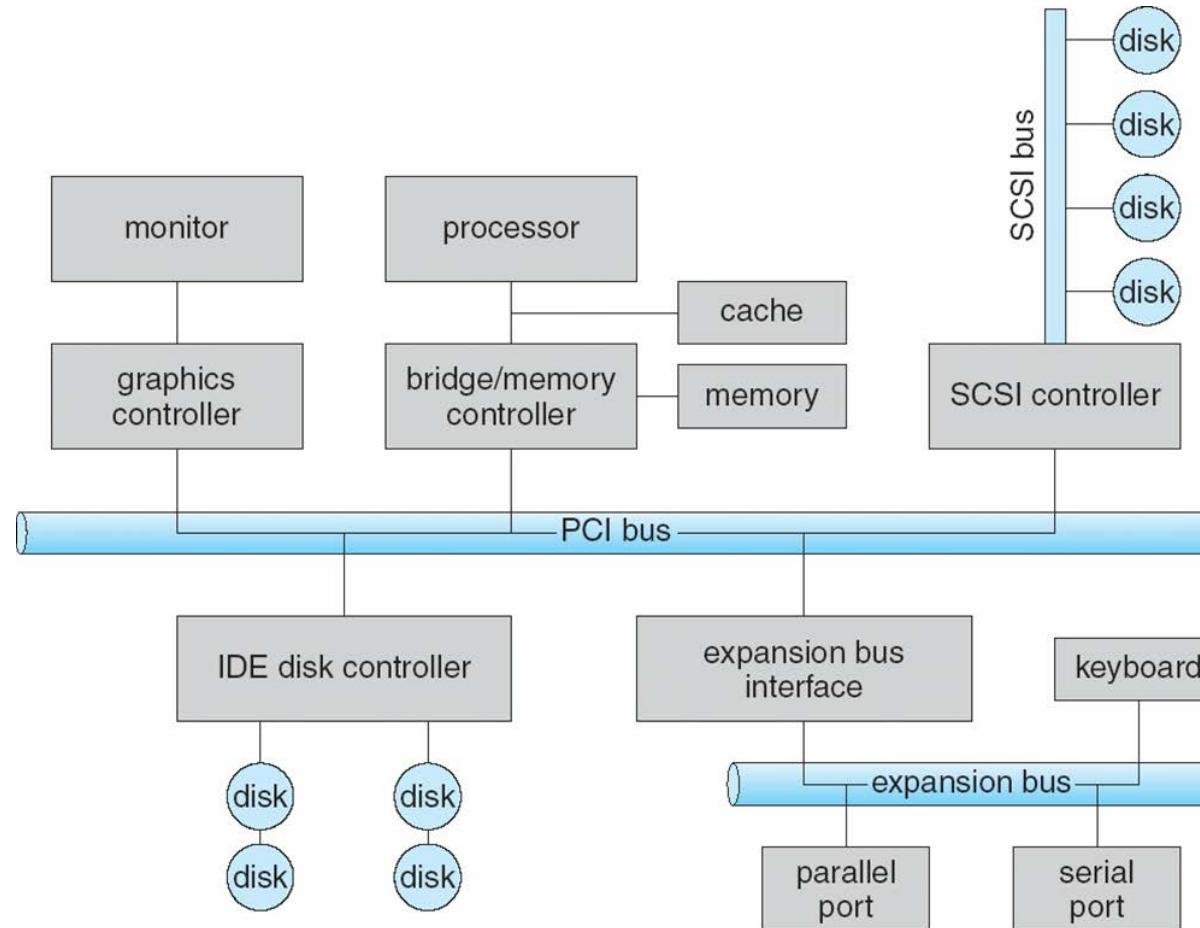
# I/O Hardware

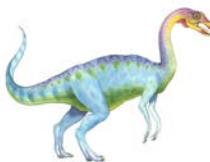
- Incredible variety of I/O devices
  - Storage
  - Transmission
  - Human-interface
- Common concepts – signals from I/O devices interface with computer
  - **Port** – connection point for device
  - **Bus - daisy chain** or shared direct access
    - ▶ **PCI** bus common in PCs and servers, PCI Express (**PCle**)
    - ▶ **expansion bus** connects relatively slow devices
  - **Controller (host adapter)** – electronics that operate port, bus, device
    - ▶ Sometimes integrated
    - ▶ Sometimes separate circuit board (host adapter)
    - ▶ Contains processor, microcode, private memory, bus controller, etc
      - Some talk to per-device controller with bus controller, microcode, memory, etc





# A Typical PC Bus Structure





# I/O Hardware (Cont.)

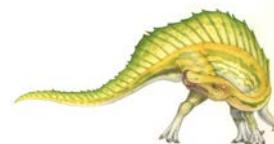
- I/O instructions control devices
- Devices usually have registers where device driver places commands, addresses, and data to write, or read data from registers after command execution
  - Data-in register, data-out register, status register, control register
  - Typically 1-4 bytes, or FIFO buffer
- Devices have addresses, used by
  - Direct I/O instructions
  - **Memory-mapped I/O**
    - ▶ Device data and command registers mapped to processor address space
    - ▶ Especially for large address spaces (graphics)





# Device I/O Port Locations on PCs (partial)

| I/O address range (hexadecimal) | device                    |
|---------------------------------|---------------------------|
| 000–00F                         | DMA controller            |
| 020–021                         | interrupt controller      |
| 040–043                         | timer                     |
| 200–20F                         | game controller           |
| 2F8–2FF                         | serial port (secondary)   |
| 320–32F                         | hard-disk controller      |
| 378–37F                         | parallel port             |
| 3D0–3DF                         | graphics controller       |
| 3F0–3F7                         | diskette-drive controller |
| 3F8–3FF                         | serial port (primary)     |

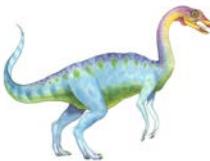




# Polling

- For each byte of I/O
  1. Read busy bit from status register until 0
  2. Host sets read or write bit and if write copies data into data-out register
  3. Host sets command-ready bit
  4. Controller sets busy bit, executes transfer
  5. Controller clears busy bit, error bit, command-ready bit when transfer done
- Step 1 is **busy-wait** cycle to wait for I/O from device
  - Reasonable if device is fast
  - But inefficient if device slow
  - CPU switches to other tasks?
    - ▶ But if miss a cycle data overwritten / lost



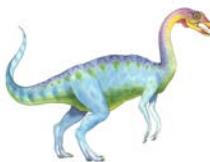


# Interrupts

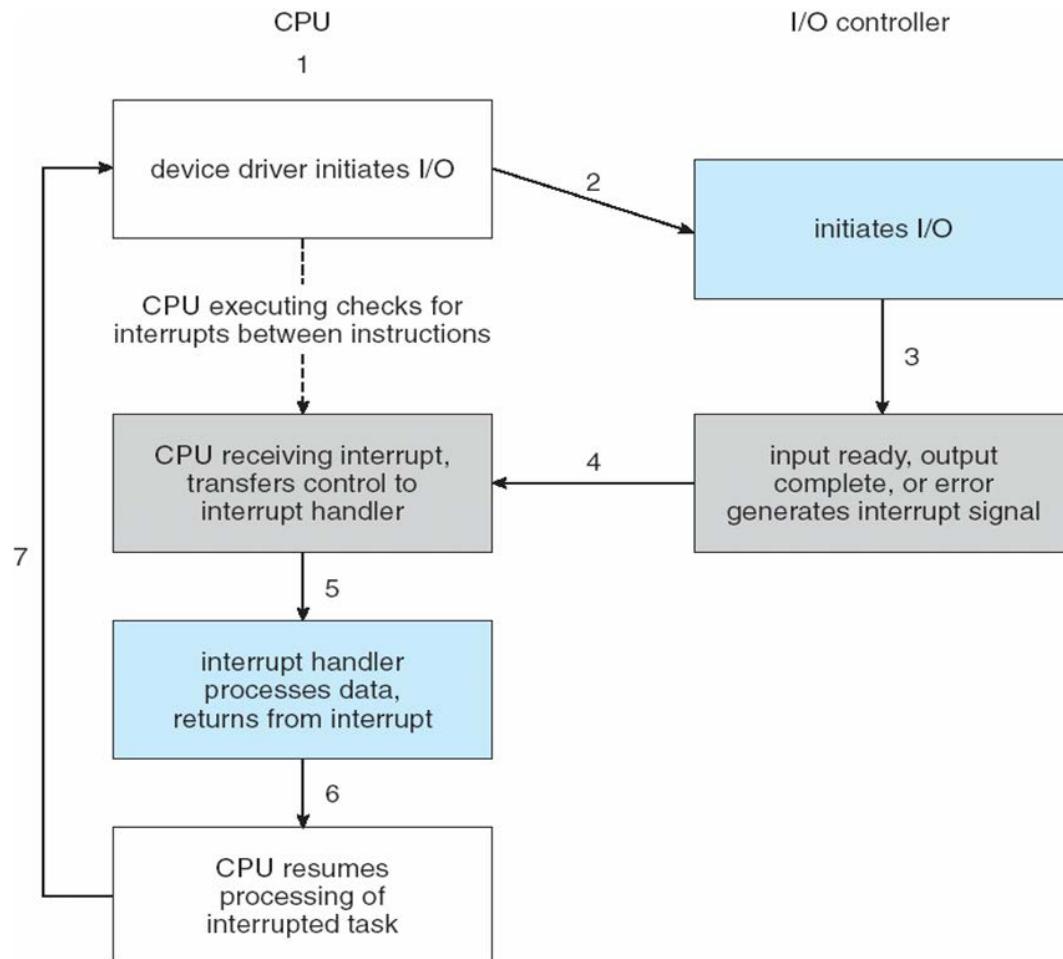
---

- Polling can happen in 3 instruction cycles
  - Read status, logical-and to extract status bit, branch if not zero
  - How to be more efficient if non-zero infrequently?
- CPU **Interrupt-request line** triggered by I/O device
  - Checked by processor after each instruction
- **Interrupt handler** receives interrupts
  - **Maskable** to ignore or delay some interrupts
- **Interrupt vector** to dispatch interrupt to correct handler
  - Context switch at start and end
  - Based on priority
  - Some **nonmaskable**
  - Interrupt chaining if more than one device at same interrupt number





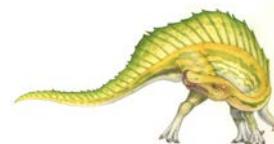
# Interrupt-Driven I/O Cycle





# Intel Pentium Processor Event-Vector Table

| vector number | description                            |
|---------------|----------------------------------------|
| 0             | divide error                           |
| 1             | debug exception                        |
| 2             | null interrupt                         |
| 3             | breakpoint                             |
| 4             | INTO-detected overflow                 |
| 5             | bound range exception                  |
| 6             | invalid opcode                         |
| 7             | device not available                   |
| 8             | double fault                           |
| 9             | coprocessor segment overrun (reserved) |
| 10            | invalid task state segment             |
| 11            | segment not present                    |
| 12            | stack fault                            |
| 13            | general protection                     |
| 14            | page fault                             |
| 15            | (Intel reserved, do not use)           |
| 16            | floating-point error                   |
| 17            | alignment check                        |
| 18            | machine check                          |
| 19–31         | (Intel reserved, do not use)           |
| 32–255        | maskable interrupts                    |

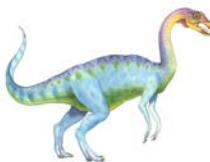




# Interrupts (Cont.)

- Interrupt mechanism also used for **exceptions**
  - Terminate process, crash system due to hardware error
- Page fault executes when memory access error
- System call executes via **trap** to trigger kernel to execute request
- Multi-CPU systems can process interrupts concurrently
  - If operating system designed to handle it
- Used for time-sensitive processing, frequent, must be fast





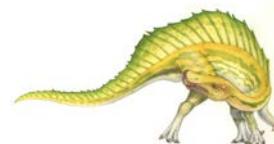
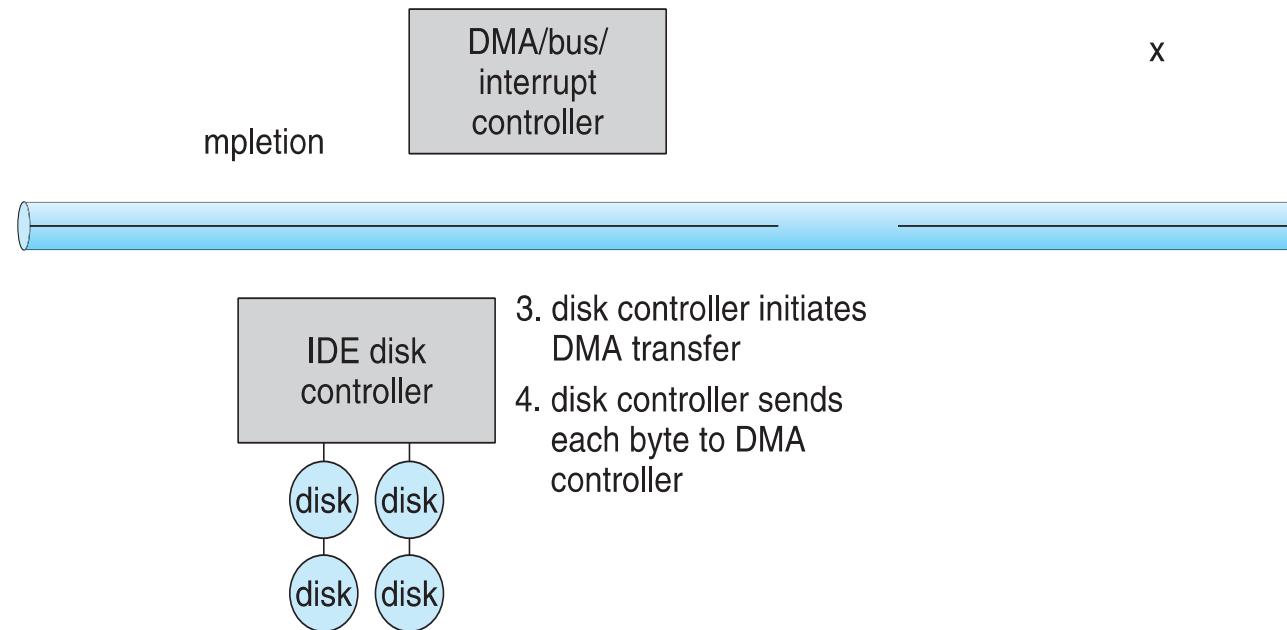
# Direct Memory Access

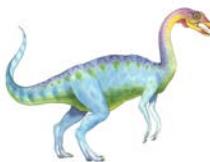
- Used to avoid **programmed I/O** (one byte at a time) for large data movement
- Requires **DMA** controller
- Bypasses CPU to transfer data directly between I/O device and memory
- OS writes DMA command block into memory
  - Source and destination addresses
  - Read or write mode
  - Count of bytes
  - Writes location of command block to DMA controller
  - Bus mastering of DMA controller – grabs bus from CPU
    - ▶ **Cycle stealing** from CPU but still much more efficient
  - When done, interrupts to signal completion
- Version that is aware of virtual addresses can be even more efficient - **DVMA**





# Six Step Process to Perform DMA Transfer

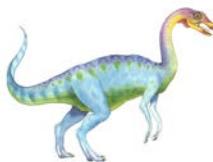




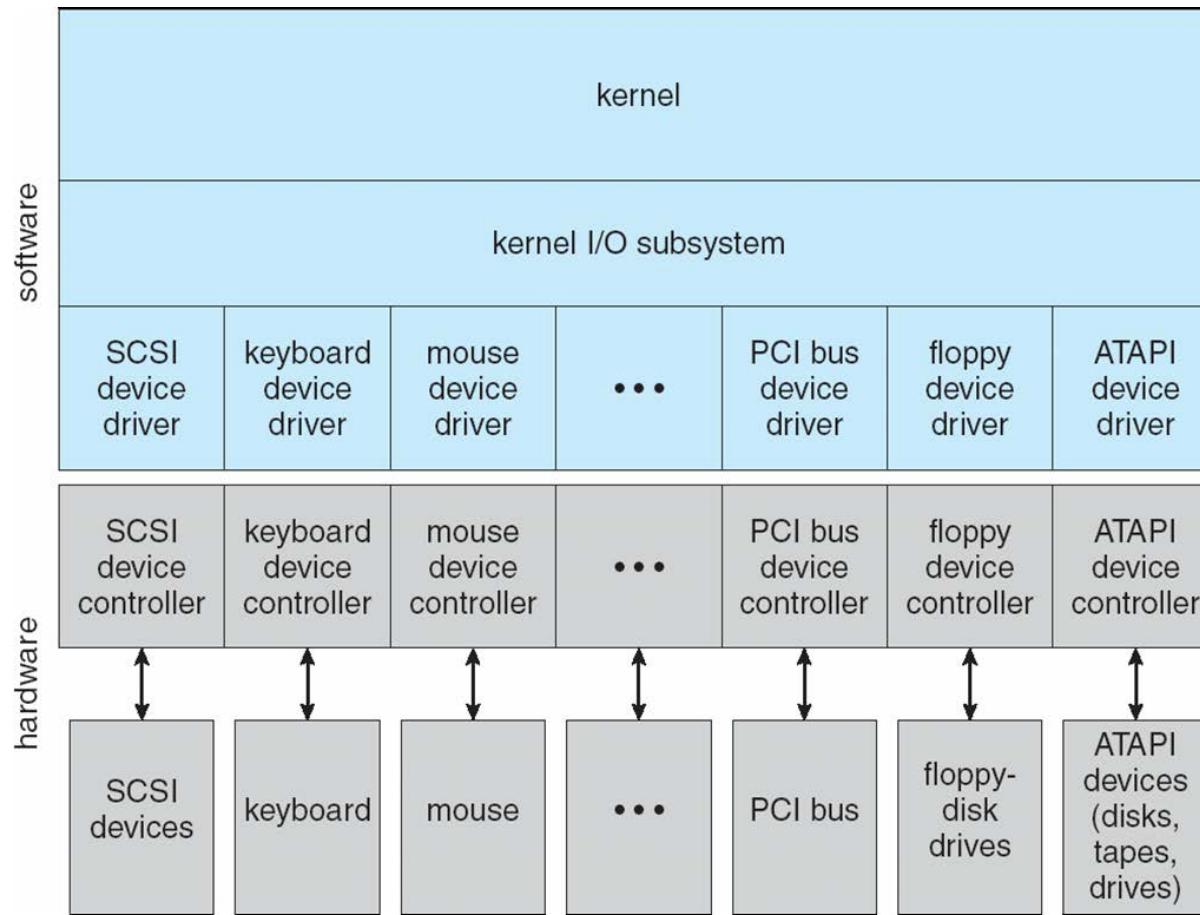
# Application I/O Interface

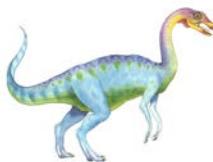
- I/O system calls encapsulate device behaviors in generic classes
- Device-driver layer hides differences among I/O controllers from kernel
- New devices talking already-implemented protocols need no extra work
- Each OS has its own I/O subsystem structures and device driver frameworks
- Devices vary in many dimensions
  - **Character-stream** or **block**
  - **Sequential** or **random-access**
  - **Synchronous** or **asynchronous** (or both)
  - **Sharable** or **dedicated**
  - **Speed of operation**
  - **read-write, read only, or write only**





# A Kernel I/O Structure

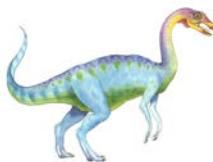




# Characteristics of I/O Devices

| aspect             | variation                                                         | example                               |
|--------------------|-------------------------------------------------------------------|---------------------------------------|
| data-transfer mode | character<br>block                                                | terminal<br>disk                      |
| access method      | sequential<br>random                                              | modem<br>CD-ROM                       |
| transfer schedule  | synchronous<br>asynchronous                                       | tape<br>keyboard                      |
| sharing            | dedicated<br>sharable                                             | tape<br>keyboard                      |
| device speed       | latency<br>seek time<br>transfer rate<br>delay between operations |                                       |
| I/O direction      | read only<br>write only<br>read-write                             | CD-ROM<br>graphics controller<br>disk |

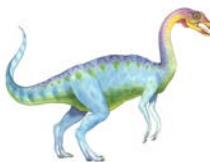




# Characteristics of I/O Devices (Cont.)

- Subtleties of devices handled by device drivers
- Broadly I/O devices can be grouped by the OS into
  - Block I/O
  - Character I/O (Stream)
  - Memory-mapped file access
  - Network sockets
- For direct manipulation of I/O device specific characteristics, usually an escape / back door
  - Unix `ioctl()` call to send arbitrary bits to a device control register and data to device data register





# Block and Character Devices

- Block devices include disk drives
  - Commands include read, write, seek
  - **Raw I/O, direct I/O**, or file-system access
  - Memory-mapped file access possible
    - ▶ File mapped to virtual memory and clusters brought via demand paging
  - DMA
- Character devices include keyboards, mice, serial ports
  - Commands include `get()`, `put()`
  - Libraries layered on top allow line editing



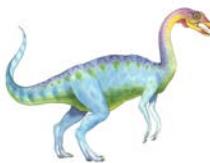


# Network Devices

---

- Varying enough from block and character to have own interface
- Linux, Unix, Windows and many others include **socket** interface
  - Separates network protocol from network operation
  - Includes **select( )** functionality
- Approaches vary widely (pipes, FIFOs, streams, queues, mailboxes)



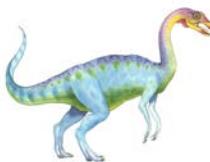


# Clocks and Timers

---

- Provide current time, elapsed time, timer
- Normal resolution about 1/60 second
- Some systems provide higher-resolution timers
- **Programmable interval timer** used for timings, periodic interrupts
- **ioctl()** (on UNIX) covers odd aspects of I/O such as clocks and timers





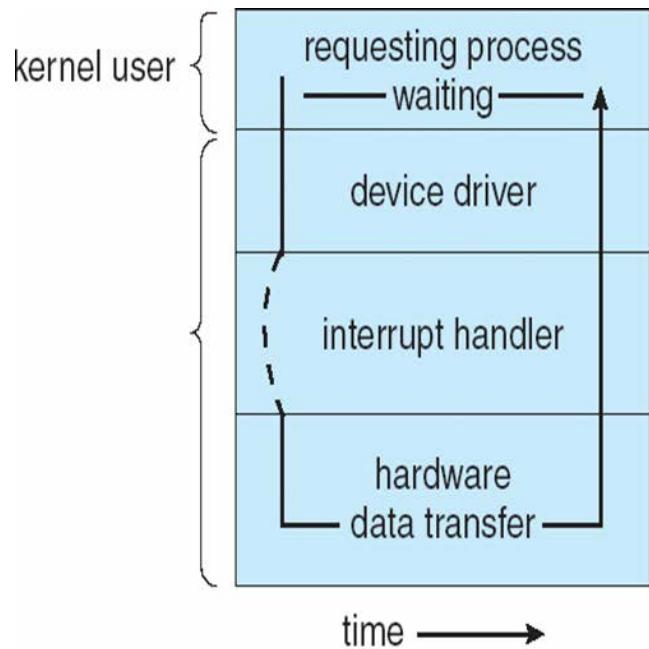
# Nonblocking and Asynchronous I/O

- **Blocking** - process suspended until I/O completed
  - Easy to use and understand
  - Insufficient for some needs
- **Nonblocking** - I/O call returns as much as available
  - User interface, data copy (buffered I/O)
  - Implemented via multi-threading
  - Returns quickly with count of bytes read or written
  - `select()` to find if data ready then `read()` or `write()` to transfer
- **Asynchronous** - process runs while I/O executes
  - Difficult to use
  - I/O subsystem signals process when I/O completed

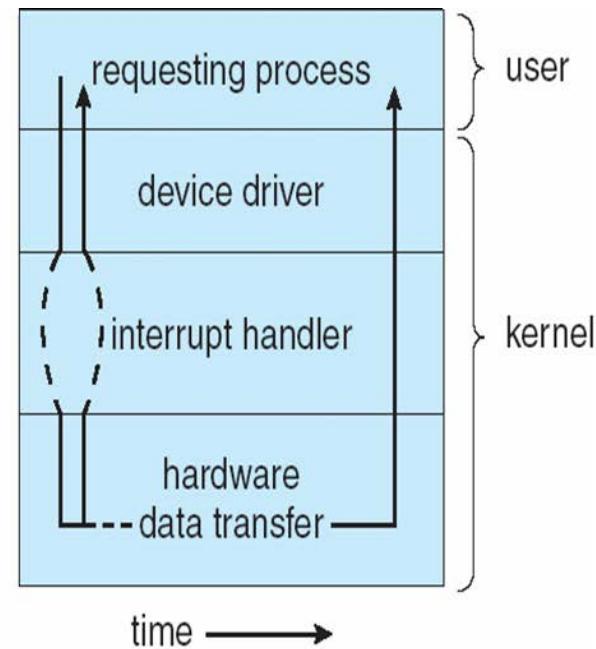




# Two I/O Methods

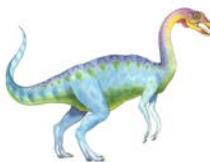


Synchronous



Asynchronous

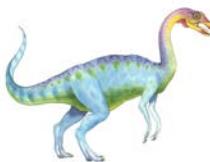




# Vectored I/O

- **Vectored I/O** allows one system call to perform multiple I/O operations
- For example, Unix `readve()` accepts a vector of multiple buffers to read into or write from
- This scatter-gather method better than multiple individual I/O calls
  - Decreases context switching and system call overhead
  - Some versions provide atomicity
    - ▶ Avoid for example worry about multiple threads changing data as reads / writes occurring





# Kernel I/O Subsystem

---

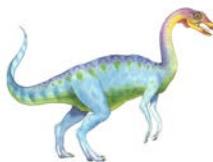
## ■ Scheduling

- Some I/O request ordering via per-device queue
- Some OSs try fairness
- Some implement Quality Of Service (i.e. IPQOS)

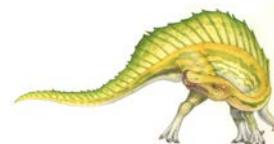
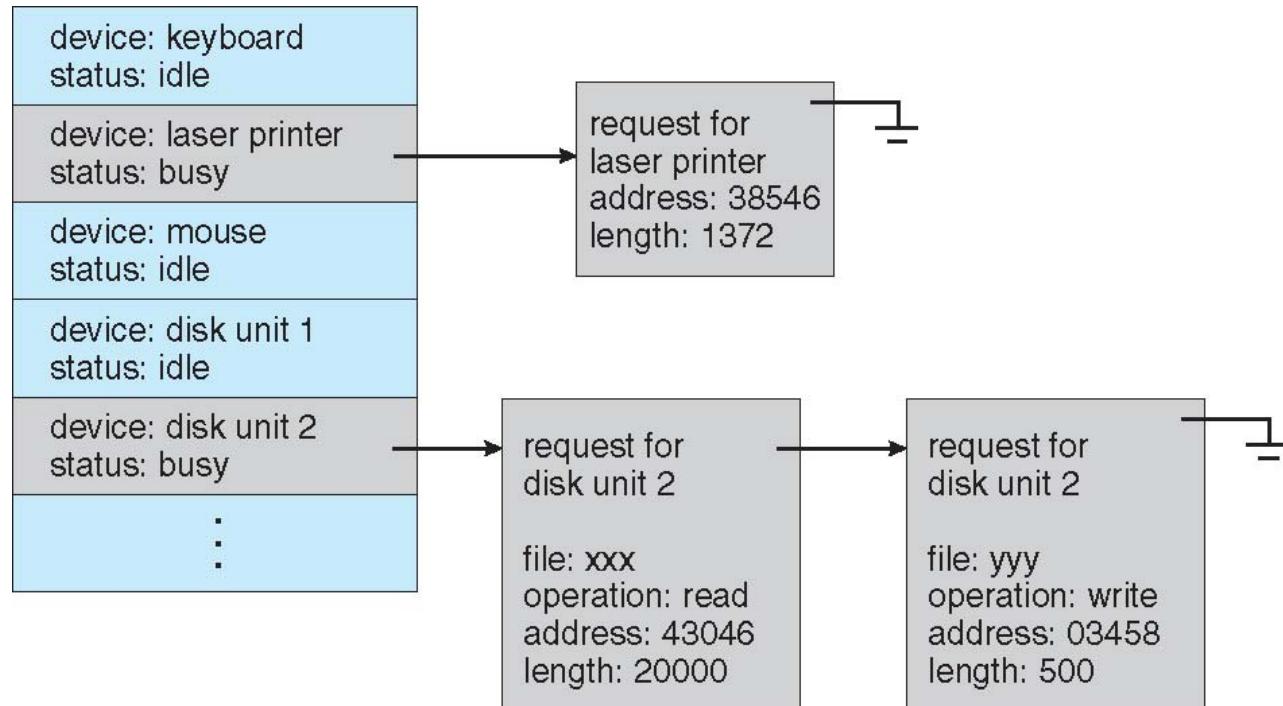
## ■ **Buffering** - store data in memory while transferring between devices

- To cope with device speed mismatch
- To cope with device transfer size mismatch
- To maintain “copy semantics”
- **Double buffering** – two copies of the data
  - ▶ Kernel and user
  - ▶ Varying sizes
  - ▶ Full / being processed and not-full / being used
  - ▶ Copy-on-write can be used for efficiency in some cases



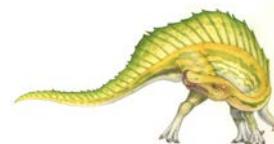
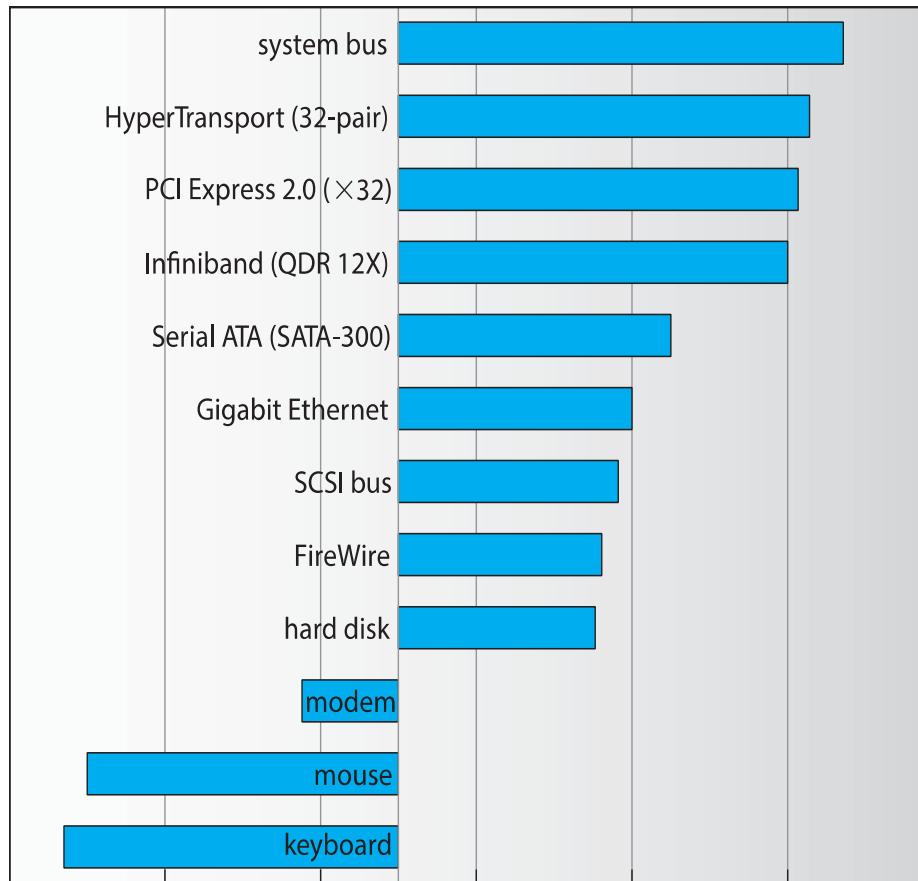


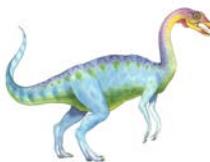
# Device-status Table





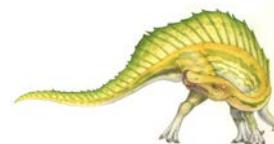
# Sun Enterprise 6000 Device-Transfer Rates

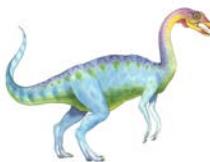




# Kernel I/O Subsystem

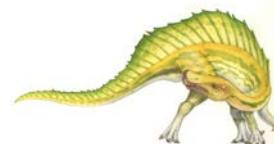
- **Caching** - faster device holding copy of data
  - Always just a copy
  - Key to performance
  - Sometimes combined with buffering
- **Spooling** - hold output for a device
  - If device can serve only one request at a time
  - i.e., Printing
- **Device reservation** - provides exclusive access to a device
  - System calls for allocation and de-allocation
  - Watch out for deadlock





# Error Handling

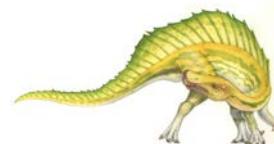
- OS can recover from disk read, device unavailable, transient write failures
  - Retry a read or write, for example
  - Some systems more advanced – Solaris FMA, AIX
    - ▶ Track error frequencies, stop using device with increasing frequency of retry-able errors
- Most return an error number or code when I/O request fails
- System error logs hold problem reports





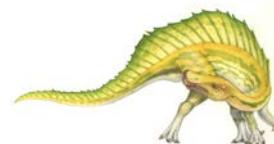
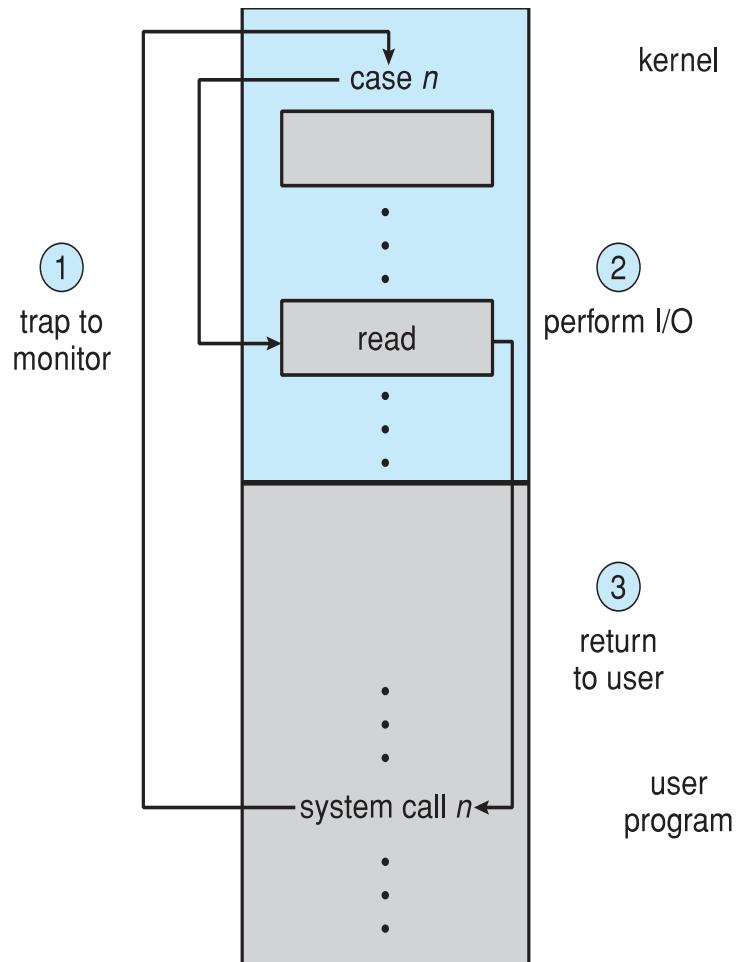
# I/O Protection

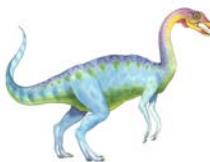
- User process may accidentally or purposefully attempt to disrupt normal operation via illegal I/O instructions
  - All I/O instructions defined to be privileged
  - I/O must be performed via system calls
    - ▶ Memory-mapped and I/O port memory locations must be protected too





# Use of a System Call to Perform I/O





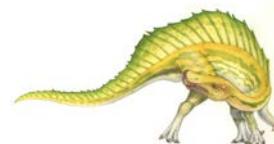
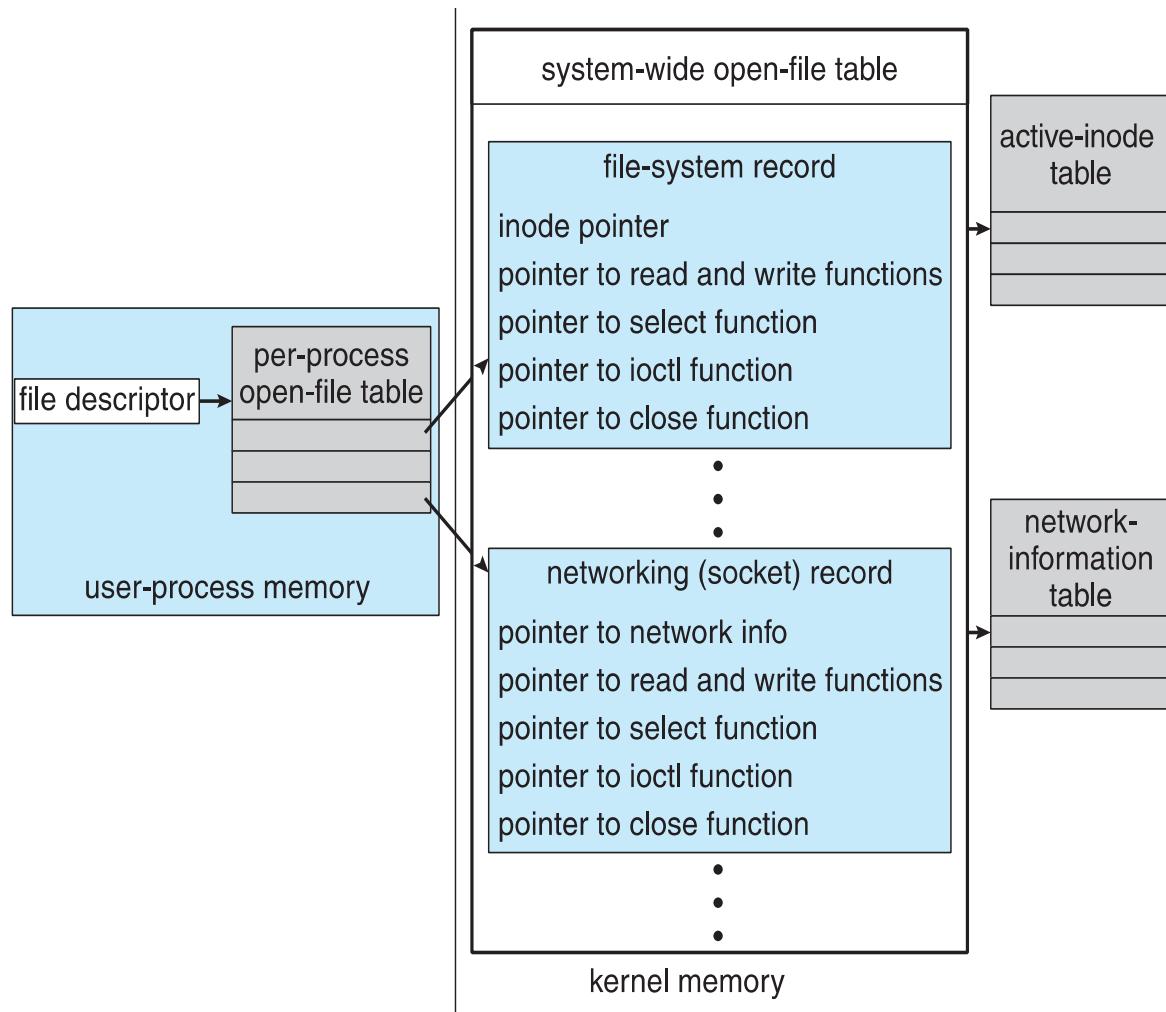
# Kernel Data Structures

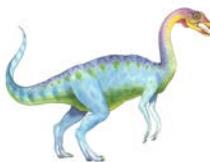
- Kernel keeps state info for I/O components, including open file tables, network connections, character device state
- Many, many complex data structures to track buffers, memory allocation, “dirty” blocks
- Some use object-oriented methods and message passing to implement I/O
  - Windows uses message passing
    - ▶ Message with I/O information passed from user mode into kernel
    - ▶ Message modified as it flows through to device driver and back to process
    - ▶ Pros / cons?





# UNIX I/O Kernel Structure

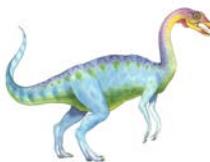




# Power Management

- Not strictly domain of I/O, but much is I/O related
- Computers and devices use electricity, generate heat, frequently require cooling
- OSes can help manage and improve use
  - Cloud computing environments move virtual machines between servers
    - ▶ Can end up evacuating whole systems and shutting them down
- Mobile computing has power management as first class OS aspect

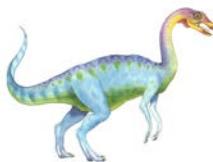




# Power Management (Cont.)

- For example, Android implements
  - Component-level power management
    - ▶ Understands relationship between components
    - ▶ Build device tree representing physical device topology
    - ▶ System bus -> I/O subsystem -> {flash, USB storage}
    - ▶ Device driver tracks state of device, whether in use
    - ▶ Unused component – turn it off
    - ▶ All devices in tree branch unused – turn off branch
  - Wake locks – like other locks but prevent sleep of device when lock is held
  - Power collapse – put a device into very deep sleep
    - ▶ Marginal power use
    - ▶ Only awake enough to respond to external stimuli (button press, incoming call)





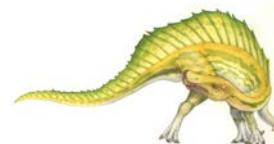
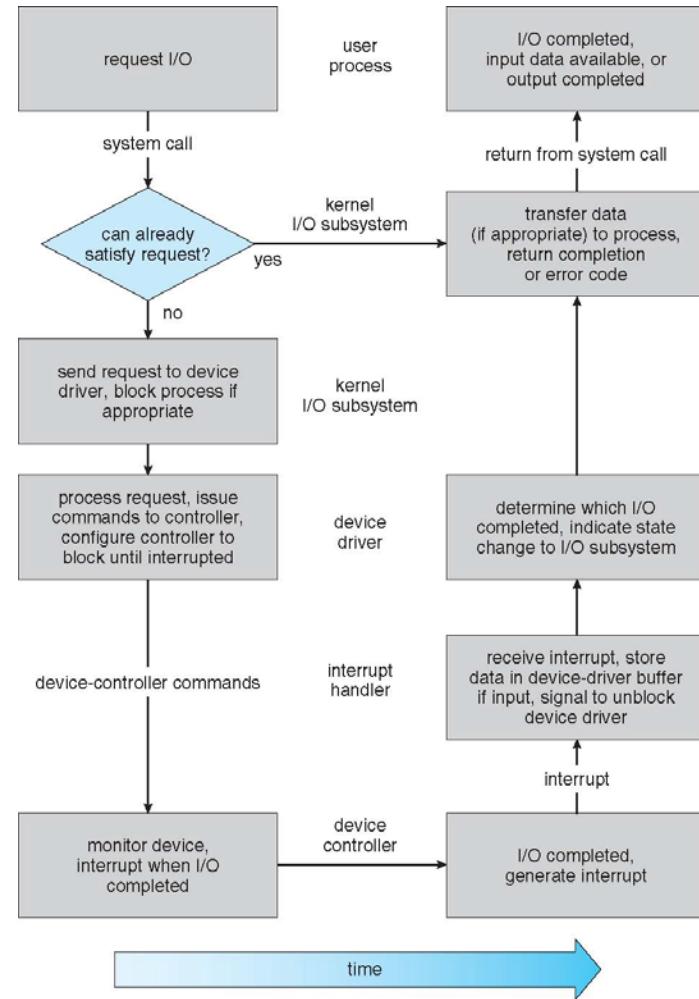
# I/O Requests to Hardware Operations

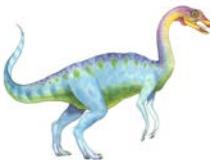
- Consider reading a file from disk for a process:
  - Determine device holding file
  - Translate name to device representation
  - Physically read data from disk into buffer
  - Make data available to requesting process
  - Return control to process





# Life Cycle of An I/O Request





# STREAMS

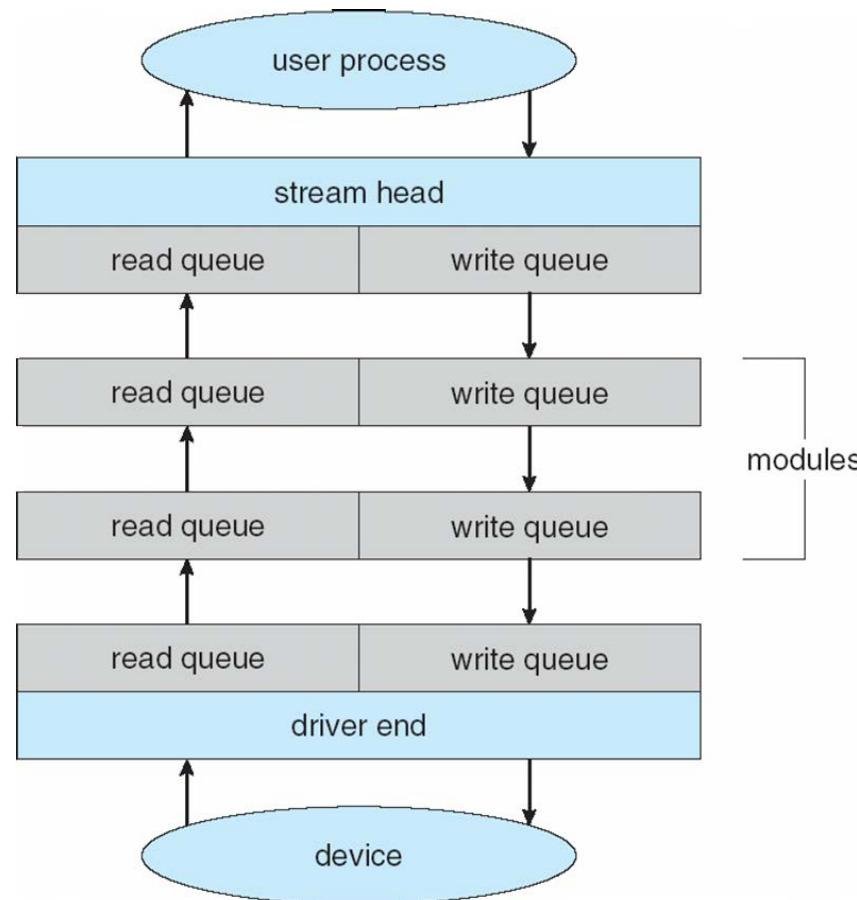
---

- **STREAM** – a full-duplex communication channel between a user-level process and a device in Unix System V and beyond
- A STREAM consists of:
  - STREAM head interfaces with the user process
  - driver end interfaces with the device
  - zero or more STREAM modules between them
- Each module contains a **read queue** and a **write queue**
- Message passing is used to communicate between queues
  - **Flow control** option to indicate available or busy
- Asynchronous internally, synchronous where user process communicates with stream head





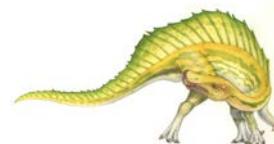
# The STREAMS Structure





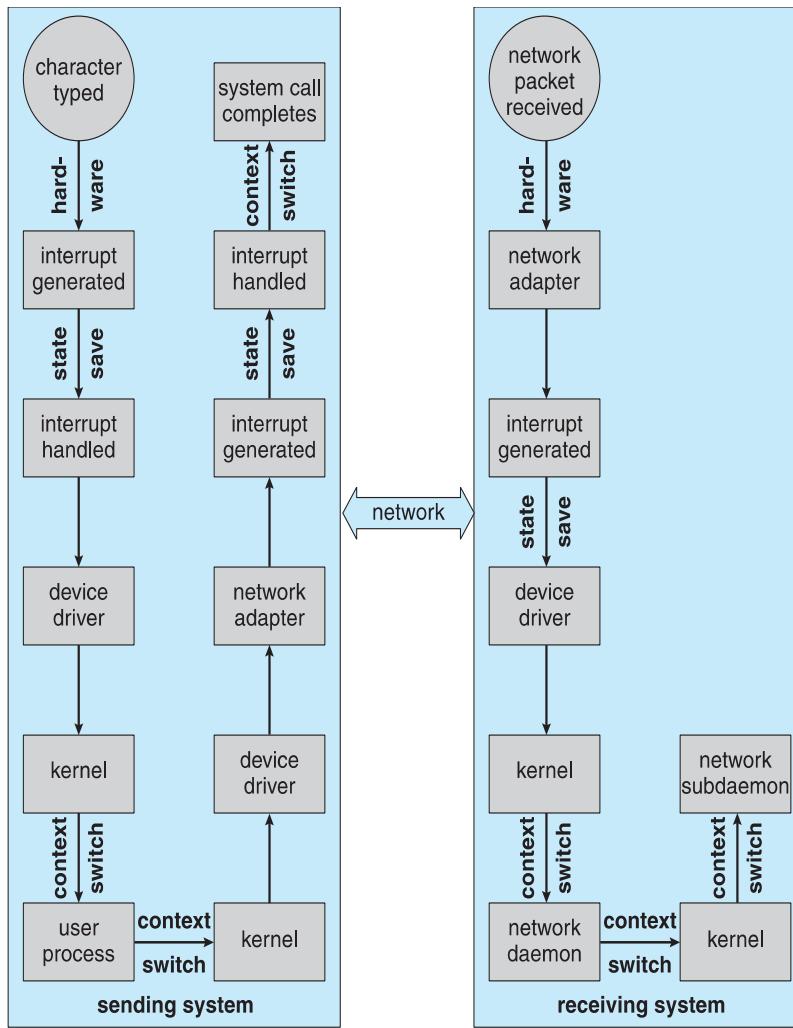
# Performance

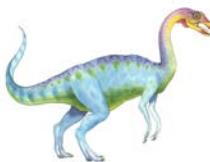
- I/O a major factor in system performance:
  - Demands CPU to execute device driver, kernel I/O code
  - Context switches due to interrupts
  - Data copying
  - Network traffic especially stressful





# Intercomputer Communications





# Improving Performance

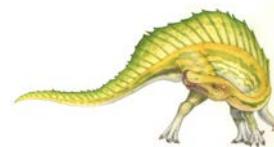
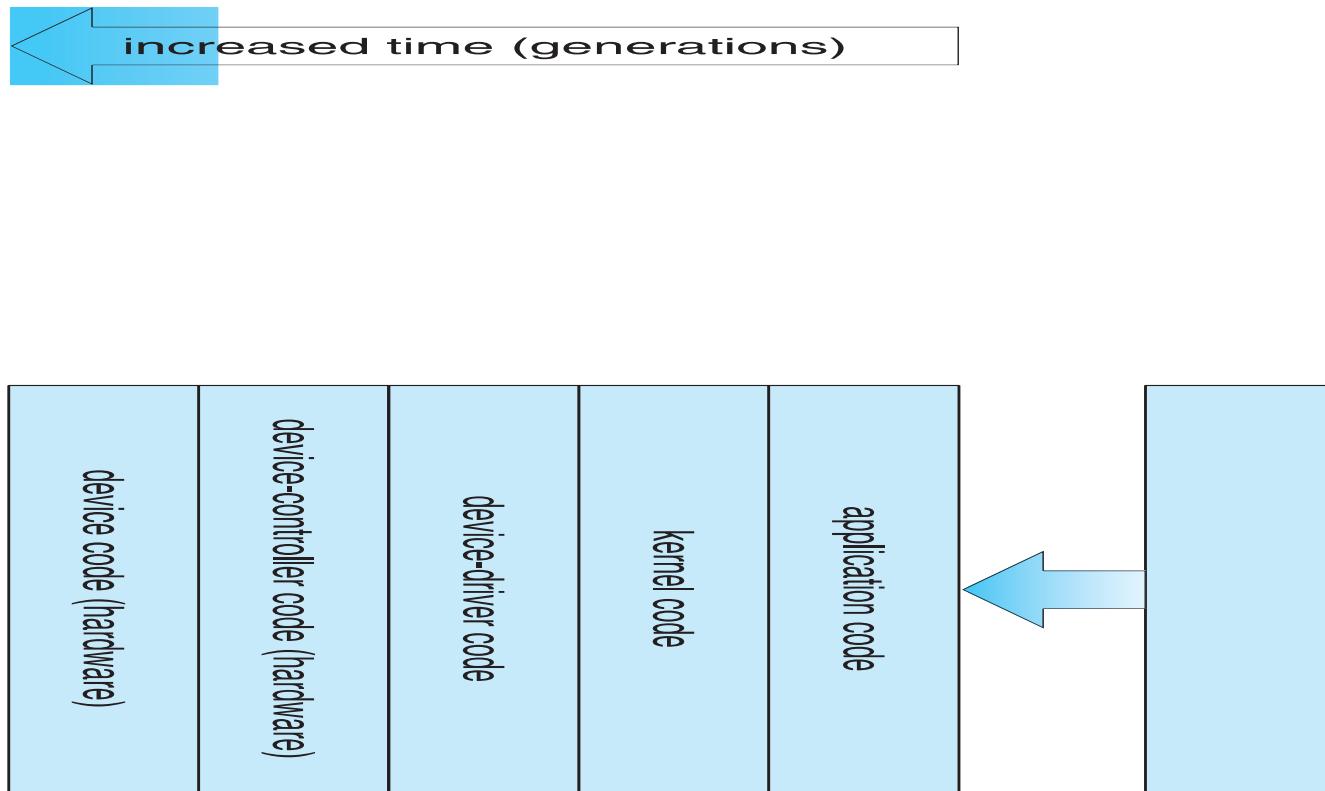
---

- Reduce number of context switches
- Reduce data copying
- Reduce interrupts by using large transfers, smart controllers, polling
- Use DMA
- Use smarter hardware devices
- Balance CPU, memory, bus, and I/O performance for highest throughput
- Move user-mode processes / daemons to kernel threads

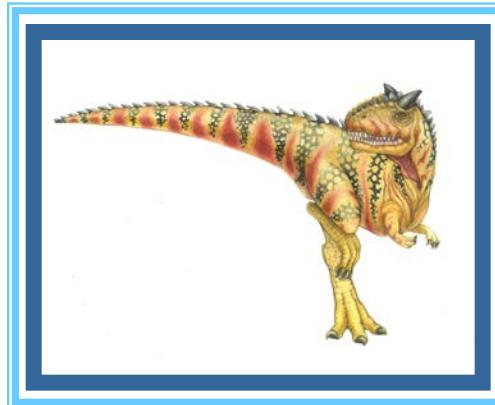




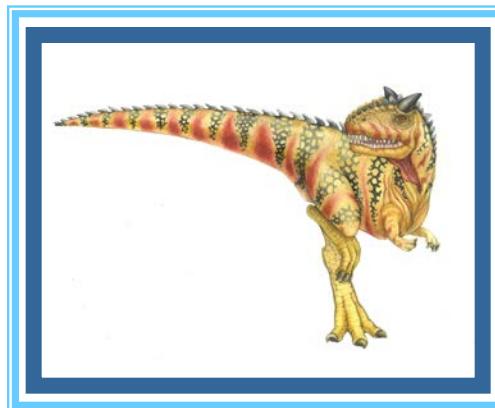
# Device-Functionality Progression

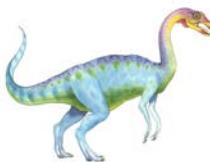


# End of Chapter 13



# Chapter 14: Protection



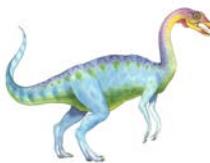


# Chapter 14: Protection

---

- Goals of Protection
- Principles of Protection
- Domain of Protection
- Access Matrix
- Implementation of Access Matrix
- Access Control
- Revocation of Access Rights
- Capability-Based Systems
- Language-Based Protection

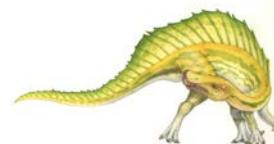


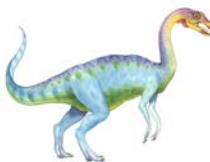


# Objectives

---

- Discuss the goals and principles of protection in a modern computer system
- Explain how protection domains combined with an access matrix are used to specify the resources a process may access
- Examine capability and language-based protection systems



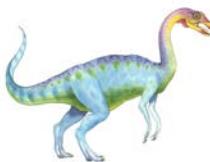


# Goals of Protection

---

- In one protection model, computer consists of a collection of objects, hardware or software
- Each object has a unique name and can be accessed through a well-defined set of operations
- Protection problem - ensure that each object is accessed correctly and only by those processes that are allowed to do so

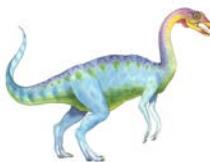




# Principles of Protection

- Guiding principle – **principle of least privilege**
  - Programs, users and systems should be given just enough **privileges** to perform their tasks
  - Limits damage if entity has a bug, gets abused
  - Can be static (during life of system, during life of process)
  - Or dynamic (changed by process as needed) – **domain switching, privilege escalation**
  - “Need to know” a similar concept regarding access to data

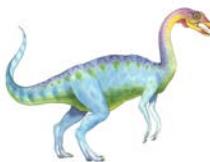




# Principles of Protection (Cont.)

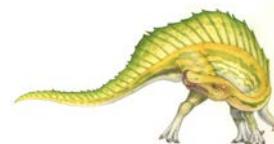
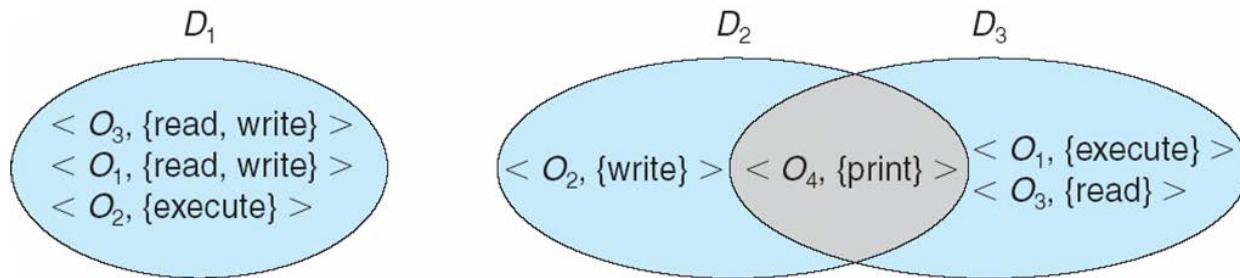
- Must consider “grain” aspect
  - Rough-grained privilege management easier, simpler, but least privilege now done in large chunks
    - ▶ For example, traditional Unix processes either have abilities of the associated user, or of root
  - Fine-grained management more complex, more overhead, but more protective
    - ▶ File ACL lists, RBAC
- Domain can be user, process, procedure

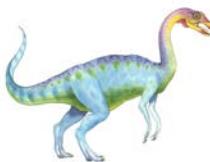




# Domain Structure

- Access-right =  $\langle \text{object-name}, \text{rights-set} \rangle$   
where *rights-set* is a subset of all valid operations that can be performed on the object
- Domain = set of access-rights





# Domain Implementation (UNIX)

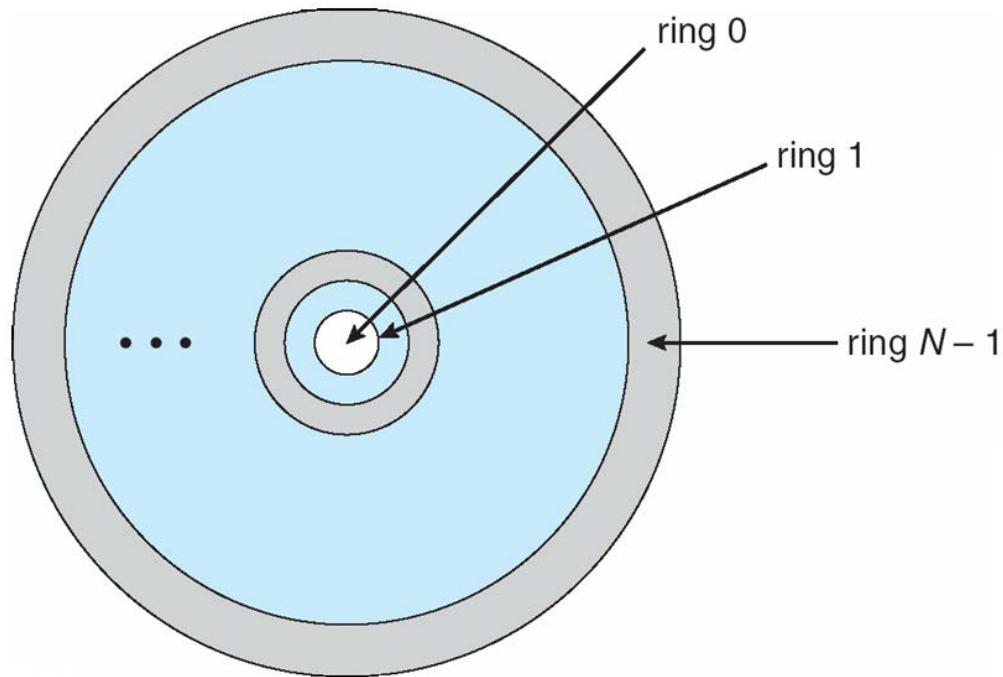
- Domain = user-id
- Domain switch accomplished via file system
  - ▶ Each file has associated with it a domain bit (setuid bit)
  - ▶ When file is executed and setuid = on, then user-id is set to owner of the file being executed
  - ▶ When execution completes user-id is reset
- Domain switch accomplished via passwords
  - su command temporarily switches to another user's domain when other domain's password provided
- Domain switching via commands
  - sudo command prefix executes specified command in another domain (if original domain has privilege or password given)

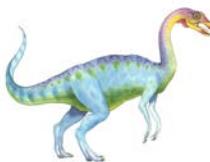




# Domain Implementation (MULTICS)

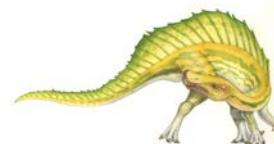
- Let  $D_i$  and  $D_j$  be any two domain rings
- If  $j < i \Rightarrow D_i \subseteq D_j$

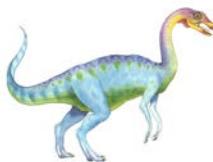




# Multics Benefits and Limits

- Ring / hierarchical structure provided more than the basic kernel / user or root / normal user design
- Fairly complex -> more overhead
- But does not allow strict need-to-know
  - Object accessible in  $D_j$  but not in  $D_i$ , then  $j$  must be  $< i$
  - But then every segment accessible in  $D_i$  also accessible in  $D_j$



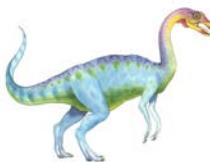


# Access Matrix

- View protection as a matrix (**access matrix**)
- Rows represent domains
- Columns represent objects
- **Access(i, j)** is the set of operations that a process executing in Domain<sub>i</sub> can invoke on Object<sub>j</sub>

| object<br>domain | $F_1$         | $F_2$ | $F_3$         | printer |
|------------------|---------------|-------|---------------|---------|
| $D_1$            | read          |       | read          |         |
| $D_2$            |               |       |               | print   |
| $D_3$            |               | read  | execute       |         |
| $D_4$            | read<br>write |       | read<br>write |         |

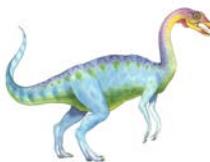




# Use of Access Matrix

- If a process in Domain  $D_i$  tries to do “op” on object  $O_j$ , then “op” must be in the access matrix
- User who creates object can define access column for that object
- Can be expanded to dynamic protection
  - Operations to add, delete access rights
  - Special access rights:
    - ▶ *owner of  $O_i$*
    - ▶ *copy op from  $O_i$  to  $O_j$  (denoted by “\*”)*
    - ▶ *control –  $D_i$  can modify  $D_j$  access rights*
    - ▶ *transfer – switch from domain  $D_i$  to  $D_j$*
  - *Copy* and *Owner* applicable to an object
  - *Control* applicable to domain object

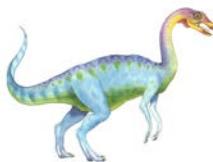




# Use of Access Matrix (Cont.)

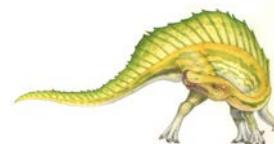
- **Access matrix** design separates mechanism from policy
  - Mechanism
    - ▶ Operating system provides access-matrix + rules
    - ▶ If ensures that the matrix is only manipulated by authorized agents and that rules are strictly enforced
  - Policy
    - ▶ User dictates policy
    - ▶ Who can access what object and in what mode
- But doesn't solve the general confinement problem

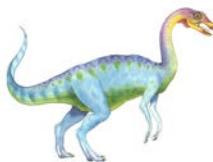




# Access Matrix of Figure A with Domains as Objects

| object<br>domain | $F_1$         | $F_2$ | $F_3$         | laser<br>printer | $D_1$  | $D_2$  | $D_3$  | $D_4$  |
|------------------|---------------|-------|---------------|------------------|--------|--------|--------|--------|
| $D_1$            | read          |       | read          |                  |        | switch |        |        |
| $D_2$            |               |       |               | print            |        |        | switch | switch |
| $D_3$            |               | read  | execute       |                  |        |        |        |        |
| $D_4$            | read<br>write |       | read<br>write |                  | switch |        |        |        |





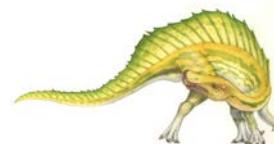
# Access Matrix with Copy Rights

| object<br>domain \ | $F_1$   | $F_2$ | $F_3$   |
|--------------------|---------|-------|---------|
| $D_1$              | execute |       | write*  |
| $D_2$              | execute | read* | execute |
| $D_3$              | execute |       |         |

(a)

| object<br>domain \ | $F_1$   | $F_2$ | $F_3$   |
|--------------------|---------|-------|---------|
| $D_1$              | execute |       | write*  |
| $D_2$              | execute | read* | execute |
| $D_3$              | execute | read  |         |

(b)





# Access Matrix With Owner Rights

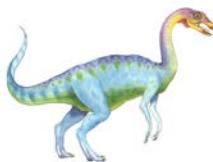
| object<br>domain \ F <sub>i</sub> | F <sub>1</sub>   | F <sub>2</sub> | F <sub>3</sub>          |
|-----------------------------------|------------------|----------------|-------------------------|
| D <sub>1</sub>                    | owner<br>execute |                | write                   |
| D <sub>2</sub>                    |                  | read*<br>owner | read*<br>owner<br>write |
| D <sub>3</sub>                    | execute          |                |                         |

(a)

| object<br>domain \ F <sub>i</sub> | F <sub>1</sub>   | F <sub>2</sub>           | F <sub>3</sub>          |
|-----------------------------------|------------------|--------------------------|-------------------------|
| D <sub>1</sub>                    | owner<br>execute |                          | write                   |
| D <sub>2</sub>                    |                  | owner<br>read*<br>write* | read*<br>owner<br>write |
| D <sub>3</sub>                    |                  | write                    | write                   |

(b)

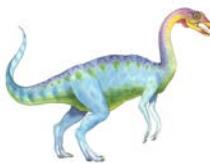




# Modified Access Matrix of Figure B

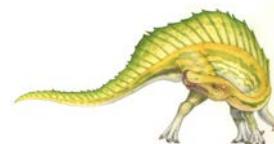
| object<br>domain | $F_1$ | $F_2$ | $F_3$   | laser<br>printer | $D_1$  | $D_2$  | $D_3$  | $D_4$             |
|------------------|-------|-------|---------|------------------|--------|--------|--------|-------------------|
| $D_1$            | read  |       | read    |                  |        | switch |        |                   |
| $D_2$            |       |       |         | print            |        |        | switch | switch<br>control |
| $D_3$            |       | read  | execute |                  |        |        |        |                   |
| $D_4$            | write |       | write   |                  | switch |        |        |                   |

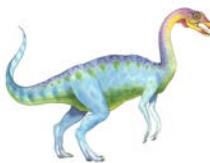




# Implementation of Access Matrix

- Generally, a sparse matrix
- Option 1 – Global table
  - Store ordered triples `<domain, object, rights-set>` in table
  - A requested operation  $M$  on object  $O_j$  within domain  $D_i \rightarrow$  search table for  $< D_i, O_j, R_k >$ 
    - ▶ with  $M \in R_k$
  - But table could be large  $\rightarrow$  won't fit in main memory
  - Difficult to group objects (consider an object that all domains can read)

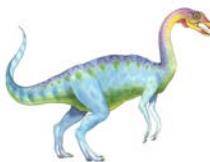




# Implementation of Access Matrix (Cont.)

- Option 2 – Access lists for objects
  - Each column implemented as an access list for one object
  - Resulting per-object list consists of ordered pairs `<domain, rights-set>` defining all domains with non-empty set of access rights for the object
  - Easily extended to contain default set -> If  $M \in$  default set, also allow access





# Implementation of Access Matrix (Cont.)

- Each column = Access-control list for one object  
Defines who can perform what operation

Domain 1 = Read, Write

Domain 2 = Read

Domain 3 = Read

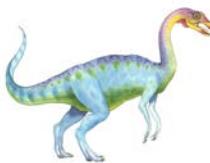
- Each Row = Capability List (like a key)  
For each domain, what operations allowed on what objects

Object F1 – Read

Object F4 – Read, Write, Execute

Object F5 – Read, Write, Delete, Copy

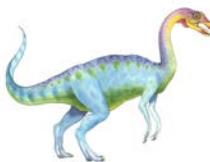




# Implementation of Access Matrix (Cont.)

- Option 3 – Capability list for domains
  - Instead of object-based, list is domain based
  - **Capability list** for domain is list of objects together with operations allowed on them
  - Object represented by its name or address, called a **capability**
  - Execute operation M on object  $O_j$ , process requests operation and specifies capability as parameter
    - ▶ Possession of capability means access is allowed
  - Capability list associated with domain but never directly accessible by domain
    - ▶ Rather, protected object, maintained by OS and accessed indirectly
    - ▶ Like a “secure pointer”
    - ▶ Idea can be extended up to applications



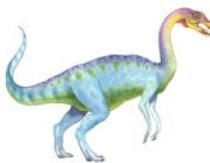


## Implementation of Access Matrix (Cont.)

- Option 4 – Lock-key

- Compromise between access lists and capability lists
- Each object has list of unique bit patterns, called **locks**
- Each domain as list of unique bit patterns called **keys**
- Process in a domain can only access object if domain has key that matches one of the locks





# Comparison of Implementations

- Many trade-offs to consider
  - Global table is simple, but can be large
  - Access lists correspond to needs of users
    - ▶ Determining set of access rights for domain non-localized so difficult
    - ▶ Every access to an object must be checked
      - Many objects and access rights -> slow
  - Capability lists useful for localizing information for a given process
    - ▶ But revocation capabilities can be inefficient
  - Lock-key effective and flexible, keys can be passed freely from domain to domain, easy revocation





# Comparison of Implementations (Cont.)

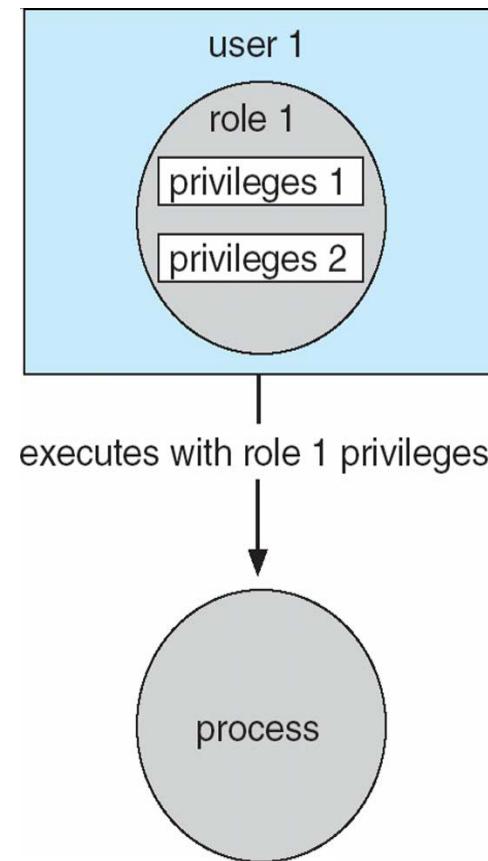
- Most systems use combination of access lists and capabilities
  - First access to an object -> access list searched
    - ▶ If allowed, capability created and attached to process
      - Additional accesses need not be checked
    - ▶ After last access, capability destroyed
    - ▶ Consider file system with ACLs per file

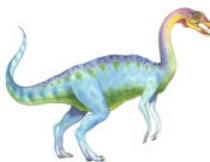




# Access Control

- Protection can be applied to non-file resources
- Oracle Solaris 10 provides **role-based access control (RBAC)** to implement least privilege
  - **Privilege** is right to execute system call or use an option within a system call
  - Can be assigned to processes
  - Users assigned **roles** granting access to privileges and programs
    - ▶ Enable role via password to gain its privileges
  - Similar to access matrix

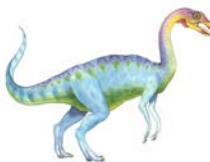




# Revocation of Access Rights

- Various options to remove the access right of a domain to an object
  - **Immediate vs. delayed**
  - **Selective vs. general**
  - **Partial vs. total**
  - **Temporary vs. permanent**
- **Access List** – Delete access rights from access list
  - **Simple** – search access list and remove entry
  - **Immediate, general or selective, total or partial, permanent or temporary**



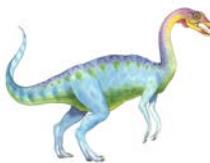


# Revocation of Access Rights (Cont.)

---

- **Capability List** – Scheme required to locate capability in the system before capability can be revoked
  - **Reacquisition** – periodic delete, with require and denial if revoked
  - **Back-pointers** – set of pointers from each object to all capabilities of that object (Multics)
  - **Indirection** – capability points to global table entry which points to object – delete entry from global table, not selective (CAL)
  - **Keys** – unique bits associated with capability, generated when capability created
    - ▶ Master key associated with object, key matches master key for access
    - ▶ Revocation – create new master key
    - ▶ Policy decision of who can create and modify keys – object owner or others?

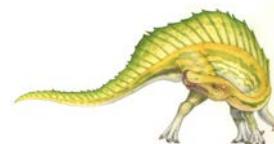


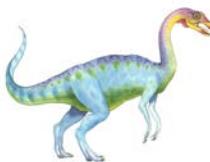


# Capability-Based Systems

## ■ Hydra

- Fixed set of access rights known to and interpreted by the system
  - ▶ i.e. read, write, or execute each memory segment
  - ▶ User can declare other **auxiliary rights** and register those with protection system
  - ▶ Accessing process must hold capability and know name of operation
  - ▶ **Rights amplification** allowed by trustworthy procedures for a specific type
- Interpretation of user-defined rights performed solely by user's program; system provides access protection for use of these rights
- Operations on objects defined procedurally – procedures are objects accessed indirectly by capabilities
- Solves the *problem of mutually suspicious subsystems*
- Includes library of prewritten security routines

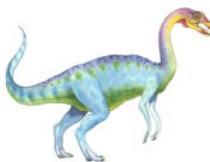




# Capability-Based Systems (Cont.)

- Cambridge CAP System
  - Simpler but powerful
  - **Data capability** - provides standard read, write, execute of individual storage segments associated with object – implemented in microcode
  - **Software capability** -interpretation left to the subsystem, through its protected procedures
    - ▶ Only has access to its own subsystem
    - ▶ Programmers must learn principles and techniques of protection

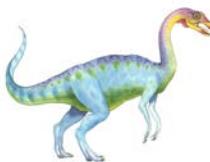




# Language-Based Protection

- Specification of protection in a programming language allows the high-level description of policies for the allocation and use of resources
- Language implementation can provide software for protection enforcement when automatic hardware-supported checking is unavailable
- Interpret protection specifications to generate calls on whatever protection system is provided by the hardware and the operating system

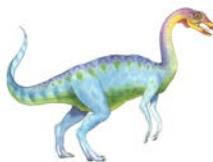




# Protection in Java 2

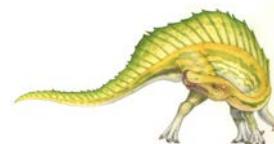
- Protection is handled by the Java Virtual Machine (JVM)
- A **class** is assigned a protection domain when it is loaded by the JVM
- The protection domain indicates what operations the class can (and cannot) perform
- If a library **method** is invoked that performs a privileged operation, the stack is **inspected** to ensure the operation can be performed by the library
- Generally, Java's load-time and run-time checks enforce **type safety**
- Classes effectively **encapsulate** and protect data and methods from other classes



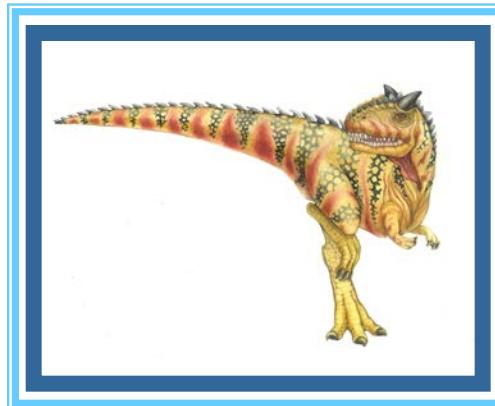


# Stack Inspection

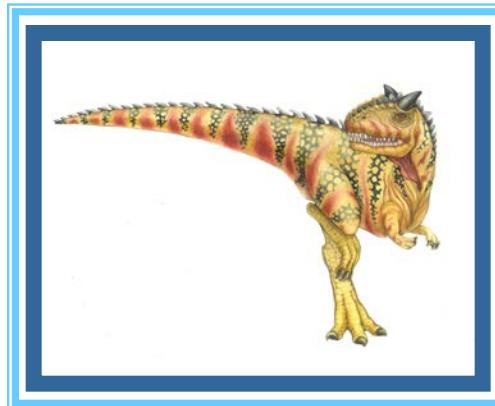
| protection domain: | untrusted applet                                      | URL loader                                                                                                        | networking                                                                             |
|--------------------|-------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| socket permission: | none                                                  | *.lucent.com:80, connect                                                                                          | any                                                                                    |
| class:             | gui:<br>...<br>get(url);<br>open(addr);<br>...<br>... | get(URL u):<br>...<br>doPrivileged {<br>open('proxy.lucent.com:80');<br>}<br><request u from proxy><br>...<br>... | open(Addr a):<br>...<br>checkPermission<br>(a, connect);<br>connect (a);<br>...<br>... |

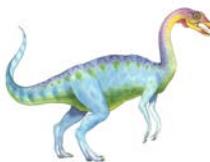


# End of Chapter 14



# Chapter 15: Security



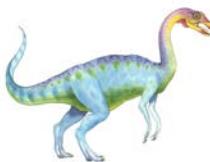


# Chapter 15: Security

---

- The Security Problem
- Program Threats
- System and Network Threats
- Cryptography as a Security Tool
- User Authentication
- Implementing Security Defenses
- Firewalling to Protect Systems and Networks
- Computer-Security Classifications
- An Example: Windows 7





# Objectives

---

- To discuss security threats and attacks
- To explain the fundamentals of encryption, authentication, and hashing
- To examine the uses of cryptography in computing
- To describe the various countermeasures to security attacks

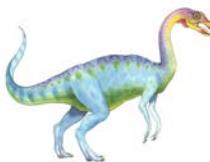




# The Security Problem

- System **secure** if resources used and accessed as intended under all circumstances
  - Unachievable
- **Intruders (crackers)** attempt to breach security
- **Threat** is potential security violation
- **Attack** is attempt to breach security
- Attack can be accidental or malicious
- Easier to protect against accidental than malicious misuse

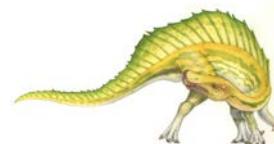


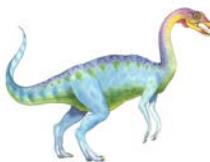


# Security Violation Categories

---

- **Breach of confidentiality**
  - Unauthorized reading of data
- **Breach of integrity**
  - Unauthorized modification of data
- **Breach of availability**
  - Unauthorized destruction of data
- **Theft of service**
  - Unauthorized use of resources
- **Denial of service (DOS)**
  - Prevention of legitimate use





# Security Violation Methods

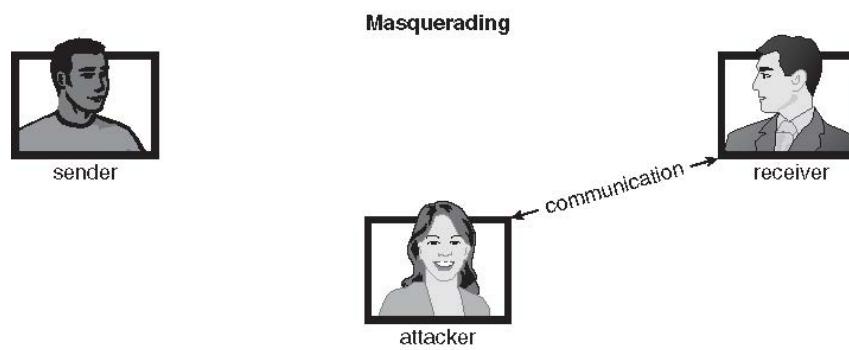
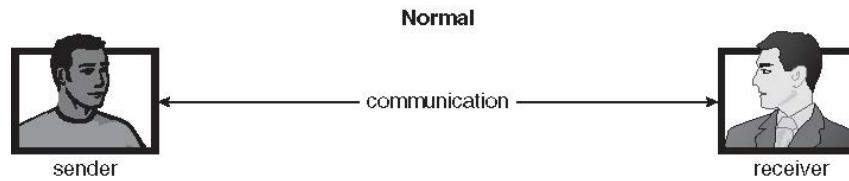
---

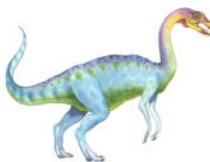
- **Masquerading** (breach authentication)
  - Pretending to be an authorized user to escalate privileges
- **Replay attack**
  - As is or with **message modification**
- **Man-in-the-middle attack**
  - Intruder sits in data flow, masquerading as sender to receiver and vice versa
- **Session hijacking**
  - Intercept an already-established session to bypass authentication





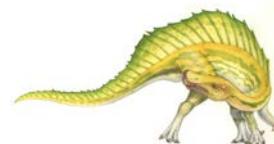
# Standard Security Attacks





# Security Measure Levels

- Impossible to have absolute security, but make cost to perpetrator sufficiently high to deter most intruders
- Security must occur at four levels to be effective:
  - **Physical**
    - ▶ Data centers, servers, connected terminals
  - **Human**
    - ▶ Avoid **social engineering, phishing, dumpster diving**
  - **Operating System**
    - ▶ Protection mechanisms, debugging
  - **Network**
    - ▶ Intercepted communications, interruption, DOS
- Security is as weak as the weakest link in the chain
- But can too much security be a problem?

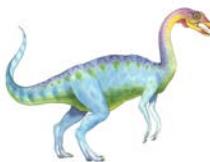




# Program Threats

- Many variations, many names
- **Trojan Horse**
  - Code segment that misuses its environment
  - Exploits mechanisms for allowing programs written by users to be executed by other users
  - **Spyware, pop-up browser windows, covert channels**
  - Up to 80% of spam delivered by spyware-infected systems
- **Trap Door**
  - Specific user identifier or password that circumvents normal security procedures
  - Could be included in a compiler
  - How to detect them?





# Program Threats (Cont.)

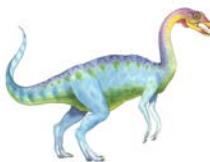
## ■ Logic Bomb

- Program that initiates a security incident under certain circumstances

## ■ Stack and Buffer Overflow

- Exploits a bug in a program (overflow either the stack or memory buffers)
- Failure to check bounds on inputs, arguments
- Write past arguments on the stack into the return address on stack
- When routine returns from call, returns to hacked address
  - ▶ Pointed to code loaded onto stack that executes malicious code
- Unauthorized user or privilege escalation





# C Program with Buffer-overflow Condition

```
#include <stdio.h>

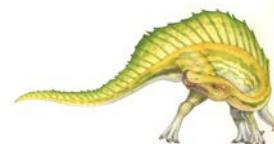
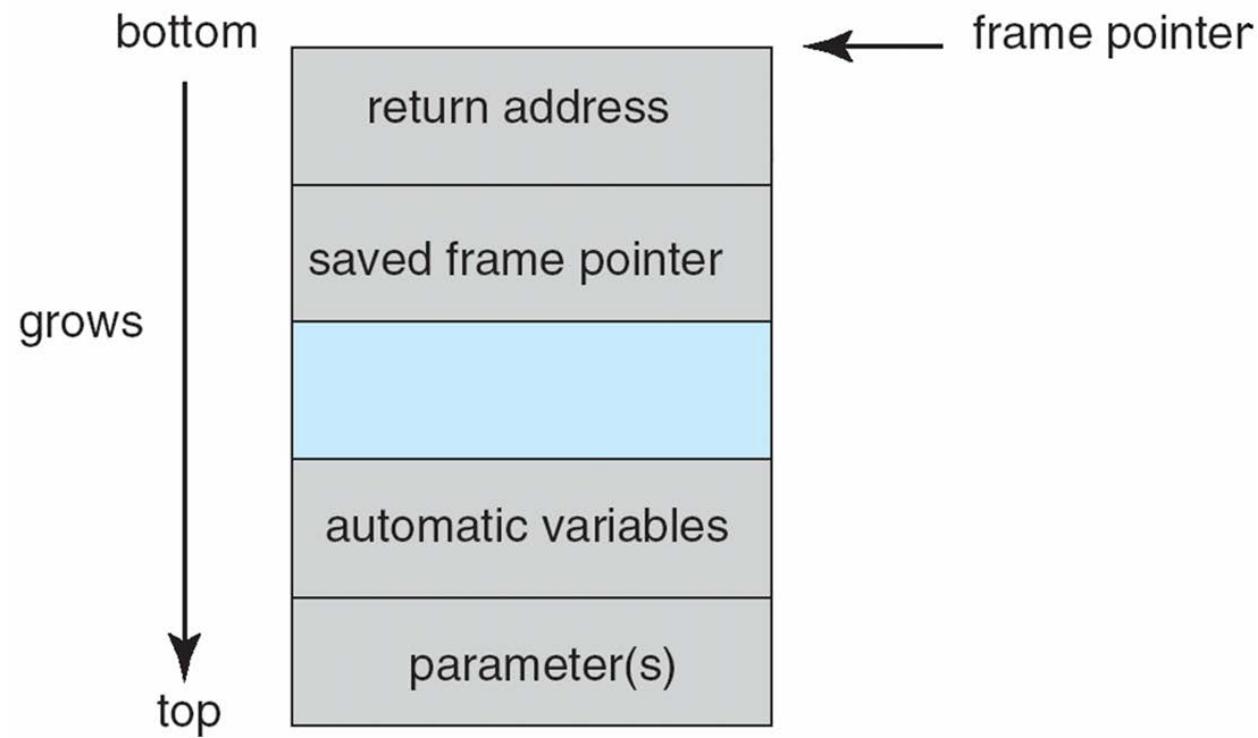
#define BUFFER SIZE 256

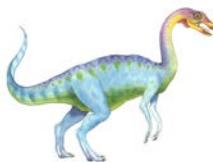
int main(int argc, char *argv[])
{
 char buffer[BUFFER SIZE];
 if (argc < 2)
 return -1;
 else {
 strcpy(buffer, argv[1]);
 return 0;
 }
}
```





# Layout of Typical Stack Frame

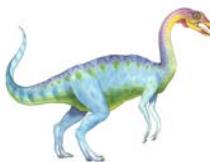




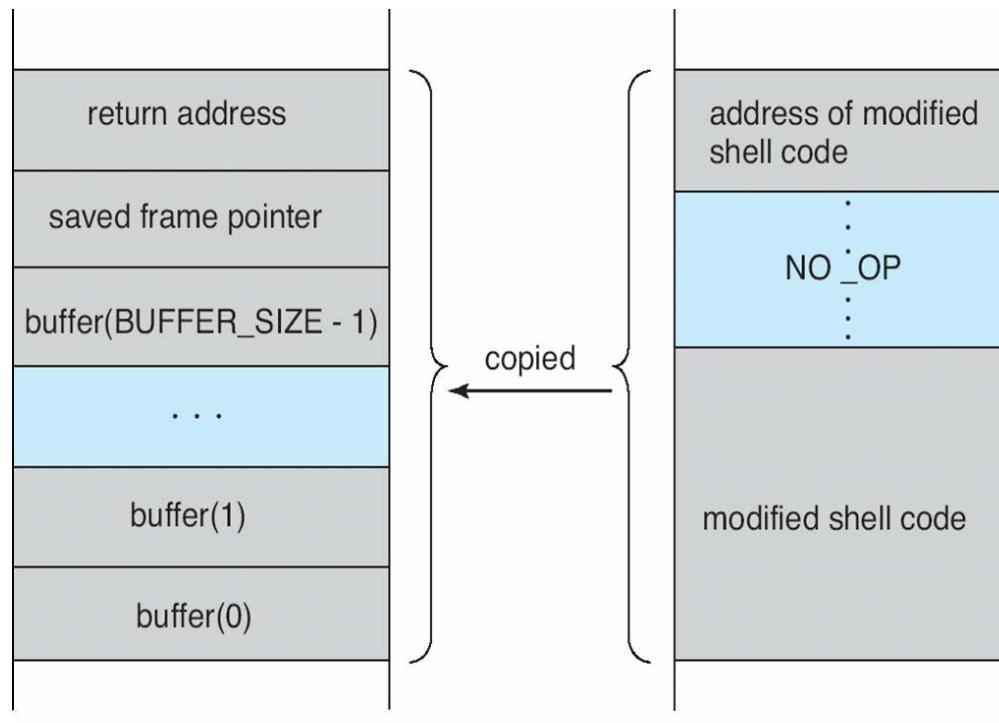
# Modified Shell Code

```
#include <stdio.h>
int main(int argc, char *argv[])
{
 execvp(“\bin\sh”, “\bin \sh”, NULL);
 return 0;
}
```





# Hypothetical Stack Frame



Before attack

After attack

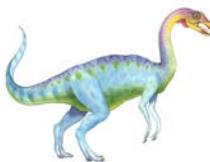




# Great Programming Required?

- For the first step of determining the bug, and second step of writing exploit code, yes
- **Script kiddies** can run pre-written exploit code to attack a given system
- Attack code can get a shell with the processes' owner's permissions
  - Or open a network port, delete files, download a program, etc
- Depending on bug, attack can be executed across a network using allowed connections, bypassing firewalls
- Buffer overflow can be disabled by disabling stack execution or adding bit to page table to indicate "non-executable" state
  - Available in SPARC and x86
  - But still have security exploits





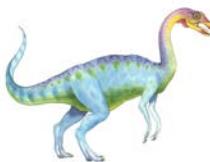
# Program Threats (Cont.)

## ■ Viruses

- Code fragment embedded in legitimate program
- Self-replicating, designed to infect other computers
- Very specific to CPU architecture, operating system, applications
- Usually borne via email or as a macro
- Visual Basic Macro to reformat hard drive

```
Sub AutoOpen()
 Dim oFS
 Set oFS = CreateObject("Scripting.FileSystemObject")
 vs = Shell("c:command.com /k format c:",vbHide)
End Sub
```





# Program Threats (Cont.)

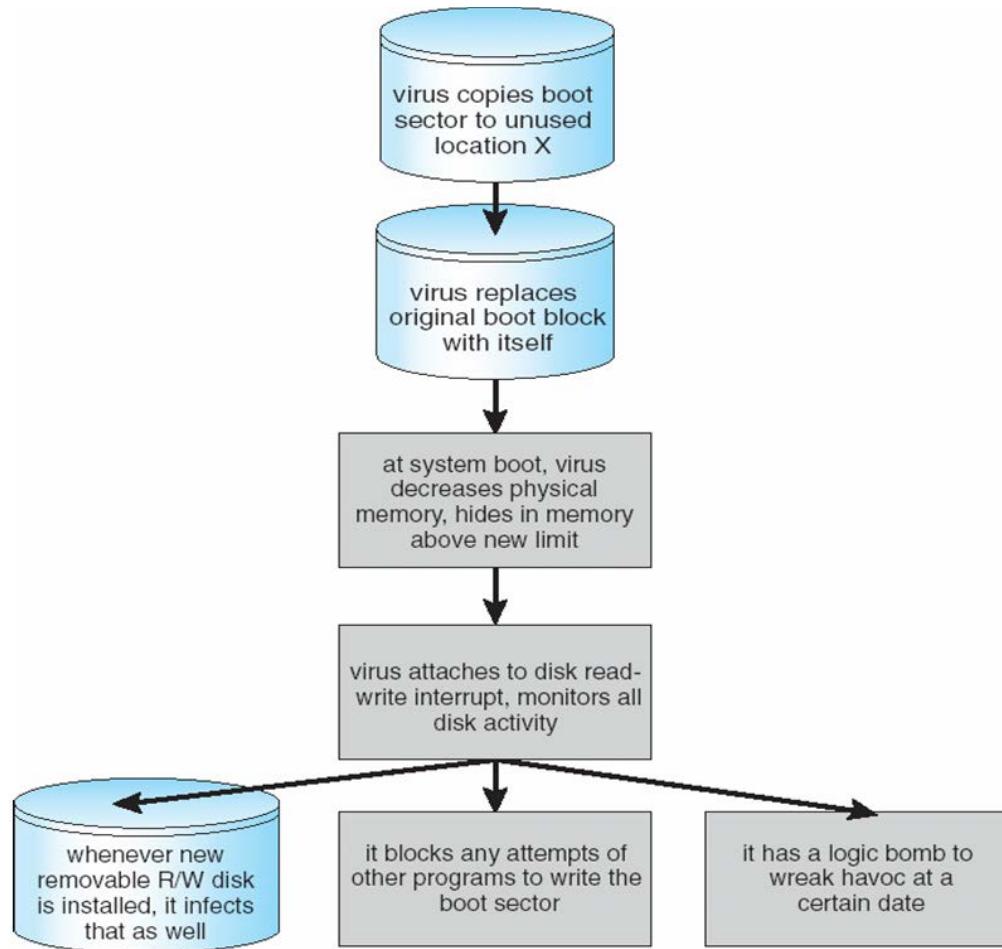
---

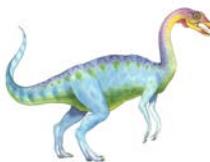
- **Virus dropper** inserts virus onto the system
- Many categories of viruses, literally many thousands of viruses
  - File / parasitic
  - Boot / memory
  - Macro
  - Source code
  - Polymorphic to avoid having a **virus signature**
  - Encrypted
  - Stealth
  - Tunneling
  - Multipartite
  - Armored





# A Boot-sector Computer Virus



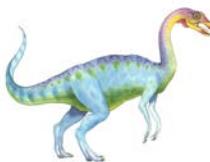


# The Threat Continues

---

- Attacks still common, still occurring
- Attacks moved over time from science experiments to tools of organized crime
  - Targeting specific companies
  - Creating botnets to use as tool for spam and DDOS delivery
  - **Keystroke logger** to grab passwords, credit card numbers
- Why is Windows the target for most attacks?
  - Most common
  - Everyone is an administrator
    - ▶ Licensing required?
  - **Monoculture** considered harmful

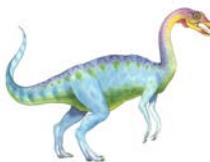




# System and Network Threats

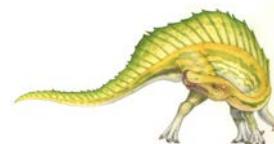
- Some systems “open” rather than **secure by default**
  - Reduce **attack surface**
  - But harder to use, more knowledge needed to administer
- Network threats harder to detect, prevent
  - Protection systems weaker
  - More difficult to have a shared secret on which to base access
  - No physical limits once system attached to internet
    - ▶ Or on network with system attached to internet
  - Even determining location of connecting system difficult
    - ▶ IP address is only knowledge

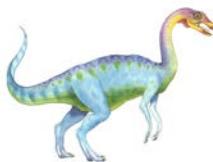




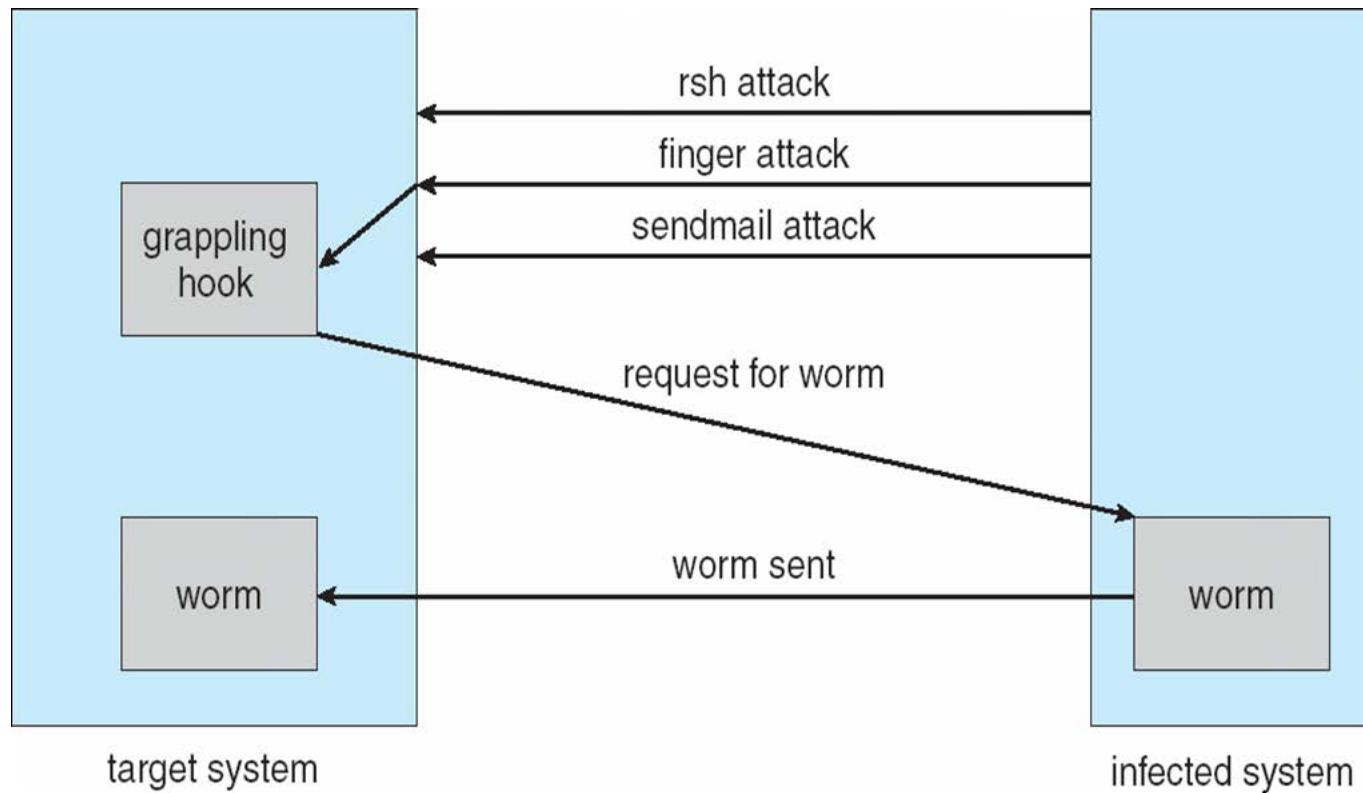
# System and Network Threats (Cont.)

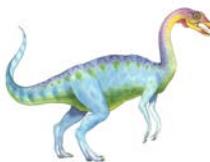
- **Worms** – use **spawn** mechanism; standalone program
- Internet worm
  - Exploited UNIX networking features (remote access) and bugs in *finger* and *sendmail* programs
  - Exploited trust-relationship mechanism used by *rsh* to access friendly systems without use of password
  - **Grappling hook** program uploaded main worm program
    - ▶ 99 lines of C code
  - Hooked system then uploaded main code, tried to attack connected systems
  - Also tried to break into other users accounts on local system via password guessing
  - If target system already infected, abort, except for every 7<sup>th</sup> time





# The Morris Internet Worm





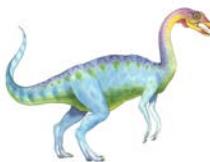
# System and Network Threats (Cont.)

---

## ■ Port scanning

- Automated attempt to connect to a range of ports on one or a range of IP addresses
- Detection of answering service protocol
- Detection of OS and version running on system
- nmap scans all ports in a given IP range for a response
- nessus has a database of protocols and bugs (and exploits) to apply against a system
- Frequently launched from **zombie systems**
  - ▶ To decrease trace-ability





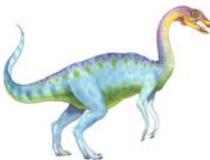
# System and Network Threats (Cont.)

---

## ■ Denial of Service

- Overload the targeted computer preventing it from doing any useful work
- **Distributed denial-of-service (DDOS)** come from multiple sites at once
- Consider the start of the IP-connection handshake (SYN)
  - ▶ How many started-connections can the OS handle?
- Consider traffic to a web site
  - ▶ How can you tell the difference between being a target and being really popular?
- Accidental – CS students writing bad `fork()` code
- Purposeful – extortion, punishment





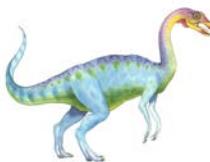
# Sobig.F Worm

---

- More modern example
- Disguised as a photo uploaded to adult newsgroup via account created with stolen credit card
- Targeted Windows systems
- Had own SMTP engine to mail itself as attachment to everyone in infect system's address book
- Disguised with innocuous subject lines, looking like it came from someone known
- Attachment was executable program that created **WINPPR23.EXE** in default Windows system directory  
Plus the Windows Registry

```
[HKCU\SOFTWARE\Microsoft\Windows\CurrentVersion\Run]
 "TrayX" = %windir%\winppr32.exe /sinc
[HKLM\SOFTWARE\Microsoft\Windows\CurrentVersion\Run]
 "TrayX" = %windir%\winppr32.exe /sinc
```

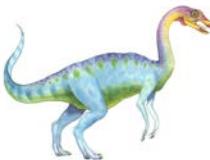




# Cryptography as a Security Tool

- Broadest security tool available
  - Internal to a given computer, source and destination of messages can be known and protected
    - ▶ OS creates, manages, protects process IDs, communication ports
  - Source and destination of messages on network cannot be trusted without cryptography
    - ▶ Local network – IP address?
      - Consider unauthorized host added
    - ▶ WAN / Internet – how to establish authenticity
      - Not via IP address

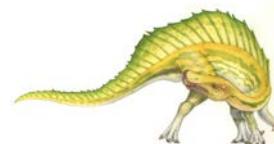


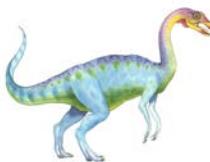


# Cryptography

---

- Means to constrain potential senders (*sources*) and / or receivers (*destinations*) of *messages*
  - Based on secrets (**keys**)
  - Enables
    - ▶ Confirmation of source
    - ▶ Receipt only by certain destination
    - ▶ Trust relationship between sender and receiver

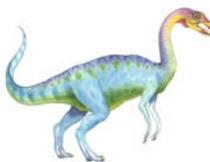




# Encryption

- Constrains the set of possible receivers of a message
- **Encryption** algorithm consists of
  - Set  $K$  of keys
  - Set  $M$  of Messages
  - Set  $C$  of ciphertexts (encrypted messages)
  - A function  $E : K \rightarrow (M \rightarrow C)$ . That is, for each  $k \in K$ ,  $E_k$  is a function for generating ciphertexts from messages
    - ▶ Both  $E$  and  $E_k$  for any  $k$  should be efficiently computable functions
  - A function  $D : K \rightarrow (C \rightarrow M)$ . That is, for each  $k \in K$ ,  $D_k$  is a function for generating messages from ciphertexts
    - ▶ Both  $D$  and  $D_k$  for any  $k$  should be efficiently computable functions

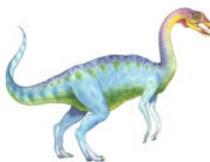




## Encryption (Cont.)

- An encryption algorithm must provide this essential property:  
Given a ciphertext  $c \in C$ , a computer can compute  $m$  such  
that  $E_k(m) = c$  only if it possesses  $k$ 
  - Thus, a computer holding  $k$  can decrypt ciphertexts to  
the plaintexts used to produce them, but a computer not  
holding  $k$  cannot decrypt ciphertexts
  - Since ciphertexts are generally exposed (for example,  
sent on the network), it is important that it be infeasible  
to derive  $k$  from the ciphertexts





# Symmetric Encryption

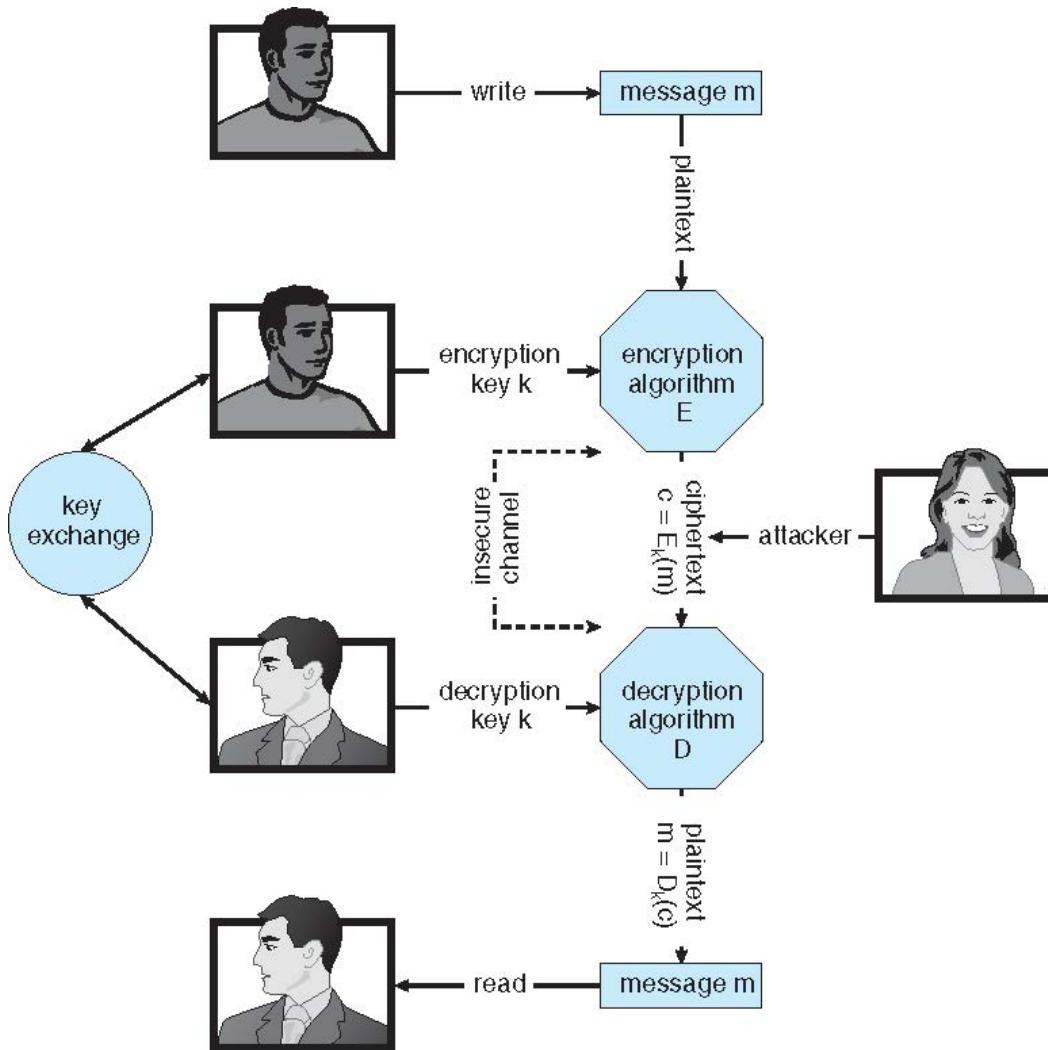
---

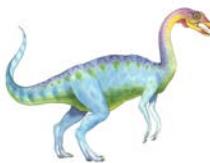
- Same key used to encrypt and decrypt
  - Therefore  $k$  must be kept secret
- DES was most commonly used symmetric block-encryption algorithm (created by US Govt)
  - Encrypts a block of data at a time
  - Keys too short so now considered insecure
- Triple-DES considered more secure
  - Algorithm used 3 times using 2 or 3 keys
  - For example  $c = E_{k3}(D_{k2}(E_{k1}(m)))$
- 2001 NIST adopted new block cipher - Advanced Encryption Standard ([AES](#))
  - Keys of 128, 192, or 256 bits, works on 128 bit blocks
- RC4 is most common symmetric stream cipher, but known to have vulnerabilities
  - Encrypts/decrypts a stream of bytes (i.e., wireless transmission)
  - Key is a input to pseudo-random-bit generator
    - ▶ Generates an infinite [keystream](#)





# Secure Communication over Insecure Medium

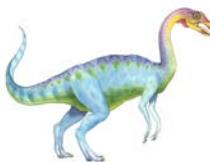




# Asymmetric Encryption

- **Public-key encryption** based on each user having two keys:
  - **public key** – published key used to encrypt data
  - **private key** – key known only to individual user used to decrypt data
- Must be an encryption scheme that can be made public without making it easy to figure out the decryption scheme
  - Most common is **RSA** block cipher
  - Efficient algorithm for testing whether or not a number is prime
  - No efficient algorithm is known for finding the prime factors of a number

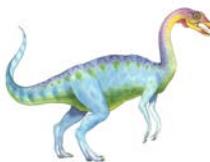




# Asymmetric Encryption (Cont.)

- Formally, it is computationally infeasible to derive  $k_{d,N}$  from  $k_{e,N}$ , and so  $k_e$  need not be kept secret and can be widely disseminated
  - $k_e$  is the **public key**
  - $k_d$  is the **private key**
  - $N$  is the product of two large, randomly chosen prime numbers  $p$  and  $q$  (for example,  $p$  and  $q$  are 512 bits each)
  - Encryption algorithm is  $E_{k_e,N}(m) = m^{k_e} \bmod N$ , where  $k_e$  satisfies  $k_e k_d \bmod (p-1)(q-1) = 1$
  - The decryption algorithm is then  $D_{k_d,N}(c) = c^{k_d} \bmod N$





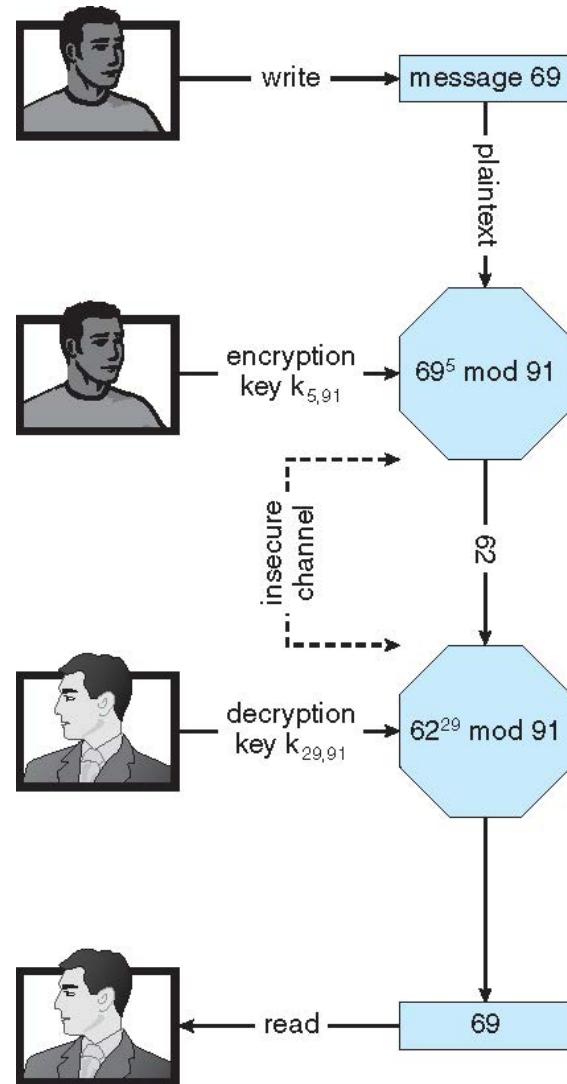
# Asymmetric Encryption Example

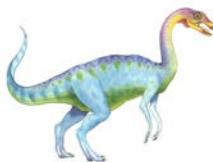
- For example, make  $p = 7$  and  $q = 13$
- We then calculate  $N = 7 \times 13 = 91$  and  $(p-1)(q-1) = 72$
- We next select  $k_e$  relatively prime to 72 and  $< 72$ , yielding 5
- Finally, we calculate  $k_d$  such that  $k_e k_d \bmod 72 = 1$ , yielding 29
- We now have our keys
  - Public key,  $k_{e,N} = 5, 91$
  - Private key,  $k_{d,N} = 29, 91$
- Encrypting the message 69 with the public key results in the ciphertext 62
- Ciphertext can be decoded with the private key
  - Public key can be distributed in cleartext to anyone who wants to communicate with holder of public key





# Encryption using RSA Asymmetric Cryptography



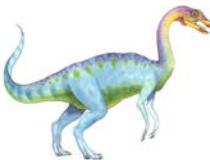


# Cryptography (Cont.)

---

- Note symmetric cryptography based on transformations, asymmetric based on mathematical functions
  - Asymmetric much more compute intensive
  - Typically not used for bulk data encryption

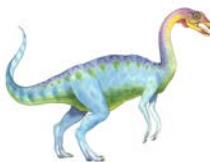




# Authentication

- Constraining set of potential senders of a message
  - Complementary to encryption
  - Also can prove message unmodified
- Algorithm components
  - A set  $K$  of keys
  - A set  $M$  of messages
  - A set  $A$  of authenticators
  - A function  $S : K \rightarrow (M \rightarrow A)$ 
    - ▶ That is, for each  $k \in K$ ,  $S_k$  is a function for generating authenticators from messages
    - ▶ Both  $S$  and  $S_k$  for any  $k$  should be efficiently computable functions
  - A function  $V : K \rightarrow (M \times A \rightarrow \{\text{true, false}\})$ . That is, for each  $k \in K$ ,  $V_k$  is a function for verifying authenticators on messages
    - ▶ Both  $V$  and  $V_k$  for any  $k$  should be efficiently computable functions

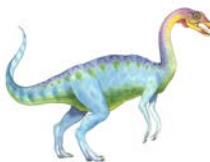




# Authentication (Cont.)

- For a message  $m$ , a computer can generate an authenticator  $a \in A$  such that  $V_k(m, a) = \text{true}$  only if it possesses  $k$
- Thus, computer holding  $k$  can generate authenticators on messages so that any other computer possessing  $k$  can verify them
- Computer not holding  $k$  cannot generate authenticators on messages that can be verified using  $V_k$
- Since authenticators are generally exposed (for example, they are sent on the network with the messages themselves), it must not be feasible to derive  $k$  from the authenticators
- Practically, if  $V_k(m, a) = \text{true}$  then we know  $m$  has not been modified and that sender of message has  $k$ 
  - If we share  $k$  with only one entity, know where the message originated



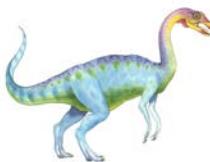


# Authentication – Hash Functions

---

- Basis of authentication
- Creates small, fixed-size block of data **message digest (hash value)** from  $m$
- Hash Function  $H$  must be collision resistant on  $m$ 
  - Must be infeasible to find an  $m' \neq m$  such that  $H(m) = H(m')$
- If  $H(m) = H(m')$ , then  $m = m'$ 
  - The message has not been modified
- Common message-digest functions include **MD5**, which produces a 128-bit hash, and **SHA-1**, which outputs a 160-bit hash
- Not useful as authenticators
  - For example  $H(m)$  can be sent with a message
    - ▶ But if  $H$  is known someone could modify  $m$  to  $m'$  and recompute  $H(m')$  and modification not detected
    - ▶ So must authenticate  $H(m)$

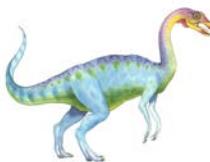




# Authentication - MAC

- Symmetric encryption used in **message-authentication code (MAC)** authentication algorithm
- Cryptographic checksum generated from message using secret key
  - Can securely authenticate short values
- If used to authenticate  $H(m)$  for an  $H$  that is collision resistant, then obtain a way to securely authenticate long message by hashing them first
- Note that  $k$  is needed to compute both  $S_k$  and  $V_k$ , so anyone able to compute one can compute the other

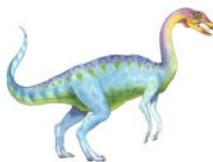




# Authentication – Digital Signature

- Based on asymmetric keys and digital signature algorithm
- Authenticators produced are **digital signatures**
- Very useful – **anyone** can verify authenticity of a message
- In a digital-signature algorithm, computationally infeasible to derive  $k_s$  from  $k_v$ 
  - $V$  is a one-way function
  - Thus,  $k_v$  is the public key and  $k_s$  is the private key
- Consider the RSA digital-signature algorithm
  - Similar to the RSA encryption algorithm, but the key use is reversed
  - Digital signature of message  $S_{ks}(m) = H(m)^{k_s} \bmod N$
  - The key  $k_s$  again is a pair  $(d, N)$ , where  $N$  is the product of two large, randomly chosen prime numbers  $p$  and  $q$
  - Verification algorithm is  $V_{kv}(m, a) \quad (a^{k_v} \bmod N = H(m))$ 
    - ▶ Where  $k_v$  satisfies  $k_v k_s \bmod (p - 1)(q - 1) = 1$

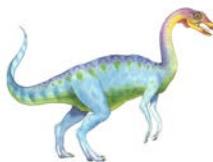




# Authentication (Cont.)

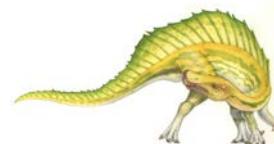
- Why authentication if a subset of encryption?
  - Fewer computations (except for RSA digital signatures)
  - Authenticator usually shorter than message
  - Sometimes want authentication but not confidentiality
    - ▶ Signed patches et al
  - Can be basis for **non-repudiation**

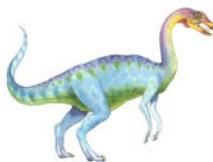




# Key Distribution

- Delivery of symmetric key is huge challenge
  - Sometimes done **out-of-band**
- Asymmetric keys can proliferate – stored on **key ring**
  - Even asymmetric key distribution needs care – man-in-the-middle attack





# Digital Certificates

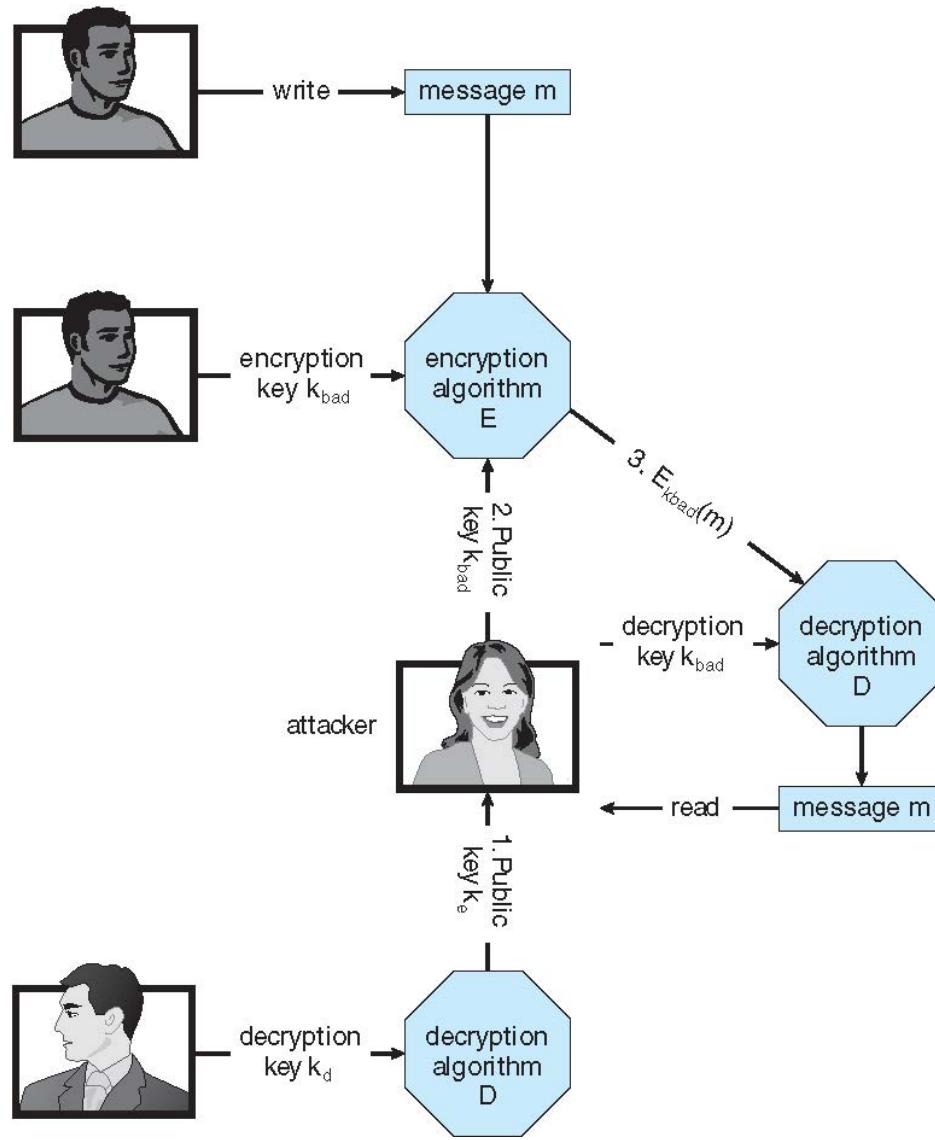
---

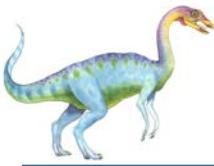
- Proof of who or what owns a public key
- Public key digitally signed a trusted party
- Trusted party receives proof of identification from entity and certifies that public key belongs to entity
- **Certificate authority** are trusted party – their public keys included with web browser distributions
  - They vouch for other authorities via digitally signing their keys, and so on





# Man-in-the-middle Attack on Asymmetric Cryptography





# Implementation of Cryptography

- Can be done at various **layers** of ISO Reference Model
  - SSL at the Transport layer
  - Network layer is typically **IPSec**
    - ▶ **IKE** for key exchange
    - ▶ Basis of **Virtual Private Networks (VPNs)**
- Why not just at lowest level?
  - Sometimes need more knowledge than available at low levels
    - ▶ i.e. User authentication
    - ▶ i.e. e-mail delivery

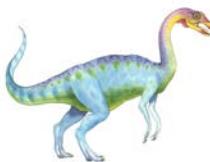
| OSI model            |                 |                 |                                                                                                            |
|----------------------|-----------------|-----------------|------------------------------------------------------------------------------------------------------------|
| 7. Application Layer |                 |                 |                                                                                                            |
| Host layers          | 7. Application  |                 | Network process to application                                                                             |
|                      | Data            | 6. Presentation | Data representation, encryption and decryption, convert machine dependent data to machine independent data |
|                      |                 | 5. Session      | Interhost communication                                                                                    |
| Media layers         | Segments        | 4. Transport    | End-to-end connections and reliability, flow control                                                       |
|                      | Packet/Datagram | 3. Network      | Path determination and logical addressing                                                                  |
|                      | Frame           | 2. Data Link    | Physical addressing                                                                                        |
|                      | Bit             | 1. Physical     | Media, signal and binary transmission                                                                      |

This box: [view](#) • [talk](#) • [edit](#)

| OSI Model    |                 |                 |                                                                                                            |
|--------------|-----------------|-----------------|------------------------------------------------------------------------------------------------------------|
|              | Data unit       | Layer           | Function                                                                                                   |
| Host layers  | 7. Application  |                 | Network process to application                                                                             |
|              | Data            | 6. Presentation | Data representation, encryption and decryption, convert machine dependent data to machine independent data |
|              |                 | 5. Session      | Interhost communication                                                                                    |
| Media layers | Segments        | 4. Transport    | End-to-end connections and reliability, flow control                                                       |
|              | Packet/Datagram | 3. Network      | Path determination and logical addressing                                                                  |
|              | Frame           | 2. Data Link    | Physical addressing                                                                                        |
|              | Bit             | 1. Physical     | Media, signal and binary transmission                                                                      |

Source:  
[http://en.wikipedia.org/wiki/OSI\\_model](http://en.wikipedia.org/wiki/OSI_model)

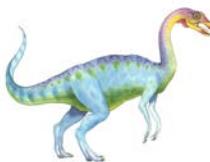




# Encryption Example - SSL

- Insertion of cryptography at one layer of the ISO network model (the transport layer)
- SSL – Secure Socket Layer (also called TLS)
- Cryptographic protocol that limits two computers to only exchange messages with each other
  - Very complicated, with many variations
- Used between web servers and browsers for secure communication (credit card numbers)
- The server is verified with a **certificate** assuring client is talking to correct server
- Asymmetric cryptography used to establish a secure **session key** (symmetric encryption) for bulk of communication during session
- Communication between each computer then uses symmetric key cryptography
- More details in textbook





# User Authentication

- Crucial to identify user correctly, as protection systems depend on user ID
- User identity most often established through **passwords**, can be considered a special case of either keys or capabilities
- Passwords must be kept secret
  - Frequent change of passwords
  - History to avoid repeats
  - Use of “non-guessable” passwords
  - Log all invalid access attempts (but not the passwords themselves)
  - Unauthorized transfer
- Passwords may also either be encrypted or allowed to be used only once
  - Does encrypting passwords solve the exposure problem?
    - ▶ Might solve **sniffing**
    - ▶ Consider **shoulder surfing**
    - ▶ Consider Trojan horse keystroke logger
    - ▶ How are passwords stored at authenticating site?

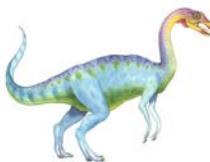




# Passwords

- Encrypt to avoid having to keep secret
  - But keep secret anyway (i.e. Unix uses superuser-only readable file /etc/shadow)
  - Use algorithm easy to compute but difficult to invert
  - Only encrypted password stored, never decrypted
  - Add “salt” to avoid the same password being encrypted to the same value
- One-time passwords
  - Use a function based on a seed to compute a password, both user and computer
  - Hardware device / calculator / key fob to generate the password
    - ▶ Changes very frequently
- Biometrics
  - Some physical attribute (fingerprint, hand scan)
- Multi-factor authentication
  - Need two or more factors for authentication
    - ▶ i.e. USB “dongle”, biometric measure, and password



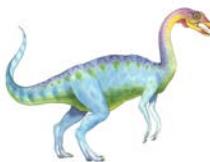


# Implementing Security Defenses

---

- **Defense in depth** is most common security theory – multiple layers of security
- **Security policy** describes what is being secured
- Vulnerability assessment compares real state of system / network compared to security policy
- Intrusion detection endeavors to detect attempted or successful intrusions
  - **Signature-based** detection spots known bad patterns
  - **Anomaly detection** spots differences from normal behavior
    - ▶ Can detect **zero-day** attacks
  - **False-positives** and **false-negatives** a problem
- Virus protection
  - Searching all programs or programs at execution for known virus patterns
  - Or run in **sandbox** so can't damage system
- Auditing, accounting, and logging of all or specific system or network activities
- Practice **safe computing** – avoid sources of infection, download from only “good” sites, etc

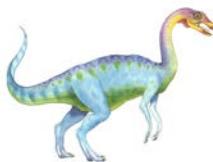




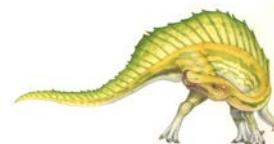
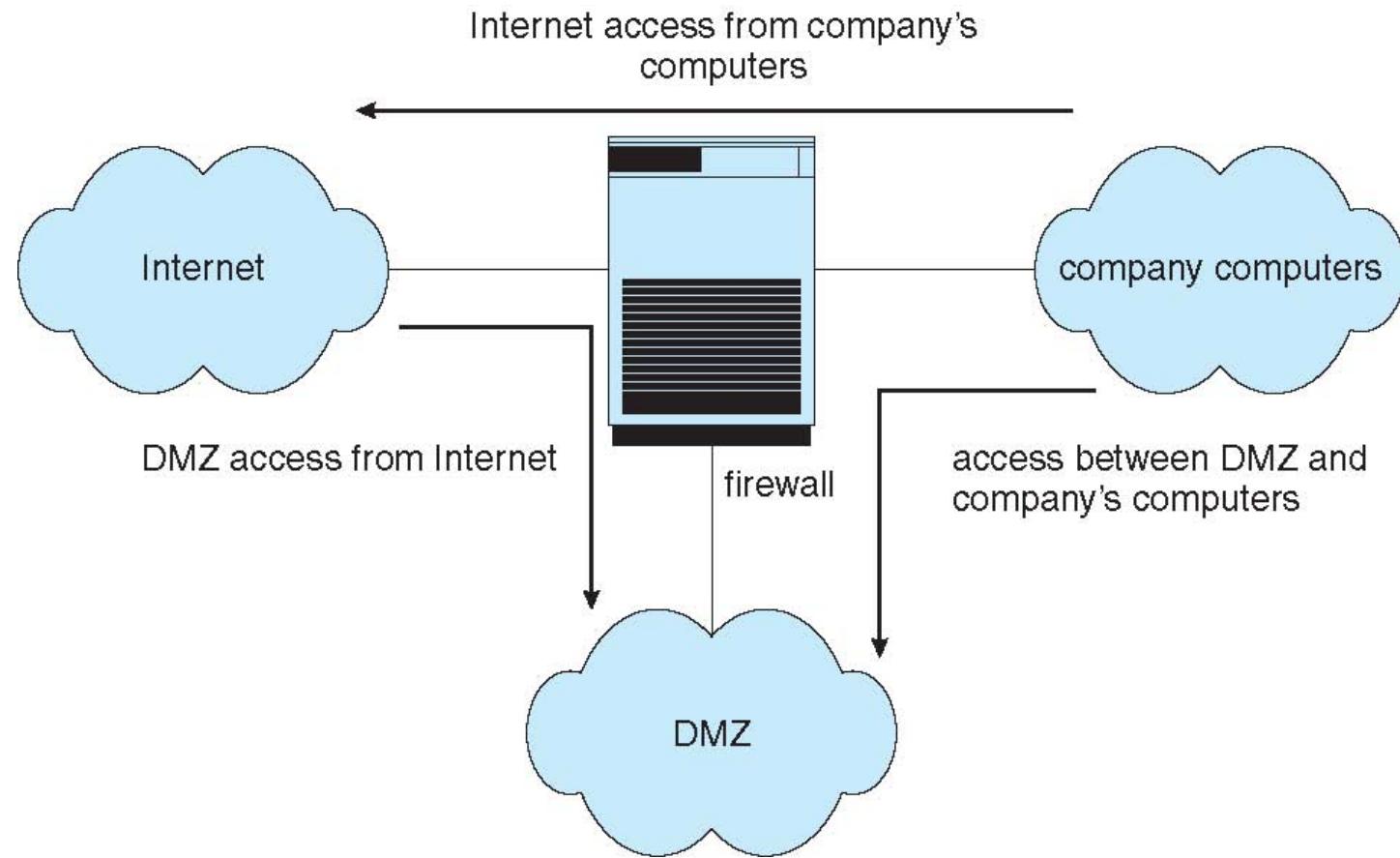
# Firewalling to Protect Systems and Networks

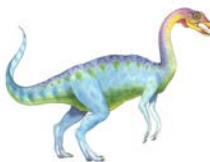
- A network **firewall** is placed between trusted and untrusted hosts
  - The firewall limits network access between these two **security domains**
- Can be tunneled or spoofed
  - Tunneling allows disallowed protocol to travel within allowed protocol (i.e., telnet inside of HTTP)
  - Firewall rules typically based on host name or IP address which can be spoofed
- **Personal firewall** is software layer on given host
  - Can monitor / limit traffic to and from the host
- **Application proxy firewall** understands application protocol and can control them (i.e., SMTP)
- **System-call firewall** monitors all important system calls and apply rules to them (i.e., this program can execute that system call)





# Network Security Through Domain Separation Via Firewall

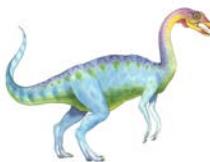




# Computer Security Classifications

- U.S. Department of Defense outlines four divisions of computer security: **A**, **B**, **C**, and **D**
- **D** – Minimal security
- **C** – Provides discretionary protection through auditing
  - Divided into **C1** and **C2**
    - ▶ **C1** identifies cooperating users with the same level of protection
    - ▶ **C2** allows user-level access control
- **B** – All the properties of **C**, however each object may have unique sensitivity labels
  - Divided into **B1**, **B2**, and **B3**
- **A** – Uses formal design and verification techniques to ensure security



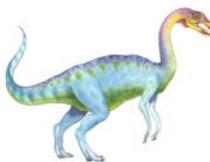


# Example: Windows 7

---

- Security is based on **user accounts**
  - Each user has unique security ID
  - Login to ID creates **security access token**
    - ▶ Includes security ID for user, for user's groups, and special privileges
    - ▶ Every process gets copy of token
    - ▶ System checks token to determine if access allowed or denied
- Uses a **subject** model to ensure access security
  - A subject tracks and manages permissions for each program that a user runs
- Each object in Windows has a security attribute defined by a security descriptor
  - For example, a file has a security descriptor that indicates the access permissions for all users



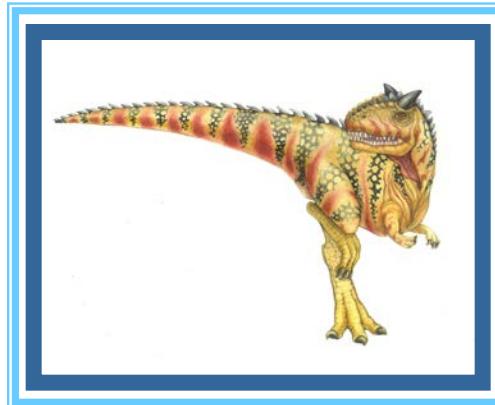


## Example: Windows 7 (Cont.)

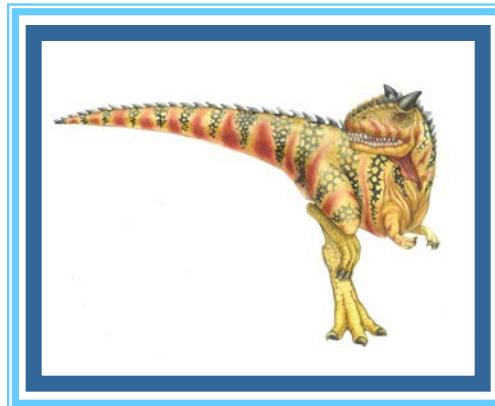
- Win added mandatory integrity controls – assigns **integrity label** to each securable object and subject
  - Subject must have access requested in discretionary access-control list to gain access to object
- Security attributes described by security descriptor
  - Owner ID, group security ID, discretionary access-control list, system access-control list

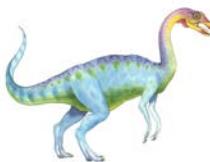


# End of Chapter 15



# Chapter 16: Virtual Machines





# Chapter 16: Virtual Machines

---

- Overview
- History
- Benefits and Features
- Building Blocks
- Types of Virtual Machines and Their Implementations
- Virtualization and Operating-System Components
- Examples



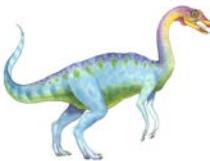


# Chapter Objectives

---

- To explore the history and benefits of virtual machines
- To discuss the various virtual machine technologies
- To describe the methods used to implement virtualization
- To show the most common hardware features that support virtualization and explain how they are used by operating-system modules

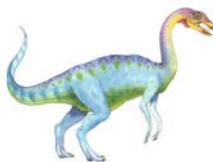




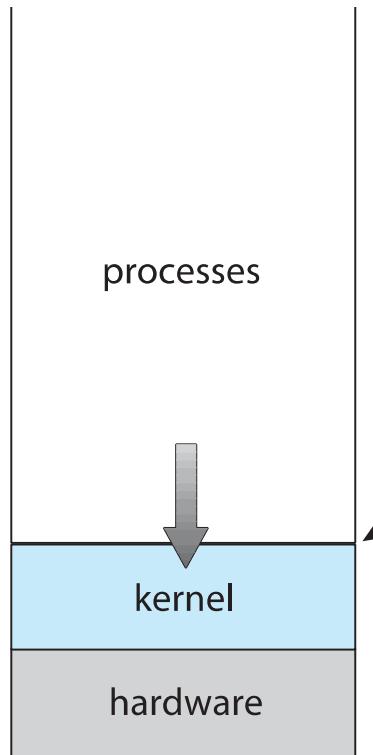
# Overview

- Fundamental idea – abstract hardware of a single computer into several different execution environments
  - Similar to layered approach
  - But layer creates virtual system (**virtual machine**, or **VM**) on which operation systems or applications can run
- Several components
  - **Host** – underlying hardware system
  - **Virtual machine manager (VMM)** or **hypervisor** – creates and runs virtual machines by providing interface that is ***identical*** to the host
    - ▶ (Except in the case of paravirtualization)
  - **Guest** – process provided with virtual copy of the host
    - ▶ Usually an operating system
- Single physical machine can run multiple operating systems concurrently, each in its own virtual machine





# System Models

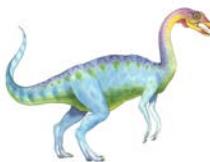


Non-virtual machine



Virtual machine

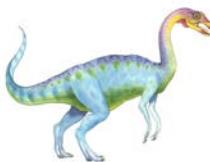




# Implementation of VMMS

- Vary greatly, with options including:
  - **Type 0 hypervisors** - Hardware-based solutions that provide support for virtual machine creation and management via firmware
    - ▶ IBM LPARs and Oracle LDOMs are examples
  - **Type 1 hypervisors** - Operating-system-like software built to provide virtualization
    - ▶ Including VMware ESX, Joyent SmartOS, and Citrix XenServer
  - **Type 1 hypervisors** – Also includes general-purpose operating systems that provide standard functions as well as VMM functions
    - ▶ Including Microsoft Windows Server with HyperV and RedHat Linux with KVM
  - **Type 2 hypervisors** - Applications that run on standard operating systems but provide VMM features to guest operating systems
    - ▶ Including VMware Workstation and Fusion, Parallels Desktop, and Oracle VirtualBox





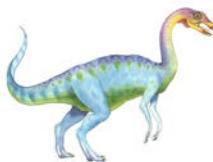
# Implementation of VMMS (cont.)

- Other variations include:

- **Paravirtualization** - Technique in which the guest operating system is modified to work in cooperation with the VMM to optimize performance
- **Programming-environment virtualization** - VMMS do not virtualize real hardware but instead create an optimized virtual system
  - ▶ Used by Oracle Java and Microsoft.Net
- **Emulators** – Allow applications written for one hardware environment to run on a very different hardware environment, such as a different type of CPU
- **Application containment** - Not virtualization at all but rather provides virtualization-like features by segregating applications from the operating system, making them more secure, manageable
  - ▶ Including Oracle Solaris Zones, BSD Jails, and IBM AIX WPARs

- Much variation due to breadth, depth and importance of virtualization in modern computing

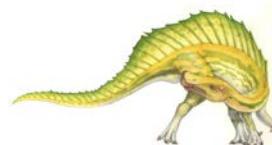


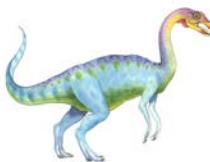


# History

---

- First appeared in IBM mainframes in 1972
- Allowed multiple users to share a batch-oriented system
- Formal definition of virtualization helped move it beyond IBM
  - 1. A VMM provides an environment for programs that is essentially identical to the original machine
  - 2. Programs running within that environment show only minor performance decreases
  - 3. The VMM is in complete control of system resources
- In late 1990s Intel CPUs fast enough for researchers to try virtualizing on general purpose PCs
  - **Xen** and **VMware** created technologies, still used today
  - Virtualization has expanded to many OSes, CPUs, VMMs



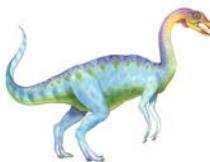


# Benefits and Features

---

- Host system protected from VMs, VMs protected from each other
  - I.e. A virus less likely to spread
  - Sharing is provided though via shared file system volume, network communication
- Freeze, **suspend**, running VM
  - Then can move or copy somewhere else and **resume**
  - Snapshot of a given state, able to restore back to that state
    - ▶ Some VMMs allow multiple snapshots per VM
  - **Clone** by creating copy and running both original and copy
- Great for OS research, better system development efficiency
- Run multiple, different OSes on a single machine
  - **Consolidation**, app dev, ...





# Benefits and Features (cont.)

---

- **Templating** – create an OS + application VM, provide it to customers, use it to create multiple instances of that combination
- **Live migration** – move a running VM from one host to another!
  - No interruption of user access
- All those features taken together -> **cloud computing**
  - Using APIs, programs tell cloud infrastructure (servers, networking, storage) to create new guests, VMs, virtual desktops



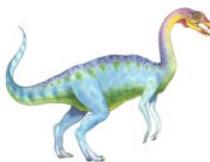


# Building Blocks

---

- Generally difficult to provide an **exact** duplicate of underlying machine
  - Especially if only dual-mode operation available on CPU
  - But getting easier over time as CPU features and support for VMM improves
  - Most VMMs implement **virtual CPU (VCPU)** to represent state of CPU per guest as guest believes it to be
    - ▶ When guest context switched onto CPU by VMM, information from VCPU loaded and stored
  - Several techniques, as described in next slides

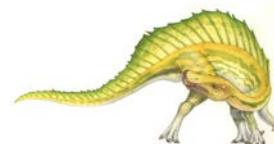


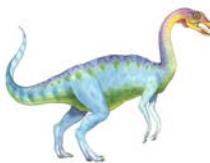


# Building Block – Trap and Emulate

---

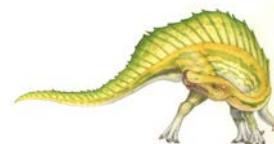
- Dual mode CPU means guest executes in user mode
  - Kernel runs in kernel mode
  - Not safe to let guest kernel run in kernel mode too
  - So VM needs two modes – virtual user mode and virtual kernel mode
    - ▶ Both of which run in real user mode
  - Actions in guest that usually cause switch to kernel mode must cause switch to virtual kernel mode





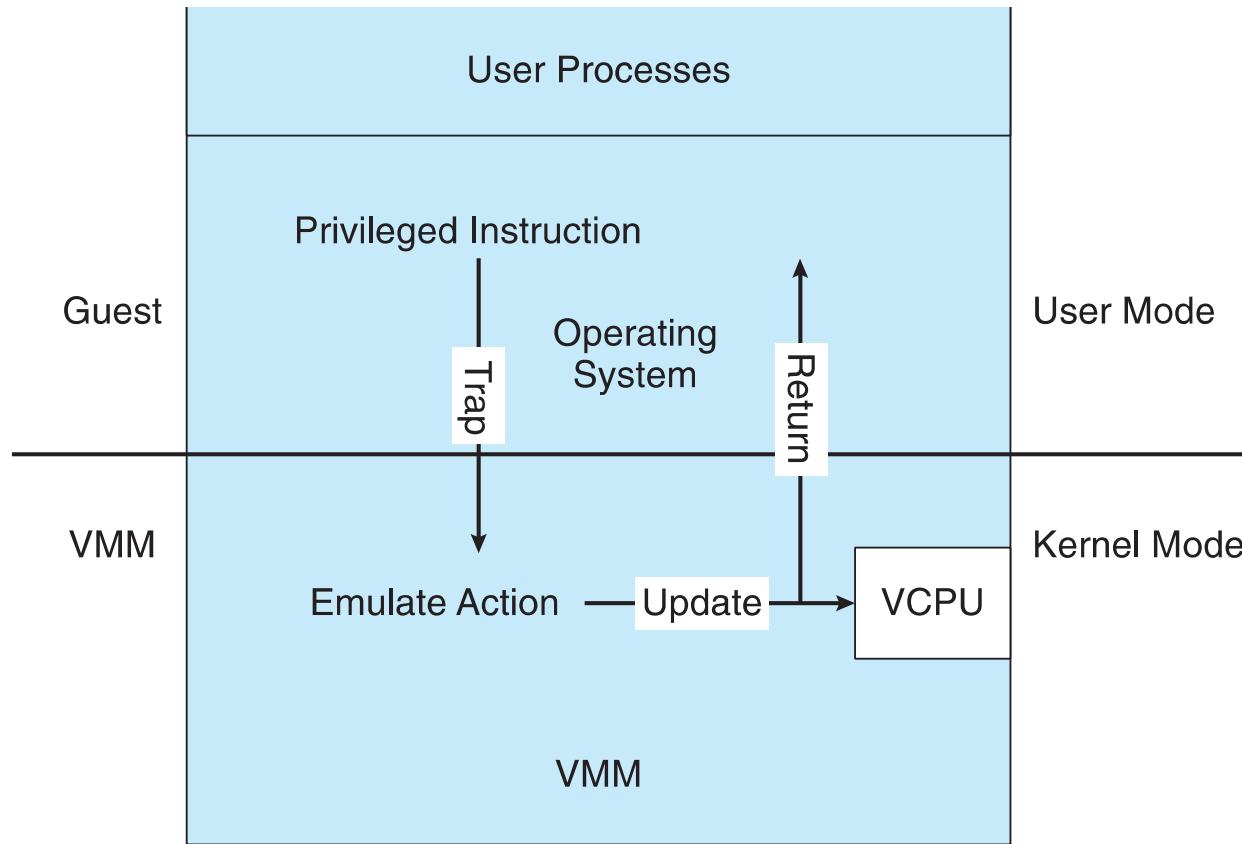
# Trap-and-Emulate (cont.)

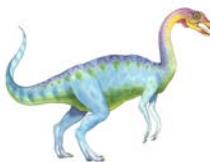
- How does switch from virtual user mode to virtual kernel mode occur?
  - Attempting a privileged instruction in user mode causes an error -> trap
  - VMM gains control, analyzes error, executes operation as attempted by guest
  - Returns control to guest in user mode
  - Known as **trap-and-emulate**
  - Most virtualization products use this at least in part
- User mode code in guest runs at same speed as if not a guest
- But kernel mode privilege mode code runs slower due to trap-and-emulate
  - Especially a problem when multiple guests running, each needing trap-and-emulate
- CPUs adding hardware support, mode CPU modes to improve virtualization performance





# Trap-and-Emulate Virtualization Implementation

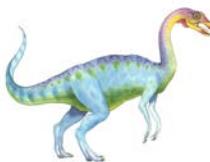




# Building Block – Binary Translation

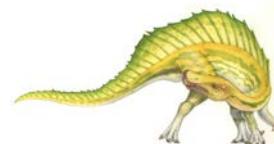
- Some CPUs don't have clean separation between privileged and nonprivileged instructions
  - Earlier Intel x86 CPUs are among them
    - ▶ Earliest Intel CPU designed for a calculator
  - Backward compatibility means difficult to improve
  - Consider Intel x86 `popf` instruction
    - ▶ Loads CPU flags register from contents of the stack
    - ▶ If CPU in privileged mode -> all flags replaced
    - ▶ If CPU in user mode -> only some flags replaced
      - No trap is generated

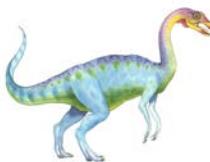




# Binary Translation (cont.)

- Other similar problem instructions we will call ***special instructions***
  - Caused trap-and-emulate method considered impossible until 1998
- Binary translation solves the problem
  - Basics are simple, but implementation very complex
    - 1. If guest VCPU is in user mode, guest can run instructions natively
    - 2. If guest VCPU in kernel mode (guest believes it is in kernel mode)
      - 1. VMM examines every instruction guest is about to execute by reading a few instructions ahead of program counter
      - 2. Non-special-instructions run natively
      - 3. Special instructions translated into new set of instructions that perform equivalent task (for example changing the flags in the VCPU)

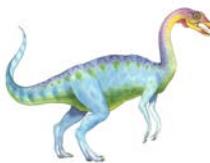




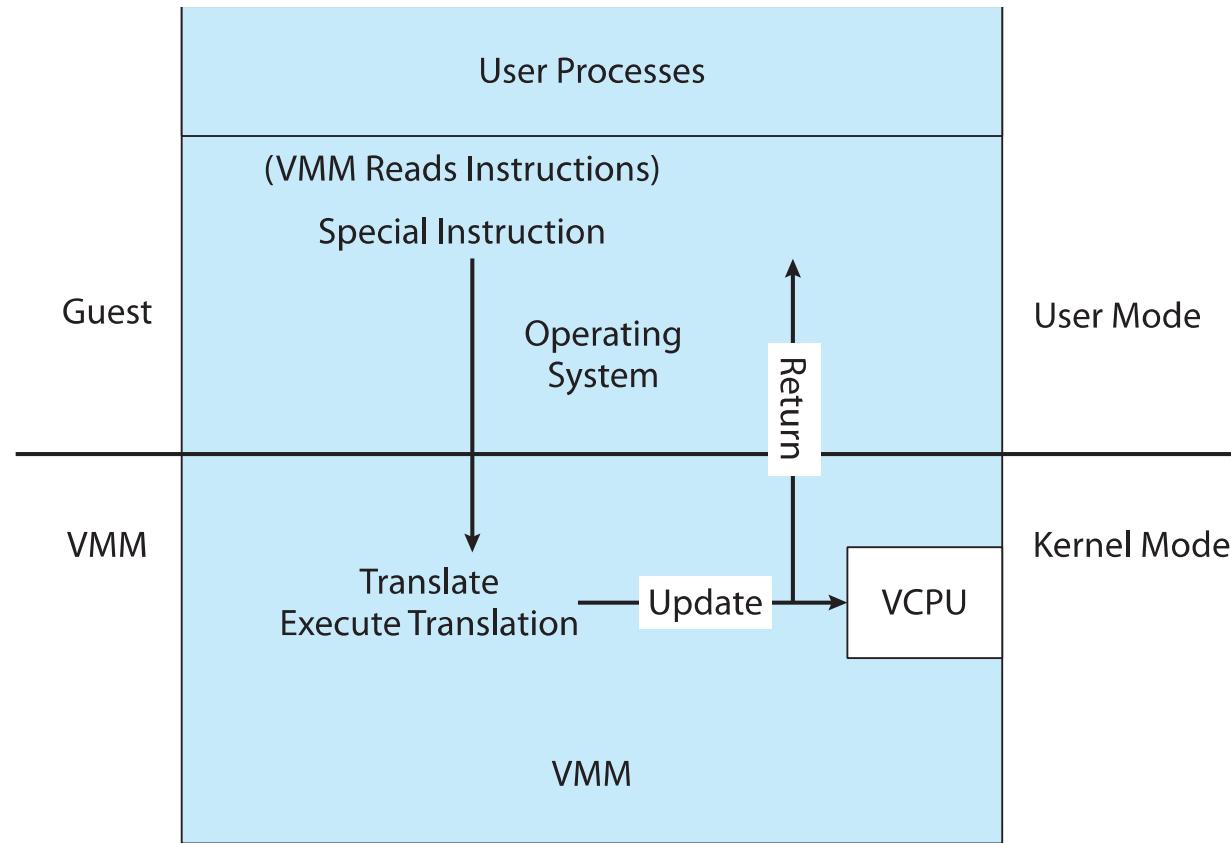
# Binary Translation (cont.)

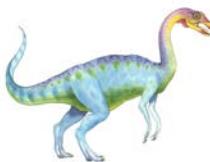
- Implemented by translation of code within VMM
- Code reads native instructions dynamically from guest, on demand, generates native binary code that executes in place of original code
- Performance of this method would be poor without optimizations
  - Products like VMware use caching
    - ▶ Translate once, and when guest executes code containing special instruction cached translation used instead of translating again
    - ▶ Testing showed booting Windows XP as guest caused 950,000 translations, at 3 microseconds each, or 3 second (5 %) slowdown over native





# Binary Translation Virtualization Implementation

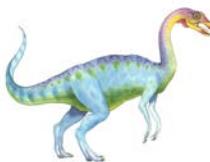




# Nested Page Tables

- Memory management another general challenge to VMM implementations
- How can VMM keep page-table state for both guests believing they control the page tables and VMM that does control the tables?
- Common method (for trap-and-emulate and binary translation) is **nested page tables (NPTs)**
  - Each guest maintains page tables to translate virtual to physical addresses
  - VMM maintains per guest NPTs to represent guest's page-table state
    - ▶ Just as VCPU stores guest CPU state
  - When guest on CPU -> VMM makes that guest's NPTs the active system page tables
  - Guest tries to change page table -> VMM makes equivalent change to NPTs and its own page tables
  - Can cause many more TLB misses -> much slower performance





# Building Blocks – Hardware Assistance

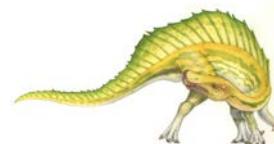
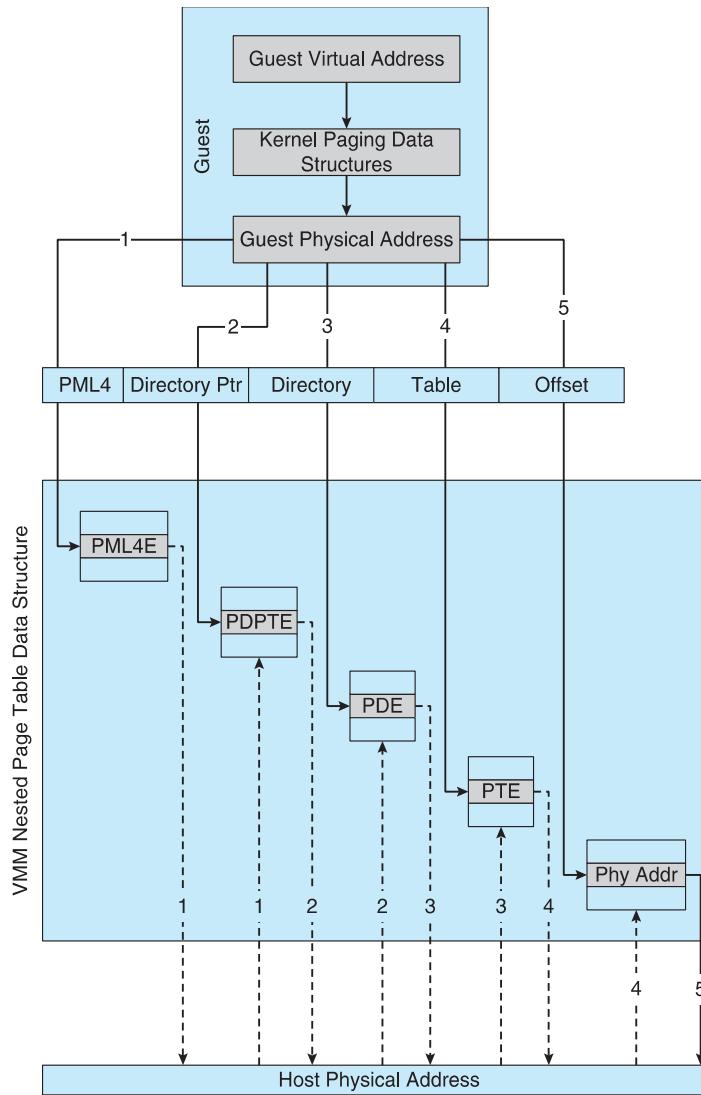
---

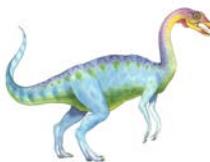
- All virtualization needs some HW support
- More support -> more feature rich, stable, better performance of guests
- Intel added new **VT-x** instructions in 2005 and AMD the **AMD-V** instructions in 2006
  - CPUs with these instructions remove need for binary translation
  - Generally define more CPU modes – “guest” and “host”
  - VMM can enable host mode, define characteristics of each guest VM, switch to guest mode and guest(s) on CPU(s)
  - In guest mode, guest OS thinks it is running natively, sees devices (as defined by VMM for that guest)
    - ▶ Access to virtualized device, priv instructions cause trap to VMM
    - ▶ CPU maintains VCPU, context switches it as needed
- HW support for Nested Page Tables, DMA, interrupts as well over time





# Nested Page Tables





# Types of Virtual Machines and Implementations

- Many variations as well as HW details
  - Assume VMMs take advantage of HW features
    - ▶ HW features can simplify implementation, improve performance
- Whatever the type, a VM has a lifecycle
  - Created by VMM
  - Resources assigned to it (number of cores, amount of memory, networking details, storage details)
  - In type 0 hypervisor, resources usually dedicated
  - Other types dedicate or share resources, or a mix
  - When no longer needed, VM can be deleted, freeing resources
- Steps simpler, faster than with a physical machine install
  - Can lead to **virtual machine sprawl** with lots of VMs, history and state difficult to track





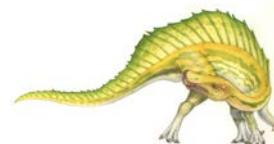
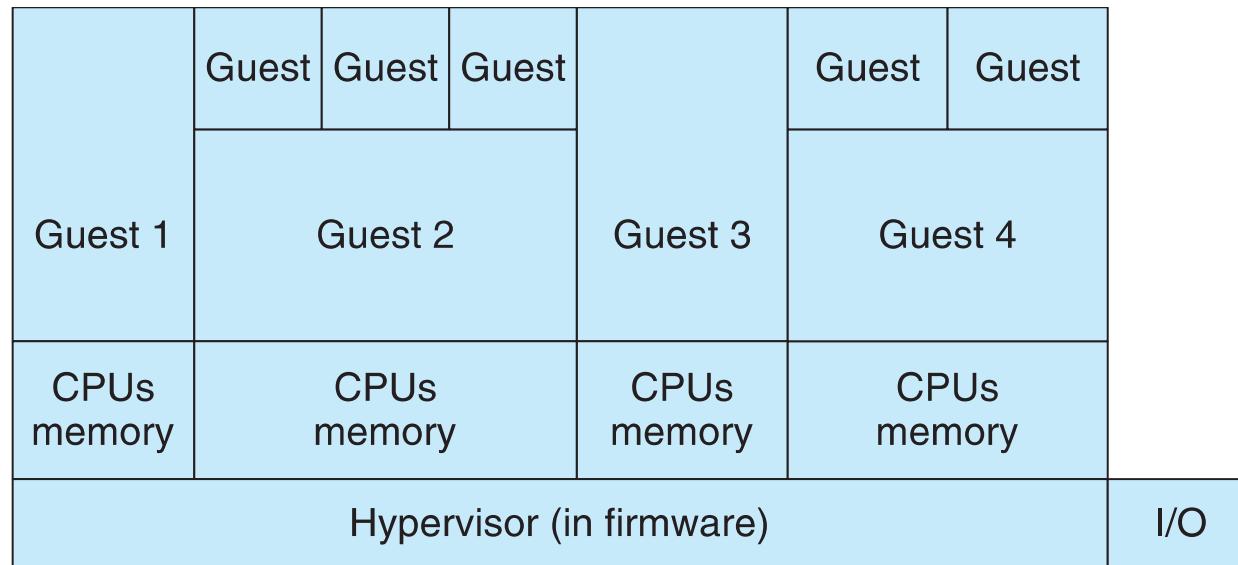
# Types of VMs – Type 0 Hypervisor

- Old idea, under many names by HW manufacturers
  - “partitions”, “domains”
  - A HW feature implemented by firmware
  - OS need to nothing special, VMM is in firmware
  - Smaller feature set than other types
  - Each guest has dedicated HW
- I/O a challenge as difficult to have enough devices, controllers to dedicate to each guest
- Sometimes VMM implements a **control partition** running daemons that other guests communicate with for shared I/O
- Can provide virtualization-within-virtualization (guest itself can be a VMM with guests)
  - Other types have difficulty doing this





# Type 0 Hypervisor





# Types of VMs – Type 1 Hypervisor

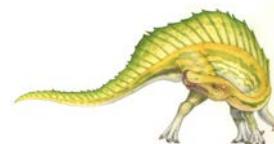
- Commonly found in company datacenters
  - In a sense becoming “datacenter operating systems”
    - ▶ Datacenter managers control and manage OSes in new, sophisticated ways by controlling the Type 1 hypervisor
    - ▶ Consolidation of multiple OSes and apps onto less HW
    - ▶ Move guests between systems to balance performance
    - ▶ Snapshots and cloning
- Special purpose operating systems that run natively on HW
  - Rather than providing system call interface, create run and manage guest OSes
  - Can run on Type 0 hypervisors but not on other Type 1s
  - Run in kernel mode
  - Guests generally don't know they are running in a VM
  - Implement device drivers for host HW because no other component can
  - Also provide other traditional OS services like CPU and memory management

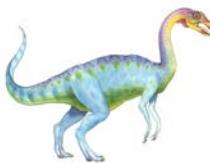




# Types of VMs – Type 1 Hypervisor (cont.)

- Another variation is a general purpose OS that also provides VMM functionality
  - RedHat Enterprise Linux with KVM, Windows with Hyper-V, Oracle Solaris
  - Perform normal duties as well as VMM duties
  - Typically less feature rich than dedicated Type 1 hypervisors
- In many ways, treat guests OSes as just another process
  - Albeit with special handling when guest tries to execute special instructions

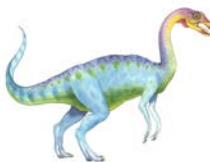




# Types of VMs – Type 2 Hypervisor

- Less interesting from an OS perspective
  - Very little OS involvement in virtualization
  - VMM is simply another process, run and managed by host
    - ▶ Even the host doesn't know they are a VMM running guests
  - Tend to have poorer overall performance because can't take advantage of some HW features
  - But also a benefit because require no changes to host OS
    - ▶ Student could have Type 2 hypervisor on native host, run multiple guests, all on standard host OS such as Windows, Linux, MacOS



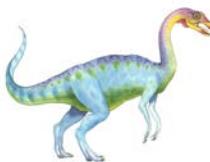


# Types of VMs – Paravirtualization

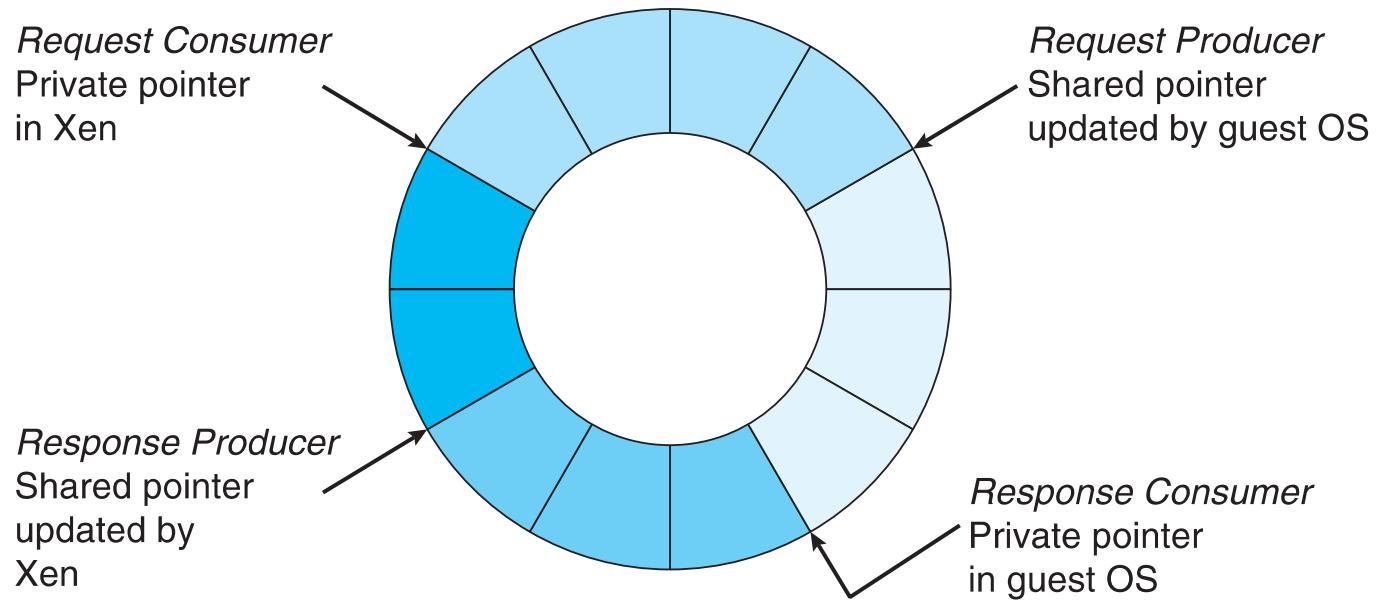
---

- Does not fit the definition of virtualization – VMM not presenting an exact duplication of underlying hardware
  - But still useful!
  - VMM provides services that guest must be modified to use
  - Leads to increased performance
  - Less needed as hardware support for VMs grows
- Xen, leader in paravirtualized space, adds several techniques
  - For example, clean and simple device abstractions
    - ▶ Efficient I/O
    - ▶ Good communication between guest and VMM about device I/O
    - ▶ Each device has circular buffer shared by guest and VMM via shared memory

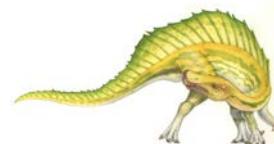


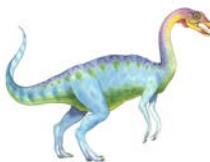


# Xen I/O via Shared Circular Buffer



- Request queue** - Descriptors queued by the VM but not yet accepted by Xen
- Outstanding descriptors** - Descriptor slots awaiting a response from Xen
- Response queue** - Descriptors returned by Xen in response to serviced requests
- Unused descriptors**



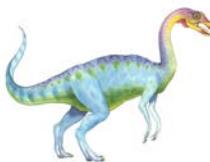


# Types of VMs – Paravirtualization (cont.)

---

- Xen, leader in paravirtualized space, adds several techniques (Cont.)
  - Memory management does not include nested page tables
    - ▶ Each guest has own read-only tables
    - ▶ Guest uses **hypercall** (call to hypervisor) when page-table changes needed
- Paravirtualization allowed virtualization of older x86 CPUs (and others) without binary translation
- Guest had to be modified to run on paravirtualized VMM
- But on modern CPUs Xen no longer requires guest modification  
-> no longer paravirtualization

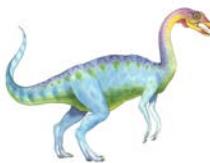




## Types of VMs – Programming Environment Virtualization

- Also not-really-virtualization but using same techniques, providing similar features
- Programming language is designed to run within custom-built virtualized environment
  - For example Oracle Java has many features that depend on running in **Java Virtual Machine (JVM)**
- In this case virtualization is defined as providing APIs that define a set of features made available to a language and programs written in that language to provide an improved execution environment
- JVM compiled to run on many systems (including some smart phones even)
- Programs written in Java run in the JVM no matter the underlying system
- Similar to **interpreted languages**





# Types of VMs – Emulation

- Another (older) way for running one operating system on a different operating system
  - Virtualization requires underlying CPU to be same as guest was compiled for
  - Emulation allows guest to run on different CPU
- Necessary to translate all guest instructions from guest CPU to native CPU
  - Emulation, not virtualization
- Useful when host system has one architecture, guest compiled for other architecture
  - Company replacing outdated servers with new servers containing different CPU architecture, but still want to run old applications
- Performance challenge – order of magnitude slower than native code
  - New machines faster than older machines so can reduce slowdown
- Very popular – especially in gaming where old consoles emulated on new

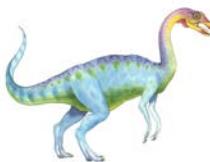




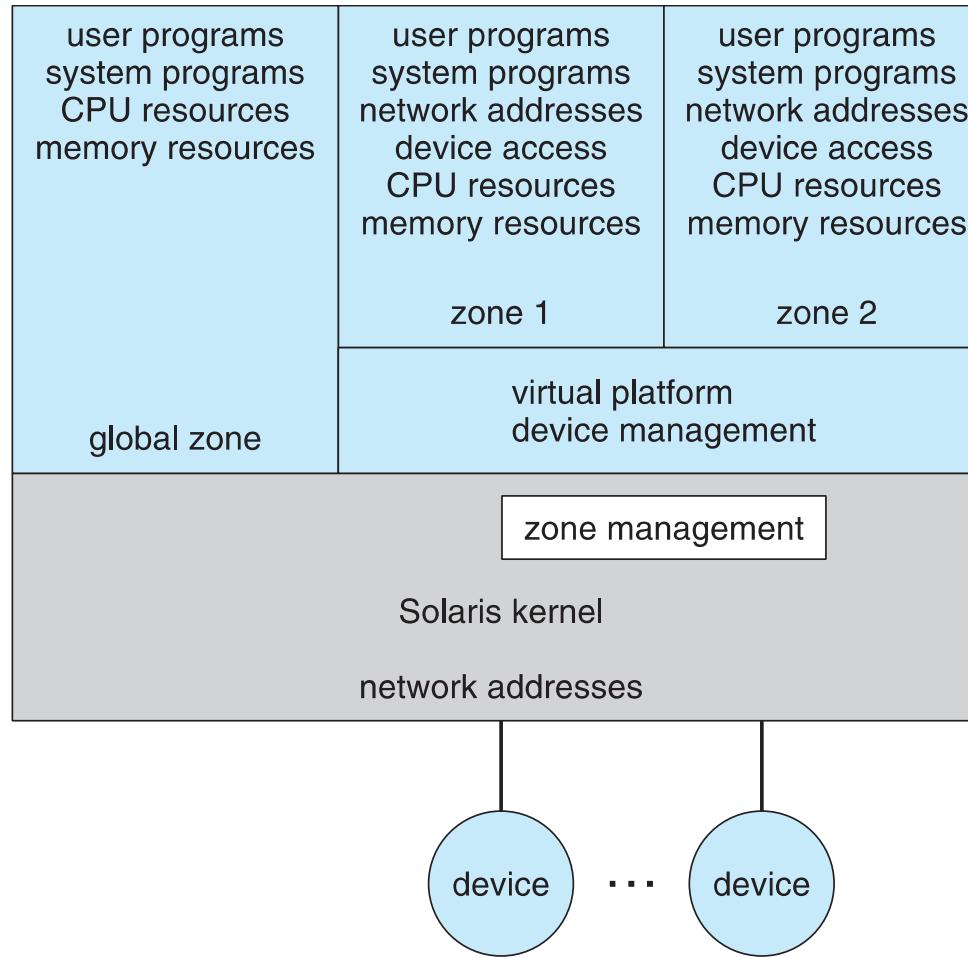
# Types of VMs – Application Containment

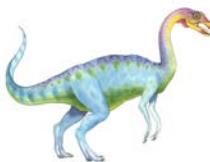
- Some goals of virtualization are segregation of apps, performance and resource management, easy start, stop, move, and management of them
- Can do those things without full-fledged virtualization
  - If applications compiled for the host operating system, don't need full virtualization to meet these goals
- Oracle **containers / zones** for example create virtual layer between OS and apps
  - Only one kernel running – host OS
  - OS and devices are virtualized, providing resources within zone with impression that they are only processes on system
  - Each zone has its own applications; networking stack, addresses, and ports; user accounts, etc
  - CPU and memory resources divided between zones
    - ▶ Zone can have its own scheduler to use those resources





# Solaris 10 with Two Zones

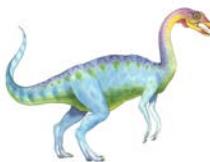




# Virtualization and Operating-System Components

- Now look at operating system aspects of virtualization
  - CPU scheduling, memory management, I/O, storage, and unique VM migration feature
    - ▶ How do VMMs schedule CPU use when guests believe they have dedicated CPUs?
    - ▶ How can memory management work when many guests require large amounts of memory?



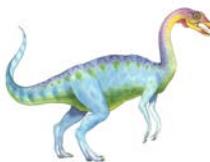


# OS Component – CPU Scheduling

---

- Even single-CPU systems act like multiprocessor ones when virtualized
  - One or more virtual CPUs per guest
- Generally VMM has one or more physical CPUs and number of threads to run on them
  - Guests configured with certain number of VCPUs
    - ▶ Can be adjusted throughout life of VM
  - When enough CPUs for all guests -> VMM can allocate dedicated CPUs, each guest much like native operating system managing its CPUs
  - Usually not enough CPUs -> CPU **overcommitment**
    - ▶ VMM can use standard scheduling algorithms to put threads on CPUs
    - ▶ Some add fairness aspect

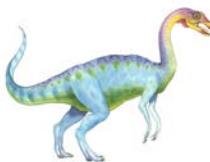




# OS Component – CPU Scheduling (cont.)

- Cycle stealing by VMM and oversubscription of CPUs means guests don't get CPU cycles they expect
  - Consider timesharing scheduler in a guest trying to schedule 100ms time slices -> each may take 100ms, 1 second, or longer
    - ▶ Poor response times for users of guest
    - ▶ Time-of-day clocks incorrect
  - Some VMMs provide application to run in each guest to fix time-of-day and provide other integration features



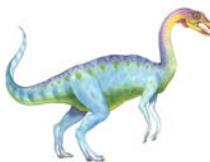


# OS Component – Memory Management

---

- Also suffers from oversubscription -> requires extra management efficiency from VMM
- For example, VMware ESX guests have a configured amount of physical memory, then ESX uses 3 methods of memory management
  1. Double-paging, in which the guest page table indicates a page is in a physical frame but the VMM moves some of those pages to backing store
  2. Install a **pseudo-device driver** in each guest (it looks like a device driver to the guest kernel but really just adds kernel-mode code to the guest)
    - ▶ **Balloon** memory manager communicates with VMM and is told to allocate or deallocate memory to decrease or increase physical memory use of guest, causing guest OS to free or have more memory available
  3. Deduplication by VMM determining if same page loaded more than once, memory mapping the same page into multiple guests

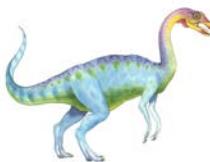




# OS Component – I/O

- Easier for VMMs to integrate with guests because I/O has lots of variation
  - Already somewhat segregated / flexible via device drivers
  - VMM can provide new devices and device drivers
- But overall I/O is complicated for VMMs
  - Many short paths for I/O in standard OSes for improved performance
  - Less hypervisor needs to do for I/O for guests, the better
  - Possibilities include direct device access, DMA pass-through, direct interrupt delivery
    - ▶ Again, HW support needed for these
- Networking also complex as VMM and guests all need network access
  - VMM can **bridge** guest to network (allowing direct access)
  - And / or provide **network address translation (NAT)**
    - ▶ NAT address local to machine on which guest is running, VMM provides address translation to guest to hide its address



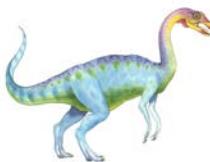


# OS Component – Storage Management

---

- Both boot disk and general data access need be provided by VMM
- Need to support potentially dozens of guests per VMM (so standard disk partitioning not sufficient)
- Type 1 – storage guest root disks and config information within file system provided by VMM as a **disk image**
- Type 2 – store as files in file system provided by host OS
- Duplicate file -> create new guest
- Move file to another system -> move guest
- **Physical-to-virtual (P-to-V)** convert native disk blocks into VMM format
- **Virtual-to-physical (V-to-P)** convert from virtual format to native or disk format
- VMM also needs to provide access to network attached storage (just networking) and other disk images, disk partitions, disks, etc

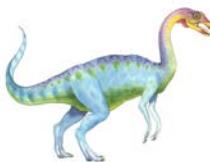




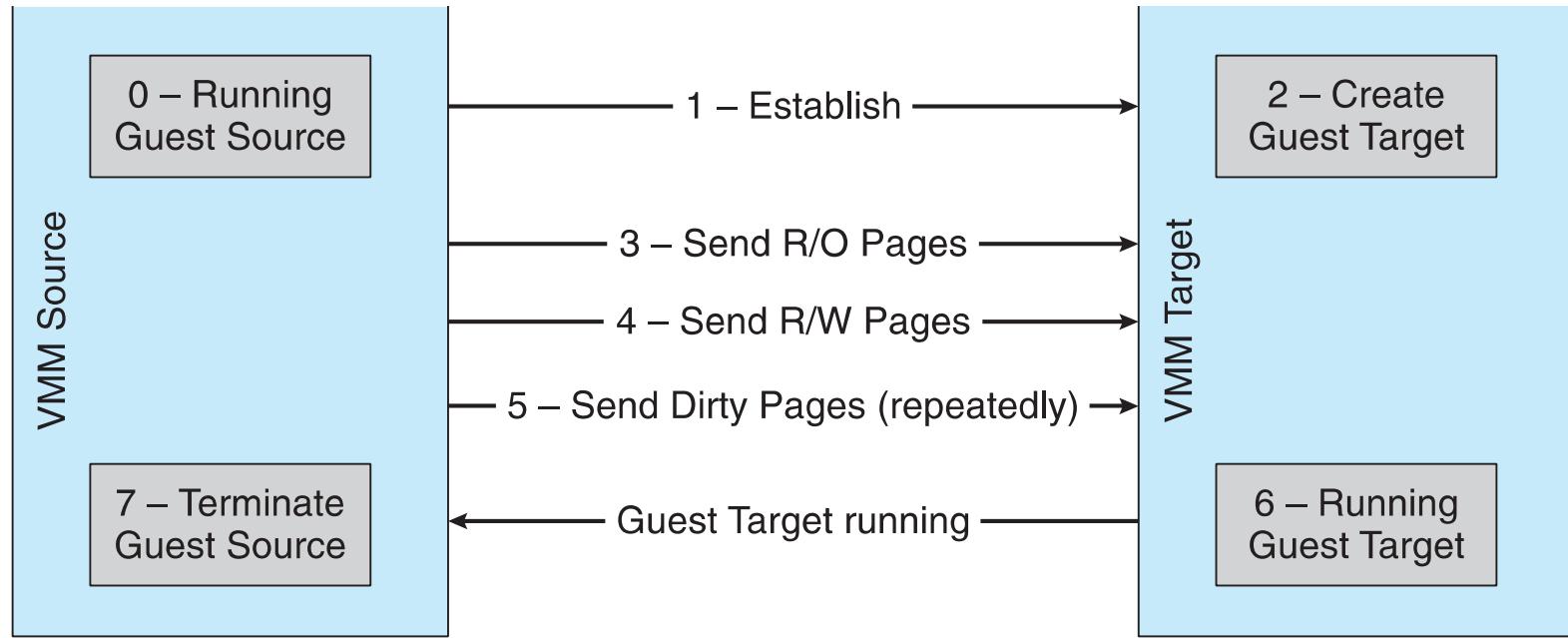
# OS Component – Live Migration

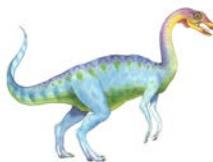
- Taking advantage of VMM features leads to new functionality not found on general operating systems such as live migration
- Running guest can be moved between systems, without interrupting user access to the guest or its apps
- Very useful for resource management, maintenance downtime windows, etc
  1. The source VMM establishes a connection with the target VMM
  2. The target creates a new guest by creating a new VCPU, etc
  3. The source sends all read-only guest memory pages to the target
  4. The source sends all read-write pages to the target, marking them as clean
  5. The source repeats step 4, as during that step some pages were probably modified by the guest and are now dirty
  6. When cycle of steps 4 and 5 becomes very short, source VMM freezes guest, sends VCPU's final state, sends other state details, sends final dirty pages, and tells target to start running the guest
    - ▶ Once target acknowledges that guest running, source terminates guest





# Live Migration of Guest Between Servers





# Examples - VMware

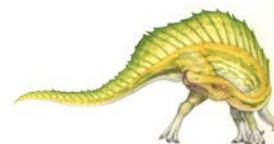
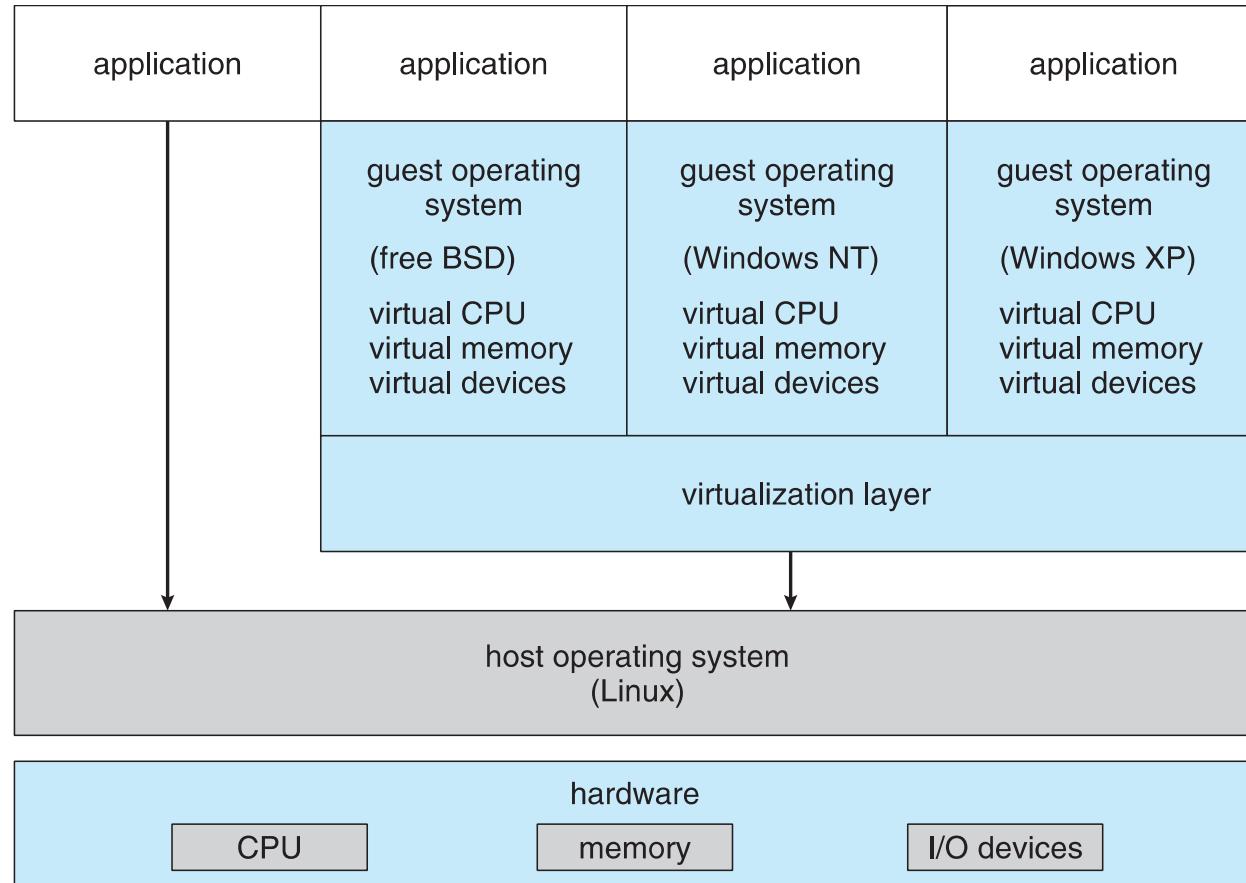
---

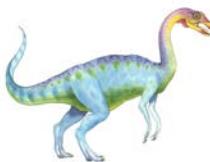
- VMware Workstation runs on x86, provides VMM for guests
- Runs as application on other native, installed host operating system -> Type 2
- Lots of guests possible, including Windows, Linux, etc all runnable concurrently (as resources allow)
- Virtualization layer abstracts underlying HW, providing guest with its own virtual CPUs, memory, disk drives, network interfaces, etc
- Physical disks can be provided to guests, or virtual physical disks (just files within host file system)





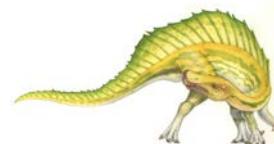
# VMware Workstation Architecture





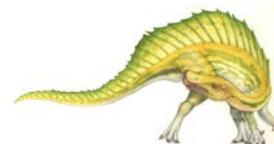
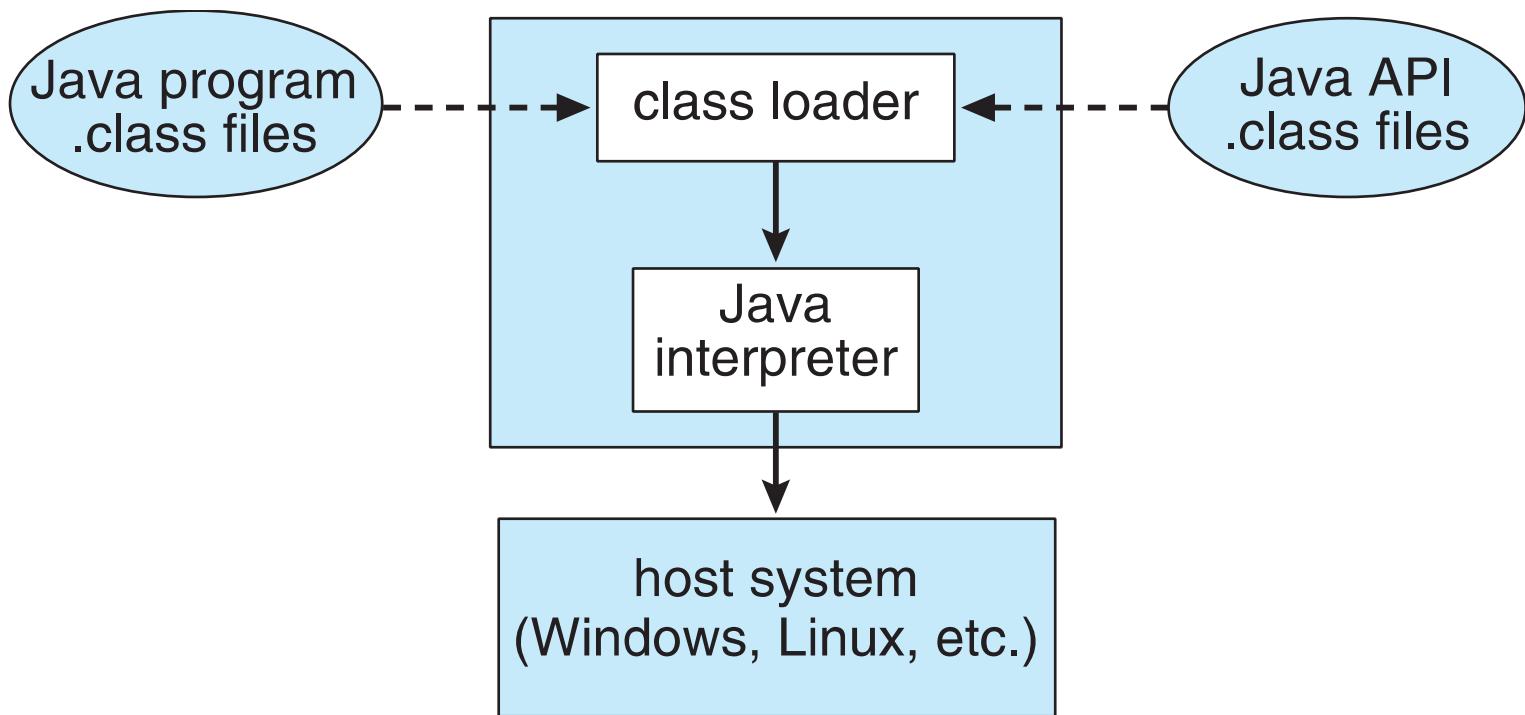
# Examples – Java Virtual Machine

- Example of programming-environment virtualization
- Very popular language / application environment invented by Sun Microsystems in 1995
- Write once, run anywhere
- Includes language specification (Java), API library, Java virtual machine (JVM)
- Java objects specified by class construct, Java program is one or more objects
- Each Java object compiled into architecture-neutral **bytecode** output (**.class**) which JVM **class loader** loads
- JVM compiled per architecture, reads bytecode and executes
- Includes **garbage collection** to reclaim memory no longer in use
- Made faster by **just-in-time (JIT)** compiler that turns bytecodes into native code and caches them

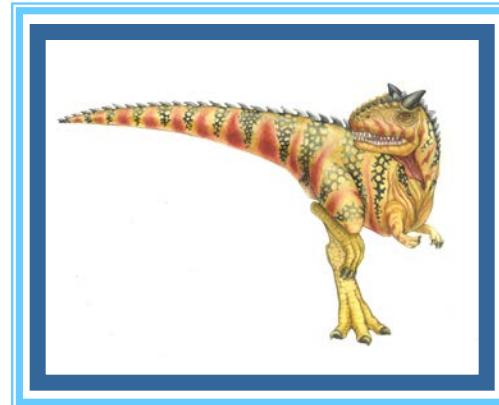




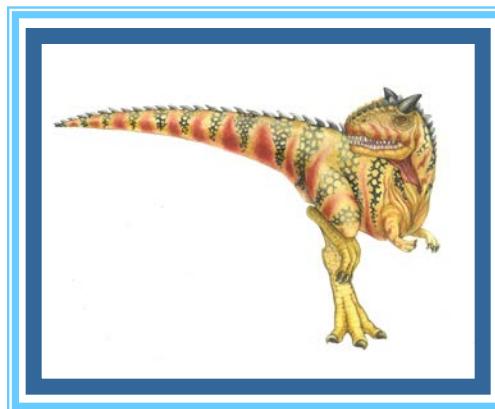
# The Java Virtual Machine

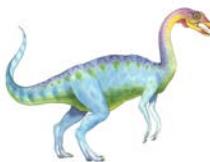


# End of Chapter 16



# Chapter 17: Distributed Systems



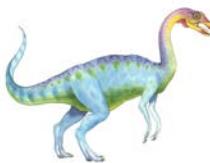


# Chapter 17: Distributed Systems

---

- Advantages of Distributed Systems
- Types of Network-Based Operating Systems
- Network Structure
- Communication Structure
- Communication Protocols
- An Example: TCP/IP
- Robustness
- Design Issues
- Distributed File System

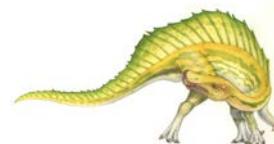


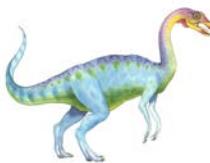


# Chapter Objectives

---

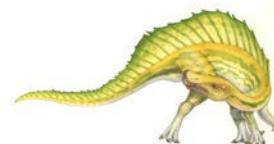
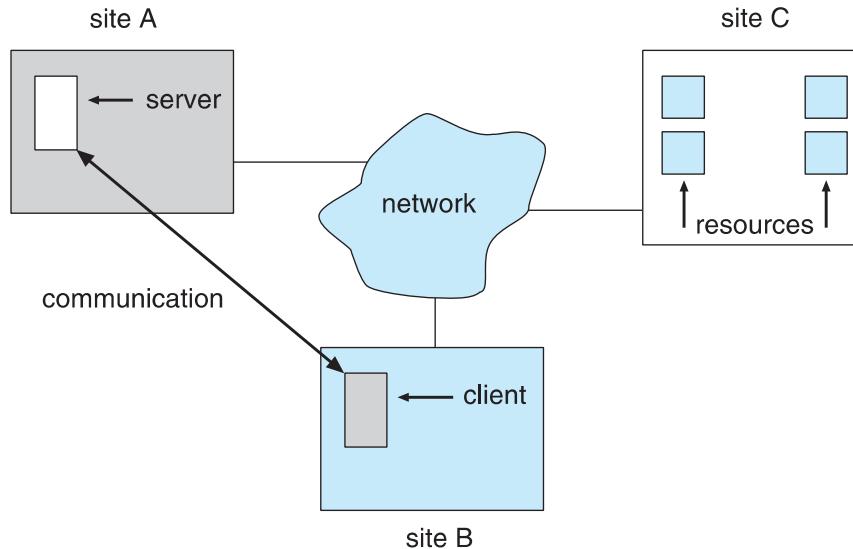
- To provide a high-level overview of distributed systems and the networks that interconnect them
- To discuss the general structure of distributed operating systems
- To explain general communication structure and communication protocols
- To describe issues concerning the design of distributed systems

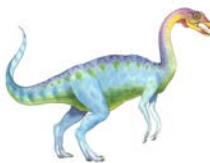




# Overview

- **Distributed system** is collection of loosely coupled processors interconnected by a communications network
- Processors variously called ***nodes, computers, machines, hosts***
  - **Site** is location of the processor
  - Generally a **server** has a resource a **client** node at a different site wants to use





# Reasons for Distributed Systems

## ■ Reasons for distributed systems

- **Resource sharing**
  - ▶ Sharing and printing files at remote sites
  - ▶ Processing information in a distributed database
  - ▶ Using remote specialized hardware devices
- **Computation speedup – load sharing or job migration**
- Reliability – detect and recover from site failure, function transfer, reintegrate failed site
- Communication – **message** passing
  - ▶ All higher-level functions of a standalone system can be expanded to encompass a distributed system
- Computers can be downsized, more flexibility, better user interfaces and easier maintenance by moving from large system to multiple smaller systems performing distributed computing

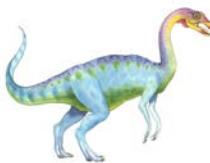




# Types of Distributed Operating Systems

- Network Operating Systems
- Distributed Operating Systems

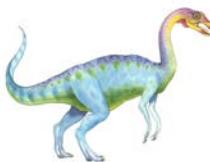




# Network-Operating Systems

- Users are aware of multiplicity of machines
- Access to resources of various machines is done explicitly by:
  - Remote logging into the appropriate remote machine (telnet, ssh)
  - Remote Desktop (Microsoft Windows)
  - Transferring data from remote machines to local machines, via the File Transfer Protocol (FTP) mechanism
- Users must change paradigms – establish a **session**, give network-based commands
  - More difficult for users



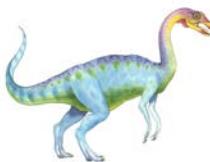


# Distributed-Operating Systems

---

- Users not aware of multiplicity of machines
  - Access to remote resources similar to access to local resources
- **Data Migration** – transfer data by transferring entire file, or transferring only those portions of the file necessary for the immediate task
- **Computation Migration** – transfer the computation, rather than the data, across the system
  - Via remote procedure calls (RPCs)
  - or via messaging system



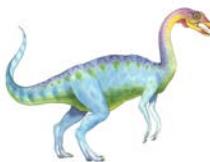


# Distributed-Operating Systems (Cont.)

---

- **Process Migration** – execute an entire process, or parts of it, at different sites
  - **Load balancing** – distribute processes across network to even the workload
  - **Computation speedup** – subprocesses can run concurrently on different sites
  - **Hardware preference** – process execution may require specialized processor
  - **Software preference** – required software may be available at only a particular site
  - **Data access** – run process remotely, rather than transfer all data locally
- Consider the World Wide Web





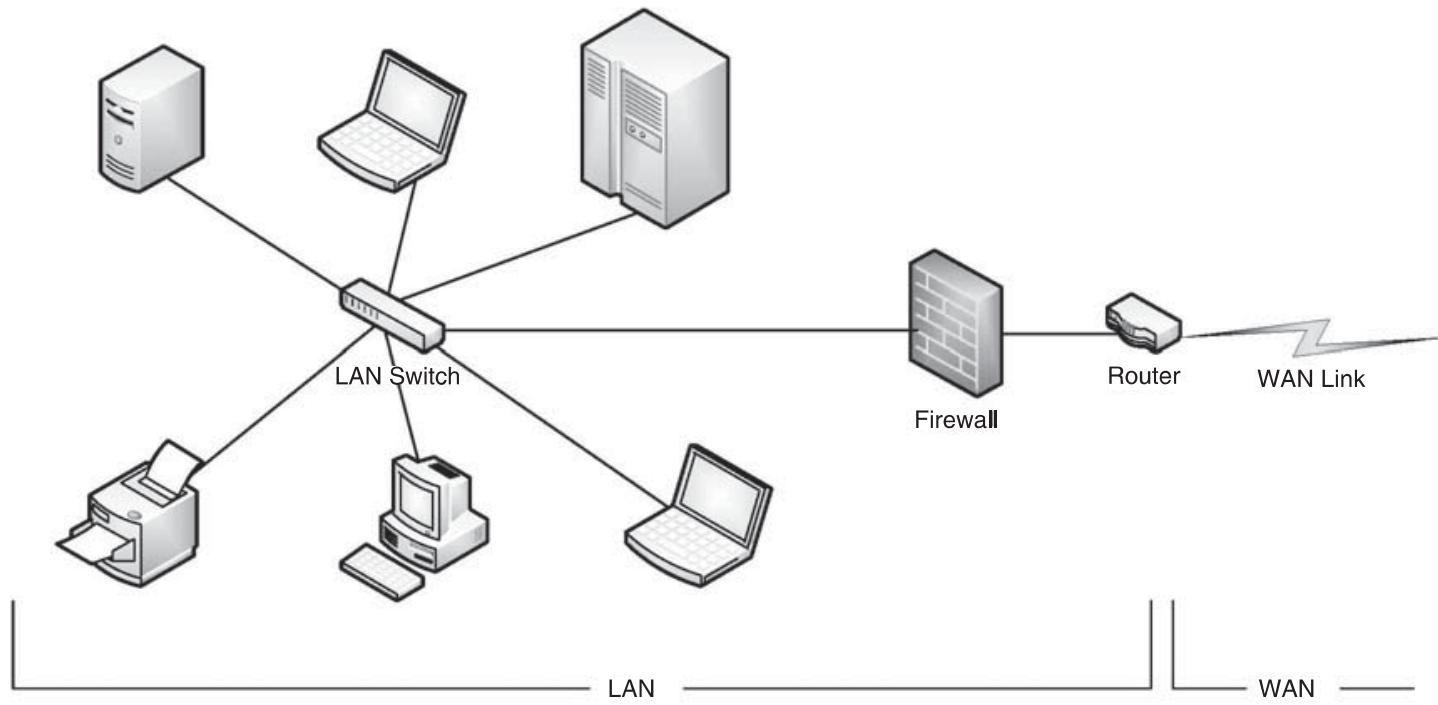
# Network Structure

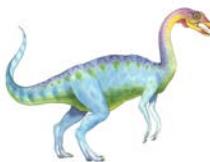
- **Local-Area Network (LAN)** – designed to cover small geographical area
  - Multiple topologies like star or ring
  - Speeds from 1Mb per second (Appletalk, bluetooth) to 40 Gbps for fastest Ethernet over twisted pair copper or optical fibre
  - Consists of multiple computers (mainframes through mobile devices), peripherals (printers, storage arrays), routers (specialized network communication processors) providing access to other networks
  - Ethernet most common way to construct LANs
    - ▶ Multiaccess bus-based
    - ▶ Defined by standard IEEE 802.3
  - Wireless spectrum (**WiFi**) increasingly used for networking
    - ▶ I.e. IEEE 802.11g standard implemented at 54 Mbps





# Local-area Network





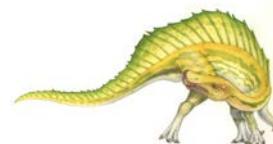
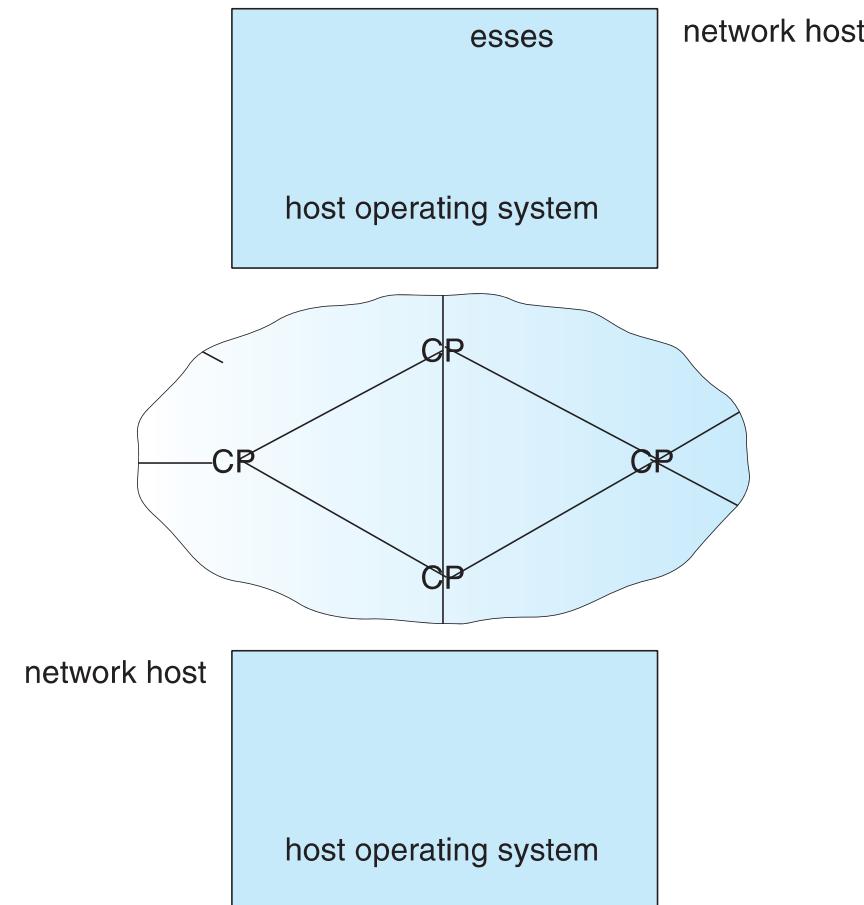
# Network Types (Cont.)

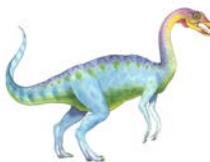
- **Wide-Area Network (WAN)** – links geographically separated sites
  - Point-to-point connections over long-haul lines (often leased from a phone company)
    - ▶ Implemented via **connection processors** known as **routers**
  - Internet WAN enables hosts world wide to communicate
    - ▶ Hosts differ in all dimensions but WAN allows communications
  - Speeds
    - ▶ T1 link is 1.544 Megabits per second
    - ▶ T3 is  $28 \times T1s = 45$  Mbps
    - ▶ OC-12 is 622 Mbps
  - WANs and LANs interconnect, similar to cell phone network:
    - ▶ Cell phones use radio waves to cell towers
    - ▶ Towers connect to other towers and hubs





# Communication Processors in a Wide-Area Network



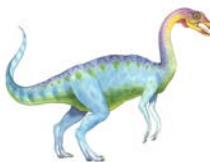


# Communication Structure

The design of a communication network must address four basic issues:

- **Naming and name resolution** - How do two processes locate each other to communicate?
- **Routing strategies** - How are messages sent through the network?
- **Connection strategies** - How do two processes send a sequence of messages?
- **Contention** - The network is a shared resource, so how do we resolve conflicting demands for its use?

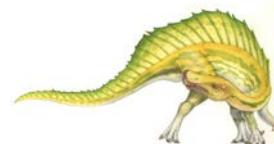


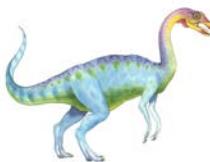


# Naming and Name Resolution

---

- Name systems in the network
- Address messages with the process-id
- Identify processes on remote systems by
  - <host-name, identifier> pair
- **Domain name system (DNS)** – specifies the naming structure of the hosts, as well as name to address **resolution** (Internet)

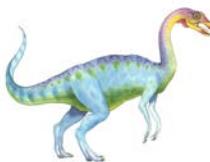




# Routing Strategies

- **Fixed routing** - A path from *A* to *B* is specified in advance; path changes only if a hardware failure disables it
  - Since the shortest path is usually chosen, communication costs are minimized
  - Fixed routing cannot adapt to load changes
  - Ensures that messages will be delivered in the order in which they were sent
- **Virtual routing**- A path from *A* to *B* is fixed for the duration of one session. Different sessions involving messages from *A* to *B* may have different paths
  - Partial remedy to adapting to load changes
  - Ensures that messages will be delivered in the order in which they were sent



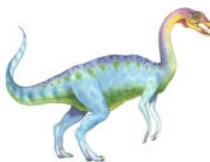


# Routing Strategies (Cont.)

---

- **Dynamic routing** - The path used to send a message from site *A* to site *B* is chosen only when a message is sent
  - Usually a site sends a message to another site on the link least used at that particular time
  - Adapts to load changes by avoiding routing messages on heavily used path
  - Messages may arrive out of order
    - ▶ This problem can be remedied by appending a sequence number to each message
  - Most complex to set up
- Tradeoffs mean all methods are used
  - UNIX provides ability to mix fixed and dynamic
  - Hosts may have fixed routes and **gateways** connecting networks together may have dynamic routes

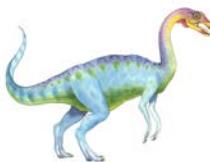




# Routing Strategies (Cont.)

- **Router** is communications processor responsible for routing messages
- Must have at least 2 network connections
- Maybe special purpose or just function running on host
- Checks its tables to determine where destination host is, where to send messages
  - Static routing – table only changed manually
  - Dynamic routing – table changed via **routing protocol**

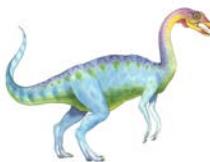




# Routing Strategies (Cont.)

- More recently, routing managed by intelligent software more intelligently than routing protocols
  - **OpenFlow** is device-independent, allowing developers to introduce network efficiencies by decoupling data-routing decisions from underlying network devices
- Messages vary in length – simplified design breaks them into **packets** (or **frames**, or **datagrams**)
- **Connectionless message** is just one packet
  - Otherwise need a connection to get a multi-packet message from source to destination

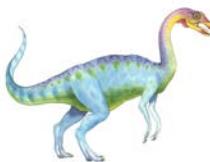




# Connection Strategies

- **Circuit switching** - A permanent physical link is established for the duration of the communication (i.e., telephone system)
- **Message switching** - A temporary link is established for the duration of one message transfer (i.e., post-office mailing system)
- **Packet switching** - Messages of variable length are divided into fixed-length packets which are sent to the destination
  - Each packet may take a different path through the network
  - The packets must be reassembled into messages as they arrive
- Circuit switching requires setup time, but incurs less overhead for shipping each message, and may waste network bandwidth
  - Message and packet switching require less setup time, but incur more overhead per message



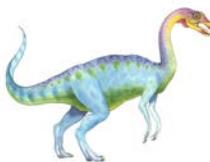


# Communication Protocol

The communication network is partitioned into the following multiple layers:

- **Layer 1: Physical layer** – handles the mechanical and electrical details of the physical transmission of a bit stream
- **Layer 2: Data-link layer** – handles the *frames*, or fixed-length parts of packets, including any error detection and recovery that occurred in the physical layer
- **Layer 3: Network layer** – provides connections and routes packets in the communication network, including handling the address of outgoing packets, decoding the address of incoming packets, and maintaining routing information for proper response to changing load levels





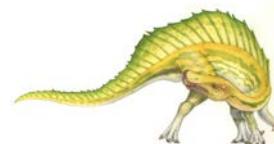
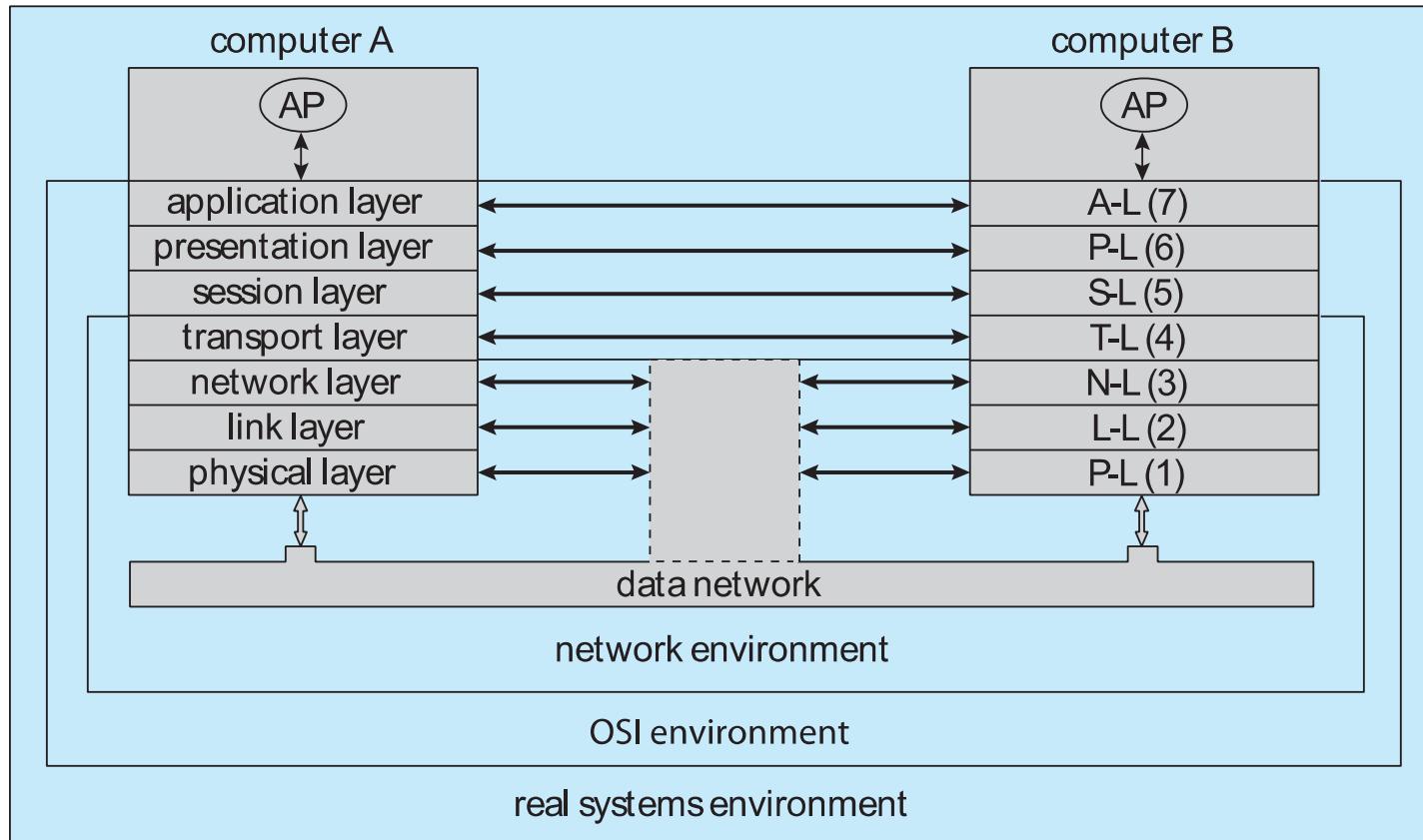
# Communication Protocol (Cont.)

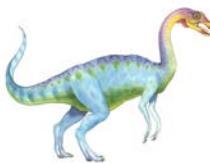
- **Layer 4: Transport layer** – responsible for low-level network access and for message transfer between clients, including partitioning messages into packets, maintaining packet order, controlling flow, and generating physical addresses
- **Layer 5: Session layer** – implements sessions, or process-to-process communications protocols
- **Layer 6: Presentation layer** – resolves the differences in formats among the various sites in the network, including character conversions, and half duplex/full duplex (echoing)
- **Layer 7: Application layer** – interacts directly with the users, deals with file transfer, remote-login protocols and electronic mail, as well as schemas for distributed databases



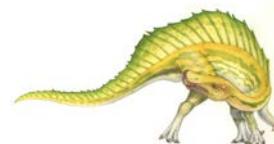
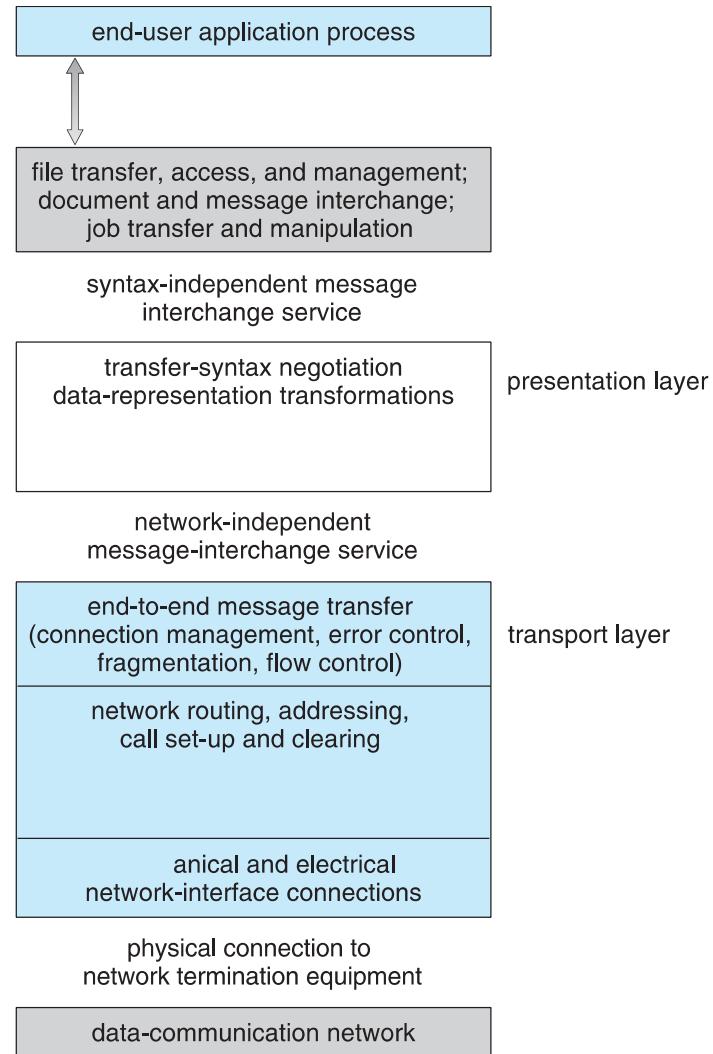


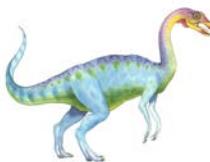
# Communication Via ISO Network Model



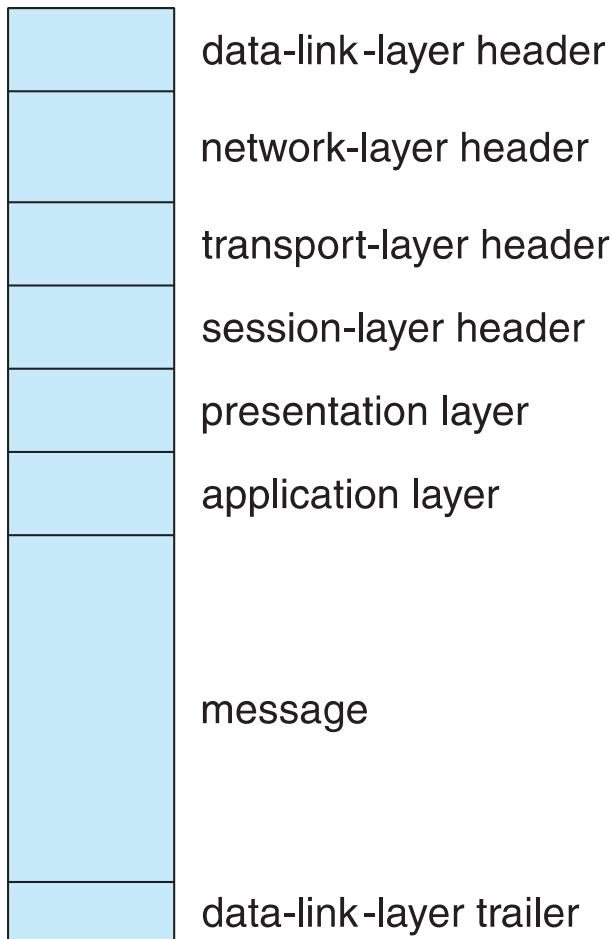


# The ISO Protocol Layer



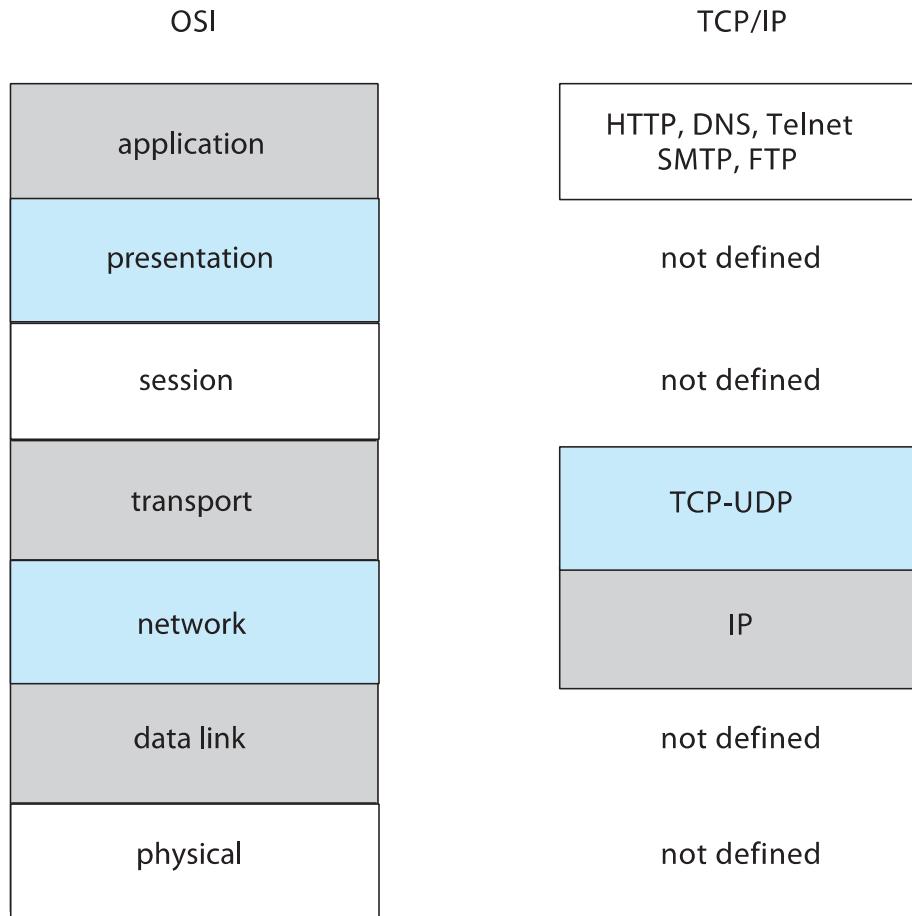


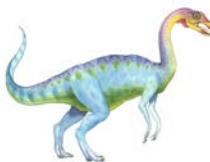
# The ISO Network Message





# The TCP/IP Protocol Layers



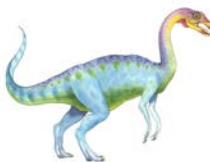


# Example: TCP/IP

---

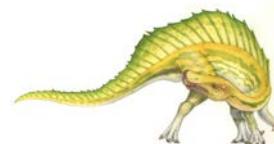
- The transmission of a network packet between hosts on an Ethernet network
- Every host has a unique IP address and a corresponding Ethernet **Media Access Control (MAC)** address
- Communication requires both addresses
- **Domain Name Service (DNS)** can be used to acquire IP addresses
- **Address Resolution Protocol (ARP)** is used to map MAC addresses to IP addresses
  - **Broadcast** to all other systems on the Ethernet network
- If the hosts are on the same network, ARP can be used
  - If the hosts are on different networks, the sending host will send the packet to a router which routes the packet to the destination network





# An Ethernet Packet

| bytes  |                          |                                 |
|--------|--------------------------|---------------------------------|
| 7      | preamble—start of packet | each byte pattern 10101010      |
| 1      | start of frame delimiter | pattern 10101011                |
| 2 or 6 | destination address      | Ethernet address or broadcast   |
| 2 or 6 | source address           | Ethernet address                |
| 2      | length of data section   | length in bytes                 |
| 0–1500 | data                     | message data                    |
| 0–46   | pad (optional)           | message must be > 63 bytes long |
| 4      | frame checksum           | for error detection             |



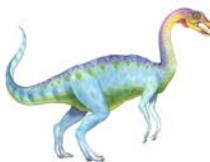


# Robustness

---

- Failure detection
- Reconfiguration

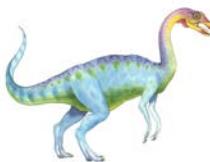




# Failure Detection

- Detecting hardware failure is difficult
- To detect a link failure, a **heartbeat** protocol can be used
- Assume Site A and Site B have established a link
  - At fixed intervals, each site will exchange an *I-am-up* message indicating that they are up and running
- If Site A does not receive a message within the fixed interval, it assumes either (a) the other site is not up or (b) the message was lost
- Site A can now send an *Are-you-up?* message to Site B
- If Site A does not receive a reply, it can repeat the message or try an alternate route to Site B

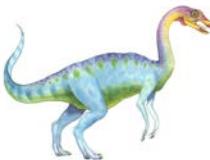




# Failure Detection (Cont.)

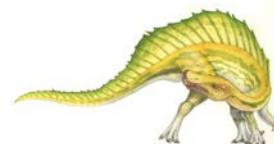
- If Site A does not ultimately receive a reply from Site B, it concludes some type of failure has occurred
- Types of failures:
  - Site B is down
  - The direct link between A and B is down
  - The alternate link from A to B is down
  - The message has been lost
- However, Site A cannot determine exactly **why** the failure has occurred

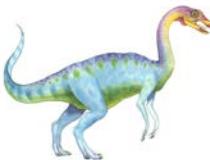




# Reconfiguration

- When Site A determines a failure has occurred, it must reconfigure the system:
  1. If the link from A to B has failed, this must be broadcast to every site in the system
  2. If a site has failed, every other site must also be notified indicating that the services offered by the failed site are no longer available
- When the link or the site becomes available again, this information must again be broadcast to all other sites

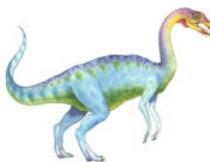




# Design Issues

- **Transparency** – the distributed system should appear as a conventional, centralized system to the user
- **Fault tolerance** – the distributed system should continue to function in the face of failure
- **Scalability** – as demands increase, the system should easily accept the addition of new resources to accommodate the increased demand
  - Consider **Hadoop** open source programming framework for processing large datasets in distributed environments (based on Google search indexing)
- **Clusters** – a collection of semi-autonomous machines that acts as a single system



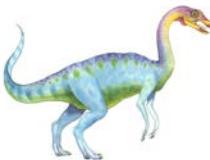


# Distributed File System

---

- **Distributed file system (DFS)** – a distributed implementation of the classical time-sharing model of a file system, where multiple users share files and storage resources
- A DFS manages set of dispersed storage devices
- Overall storage space managed by a DFS is composed of different, remotely located, smaller storage spaces
- There is usually a correspondence between constituent storage spaces and sets of files
- Challenges include:
  - Naming and Transparency
  - Remote File Access

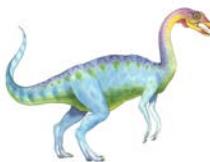




# DFS Structure

- **Service** – software entity running on one or more machines and providing a particular type of function to a priori unknown clients
- **Server** – service software running on a single machine
- **Client** – process that can invoke a service using a set of operations that forms its client interface
- A client interface for a file service is formed by a set of primitive file operations (create, delete, read, write)
- Client interface of a DFS should be transparent, i.e., not distinguish between local and remote files
- Sometimes lower level **intermachine** interface need for cross-machine interaction

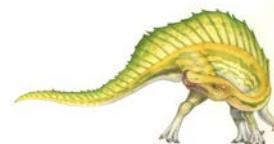


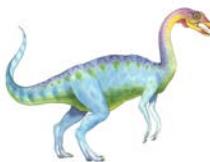


# Naming and Transparency

---

- **Naming** – mapping between logical and physical objects
- **Multilevel mapping** – abstraction of a file that hides the details of how and where on the disk the file is actually stored
- A **transparent** DFS hides the location where in the network the file is stored
- For a file being **replicated** in several sites, the mapping returns a set of the locations of this file's replicas; both the existence of multiple copies and their location are hidden



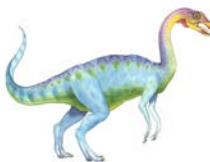


# Naming Structures

---

- **Location transparency** – file name does not reveal the file's physical storage location
- **Location independence** – file name does not need to be changed when the file's physical storage location changes

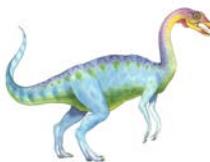




# Naming Schemes — Three Main Approaches

- Files named by combination of their host name and local name; guarantees a unique system-wide name
- Attach remote directories to local directories, giving the appearance of a coherent directory tree; only previously mounted remote directories can be accessed transparently
- Total integration of the component file systems
  - A single global name structure spans all the files in the system
  - If a server is unavailable, some arbitrary set of directories on different machines also becomes unavailable
- In practice most DFSs use static, location-transparent mapping for user-level names
  - Some support file migration
  - Hadoop supports file migration but without following POSIX standards

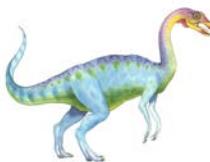




# Remote File Access

- **Remote-service mechanism** is one transfer approach
- Reduce network traffic by retaining recently accessed disk blocks in a cache, so that repeated accesses to the same information can be handled locally
  - If needed data not already cached, a copy of data is brought from the server to the user
  - Accesses are performed on the cached copy
  - Files identified with one master copy residing at the server machine, but copies of (parts of) the file are scattered in different caches
  - **Cache-consistency problem** – keeping the cached copies consistent with the master file
    - ▶ Could be called **network virtual memory**

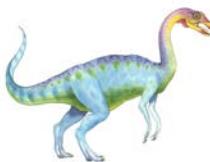




# Cache Location – Disk vs. Main Memory

- Advantages of disk caches
  - More reliable
  - Cached data kept on disk are still there during recovery and don't need to be fetched again
- Advantages of main-memory caches:
  - Permit workstations to be diskless
  - Data can be accessed more quickly
  - Performance speedup in bigger memories
  - Server caches (used to speed up disk I/O) are in main memory regardless of where user caches are located; using main-memory caches on the user machine permits a single caching mechanism for servers and users

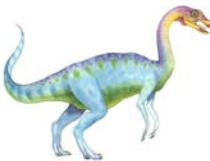




# Cache Update Policy

- **Write-through** – write data through to disk as soon as they are placed on any cache
  - Reliable, but poor performance
- **Delayed-write (write-back)** – modifications written to the cache and then written through to the server later
  - Write accesses complete quickly; some data may be overwritten before they are written back, and so need never be written at all
  - Poor reliability; unwritten data will be lost whenever a user machine crashes
  - Variation – scan cache at regular intervals and flush blocks that have been modified since the last scan
  - Variation – **write-on-close**, writes data back to the server when the file is closed
    - ▶ Best for files that are open for long periods and frequently modified





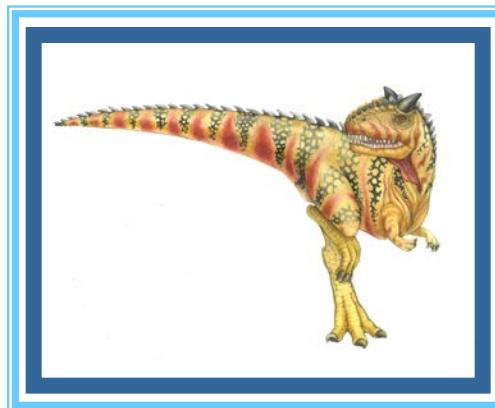
# Consistency

---

- Is locally cached copy of the data consistent with the master copy?
- **Client-initiated approach**
  - Client initiates a validity check
  - Server checks whether the local data are consistent with the master copy
- **Server-initiated approach**
  - Server records, for each client, the (parts of) files it caches
  - When server detects a potential inconsistency, it must react

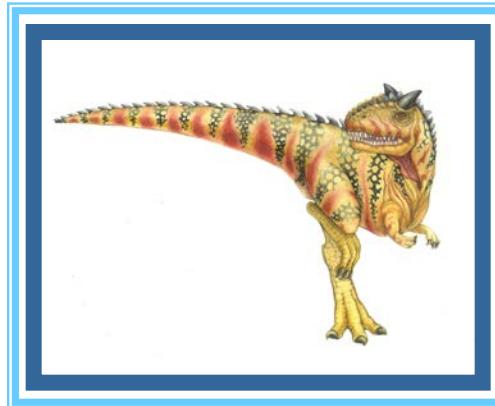


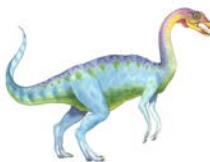
# End of Chapter 17



# Chapter 18:

# The Linux System



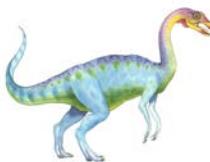


# Chapter 18: The Linux System

---

- Linux History
- Design Principles
- Kernel Modules
- Process Management
- Scheduling
- Memory Management
- File Systems
- Input and Output
- Interprocess Communication
- Network Structure
- Security





# Objectives

---

- To explore the history of the UNIX operating system from which Linux is derived and the principles upon which Linux's design is based
- To examine the Linux process model and illustrate how Linux schedules processes and provides interprocess communication
- To look at memory management in Linux
- To explore how Linux implements file systems and manages I/O devices



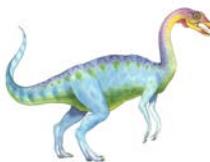


# History

---

- Linux is a modern, free operating system based on UNIX standards
- First developed as a small but self-contained kernel in 1991 by Linus Torvalds, with the major design goal of UNIX compatibility, released as open source
- Its history has been one of collaboration by many users from all around the world, corresponding almost exclusively over the Internet
- It has been designed to run efficiently and reliably on common PC hardware, but also runs on a variety of other platforms
- The core Linux operating system **kernel** is entirely original, but it can run much existing free UNIX software, resulting in an entire UNIX-compatible operating system free from proprietary code
- **Linux system** has many, varying **Linux distributions** including the kernel, applications, and management tools

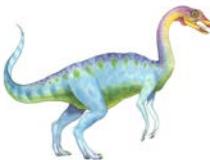




# The Linux Kernel

- Version 0.01 (May 1991) had no networking, ran only on 80386-compatible Intel processors and on PC hardware, had extremely limited device-drive support, and supported only the Minix file system
- Linux 1.0 (March 1994) included these new features:
  - Support for UNIX's standard TCP/IP networking protocols
  - BSD-compatible socket interface for networking programming
  - Device-driver support for running IP over an Ethernet
  - Enhanced file system
  - Support for a range of SCSI controllers for high-performance disk access
  - Extra hardware support
- Version 1.2 (March 1995) was the final PC-only Linux kernel
- Kernels with odd version numbers are **development kernels**, those with even numbers are **production kernels**



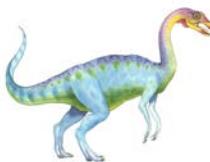


# Linux 2.0

---

- Released in June 1996, 2.0 added two major new capabilities:
  - Support for multiple architectures, including a fully 64-bit native Alpha port
  - Support for multiprocessor architectures
- Other new features included:
  - Improved memory-management code
  - Improved TCP/IP performance
  - Support for internal kernel threads, for handling dependencies between loadable modules, and for automatic loading of modules on demand
  - Standardized configuration interface
- Available for Motorola 68000-series processors, Sun Sparc systems, and for PC and PowerMac systems
- 2.4 and 2.6 increased SMP support, added journaling file system, preemptive kernel, 64-bit memory support
- 3.0 released in 2011, 20<sup>th</sup> anniversary of Linux, improved virtualization support, new page write-back facility, improved memory management, new Completely Fair Scheduler





# The Linux System

- Linux uses many tools developed as part of Berkeley's BSD operating system, MIT's X Window System, and the Free Software Foundation's GNU project
- The main system libraries were started by the GNU project, with improvements provided by the Linux community
- Linux networking-administration tools were derived from 4.3BSD code; recent BSD derivatives such as FreeBSD have borrowed code from Linux in return
- The Linux system is maintained by a loose network of developers collaborating over the Internet, with a small number of public ftp sites acting as de facto standard repositories
- **File System Hierarchy Standard** document maintained by the Linux community to ensure compatibility across the various system components
  - Specifies overall layout of a standard Linux file system, determines under which directory names configuration files, libraries, system binaries, and run-time data files should be stored



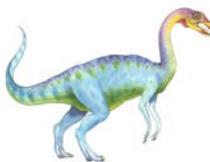


# Linux Distributions

---

- Standard, precompiled sets of packages, or **distributions**, include the basic Linux system, system installation and management utilities, and ready-to-install packages of common UNIX tools
- The first distributions managed these packages by simply providing a means of unpacking all the files into the appropriate places; modern distributions include advanced package management
- Early distributions included SLS and Slackware
  - **Red Hat** and **Debian** are popular distributions from commercial and noncommercial sources, respectively, others include **Canonical** and **SuSE**
- The RPM Package file format permits compatibility among the various Linux distributions



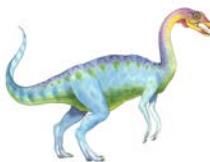


# Linux Licensing

---

- The Linux kernel is distributed under the GNU General Public License (GPL), the terms of which are set out by the Free Software Foundation
  - Not **public domain**, in that not all rights are waived
- Anyone using Linux, or creating their own derivative of Linux, may not make the derived product proprietary; software released under the GPL may not be redistributed as a binary-only product
  - Can sell distributions, but must offer the source code too





# Design Principles

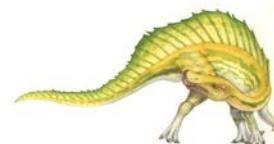
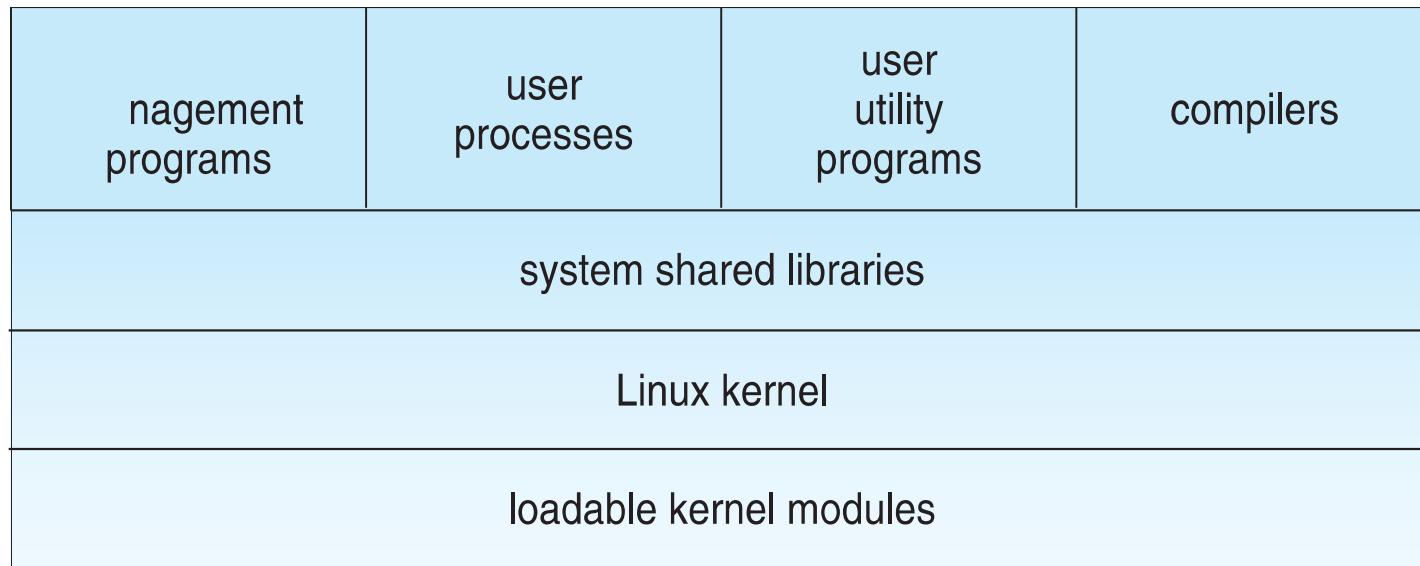
---

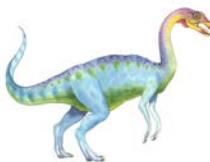
- Linux is a multiuser, multitasking system with a full set of UNIX-compatible tools
- Its file system adheres to traditional UNIX semantics, and it fully implements the standard UNIX networking model
- Main design goals are speed, efficiency, and standardization
- Linux is designed to be compliant with the relevant POSIX documents; at least two Linux distributions have achieved official POSIX certification
  - Supports Pthreads and a subset of POSIX real-time process control
- The Linux programming interface adheres to the SVR4 UNIX semantics, rather than to BSD behavior





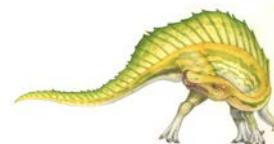
# Components of a Linux System

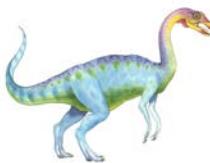




# Components of a Linux System

- Like most UNIX implementations, Linux is composed of three main bodies of code; the most important distinction between the kernel and all other components.
- The **kernel** is responsible for maintaining the important abstractions of the operating system
  - Kernel code executes in *kernel mode* with full access to all the physical resources of the computer
  - All kernel code and data structures are kept in the same single address space

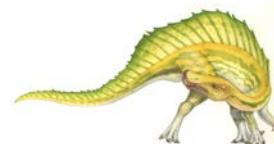


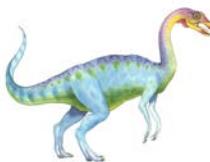


# Components of a Linux System (Cont.)

---

- The **system libraries** define a standard set of functions through which applications interact with the kernel, and which implement much of the operating-system functionality that does not need the full privileges of kernel code
- The **system utilities** perform individual specialized management tasks
- User-mode programs rich and varied, including multiple **shells** like the **bourne-again (bash)**



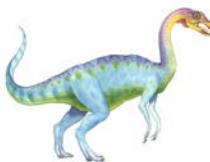


# Kernel Modules

---

- Sections of kernel code that can be compiled, loaded, and unloaded independent of the rest of the kernel.
- A kernel module may typically implement a device driver, a file system, or a networking protocol
- The module interface allows third parties to write and distribute, on their own terms, device drivers or file systems that could not be distributed under the GPL.
- Kernel modules allow a Linux system to be set up with a standard, minimal kernel, without any extra device drivers built in.
- Four components to Linux module support:
  - **module-management system**
  - **module loader and unloader**
  - **driver-registration system**
  - **conflict-resolution mechanism**

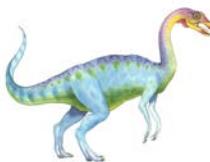




# Module Management

- Supports loading modules into memory and letting them talk to the rest of the kernel
- Module loading is split into two separate sections:
  - Managing sections of module code in kernel memory
  - Handling symbols that modules are allowed to reference
- The module requestor manages loading requested, but currently unloaded, modules; it also regularly queries the kernel to see whether a dynamically loaded module is still in use, and will unload it when it is no longer actively needed

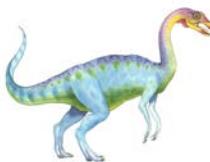




# Driver Registration

- Allows modules to tell the rest of the kernel that a new driver has become available
- The kernel maintains dynamic tables of all known drivers, and provides a set of routines to allow drivers to be added to or removed from these tables at any time
- Registration tables include the following items:
  - Device drivers
  - File systems
  - Network protocols
  - Binary format

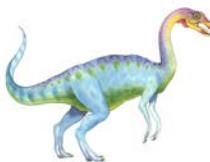




# Conflict Resolution

- A mechanism that allows different device drivers to reserve hardware resources and to protect those resources from accidental use by another driver.
- The conflict resolution module aims to:
  - Prevent modules from clashing over access to hardware resources
  - Prevent **autoprobes** from interfering with existing device drivers
  - Resolve conflicts with multiple drivers trying to access the same hardware:
    1. Kernel maintains list of allocated HW resources
    2. Driver reserves resources with kernel database first
    3. Reservation request rejected if resource not available

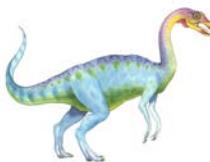




# Process Management

- UNIX process management separates the creation of processes and the running of a new program into two distinct operations.
  - The `fork()` system call creates a new process
  - A new program is run after a call to `exec()`
- Under UNIX, a process encompasses all the information that the operating system must maintain to track the context of a single execution of a single program
- Under Linux, process properties fall into three groups: the process's identity, environment, and context

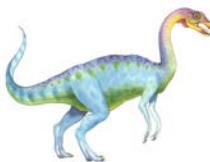




# Process Identity

- **Process ID (PID)** - The unique identifier for the process; used to specify processes to the operating system when an application makes a system call to signal, modify, or wait for another process
- **Credentials** - Each process must have an associated user ID and one or more group IDs that determine the process's rights to access system resources and files
- **Personality** - Not traditionally found on UNIX systems, but under Linux each process has an associated personality identifier that can slightly modify the semantics of certain system calls
  - Used primarily by emulation libraries to request that system calls be compatible with certain specific flavors of UNIX
- **Namespace** – Specific view of file system hierarchy
  - Most processes share common namespace and operate on a shared file-system hierarchy
  - But each can have unique file-system hierarchy with its own root directory and set of mounted file systems

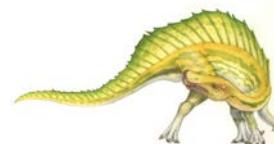




# Process Environment

---

- The process's environment is inherited from its parent, and is composed of two null-terminated vectors:
  - The **argument vector** lists the command-line arguments used to invoke the running program; conventionally starts with the name of the program itself.
  - The **environment vector** is a list of “NAME=VALUE” pairs that associates named environment variables with arbitrary textual values.
- Passing environment variables among processes and inheriting variables by a process's children are flexible means of passing information to components of the user-mode system software.
- The environment-variable mechanism provides a customization of the operating system that can be set on a per-process basis, rather than being configured for the system as a whole.

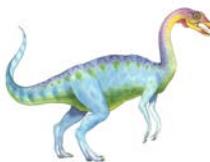




# Process Context

- The (constantly changing) state of a running program at any point in time
- The **scheduling context** is the most important part of the process context; it is the information that the scheduler needs to suspend and restart the process
- The kernel maintains **accounting** information about the resources currently being consumed by each process, and the total resources consumed by the process in its lifetime so far
- The **file table** is an array of pointers to kernel file structures
  - When making file I/O system calls, processes refer to files by their index into this table, the **file descriptor (fd)**

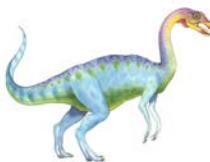




# Process Context (Cont.)

- Whereas the file table lists the existing open files, the **file-system context** applies to requests to open new files
  - The current root and default directories to be used for new file searches are stored here
- The **signal-handler table** defines the routine in the process' s address space to be called when specific signals arrive
- The **virtual-memory context** of a process describes the full contents of the its private address space



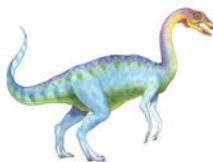


# Processes and Threads

- Linux uses the same internal representation for processes and threads; a thread is simply a new process that happens to share the same address space as its parent
  - Both are called **tasks** by Linux
- A distinction is only made when a new thread is created by the `clone()` system call
  - `fork()` creates a new task with its own entirely new task context
  - `clone()` creates a new task with its own identity, but that is allowed to share the data structures of its parent
- Using `clone()` gives an application fine-grained control over exactly what is shared between two threads

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

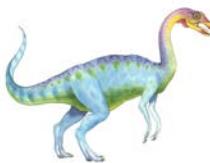




# Scheduling

- The job of allocating CPU time to different tasks within an operating system
- While scheduling is normally thought of as the running and interrupting of processes, in Linux, scheduling also includes the running of the various kernel tasks
- Running kernel tasks encompasses both tasks that are requested by a running process and tasks that execute internally on behalf of a device driver
- As of 2.5, new scheduling algorithm – preemptive, priority-based, known as  $O(1)$ 
  - Real-time range
  - nice value
  - Had challenges with interactive performance
- 2.6 introduced **Completely Fair Scheduler (CFS)**

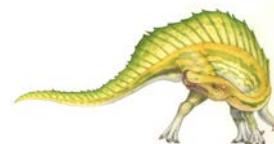


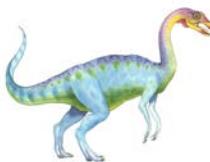


# CFS

---

- Eliminates traditional, common idea of time slice
- Instead all tasks allocated portion of processor's time
- CFS calculates how long a process should run as a function of total number of tasks
- $N$  runnable tasks means each gets  $1/N$  of processor's time
- Then weights each task with its nice value
  - Smaller nice value -> higher weight (higher priority)



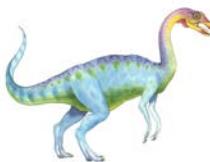


## CFS (Cont.)

---

- Then each task run with for time proportional to task's weight divided by total weight of all runnable tasks
- Configurable variable **target latency** is desired interval during which each task should run at least once
  - Consider simple case of 2 runnable tasks with equal weight and target latency of 10ms – each then runs for 5ms
    - ▶ If 10 runnable tasks, each runs for 1ms
    - ▶ **Minimum granularity** ensures each run has reasonable amount of time (which actually violates fairness idea)

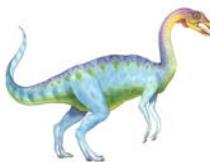




# Kernel Synchronization

- A request for kernel-mode execution can occur in two ways:
  - A running program may request an operating system service, either explicitly via a system call, or implicitly, for example, when a page fault occurs
  - A device driver may deliver a hardware interrupt that causes the CPU to start executing a kernel-defined handler for that interrupt
- Kernel synchronization requires a framework that will allow the kernel's critical sections to run without interruption by another critical section



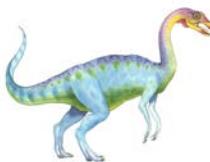


# Kernel Synchronization (Cont.)

- Linux uses two techniques to protect critical sections:
  1. Normal kernel code is nonpreemptible (until 2.6)
    - when a time interrupt is received while a process is executing a kernel system service routine, the kernel's **need\_resched** flag is set so that the scheduler will run once the system call has completed and control is about to be returned to user mode
  2. The second technique applies to critical sections that occur in an interrupt service routines
    - By using the processor's interrupt control hardware to disable interrupts during a critical section, the kernel guarantees that it can proceed without the risk of concurrent access of shared data structures
  - Provides spin locks, semaphores, and reader-writer versions of both
    - ▶ Behavior modified if on single processor or multi:

| single processor           | multiple processors |
|----------------------------|---------------------|
| Disable kernel preemption. | Acquire spin lock.  |
| Enable kernel preemption.  | Release spin lock.  |

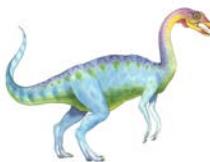




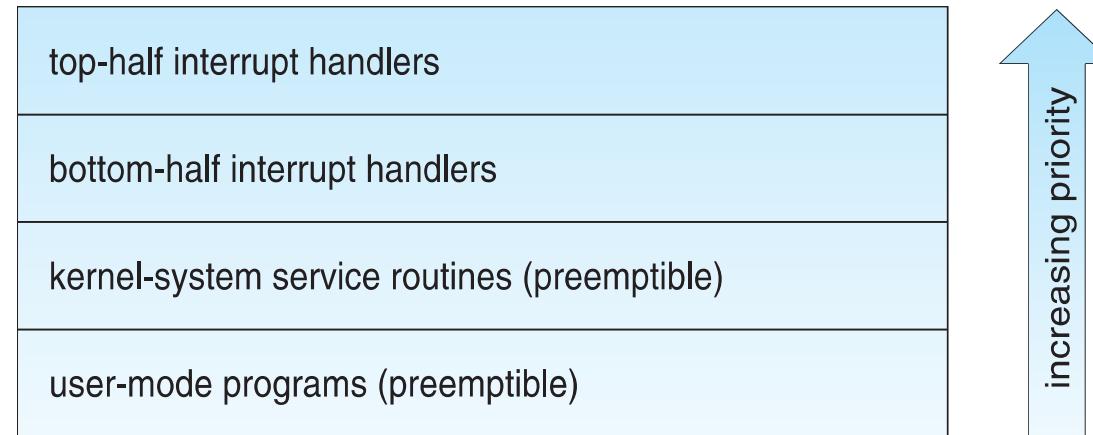
# Kernel Synchronization (Cont.)

- To avoid performance penalties, Linux's kernel uses a synchronization architecture that allows long critical sections to run without having interrupts disabled for the critical section's entire duration
- Interrupt service routines are separated into a *top half* and a *bottom half*
  - The top half is a normal interrupt service routine, and runs with recursive interrupts disabled
  - The bottom half is run, with all interrupts enabled, by a miniature scheduler that ensures that bottom halves never interrupt themselves
  - This architecture is completed by a mechanism for disabling selected bottom halves while executing normal, foreground kernel code

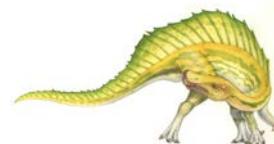


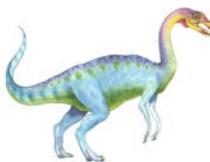


# Interrupt Protection Levels



- Each level may be interrupted by code running at a higher level, but will never be interrupted by code running at the same or a lower level
- User processes can always be preempted by another process when a time-sharing scheduling interrupt occurs

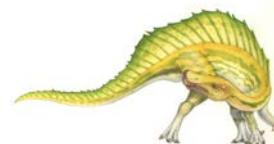


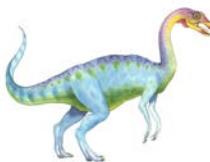


# Symmetric Multiprocessing

---

- Linux 2.0 was the first Linux kernel to support **SMP** hardware; separate processes or threads can execute in parallel on separate processors
- Until version 2.2, to preserve the kernel's nonpreemptible synchronization requirements, SMP imposes the restriction, via a single kernel spinlock, that only one processor at a time may execute kernel-mode code
- Later releases implement more scalability by splitting single spinlock into multiple locks, each protecting a small subset of kernel data structures
- Version 3.0 adds even more fine-grained locking, processor affinity, and load-balancing



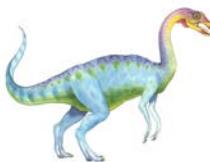


# Memory Management

- Linux's physical memory-management system deals with allocating and freeing pages, groups of pages, and small blocks of memory
- It has additional mechanisms for handling virtual memory, memory mapped into the address space of running processes
- Splits memory into four different **zones** due to hardware characteristics
  - Architecture specific, for example on x86:

| zone         | physical memory |
|--------------|-----------------|
| ZONE_DMA     | < 16 MB         |
| ZONE_NORMAL  | 16 .. 896 MB    |
| ZONE_HIGHMEM | > 896 MB        |

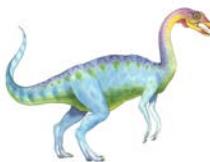




# Managing Physical Memory

- The page allocator allocates and frees all physical pages; it can allocate ranges of physically-contiguous pages on request
- The allocator uses a buddy-heap algorithm to keep track of available physical pages
  - Each allocatable memory region is paired with an adjacent partner
  - Whenever two allocated partner regions are both freed up they are combined to form a larger region
  - If a small memory request cannot be satisfied by allocating an existing small free region, then a larger free region will be subdivided into two partners to satisfy the request





# Managing Physical Memory (Cont.)

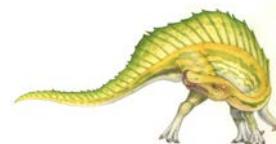
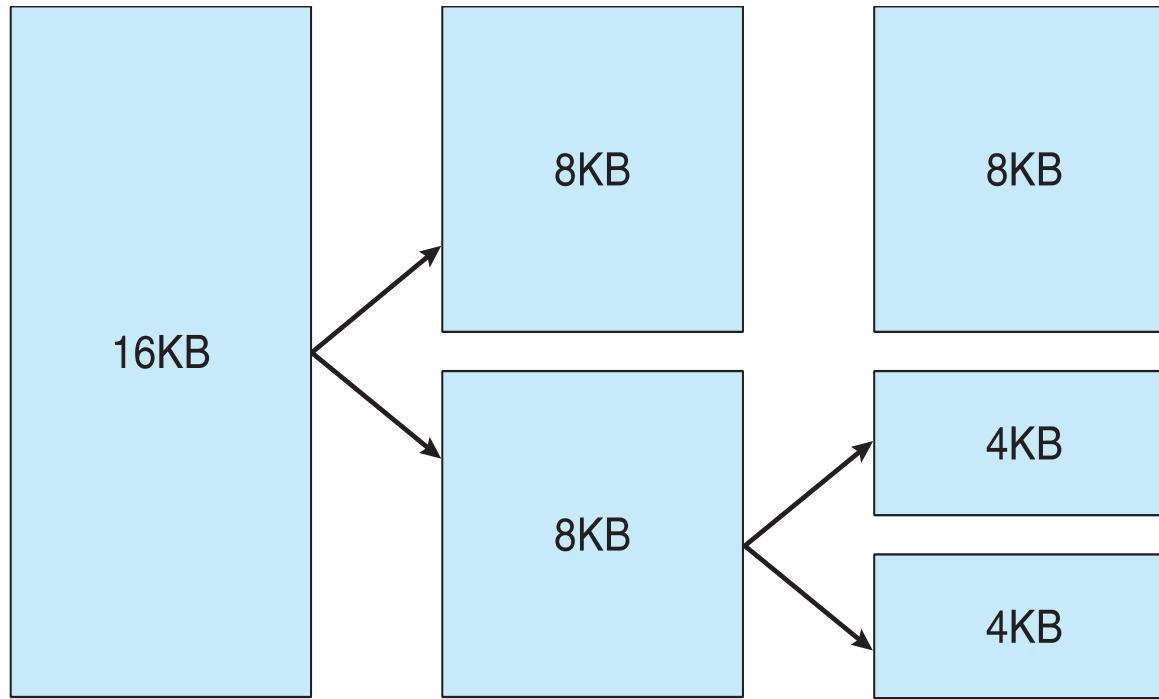
---

- Memory allocations in the Linux kernel occur either statically (drivers reserve a contiguous area of memory during system boot time) or dynamically (via the page allocator)
- Also uses **slab allocator** for kernel memory
- **Page cache** and virtual memory system also manage physical memory
  - Page cache is kernel's main cache for files and main mechanism for I/O to block devices
  - Page cache stores entire pages of file contents for local and network file I/O



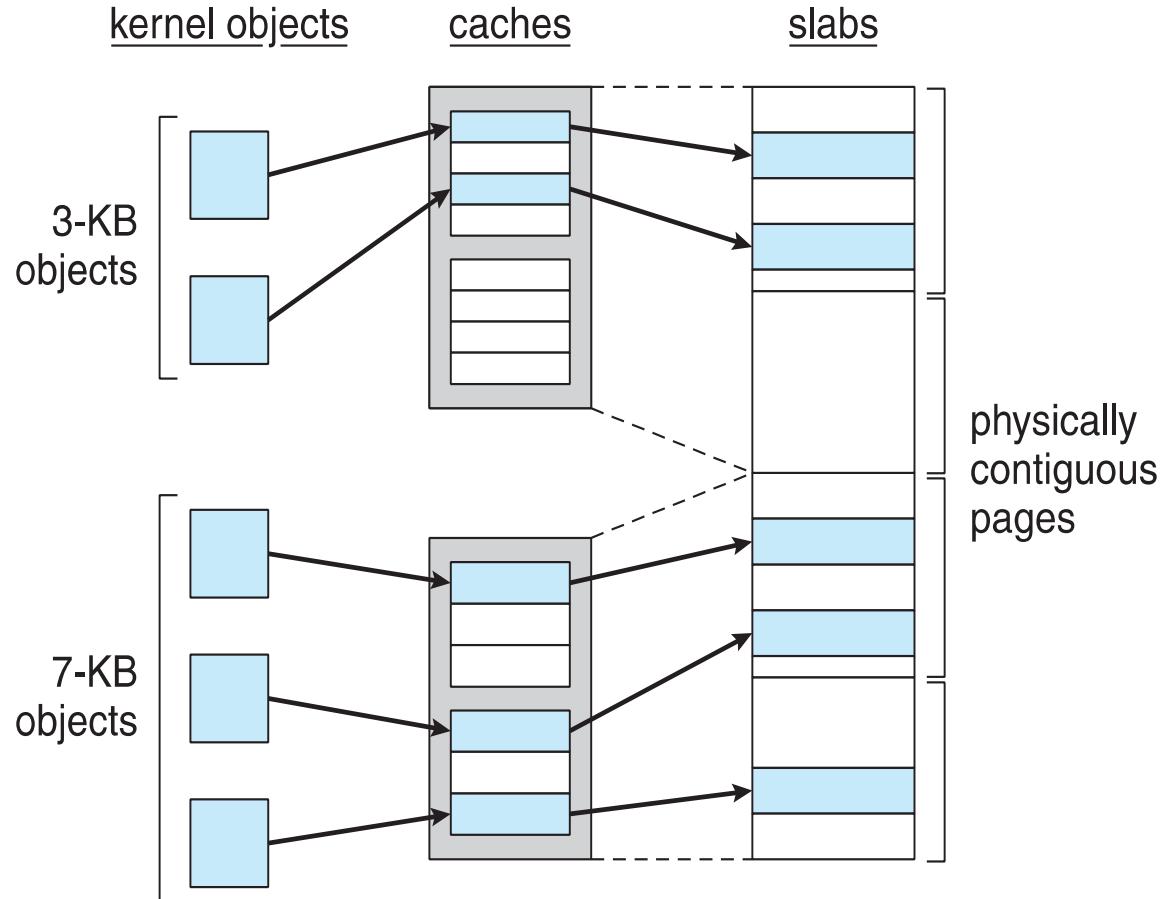


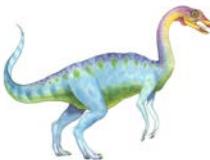
# Splitting of Memory in a Buddy Heap





# Slab Allocator in Linux



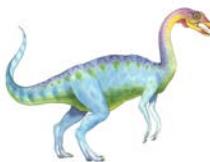


# Virtual Memory

---

- The VM system maintains the address space visible to each process: It creates pages of virtual memory on demand, and manages the loading of those pages from disk or their swapping back out to disk as required.
- The VM manager maintains two separate views of a process' s address space:
  - A logical view describing instructions concerning the layout of the address space
    - ▶ The address space consists of a set of non-overlapping regions, each representing a continuous, page-aligned subset of the address space
  - A physical view of each address space which is stored in the hardware page tables for the process

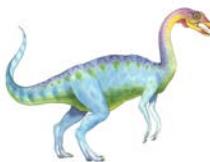




# Virtual Memory (Cont.)

- Virtual memory regions are characterized by:
  - The backing store, which describes from where the pages for a region come; regions are usually backed by a file or by nothing (**demand-zero memory**)
  - The region's reaction to writes (page sharing or copy-on-write)
- The kernel creates a new virtual address space
  1. When a process runs a new program with the `exec()` system call
  2. Upon creation of a new process by the `fork()` system call

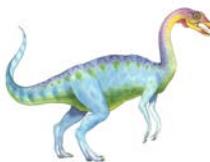




# Virtual Memory (Cont.)

- On executing a new program, the process is given a new, completely empty virtual-address space; the program-loading routines populate the address space with virtual-memory regions
- Creating a new process with `fork()` involves creating a complete copy of the existing process's virtual address space
  - The kernel copies the parent process's VMA descriptors, then creates a new set of page tables for the child
  - The parent's page tables are copied directly into the child's, with the reference count of each page covered being incremented
  - After the fork, the parent and child share the same physical pages of memory in their address spaces



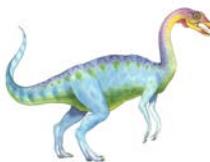


# Swapping and Paging

---

- The VM paging system relocates pages of memory from physical memory out to disk when the memory is needed for something else
- The VM paging system can be divided into two sections:
  - The **pageout-policy** algorithm decides which pages to write out to disk, and when
  - The **paging mechanism** actually carries out the transfer, and pages data back into physical memory as needed
  - Can page out to either swap device or normal files
  - Bitmap used to track used blocks in swap space kept in physical memory
  - Allocator uses next-fit algorithm to try to write contiguous runs

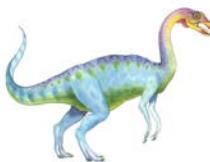




# Kernel Virtual Memory

- The Linux kernel reserves a constant, architecture-dependent region of the virtual address space of every process for its own internal use
- This kernel virtual-memory area contains two regions:
  - A static area that contains page table references to every available physical page of memory in the system, so that there is a simple translation from physical to virtual addresses when running kernel code
  - The remainder of the reserved section is not reserved for any specific purpose; its page-table entries can be modified to point to any other areas of memory

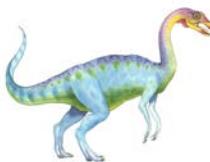




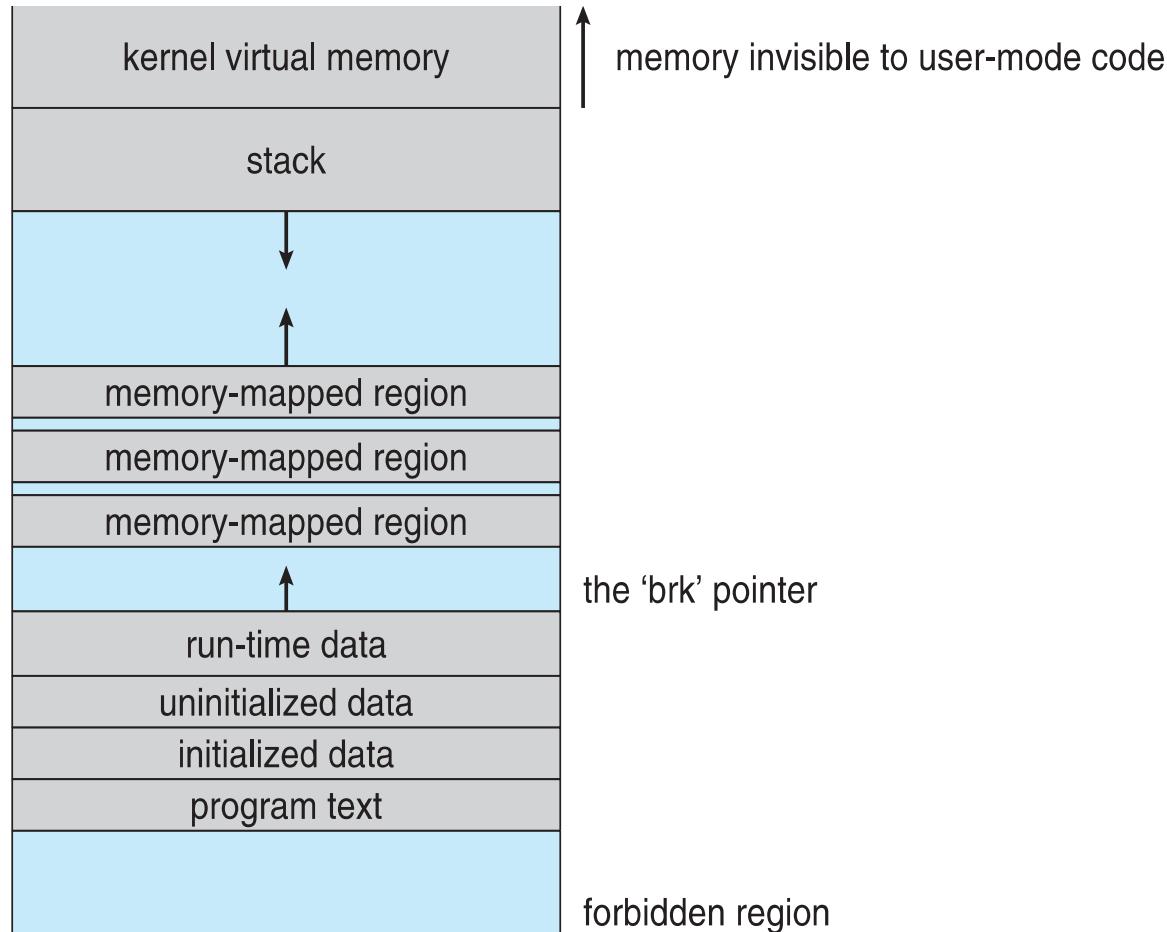
# Executing and Loading User Programs

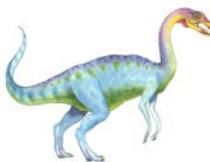
- Linux maintains a table of functions for loading programs; it gives each function the opportunity to try loading the given file when an exec system call is made
- The registration of multiple loader routines allows Linux to support both the **ELF** and **a.out** binary formats
- Initially, binary-file pages are mapped into virtual memory
  - Only when a program tries to access a given page will a page fault result in that page being loaded into physical memory
- An ELF-format binary file consists of a header followed by several page-aligned sections
  - The ELF loader works by reading the header and mapping the sections of the file into separate regions of virtual memory





# Memory Layout for ELF Programs

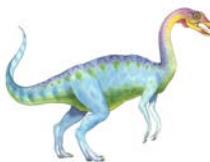




# Static and Dynamic Linking

- A program whose necessary library functions are embedded directly in the program's executable binary file is ***statically*** linked to its libraries
- The main disadvantage of static linkage is that every program generated must contain copies of exactly the same common system library functions
- *Dynamic* linking is more efficient in terms of both physical memory and disk-space usage because it loads the system libraries into memory only once

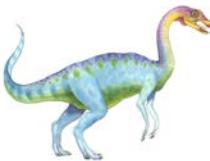




# Static and Dynamic Linking (Cont.)

- Linux implements dynamic linking in user mode through special linker library
  - Every dynamically linked program contains small statically linked function called when process starts
  - Maps the link library into memory
  - Link library determines dynamic libraries required by process and names of variables and functions needed
  - Maps libraries into middle of virtual memory and resolves references to symbols contained in the libraries
  - Shared libraries compiled to be **position-independent code (PIC)** so can be loaded anywhere

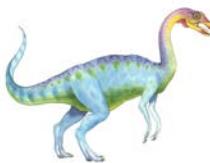




# File Systems

- To the user, Linux's file system appears as a hierarchical directory tree obeying UNIX semantics
- Internally, the kernel hides implementation details and manages the multiple different file systems via an abstraction layer, that is, the virtual file system (VFS)
- The Linux VFS is designed around object-oriented principles and is composed of four components:
  - A set of definitions that define what a file object is allowed to look like
    - ▶ The **inode object** structure represents an individual file
    - ▶ The **file object** represents an open file
    - ▶ The **superblock object** represents an entire file system
    - ▶ A **dentry object** represents an individual directory entry

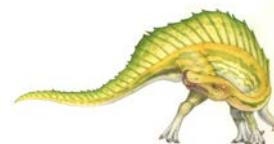


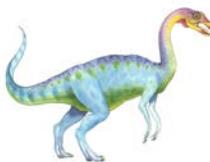


# File Systems (Cont.)

---

- To the user, Linux's file system appears as a hierarchical directory tree obeying UNIX semantics
- Internally, the kernel hides implementation details and manages the multiple different file systems via an abstraction layer, that is, the virtual file system (VFS)
- The Linux VFS is designed around object-oriented principles and layer of software to manipulate those objects with a set of operations on the objects
  - For example for the file object operations include (from struct file\_operations in /usr/include/linux/fs.h)
    - int open(... — Open a file
    - ssize\_t read(... — Read from a file
    - ssize\_t write(... — Write to a file
    - int mmap(... — Memory-map a file



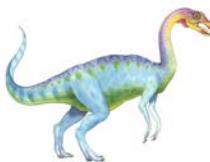


# The Linux ext3 File System

---

- **ext3** is standard on disk file system for Linux
  - Uses a mechanism similar to that of BSD Fast File System (FFS) for locating data blocks belonging to a specific file
  - Supersedes older **extfs**, **ext2** file systems
  - Work underway on ext4 adding features like extents
  - Of course, many other file system choices with Linux distros

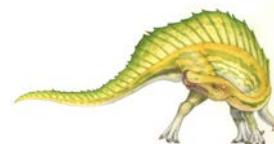




# The Linux ext3 File System (Cont.)

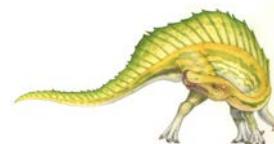
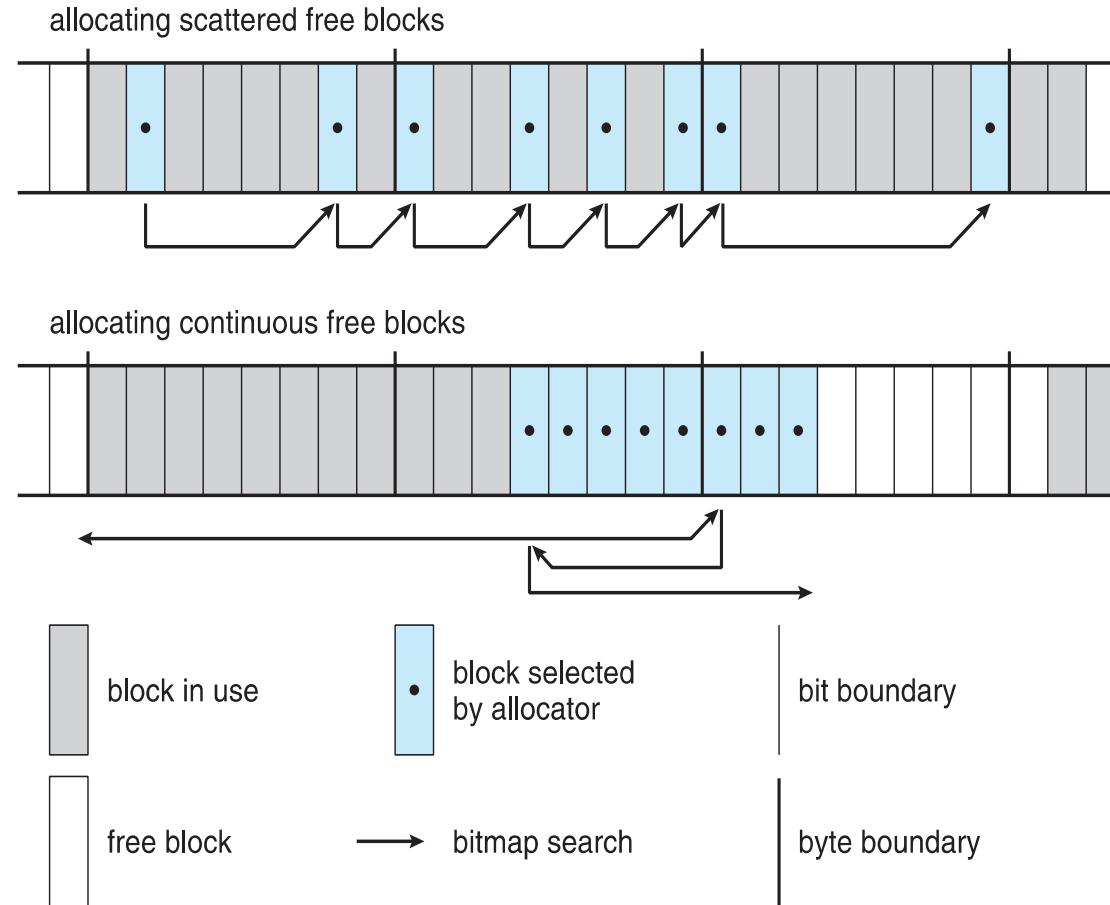
---

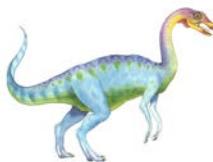
- The main differences between ext2fs and FFS concern their disk allocation policies
  - In ffs, the disk is allocated to files in blocks of 8Kb, with blocks being subdivided into fragments of 1Kb to store small files or partially filled blocks at the end of a file
  - ext3 does not use fragments; it performs its allocations in smaller units
    - ▶ The default block size on ext3 varies as a function of total size of file system with support for 1, 2, 4 and 8 KB blocks
  - ext3 uses cluster allocation policies designed to place logically adjacent blocks of a file into physically adjacent blocks on disk, so that it can submit an I/O request for several disk blocks as a single operation on a **block group**
  - Maintains bit map of free blocks in a block group, searches for free byte to allocate at least 8 blocks at a time





# Ext2fs Block-Allocation Policies



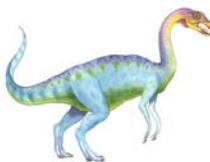


# Journaling

---

- ext3 implements **journaling**, with file system updates first written to a log file in the form of **transactions**
  - Once in log file, considered committed
  - Over time, log file transactions replayed over file system to put changes in place
- On system crash, some transactions might be in journal but not yet placed into file system
  - Must be completed once system recovers
  - No other consistency checking is needed after a crash (much faster than older methods)
- Improves write performance on hard disks by turning random I/O into sequential I/O

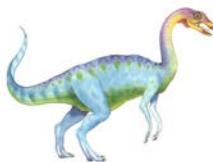




# The Linux Proc File System

- The **proc file system** does not store data, rather, its contents are computed on demand according to user file I/O requests
- **proc** must implement a directory structure, and the file contents within; it must then define a unique and persistent inode number for each directory and files it contains
  - It uses this inode number to identify just what operation is required when a user tries to read from a particular file inode or perform a lookup in a particular directory inode
  - When data is read from one of these files, **proc** collects the appropriate information, formats it into text form and places it into the requesting process's read buffer

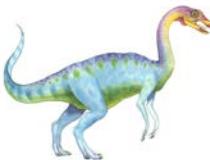




# Input and Output

- The Linux device-oriented file system accesses disk storage through two caches:
  - Data is cached in the page cache, which is unified with the virtual memory system
  - Metadata is cached in the buffer cache, a separate cache indexed by the physical disk block
- Linux splits all devices into three classes:
  - **block devices** allow random access to completely independent, fixed size blocks of data
  - **character devices** include most other devices; they don't need to support the functionality of regular files
  - **network devices** are interfaced via the kernel's networking subsystem





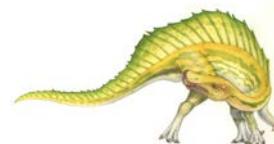
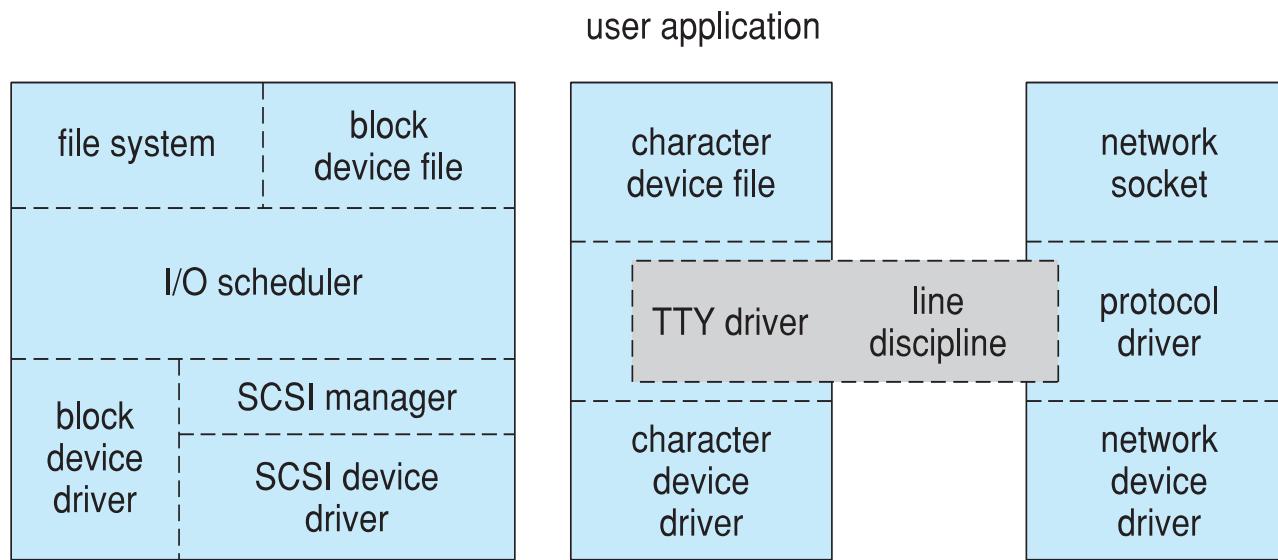
# Block Devices

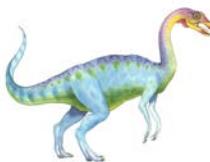
- Provide the main interface to all disk devices in a system
- The block buffer cache serves two main purposes:
  - it acts as a pool of buffers for active I/O
  - it serves as a cache for completed I/O
- The **request manager** manages the reading and writing of buffer contents to and from a block device driver
- Kernel 2.6 introduced **Completely Fair Queueing (CFQ)**
  - Now the default scheduler
  - Fundamentally different from elevator algorithms
  - Maintains set of lists, one for each process by default
  - Uses C-SCAN algorithm, with round robin between all outstanding I/O from all processes
  - Four blocks from each process put on at once





# Device-Driver Block Structure



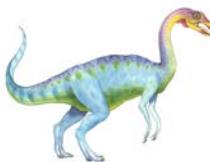


# Character Devices

---

- A device driver which does not offer random access to fixed blocks of data
- A character device driver must register a set of functions which implement the driver's various file I/O operations
- The kernel performs almost no preprocessing of a file read or write request to a character device, but simply passes on the request to the device
- The main exception to this rule is the special subset of character device drivers which implement terminal devices, for which the kernel maintains a standard interface

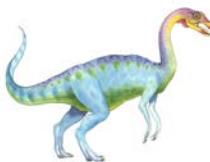




# Character Devices (Cont.)

- **Line discipline** is an interpreter for the information from the terminal device
  - The most common line discipline is tty discipline, which glues the terminal's data stream onto standard input and output streams of user's running processes, allowing processes to communicate directly with the user's terminal
  - Several processes may be running simultaneously, tty line discipline responsible for attaching and detaching terminal's input and output from various processes connected to it as processes are suspended or awakened by user
  - Other line disciplines also are implemented have nothing to do with I/O to user process – i.e. PPP and SLIP networking protocols

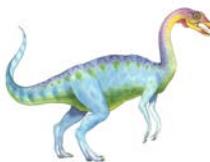




# Interprocess Communication

- Like UNIX, Linux informs processes that an event has occurred via **signals**
- There is a limited number of signals, and they cannot carry information: Only the fact that a signal occurred is available to a process
- The Linux kernel does not use signals to communicate with processes that are running in kernel mode, rather, communication within the kernel is accomplished via scheduling states and **wait\_queue** structures
- Also implements System V Unix semaphores
  - Process can wait for a signal or a semaphore
  - Semaphores scale better
  - Operations on multiple semaphores can be atomic

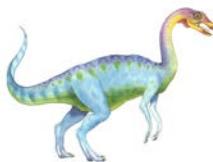




# Passing Data Between Processes

- The **pipe** mechanism allows a child process to inherit a communication channel to its parent, data written to one end of the pipe can be read at the other
- Shared memory offers an extremely fast way of communicating; any data written by one process to a shared memory region can be read immediately by any other process that has mapped that region into its address space
- To obtain synchronization, however, shared memory must be used in conjunction with another Interprocess-communication mechanism

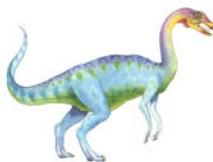




# Network Structure

- Networking is a key area of functionality for Linux
  - It supports the standard Internet protocols for UNIX to UNIX communications
  - It also implements protocols native to non-UNIX operating systems, in particular, protocols used on PC networks, such as Appletalk and IPX
- Internally, networking in the Linux kernel is implemented by three layers of software:
  - The socket interface
  - Protocol drivers
  - Network device drivers
- Most important set of protocols in the Linux networking system is the internet protocol suite
  - It implements routing between different hosts anywhere on the network
  - On top of the routing protocol are built the UDP, TCP and ICMP protocols
- Packets also pass to **firewall management** for filtering based on **firewall chains** of rules



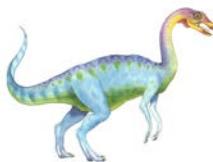


# Security

---

- The **pluggable authentication modules (PAM)** system is available under Linux
- PAM is based on a shared library that can be used by any system component that needs to authenticate users
- Access control under UNIX systems, including Linux, is performed through the use of unique numeric identifiers (**uid** and **gid**)
- Access control is performed by assigning objects a *protections mask*, which specifies which access modes—read, write, or execute—are to be granted to processes with owner, group, or world access

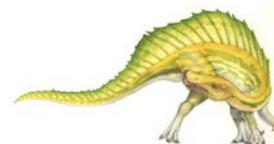




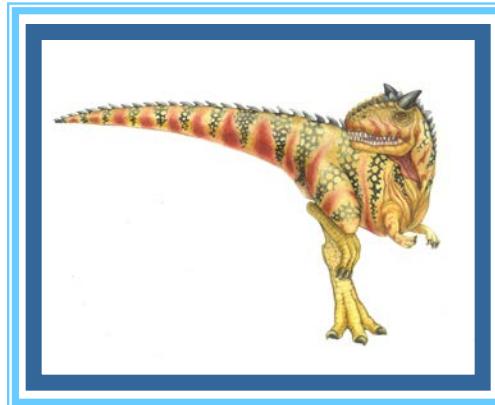
# Security (Cont.)

---

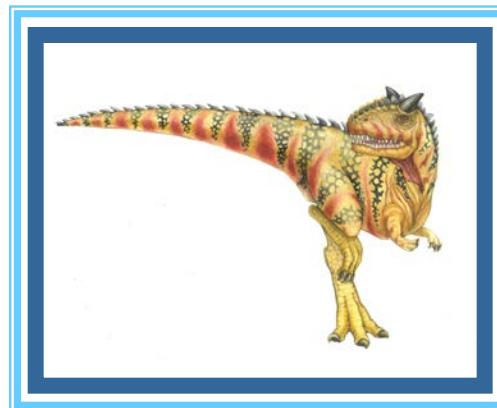
- Linux augments the standard UNIX **setuid** mechanism in two ways:
  - It implements the POSIX specification's saved **user-id** mechanism, which allows a process to repeatedly drop and reacquire its effective uid
  - It has added a process characteristic that grants just a subset of the rights of the effective uid
- Linux provides another mechanism that allows a client to selectively pass access to a single file to some server process without granting it any other privileges

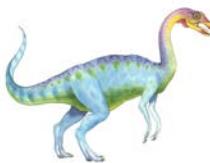


# End of Chapter 18



# Chapter 19: Windows 7

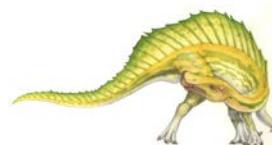


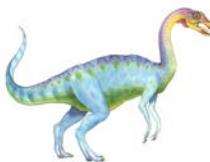


# Chapter 19: Windows 7

---

- History
- Design Principles
- System Components
- Environmental Subsystems
- File system
- Networking
- Programmer Interface



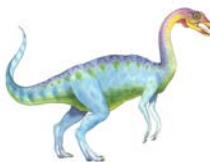


# Objectives

---

- To explore the principles upon which Windows 7 is designed and the specific components involved in the system
- To understand how Windows 7 can run programs designed for other operating systems
- To provide a detailed explanation of the Windows 7 file system
- To illustrate the networking protocols supported in Windows 7
- To cover the interface available to system and application programmers



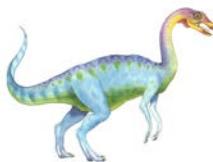


# Windows 7

---

- 32-bit preemptive multitasking operating system for Intel microprocessors
- Key goals for the system:
  - portability
  - security
  - POSIX compliance
  - multiprocessor support
  - extensibility
  - international support
  - compatibility with MS-DOS and MS-Windows applications.
- Uses a micro-kernel architecture
- Available in six client versions, Starter, Home Basic, Home Premium, Professional, Enterprise and Ultimate. With the exception of Starter edition (32-bit only) all are available in both 32-bit and 64-bit.
- Available in three server versions (all 64-bit only), Standard, Enterprise and Datacenter



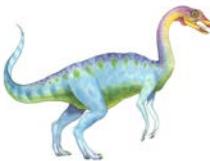


# History

---

- In 1988, Microsoft decided to develop a “new technology” (NT) portable operating system that supported both the OS/2 and POSIX APIs
- Originally, NT was supposed to use the OS/2 API as its native environment but during development NT was changed to use the Win32 API, reflecting the popularity of Windows 3.0.

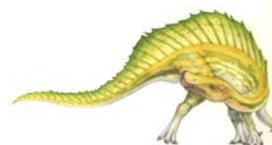


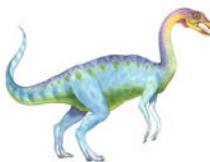


# Design Principles

---

- Extensibility — layered architecture
  - Executive, which runs in protected mode, provides the basic system services
  - On top of the executive, several server subsystems operate in user mode
  - Modular structure allows additional environmental subsystems to be added without affecting the executive
- Portability — Windows 7 can be moved from one hardware architecture to another with relatively few changes
  - Written in C and C++
  - Processor-specific portions are written in assembly language for a given processor architecture (small amount of such code).
  - Platform-dependent code is isolated in a dynamic link library (DLL) called the “hardware abstraction layer” (HAL)

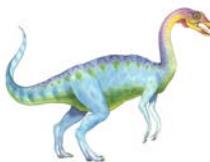




# Design Principles (Cont.)

- Reliability — Windows 7 uses hardware protection for virtual memory, and software protection mechanisms for operating system resources
- Compatibility — applications that follow the IEEE 1003.1 (POSIX) standard can be complied to run on 7 without changing the source code
- Performance — Windows 7 subsystems can communicate with one another via high-performance message passing
  - Preemption of low priority threads enables the system to respond quickly to external events
  - Designed for symmetrical multiprocessing
- International support — supports different locales via the national language support (NLS) API





# Windows 7 Architecture

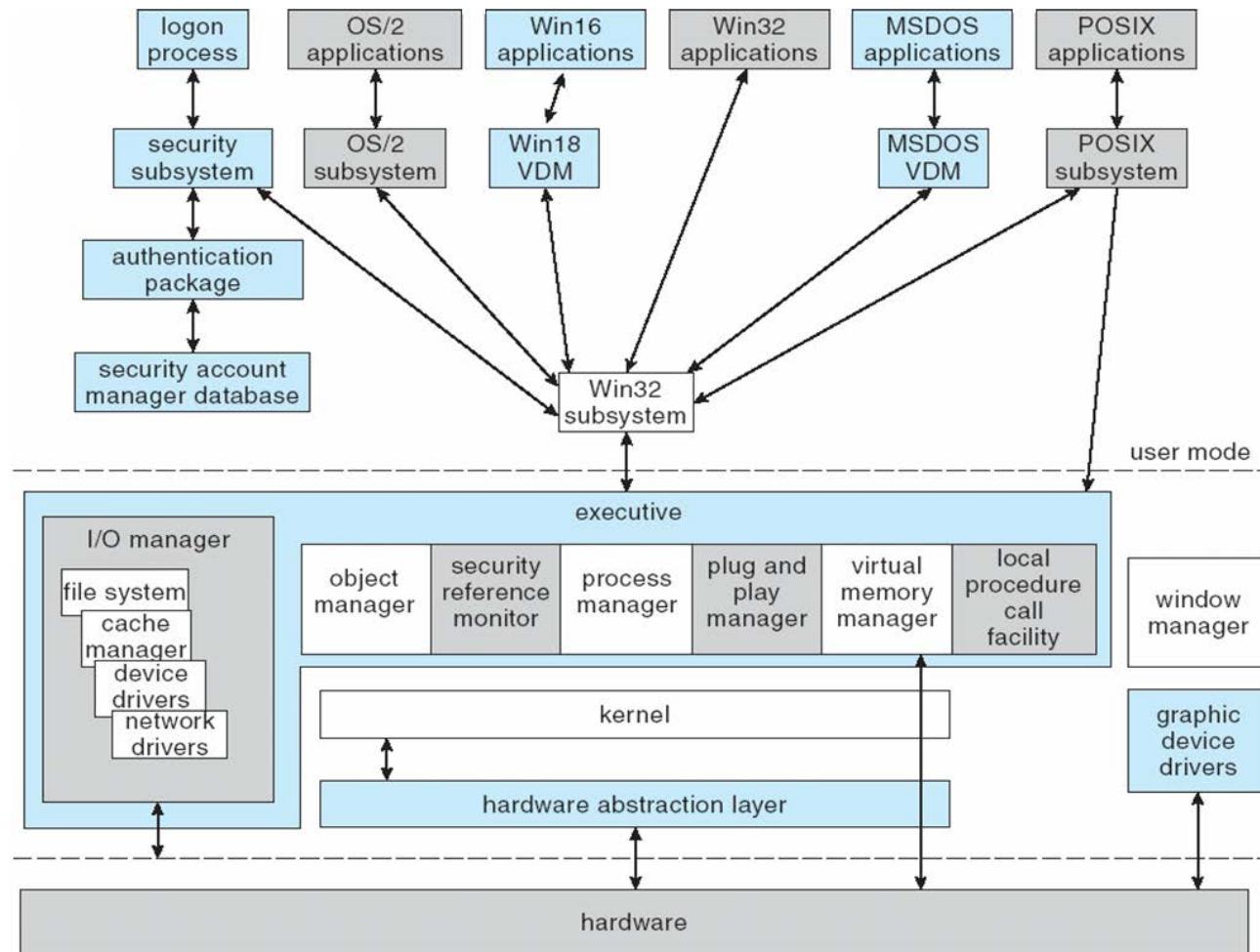
---

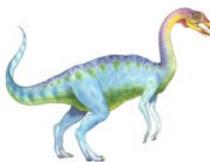
- Layered system of modules
- Protected mode — **hardware abstraction layer (HAL)**, kernel, executive
- User mode — collection of subsystems
  - Environmental subsystems emulate different operating systems
  - Protection subsystems provide security functions





# Depiction of 7 Architecture



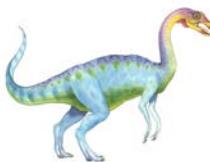


# System Components — Kernel

---

- Foundation for the executive and the subsystems
- Never paged out of memory; execution is never preempted
- Four main responsibilities:
  - thread scheduling
  - interrupt and exception handling
  - low-level processor synchronization
  - recovery after a power failure
- Kernel is object-oriented, uses two sets of objects
  - *dispatcher objects* control dispatching and synchronization (events, mutants, mutexes, semaphores, threads and timers)
  - *control objects* (asynchronous procedure calls, interrupts, power notify, power status, process and profile objects)



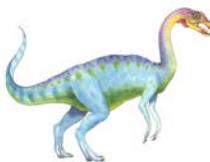


# Kernel — Process and Threads

---

- The process has a virtual memory address space, information (such as a base priority), and an affinity for one or more processors.
- Threads are the unit of execution scheduled by the kernel's dispatcher.
- Each thread has its own state, including a priority, processor affinity, and accounting information.
- A thread can be one of six states: *ready, standby, running, waiting, transition, and terminated*.

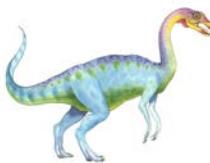




# Kernel — Scheduling

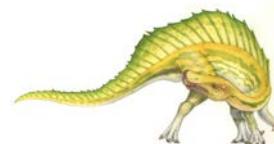
- The dispatcher uses a 32-level priority scheme to determine the order of thread execution.
  - Priorities are divided into two classes
    - ▶ The real-time class contains threads with priorities ranging from 16 to 31
    - ▶ The variable class contains threads having priorities from 0 to 15
- Characteristics of Windows 7's priority strategy
  - Trends to give very good response times to interactive threads that are using the mouse and windows
  - Enables I/O-bound threads to keep the I/O devices busy
  - Complete-bound threads soak up the spare CPU cycles in the background





# Kernel — Scheduling (Cont.)

- Scheduling can occur when a thread enters the ready or wait state, when a thread terminates, or when an application changes a thread's priority or processor affinity
- Real-time threads are given preferential access to the CPU; but it does not guarantee that a real-time thread will start to execute within any particular time limit .
  - This is known as *soft realtime*.

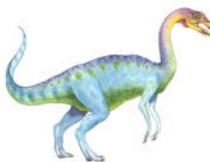




# Windows 7 Interrupt Request Levels

| interrupt levels | types of interrupts                                                                                        |
|------------------|------------------------------------------------------------------------------------------------------------|
| 31               | machine check or bus error                                                                                 |
| 30               | power fail                                                                                                 |
| 29               | interprocessor notification (request another processor to act; e.g., dispatch a process or update the TLB) |
| 28               | clock (used to keep track of time)                                                                         |
| 27               | profile                                                                                                    |
| 3–26             | traditional PC IRQ hardware interrupts                                                                     |
| 2                | dispatch and deferred procedure call (DPC) (kernel)                                                        |
| 1                | asynchronous procedure call (APC)                                                                          |
| 0                | passive                                                                                                    |



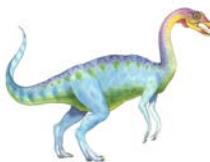


# Kernel — Trap Handling

---

- The kernel provides trap handling when exceptions and interrupts are generated by hardware or software.
- Exceptions that cannot be handled by the trap handler are handled by the kernel's **exception dispatcher**.
- The interrupt dispatcher in the kernel handles interrupts by calling either an interrupt service routine (such as in a device driver) or an internal kernel routine.
- The kernel uses spin locks that reside in global memory to achieve multiprocessor mutual exclusion.

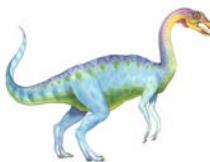




# Executive — Object Manager

- Windows 7 uses objects for all its services and entities; the object manager supervises the use of all the objects
  - Generates an object *handle*
  - Checks security
  - Keeps track of which processes are using each object
- Objects are manipulated by a standard set of methods, namely create, open, close, delete, query name, parse and security.

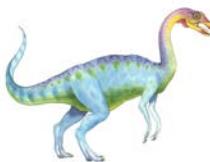




# Executive — Naming Objects

- The Windows 7 executive allows almost any object to be given a name, which may be either permanent or temporary. Exceptions are process, thread and some others object types.
- Object names are structured like file path names in MS-DOS and UNIX.
- Windows 7 implements a *symbolic link object*, which is similar to *symbolic links* in UNIX that allow multiple nicknames or aliases to refer to the same file.
- A process gets an object handle by creating an object by opening an existing one, by receiving a duplicated handle from another process, or by inheriting a handle from a parent process.
- Each object is protected by an access control list.





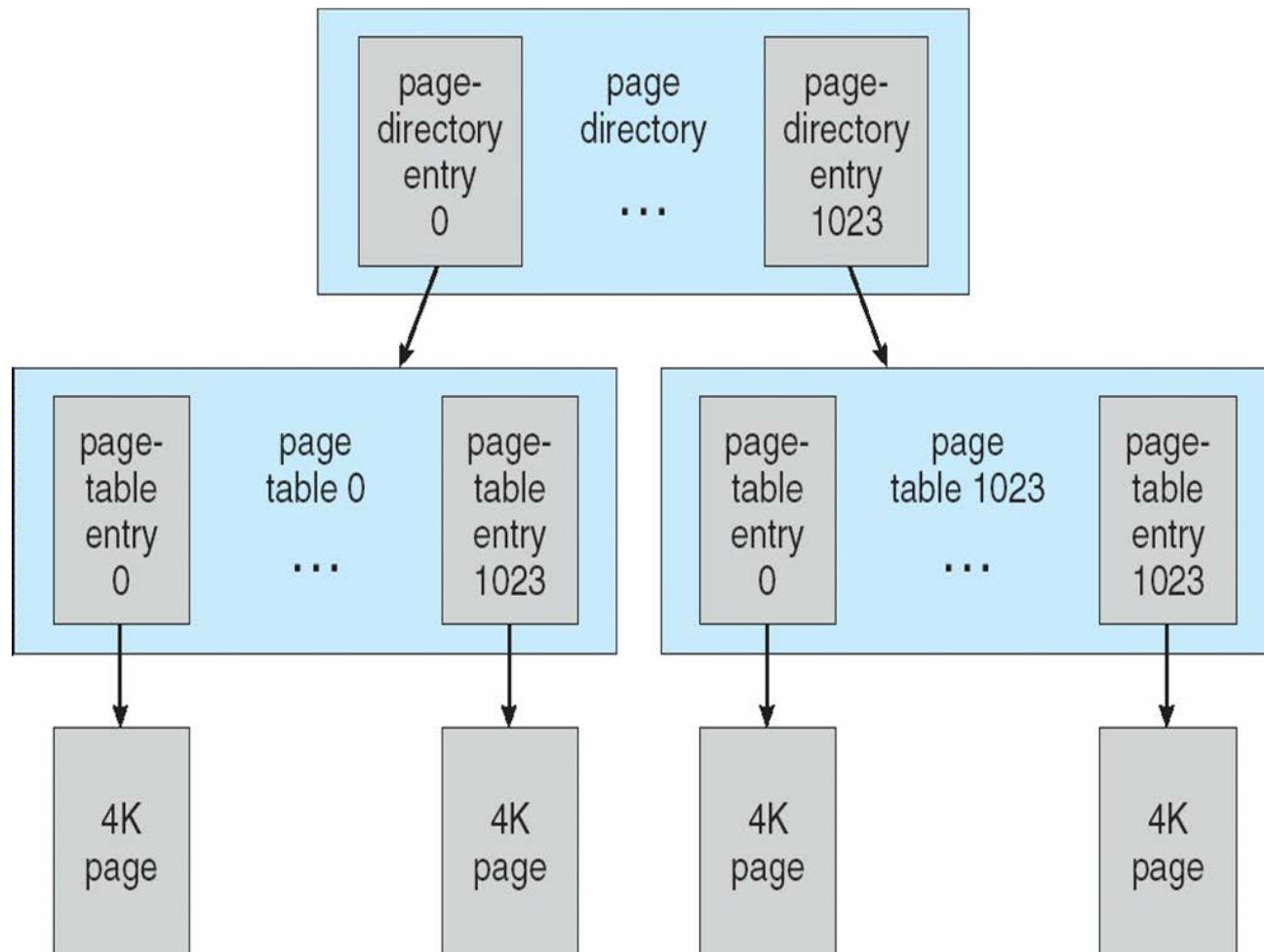
# Executive — Virtual Memory Manager

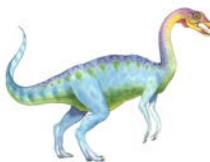
- The design of the VM manager assumes that the underlying hardware supports virtual to physical mapping a paging mechanism, transparent cache coherence on multiprocessor systems, and virtual addressing aliasing.
- The VM manager in Windows 7 uses a page-based management scheme with a page size of 4 KB.
- The Windows 7 VM manager uses a two step process to allocate memory
  - The first step reserves a portion of the process's address space
  - The second step commits the allocation by assigning space in the system's paging file(s)





# Virtual-Memory Layout

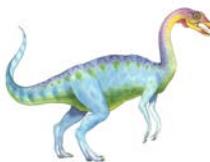




# Virtual Memory Manager (Cont.)

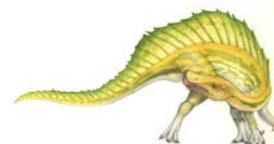
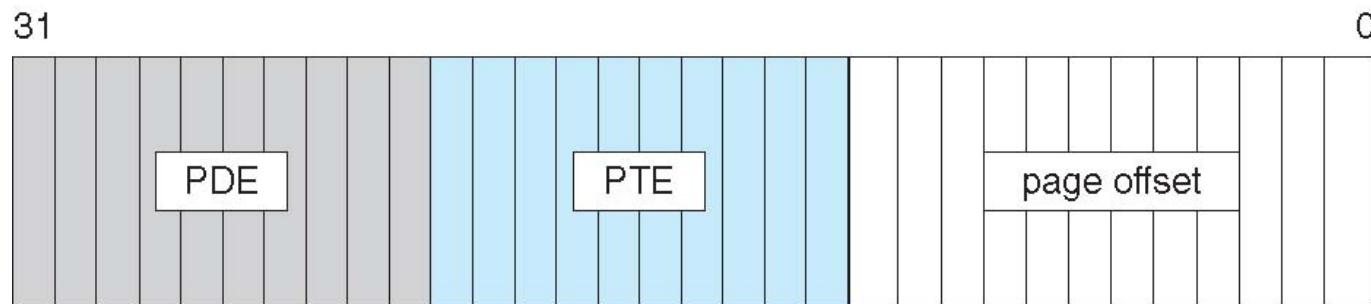
- The virtual address translation in Windows 7 uses several data structures
  - Each process has a *page directory* that contains 1024 *page directory entries* of size 4 bytes.
  - Each page directory entry points to a *page table* which contains 1024 *page table entries* (PTEs) of size 4 bytes.
  - Each PTE points to a 4 KB *page frame* in physical memory.
- A 10-bit integer can represent all the values from 0 to 1023, therefore, can select any entry in the page directory, or in a page table.
- This property is used when translating a virtual address pointer to a byte address in physical memory.
- A page can be in one of six states: valid, zeroed, free standby, modified and bad.

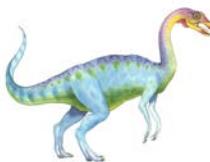




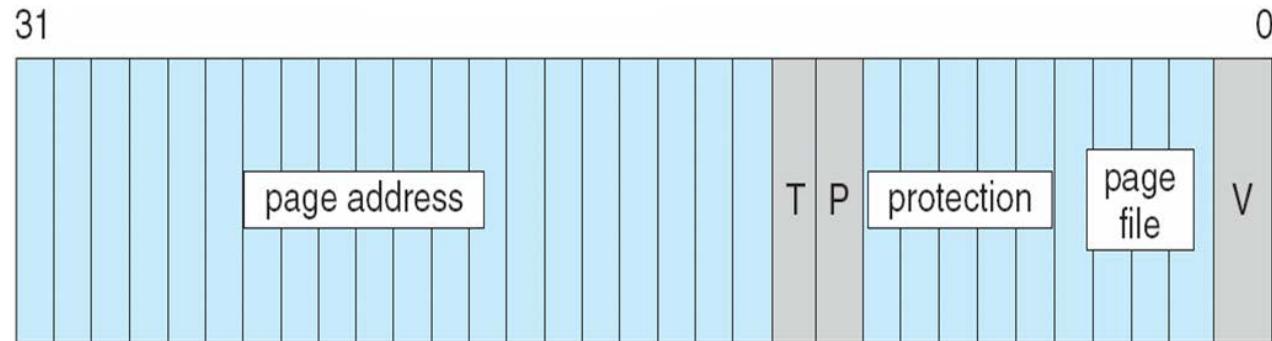
# Virtual-to-Physical Address Translation

- 10 bits for page directory entry, 20 bits for page table entry, and 12 bits for byte offset in page

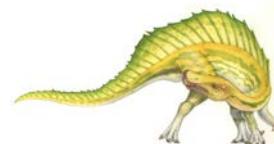


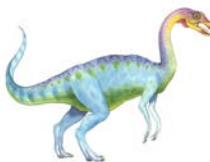


# Page File Page-Table Entry



5 bits for page protection, 20 bits for page frame address, 4 bits to select a paging file, and 3 bits that describe the page state.  $V = 0$

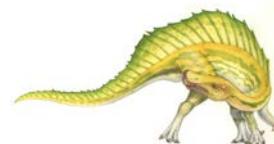


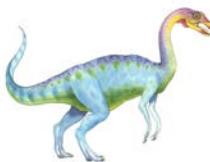


# Executive — Process Manager

---

- Provides services for creating, deleting, and using threads and processes
- Issues such as parent/child relationships or process hierarchies are left to the particular environmental subsystem that owns the process.



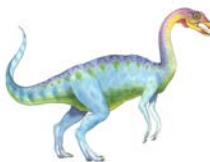


# Executive — Local Procedure Call Facility

---

- The LPC passes requests and results between client and server processes within a single machine.
- In particular, it is used to request services from the various Windows 7 subsystems.
- When a LPC channel is created, one of three types of message passing techniques must be specified.
  - First type is suitable for small messages, up to 256 bytes; port's message queue is used as intermediate storage, and the messages are copied from one process to the other.
  - Second type avoids copying large messages by pointing to a shared memory section object created for the channel.
  - Third method, called *quick* LPC was used by graphical display portions of the Win32 subsystem.



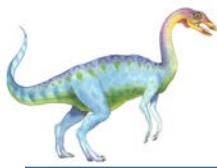


# Executive — I/O Manager

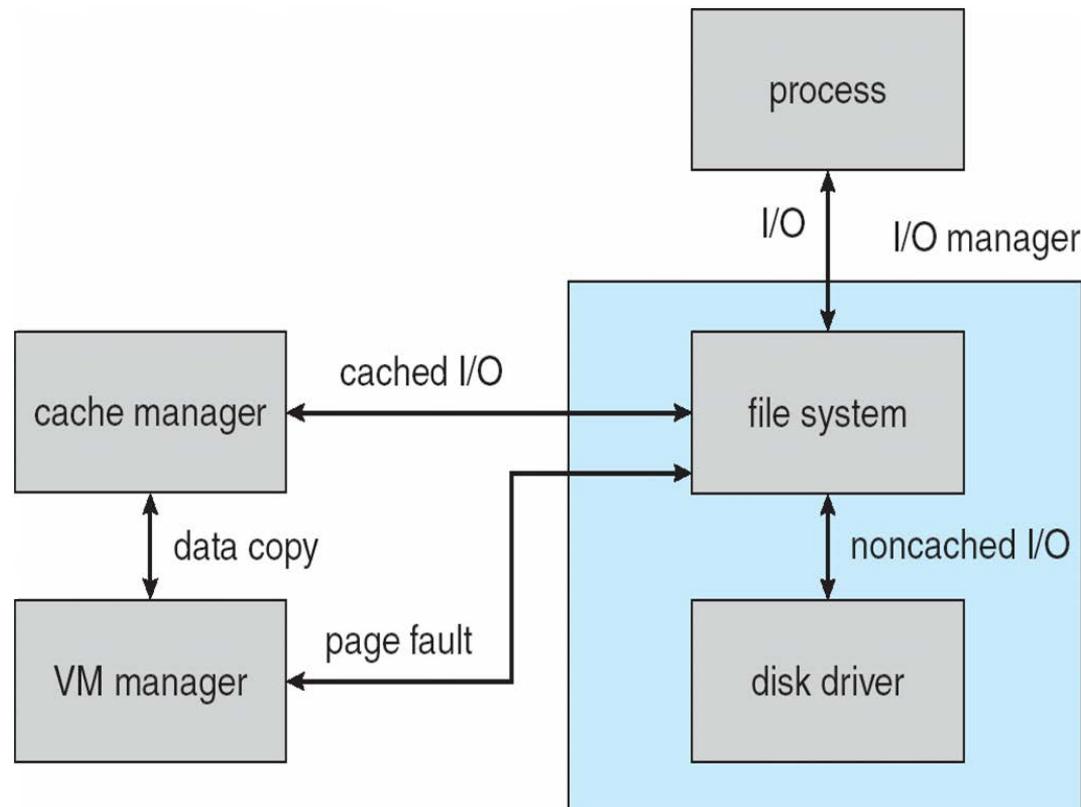
---

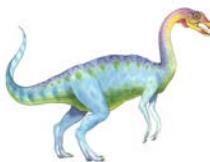
- The I/O manager is responsible for
  - file systems
  - cache management
  - device drivers
  - network drivers
- Keeps track of which installable file systems are loaded, and manages buffers for I/O requests
- Works with VM Manager to provide memory-mapped file I/O
- Controls the Windows 7 cache manager, which handles caching for the entire I/O system
- Supports both synchronous and asynchronous operations, provides time outs for drivers, and has mechanisms for one driver to call another





# File I/O

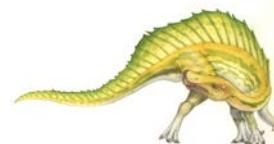




# Executive — Security Reference Monitor

---

- The object-oriented nature of Windows 7 enables the use of a uniform mechanism to perform runtime access validation and audit checks for every entity in the system.
- Whenever a process opens a handle to an object, the security reference monitor checks the process's security token and the object's access control list to see whether the process has the necessary rights.



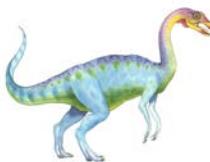


# Executive – Plug-and-Play Manager

---

- Plug-and-Play (PnP) manager is used to recognize and adapt to changes in the hardware configuration.
- When new devices are added (for example, PCI or USB), the PnP manager loads the appropriate driver.
- The manager also keeps track of the resources used by each device.

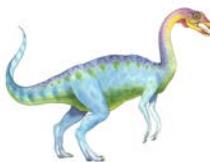




# Environmental Subsystems

- User-mode processes layered over the native Windows 7 executive services to enable 7 to run programs developed for other operating system.
- Windows 7 uses the Win32 subsystem as the main operating environment; Win32 is used to start all processes.
  - It also provides all the keyboard, mouse and graphical display capabilities.
- MS-DOS environment is provided by a Win32 application called the *virtual dos machine* (VDM), a user-mode process that is paged and dispatched like any other Windows 7 thread.

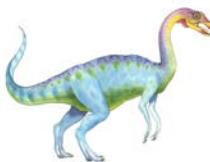




# Environmental Subsystems (Cont.)

- 16-Bit Windows Environment:
  - Provided by a VDM that incorporates *Windows on Windows*
  - Provides the Windows 3.1 kernel routines and sub routines for window manager and GDI functions
- The POSIX subsystem is designed to run POSIX applications following the POSIX.1 standard which is based on the UNIX model.





# Environmental Subsystems (Cont.)

- OS/2 subsystems runs OS/2 applications
- Logon and Security Subsystems authenticates users logging on to Windows 7 systems
  - Users are required to have account names and passwords.
  - The authentication package authenticates users whenever they attempt to access an object in the system.
  - Windows 7 uses Kerberos as the default authentication package

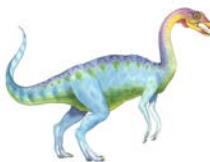




# File System

- The fundamental structure of the Windows 7 file system (NTFS) is a *volume*
  - Created by the Windows 7 disk administrator utility
  - Based on a logical disk partition
  - May occupy portions of a disk, an entire disk, or span across several disks
- All *metadata*, such as information about the volume, is stored in a regular file
- NTFS uses *clusters* as the underlying unit of disk allocation
  - A cluster is a number of disk sectors that is a power of two
  - Because the cluster size is smaller than for the 16-bit FAT file system, the amount of internal fragmentation is reduced



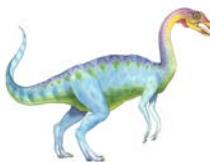


# File System — Internal Layout

---

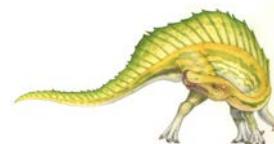
- NTFS uses logical cluster numbers (LCNs) as disk addresses
- A file in NTFS is not a simple byte stream, as in MS-DOS or UNIX, rather, it is a structured object consisting of attributes
- Every file in NTFS is described by one or more records in an array stored in a special file called the Master File Table (MFT)
- Each file on an NTFS volume has a unique ID called a file reference.
  - 64-bit quantity that consists of a 48-bit file number and a 16-bit sequence number
  - Can be used to perform internal consistency checks
- The NTFS name space is organized by a hierarchy of directories; the index root contains the top level of the B+ tree

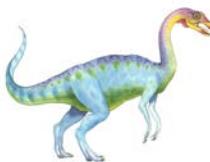




# File System — Recovery

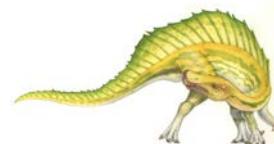
- All file system data structure updates are performed inside transactions that are logged.
  - Before a data structure is altered, the transaction writes a log record that contains redo and undo information.
  - After the data structure has been changed, a commit record is written to the log to signify that the transaction succeeded.
  - After a crash, the file system data structures can be restored to a consistent state by processing the log records.

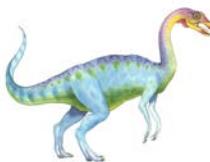




# File System — Recovery (Cont.)

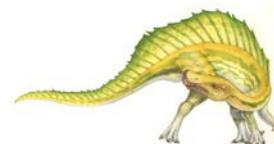
- This scheme does not guarantee that all the user file data can be recovered after a crash, just that the file system data structures (the metadata files) are undamaged and reflect some consistent state prior to the crash.
- The log is stored in the third metadata file at the beginning of the volume.
- The logging functionality is provided by the Windows 7 *log file service*.

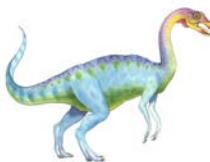




# File System — Security

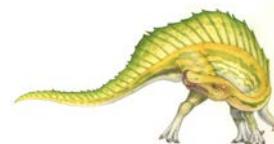
- Security of an NTFS volume is derived from the Windows 7 object model.
- Each file object has a security descriptor attribute stored in this MFT record.
- This attribute contains the access token of the owner of the file, and an access control list that states the access privileges that are granted to each user that has access to the file.

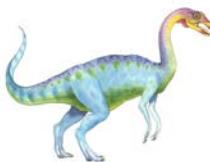




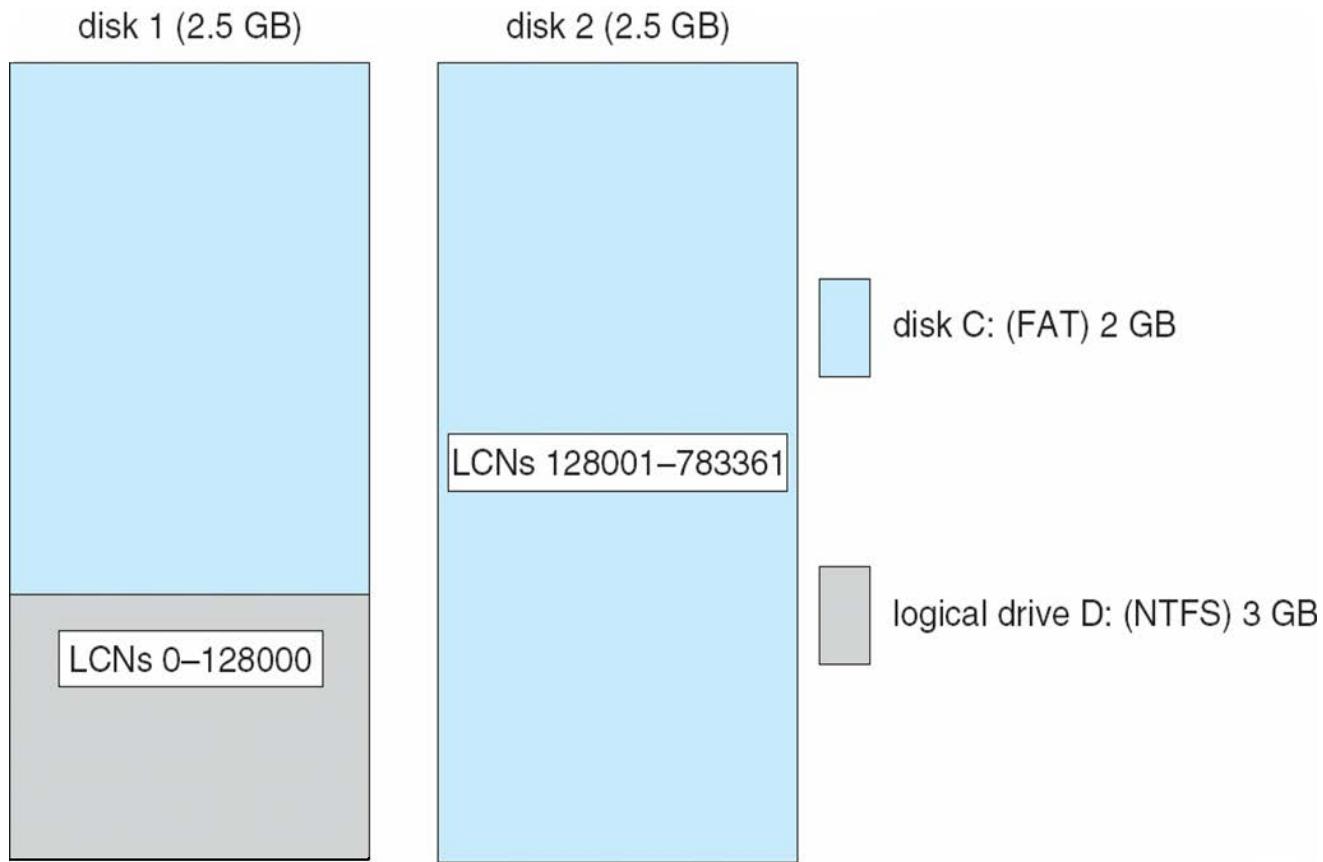
# Volume Management and Fault Tolerance

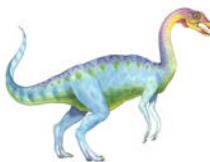
- FtDisk, the fault tolerant disk driver for Windows 7, provides several ways to combine multiple SCSI disk drives into one logical volume
- Logically concatenate multiple disks to form a large logical volume, a *volume set*
- Interleave multiple physical partitions in round-robin fashion to form a *stripe set* (also called RAID level 0, or “disk striping”)
  - Variation: *stripe set with parity*, or RAID level 5
- Disk mirroring, or RAID level 1, is a robust scheme that uses a *mirror set* — two equally sized partitions on tow disks with identical data contents
- To deal with disk sectors that go bad, FtDisk, uses a hardware technique called *sector sparing* and NTFS uses a software technique called *cluster remapping*





# Volume Set On Two Drives





# Stripe Set on Two Drives

disk 1 (2 GB)

|            |
|------------|
| LCNs 0–15  |
| LCNs 32–47 |
| LCNs 64–79 |
| •          |
| •          |
| •          |

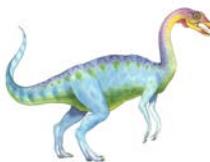
disk 2 (2 GB)

|            |
|------------|
| LCNs 16–31 |
| LCNs 48–63 |
| LCNs 80–95 |
| •          |
| •          |
| •          |



logical drive C: 4 GB





# Stripe Set With Parity on Three Drives

disk 1 (2 GB)

|              |
|--------------|
| parity 0–15  |
| LCNs 32–47   |
| LCNs 64–79   |
| parity 48–63 |
| •            |
| •            |
| •            |

disk 2 (2 GB)

|              |
|--------------|
| LCNs 0–15    |
| parity 16–31 |
| LCNs 80–95   |
| LCNs 96–111  |
| •            |
| •            |
| •            |

disk 3 (2 GB)

|              |
|--------------|
| LCNs 16–31   |
| LCNs 48–63   |
| parity 32–47 |
| LCNs 112–127 |
| •            |
| •            |
| •            |

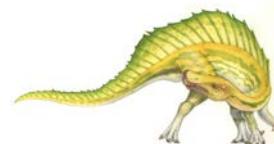
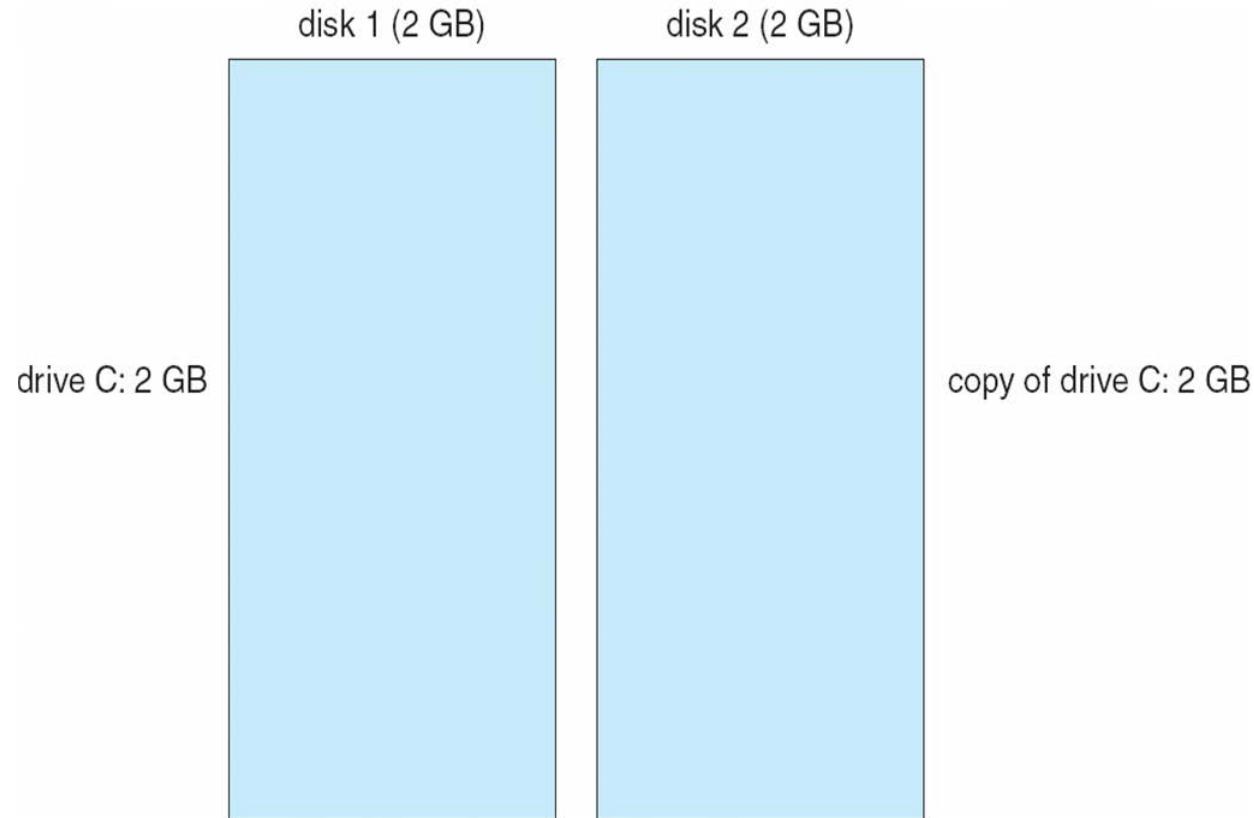


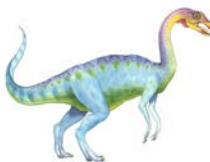
logical drive C: 4 GB





# Mirror Set on Two Drives

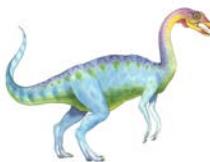




# File System — Compression

- To compress a file, NTFS divides the file's data into *compression units*, which are blocks of 16 contiguous clusters.
- For sparse files, NTFS uses another technique to save space.
  - Clusters that contain all zeros are not actually allocated or stored on disk.
  - Instead, gaps are left in the sequence of virtual cluster numbers stored in the MFT entry for the file.
  - When reading a file, if a gap in the virtual cluster numbers is found, NTFS just zero-fills that portion of the caller's buffer.

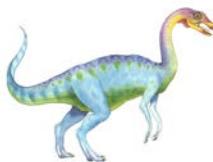




# File System — Reparse Points

- A reparse point returns an error code when accessed. The reparse data tells the I/O manager what to do next.
- Reparse points can be used to provide the functionality of UNIX *mounts*.
- Reparse points can also be used to access files that have been moved to offline storage.

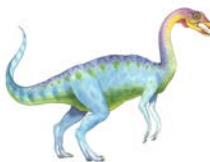




# Networking

- Windows 7 supports both peer-to-peer and client/server networking; it also has facilities for network management.
- To describe networking in Windows 7, we refer to two of the internal networking interfaces:
  - NDIS (Network Device Interface Specification) — Separates network adapters from the transport protocols so that either can be changed without affecting the other.
  - TDI (Transport Driver Interface) — Enables any session layer component to use any available transport mechanism.
- Windows 7 implements transport protocols as drivers that can be loaded and unloaded from the system dynamically.

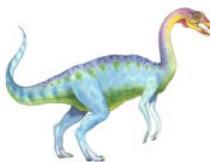




# Networking — Protocols

- The server message block (SMB) protocol is used to send I/O requests over the network. It has four message types:
  1. Session control
  2. File
  3. Printer
  4. Message
- The network basic Input/Output system (NetBIOS) is a hardware abstraction interface for networks
  - Used to:
    - ▶ Establish logical names on the network
    - ▶ Establish logical connections of sessions between two logical names on the network
    - ▶ Support reliable data transfer for a session via NetBIOS requests or *SMBs*

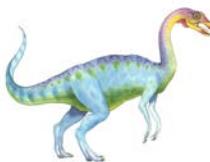




# Networking — Protocols (Cont.)

- Windows 7 uses the TCP/IP Internet protocol version 4 and version 6 to connect to a wide variety of operating systems and hardware platforms.
- PPTP (Point-to-Point Tunneling Protocol) is used to communicate between Remote Access Server modules running on Windows 7 machines that are connected over the Internet.
- The Data Link Control protocol (DLC) is used to access IBM mainframes and HP printers that are directly connected to the network (possible on 32-bit only versions using unsigned drivers).

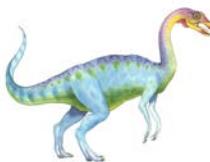




# Networking — Dist. Processing Mechanisms

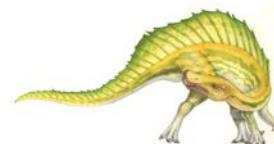
- Windows 7 supports distributed applications via named NetBIOS, named pipes and mailslots, Windows Sockets, Remote Procedure Calls (RPC), and Network Dynamic Data Exchange (NetDDE).
- NetBIOS applications can communicate over the network using TCP/IP.
- Named pipes are connection-oriented messaging mechanism that are named via the uniform naming convention (UNC).
- Mailslots are a connectionless messaging mechanism that are used for broadcast applications, such as for finding components on the network.
- Winsock, the windows sockets API, is a session-layer interface that provides a standardized interface to many transport protocols that may have different addressing schemes.

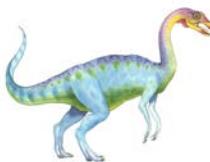




## Distributed Processing Mechanisms (Cont.)

- The Windows 7 RPC mechanism follows the widely-used Distributed Computing Environment standard for RPC messages, so programs written to use Windows 7 RPCs are very portable.
  - RPC messages are sent using NetBIOS, or Winsock on TCP/IP networks, or named pipes on LAN Manager networks.
  - Windows 7 provides the Microsoft *Interface Definition Language* to describe the remote procedure names, arguments, and results.

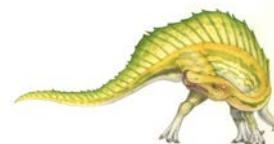


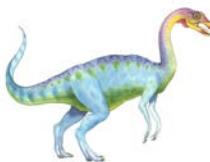


# Networking — Redirectors and Servers

---

- In Windows 7, an application can use the Windows 7 I/O API to access files from a remote computer as if they were local, provided that the remote computer is running an MS-NET server.
- A *redirector* is the client-side object that forwards I/O requests to remote files, where they are satisfied by a server.
- For performance and security, the redirectors and servers run in kernel mode.



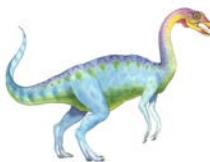


# Access to a Remote File

---

- The application calls the I/O manager to request that a file be opened (we assume that the file name is in the standard UNC format).
- The I/O manager builds an I/O request packet.
- The I/O manager recognizes that the access is for a remote file, and calls a driver called a Multiple Universal Naming Convention Provider (MUP).
- The MUP sends the I/O request packet asynchronously to all registered redirectors.
- A redirector that can satisfy the request responds to the MUP
  - To avoid asking all the redirectors the same question in the future, the MUP uses a cache to remember which redirector can handle this file.

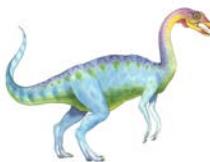




# Access to a Remote File (Cont.)

- The redirector sends the network request to the remote system.
- The remote system network drivers receive the request and pass it to the server driver.
- The server driver hands the request to the proper local file system driver.
- The proper device driver is called to access the data.
- The results are returned to the server driver, which sends the data back to the requesting redirector.



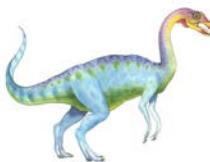


# Networking — Domains

---

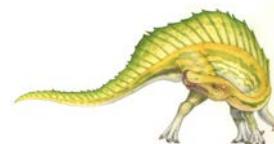
- NT uses the concept of a domain to manage global access rights within groups.
- A domain is a group of machines running NT server that share a common security policy and user database.
- Windows 7 provides three models of setting up trust relationships
  - *One way, A trusts B*
  - *Two way, transitive, A trusts B, B trusts C so A, B, C trust each other*
  - *Crosslink – allows authentication to bypass hierarchy to cut down on authentication traffic.*

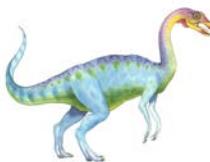




# Name Resolution in TCP/IP Networks

- On an IP network, name resolution is the process of converting a computer name to an IP address
  - e.g., www.bell-labs.com resolves to 135.104.1.14
- Windows 7 provides several methods of name resolution:
  - Windows Internet Name Service (WINS)
  - broadcast name resolution
  - domain name system (DNS)
  - a host file
  - an LMHOSTS file

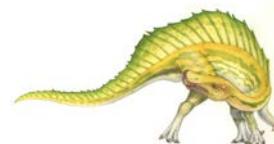


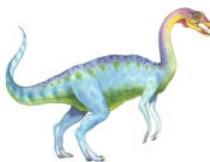


# Name Resolution (Cont.)

---

- WINS consists of two or more WINS servers that maintain a dynamic database of name to IP address bindings, and client software to query the servers.
- WINS uses the Dynamic Host Configuration Protocol (DHCP), which automatically updates address configurations in the WINS database, without user or administrator intervention.

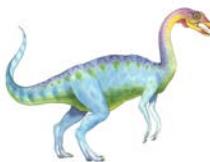




## Programmer Interface — Access to Kernel Obj.

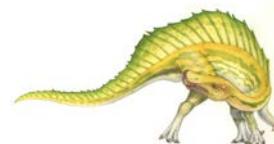
- A process gains access to a kernel object named XXX by calling the CreateXXX function to open a *handle* to XXX; the handle is unique to that process.
- A handle can be closed by calling the CloseHandle function; the system may delete the object if the count of processes using the object drops to 0.
- Windows 7 provides three ways to share objects between processes
  - A child process inherits a handle to the object
  - One process gives the object a name when it is created and the second process opens that name
  - DuplicateHandle function:
    - ▶ Given a handle to process and the handle's value a second process can get a handle to the same object, and thus share it

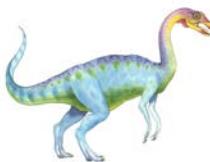




## Programmer Interface — Process Management

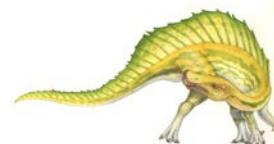
- Process is started via the CreateProcess routine which loads any dynamic link libraries that are used by the process, and creates a *primary thread*.
- Additional threads can be created by the CreateThread function.
- Every dynamic link library or executable file that is loaded into the address space of a process is identified by an *instance handle*.

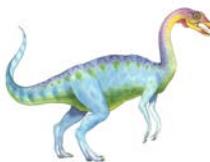




# Process Management (Cont.)

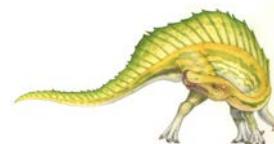
- Scheduling in Win32 utilizes four priority classes:
  1. IDLE\_PRIORITY\_CLASS (priority level 4)
  2. NORMAL\_PRIORITY\_CLASS (level 8 — typical for most processes)
  3. HIGH\_PRIORITY\_CLASS (level 13)
  4. REALTIME\_PRIORITY\_CLASS (level 24)
- To provide performance levels needed for interactive programs, 7 has a special scheduling rule for processes in the NORMAL\_PRIORITY\_CLASS
  - 7 distinguishes between the *foreground process* that is currently selected on the screen, and the *background processes* that are not currently selected.
  - When a process moves into the foreground, 7 increases the scheduling quantum by some factor, typically 3.

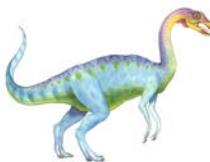




# Process Management (Cont.)

- The kernel dynamically adjusts the priority of a thread depending on whether it is I/O-bound or CPU-bound.
- To synchronize the concurrent access to shared objects by threads, the kernel provides synchronization objects, such as semaphores and mutexes
  - In addition, threads can synchronize by using the WaitForSingleObject or WaitForMultipleObjects functions.
  - Another method of synchronization in the Win32 API is the critical section.



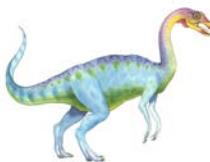


# Process Management (Cont.)

---

- A fiber is user-mode code that gets scheduled according to a user-defined scheduling algorithm.
  - Only one fiber at a time is permitted to execute, even on multiprocessor hardware.
  - Windows 7 includes fibers to facilitate the porting of legacy UNIX applications that are written for a fiber execution model.
- Windows 7 also introduced user-mode scheduling for 64-bit systems which allows finer grained control of scheduling work without requiring kernel transitions.



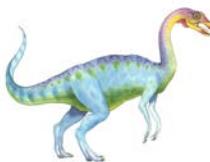


## Programmer Interface — Interprocess Communication

---

- Win32 applications can have interprocess communication by sharing kernel objects.
- An alternate means of interprocess communications is message passing, which is particularly popular for Windows GUI applications
  - One thread sends a message to another thread or to a window.
  - A thread can also send data with the message.
- Every Win32 thread has its own input queue from which the thread receives messages.
- This is more reliable than the shared input queue of 16-bit windows, because with separate queues, one stuck application cannot block input to the other applications

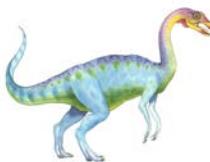




# Programmer Interface — Memory Management

- Virtual memory:
  - VirtualAlloc reserves or commits virtual memory
  - VirtualFree decommits or releases the memory
  - These functions enable the application to determine the virtual address at which the memory is allocated
- An application can use memory by memory mapping a file into its address space
  - Multistage process
  - Two processes share memory by mapping the same file into their virtual memory





# Memory Management (Cont.)

- A heap in the Win32 environment is a region of reserved address space
  - A Win 32 process is created with a 1 MB *default heap*
  - Access is synchronized to protect the heap's space allocation data structures from damage by concurrent updates by multiple threads
- Because functions that rely on global or static data typically fail to work properly in a multithreaded environment, the thread-local storage mechanism allocates global storage on a per-thread basis
  - The mechanism provides both dynamic and static methods of creating thread-local storage



# End of Chapter 19

