Contents

	To Everyone	
	To Educators	
	To Students	
	Acknowledgments	
	Final Words	
	References	xi
1	A Dialogue on the Book	1
2	Introduction to Operating Systems	3
	2.1 Virtualizing The CPU	5
	2.2 Virtualizing Memory	7
	2.3 Concurrency	8
	2.4 Persistence	11
	2.5 Design Goals	13
	2.6 Some History	14
	2.7 Summary	18
	References	19
	Homework	20
I	Virtualization	21
3	A Dialogue on Virtualization	23
4	The Abstraction: The Process	25
	4.1 The Abstraction: A Process	26
	4.2 Process API	27
	4.3 Process Creation: A Little More Detail	28
	4.4 Process States	
	4.5 Data Structures	31
	4.6 Summary	33
	References	

xiv Contents

	Homework (Simulation)	35
5	5.1 The fork() System Call 5.2 The wait() System Call 5.3 Finally, The exec() System Call 5.4 Why? Motivating The API 5.5 Process Control And Users 5.6 Useful Tools 5.7 Summary References	37 37 39 40 41 44 45 45 47
6	6.1 Basic Technique: Limited Direct Execution 6.2 Problem #1: Restricted Operations 6.3 Problem #2: Switching Between Processes 6.4 Worried About Concurrency? 6.5 Summary References	49 49 50 55 60 62 63
7	7.1 Workload Assumptions 7.2 Scheduling Metrics 7.3 First In, First Out (FIFO) 7.4 Shortest Job First (SJF) 7.5 Shortest Time-to-Completion First (STCF) 7.6 A New Metric: Response Time 7.7 Round Robin 7.8 Incorporating I/O 7.9 No More Oracle 7.10 Summary References	65 66 66 68 69 70 71 73 74 75 76
8	8.1 MLFQ: Basic Rules 8.2 Attempt #1: How To Change Priority 8.3 Attempt #2: The Priority Boost 8.4 Attempt #3: Better Accounting 8.5 Tuning MLFQ And Other Issues 8.6 MLFQ: Summary References	77 78 79 83 84 84 86 87

CONTENTS

9	Scheduling: Proportional		89
	9.1 Basic Concept: Ticke	ets Represent Your Share	89
	9.2 Ticket Mechanisms		91
	9.3 Implementation		92
	9.4 An Example		93
	9.5 How To Assign Tick	ets?	94
	9.6 Why Not Determinis	stic?	94
	9.7 The Linux Complete	ely Fair Scheduler (CFS)	95
	Homework (Simulation)		102
10	0 Multiprocessor Schedulin	ig (Advanced)	103
	10.1 Background: Multip	rocessor Architecture	104
	10.2 Don't Forget Synchro	onization	106
	10.3 One Final Issue: Cac	the Affinity	107
	10.4 Single-Queue Sched	uling	107
	10.5 Multi-Queue Schedu	ıling	109
	10.6 Linux Multiprocesso	or Schedulers	112
	10.7 Summary		112
	Homework (Simulation)		114
11	1 Summary Dialogue on CP	'U Virtualization	117
12	2 A Dialogue on Memory V	irtualization	119
13	3 The Abstraction: Address	Spaces	121
10		· · · · · · · · · · · · · · · · · · ·	
		and Time Sharing	
	13.4 Goals		125
14	4 Interlude: Memory API		131
			131
	14.2 The malloc() Call		132
		port	
	14.6 Other Calls		138
	Homework (Code)		

xvi Contents

15	Mech 15.1	hanism: Address Translation 141 Assumptions
	15.2	An Example
	15.3	Dynamic (Hardware-based) Relocation 145
	15.4	Hardware Support: A Summary
	15.5	Operating System Issues
	15.6	Summary
		ences
		ework (Simulation)
	110111	ework (Sintulation)
16	Seom	nentation 155
	16.1	Segmentation: Generalized Base/Bounds
	16.2	Which Segment Are We Referring To?
	16.3	What About The Stack?
	16.4	Support for Sharing
	16.5	
		Fine-grained vs. Coarse-grained Segmentation 161
	16.6	OS Support
	16.7	Summary
		ences
	Home	ework (Simulation)
17	Erron	Space Management 167
1/		
	17.1	Assumptions
	17.2	Low-level Mechanisms
	17.3	Basic Strategies
	17.4	Other Approaches
	17.5	Summary
		ences
	Home	ework (Simulation)
18	Pagir	ng: Introduction 185
10	18.1	
	18.2	Whore Are Page Tables Stored?
	18.3	Where Are Page Tables Stored?
	18.4	
		Paging: Also Too Slow
	18.5	A Memory Trace
	18.6	Summary
		ences
	Home	ework (Simulation)
10	Pagir	ng: Faster Translations (TLBs) 199
19	19.1	TLB Basic Algorithm
	19.1	Example: Accessing An Armsy
		Example: Accessing An Array
	19.3	TLD Contents Mb 4/2 to Thous?
	19.4	TLB Contents: What's In There?
	19.5	TLB Issue: Context Switches
	19.6	Issue: Replacement Policy

CONTENTS xvii

	19.7 A Real TLB Entry	210 211
20	Paging: Smaller Tables 20.1 Simple Solution: Bigger Pages 20.2 Hybrid Approach: Paging and Segments 20.3 Multi-level Page Tables 20.4 Inverted Page Tables 20.5 Swapping the Page Tables to Disk 20.6 Summary References Homework (Simulation)	21 <i>6</i> 219 22 <i>6</i> 227 227 228
21	Beyond Physical Memory: Mechanisms 21.1 Swap Space	233 234 235 236 237 238
22	Beyond Physical Memory: Policies 22.1 Cache Management 22.2 The Optimal Replacement Policy 22.3 A Simple Policy: FIFO 22.4 Another Simple Policy: Random 22.5 Using History: LRU 22.6 Workload Examples 22.7 Implementing Historical Algorithms 22.8 Approximating LRU 22.9 Considering Dirty Pages 22.10 Other VM Policies 22.11 Thrashing 22.12 Summary References Homework (Simulation)	2444 246 248 249 250 254 256 256 256 257
23	Complete Virtual Memory Systems 23.1 VAX/VMS Virtual Memory	268 277

xviii Contents

24	Summary Dialogue on Memory Virtualization	279
II	Concurrency	283
25	A Dialogue on Concurrency	285
26	Concurrency: An Introduction 26.1 Why Use Threads? 26.2 An Example: Thread Creation 26.3 Why It Gets Worse: Shared Data 26.4 The Heart Of The Problem: Uncontrolled Scheduling 26.5 The Wish For Atomicity 26.6 One More Problem: Waiting For Another 26.7 Summary: Why in OS Class? References Homework (Simulation)	. 289 . 292 . 294 . 296 . 298 . 300
27	Interlude: Thread API 27.1 Thread Creation 27.2 Thread Completion 27.3 Locks 27.4 Condition Variables 27.5 Compiling and Running 27.6 Summary References Homework (Code)	. 304 . 307 . 309 . 311 . 313
28	Locks 28.1 Locks: The Basic Idea 28.2 Pthread Locks 28.3 Building A Lock 28.4 Evaluating Locks 28.5 Controlling Interrupts 28.6 A Failed Attempt: Just Using Loads/Stores 28.7 Building Working Spin Locks with Test-And-Set 28.8 Evaluating Spin Locks 28.9 Compare-And-Swap 28.10 Load-Linked and Store-Conditional 28.11 Fetch-And-Add 28.12 Too Much Spinning: What Now? 28.13 A Simple Approach: Just Yield, Baby 28.14 Using Queues: Sleeping Instead Of Spinning 28.15 Different OS, Different Support 28.16 Two-Phase Locks 28.17 Summary References	. 316 . 317 . 318 . 319 . 320 . 323 . 324 . 326 . 327 . 328 . 329 . 332 . 332 . 332

Contents xix

	Homework (Simulation)
29	Lock-based Concurrent Data Structures 337 29.1 Concurrent Counters 337 29.2 Concurrent Linked Lists 342 29.3 Concurrent Queues 345 29.4 Concurrent Hash Table 346 29.5 Summary 348 References 349 Homework (Code) 350
30	Condition Variables 351
	30.1 Definition and Routines
31	Semaphores 367 31.1 Semaphores: A Definition 367 31.2 Binary Semaphores (Locks) 369 31.3 Semaphores For Ordering 370 31.4 The Producer/Consumer (Bounded Buffer) Problem 372 31.5 Reader-Writer Locks 376 31.6 The Dining Philosophers 378 31.7 How To Implement Semaphores 381 31.8 Summary 382
	References 383 Homework (Code) 384
32	Common Concurrency Problems 385 32.1 What Types Of Bugs Exist? 385 32.2 Non-Deadlock Bugs 386 32.3 Deadlock Bugs 389 32.4 Summary 397 References 399 Homework (Code) 400
33	Event-based Concurrency (Advanced) 401 33.1 The Basic Idea: An Event Loop 401 33.2 An Important API: select() (or poll()) 402 33.3 Using select() 403 33.4 Why Simpler? No Locks Needed 404 33.5 A Problem: Blocking System Calls 405 33.6 A Solution: Asynchronous I/O 405
	33.7 Another Problem: State Management 408

XX CONTENTS

	33.8 What Is Still Difficult With Events 33.9 Summary References Homework (Code)	409 410
34	Summary Dialogue on Concurrency	413
III	Persistence	115
35	A Dialogue on Persistence	417
36	I/O Devices 36.1 System Architecture 36.2 A Canonical Device 36.3 The Canonical Protocol 36.4 Lowering CPU Overhead With Interrupts 36.5 More Efficient Data Movement With DMA 36.6 Methods Of Device Interaction 36.7 Fitting Into The OS: The Device Driver 36.8 Case Study: A Simple IDE Disk Driver 36.9 Historical Notes 36.10 Summary References	421 422 423 424 425 426 427 430 430
37	Hard Disk Drives 4 37.1 The Interface 4 37.2 Basic Geometry 4 37.3 A Simple Disk Drive 4 37.4 I/O Time: Doing The Math 4 37.5 Disk Scheduling 4 37.6 Summary 4 References 4 Homework (Simulation) 4	434 435 438 442 446 447
38	Redundant Arrays of Inexpensive Disks (RAIDs) 38.1 Interface And RAID Internals 38.2 Fault Model 38.3 How To Evaluate A RAID 38.4 RAID Level 0: Striping 38.5 RAID Level 1: Mirroring 38.6 RAID Level 4: Saving Space With Parity 38.7 RAID Level 5: Rotating Parity 38.8 RAID Comparison: A Summary 38.9 Other Interesting RAID Issues 38.10 Summary References	451 452 455 458 462 463 464 464

Contents xxi

	Home	ework (Simulation)	
39	Inter	lude: Files and Directories 467	
0,	39.1	Files And Directories	
	39.2	The File System Interface	
	39.3	Creating Files	
	39.4	Reading And Writing Files	
	39.5	Reading And Writing, But Not Sequentially 472	
	39.6	Shared File Table Entries: fork() And dup() 475	
	39.7	Writing Immediately With fsync()	
	39.8	Renaming Files	
	39.9	Getting Information About Files	
		Removing Files	
	20.10	Making Directories	
	20.11	Reading Directories	
		Deleting Directories	
	20.13	Light into	
	39.14	Hard Links	
	39.15	Symbolic Links	
		Permission Bits And Access Control Lists	
		Making And Mounting A File System	
	39.18	Summary	
		ences	
	Home	ework (Code)	
40	File S	System Implementation 493	
40	File S 40.1		
40	40.1	The Way To Think	
40	40.1 40.2	The Way To Think	
40	40.1	The Way To Think	
40	40.1 40.2 40.3 40.4	The Way To Think	
40	40.1 40.2 40.3 40.4 40.5	The Way To Think	
40	40.1 40.2 40.3 40.4 40.5 40.6	The Way To Think	
40	40.1 40.2 40.3 40.4 40.5 40.6 40.7	The Way To Think	
40	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508	
40	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509	
40	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer Home	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511 FFS: Disk Awareness Is The Solution 513	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer Home	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511 FFS: Disk Awareness Is The Solution 513 Organizing Structure: The Cylinder Group 513	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer Home Local 41.1 41.2	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511 FFS: Disk Awareness Is The Solution 513	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer Homo Local 41.1 41.2 41.3	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511 FFS: Disk Awareness Is The Solution 513 Organizing Structure: The Cylinder Group 513 Policies: How To Allocate Files and Directories 515	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer Homo Local 41.1 41.2 41.3 41.4	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511 FFS: Disk Awareness Is The Solution 513 Organizing Structure: The Cylinder Group 513 Policies: How To Allocate Files and Directories 515 Measuring File Locality 517 The Large-File Exception 518	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer Home Local 41.1 41.2 41.3 41.4 41.5	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511 FFS: Disk Awareness Is The Solution 513 Organizing Structure: The Cylinder Group 513 Policies: How To Allocate Files and Directories 515 Measuring File Locality 517 The Large-File Exception 518	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer Home Local 41.1 41.2 41.3 41.4 41.5 41.6	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511 FFS: Disk Awareness Is The Solution 513 Organizing Structure: The Cylinder Group 513 Policies: How To Allocate Files and Directories 515 Measuring File Locality 517 The Large-File Exception 518 A Few Other Things About FFS 520	
	40.1 40.2 40.3 40.4 40.5 40.6 40.7 40.8 Refer Home Local 41.1 41.2 41.3 41.4 41.5 41.6 41.7 41.8	The Way To Think 493 Overall Organization 494 File Organization: The Inode 496 Directory Organization 501 Free Space Management 501 Access Paths: Reading and Writing 502 Caching and Buffering 506 Summary 508 ences 509 ework (Simulation) 510 ity and The Fast File System 511 The Problem: Poor Performance 511 FFS: Disk Awareness Is The Solution 513 Organizing Structure: The Cylinder Group 513 Policies: How To Allocate Files and Directories 515 Measuring File Locality 517 The Large-File Exception 518	

xxii Contents

42	Crash Consistency: FSCK and Journaling5242.1 A Detailed Example5242.2 Solution #1: The File System Checker5242.3 Solution #2: Journaling (or Write-Ahead Logging)5342.4 Solution #3: Other Approaches5442.5 Summary54	26 29 31 11
	References	l3 l5
43	Log-structured File Systems5443.1 Writing To Disk Sequentially5443.2 Writing Sequentially And Effectively5443.3 How Much To Buffer?5543.4 Problem: Finding Inodes5543.5 Solution Through Indirection: The Inode Map5543.6 Completing The Solution: The Checkpoint Region5543.7 Reading A File From Disk: A Recap5543.8 What About Directories?5543.9 A New Problem: Garbage Collection5543.10 Determining Block Liveness5543.11 A Policy Question: Which Blocks To Clean, And When?5543.13 Summary5543.13 Summary55References56Homework (Simulation)56	18 19 50 51 53 53 54 55 56 57 58 58
44	Flash-based SSDs 56 44.1 Storing a Single Bit 56 44.2 From Bits to Banks/Planes 56 44.3 Basic Flash Operations 56 44.4 Flash Performance And Reliability 56 44.5 From Raw Flash to Flash-Based SSDs 56 44.6 FTL Organization: A Bad Approach 56 44.7 A Log-Structured FTL 57 44.8 Garbage Collection 57 44.9 Mapping Table Size 57 44.10 Wear Leveling 57 44.11 SSD Performance And Cost 57 44.12 Summary 58 References 58 Homework (Simulation) 58	63 64 65 65 76 70 72 74 79 79 81 83
45	Data Integrity and Protection5845.1 Disk Failure Modes5845.2 Handling Latent Sector Errors5845.3 Detecting Corruption: The Checksum5945.4 Using Checksums59	37 39 90

CONTENTS xxiii

	45.5 A New Problem: Misdirected Writes 45.6 One Last Problem: Lost Writes 45.7 Scrubbing 45.8 Overheads Of Checksumming 45.9 Summary References Homework (Simulation) Homework (Code)	595 595 596 596 597 598
46	Summary Dialogue on Persistence	601
47	A Dialogue on Distribution	603
48	Distributed Systems 48.1 Communication Basics	607 609 611 613 618
49	Sun's Network File System (NFS) 49.1 A Basic Distributed File System 49.2 On To NFS 49.3 Focus: Simple And Fast Server Crash Recovery 49.4 Key To Fast Crash Recovery: Statelessness 49.5 The NFSv2 Protocol 49.6 From Protocol To Distributed File System 49.7 Handling Server Failure With Idempotent Operations 49.8 Improving Performance: Client-side Caching 49.9 The Cache Consistency Problem 49.10 Assessing NFS Cache Consistency 49.11 Implications On Server-Side Write Buffering 49.12 Summary References Homework (Measurement)	623 624 625 627 629 631 633 633 635
50	The Andrew File System (AFS) 50.1 AFS Version 1	641 642 642 644 646

xxiv Contents

	50.8 AFS: Other Improvements50.9 SummaryReferencesHomework (Simulation)	650 651
51	Summary Dialogue on Distribution	653
Ge	eneral Index	655
As	ides	667
Tip	ps	671
Cr	uces	675