Transport Layer

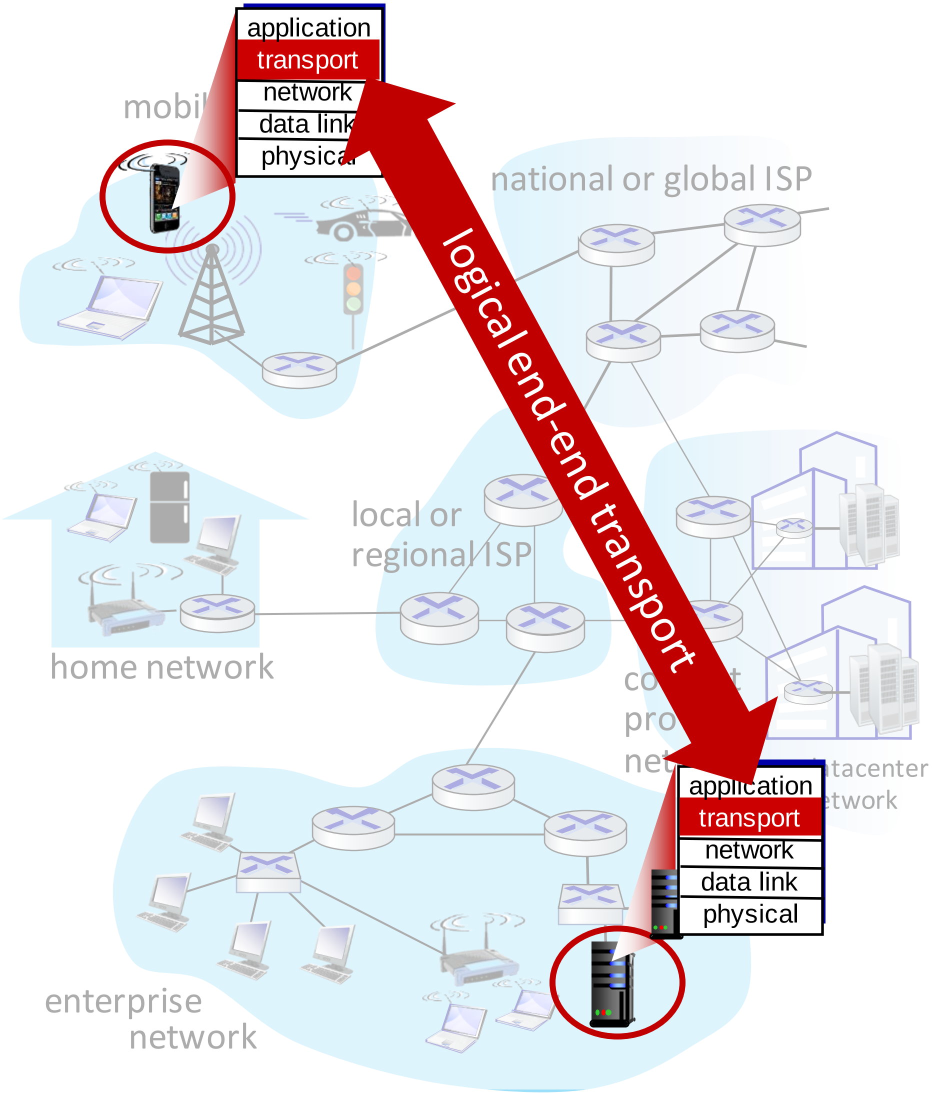
Slides are adapted from the companion website of the book *Computer Networking: A Top-Down Approach by* Jim Kurose, Keith Ross

Transport layer: overview

- Transport-layer services
- Multiplexing and demultiplexing
- Connectionless transport: UDP
- Principles of reliable data transfer
- Connection-oriented transport: TCP
- Principles of congestion control
- TCP congestion control

Transport services and protocols

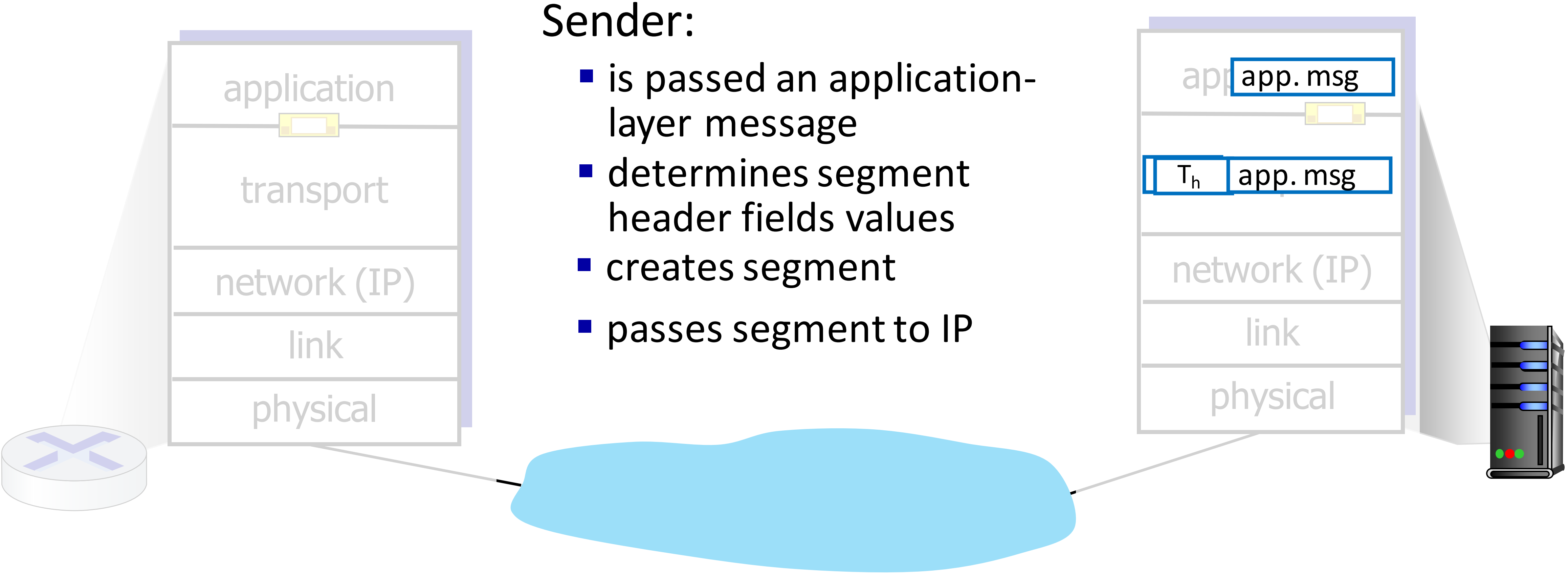
- provide *logical communication* between application processes running on different hosts
- transport protocols actions in end systems:
  - sender: breaks application messages into *segments*, passes to network layer
  - receiver: reassembles segments into messages, passes to application layer
- two transport protocols available to Internet applications
  - TCP, UDP



Transport Layer Actions

Sender:

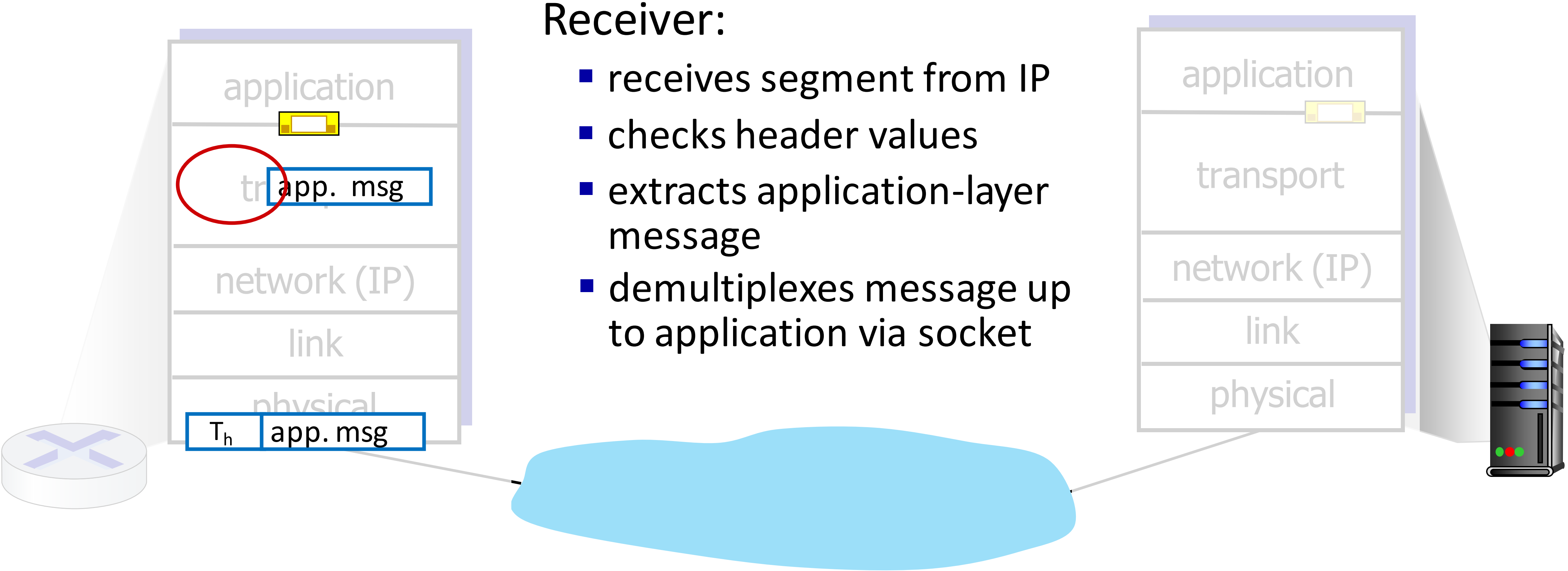
- is passed an application-layer message
- determines segment header fields values
- creates segment
- passes segment to IP



Transport Layer Actions

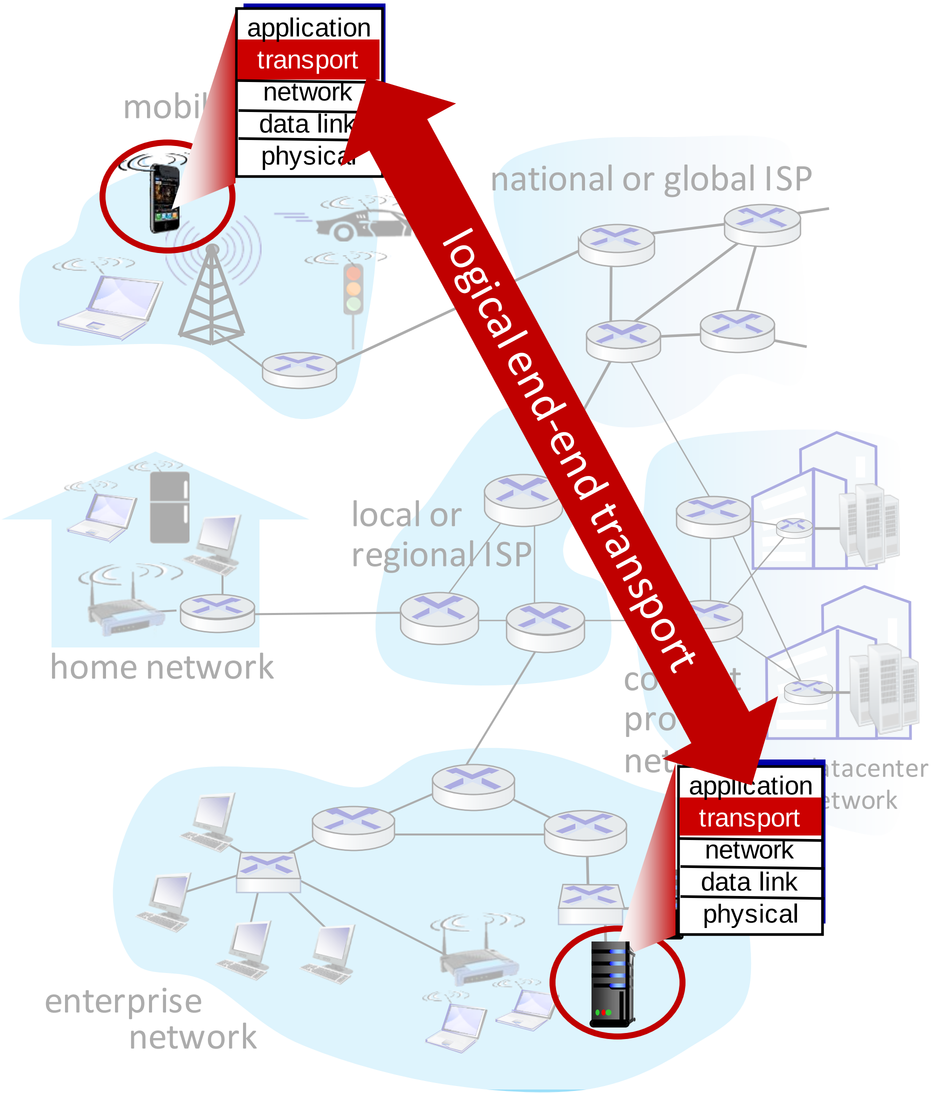
Receiver:

- receives segment from IP
- checks header values
- extracts application-layer message
- demultiplexes message up to application via socket



Two principal Internet transport protocols

- **TCP:** Transmission Control Protocol
  - reliable, in-order delivery
  - congestion control
  - flow control
  - connection setup
- **UDP:** User Datagram Protocol
  - unreliable, unordered delivery
  - no-frills extension of “best-effort” IP
- services not available:
  - delay guarantees
  - bandwidth guarantees



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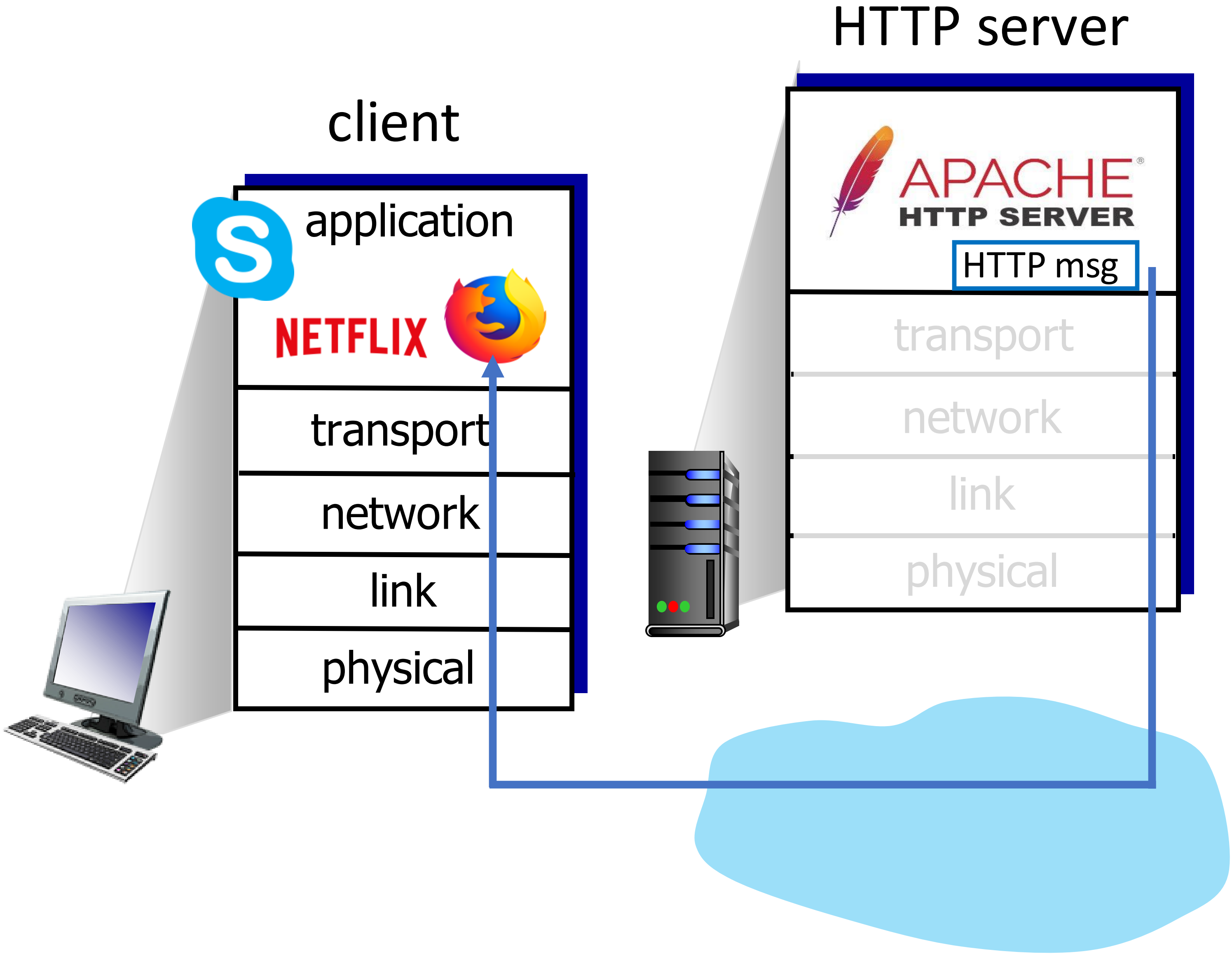
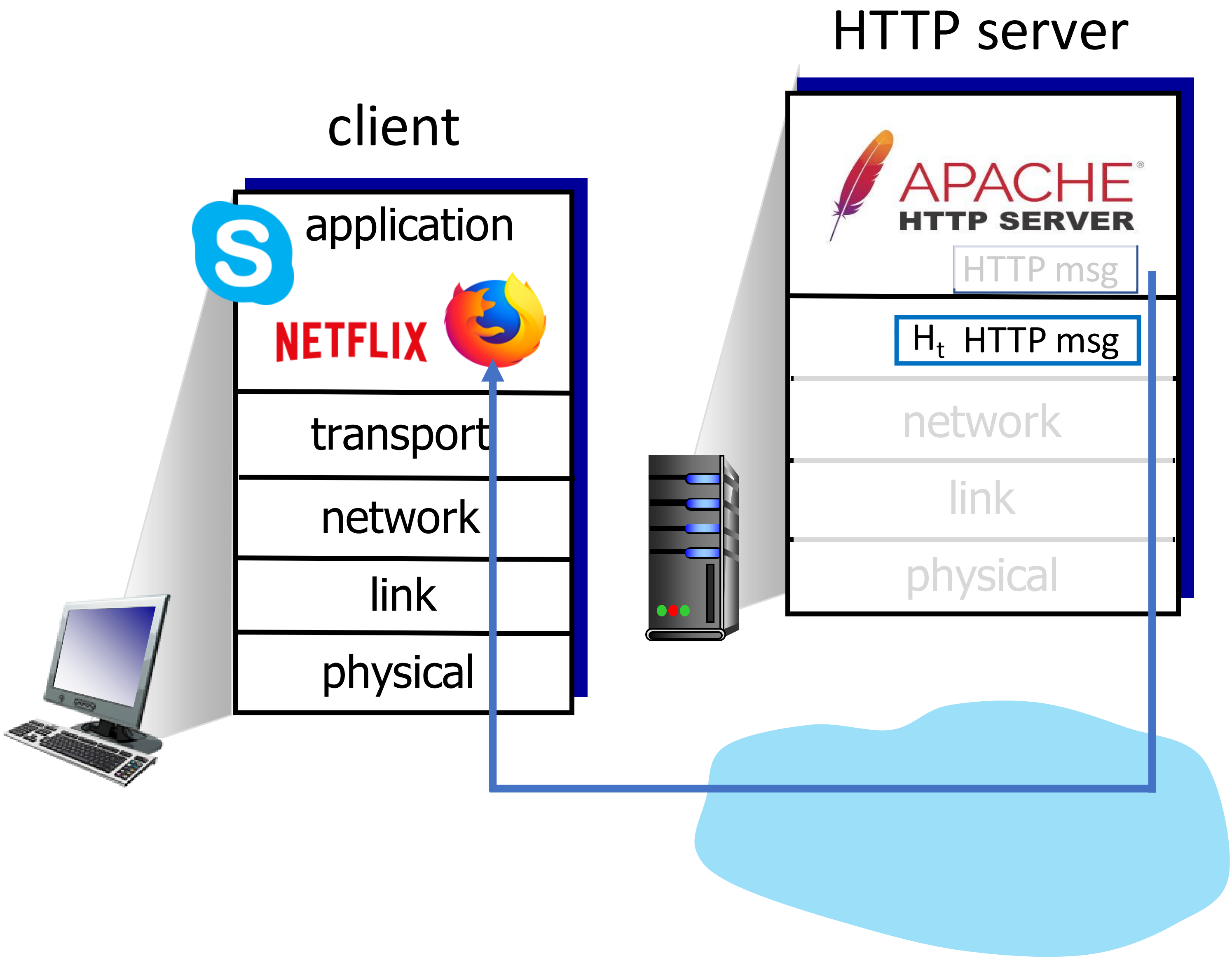

HTTP server
client
application
NETFLIX
transport
network
link
physical
APACHE
HTTP SERVER
HTTP msg
transport
network
link
physical


HTTP server
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H_t HTTP msg
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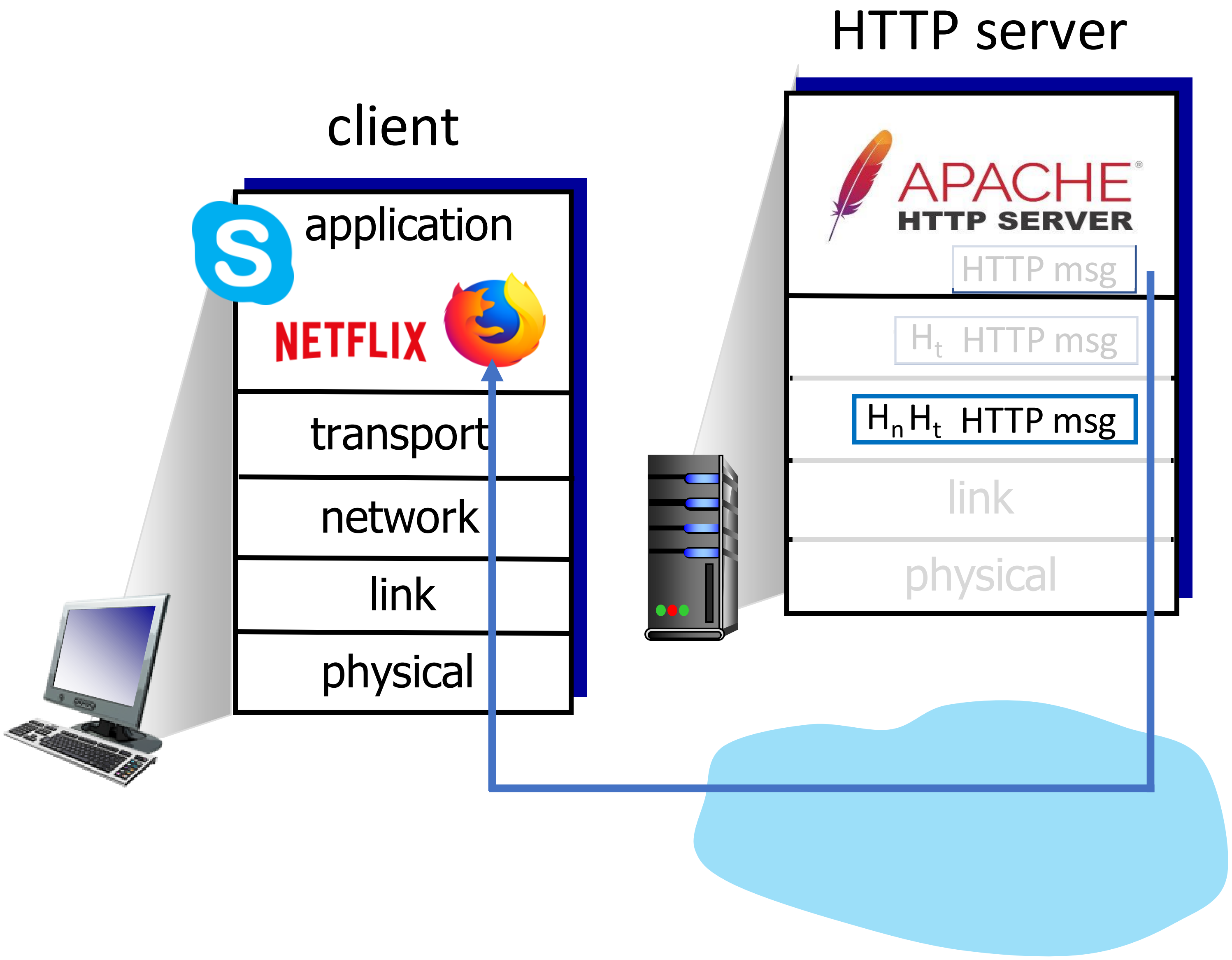
HTTP server
client
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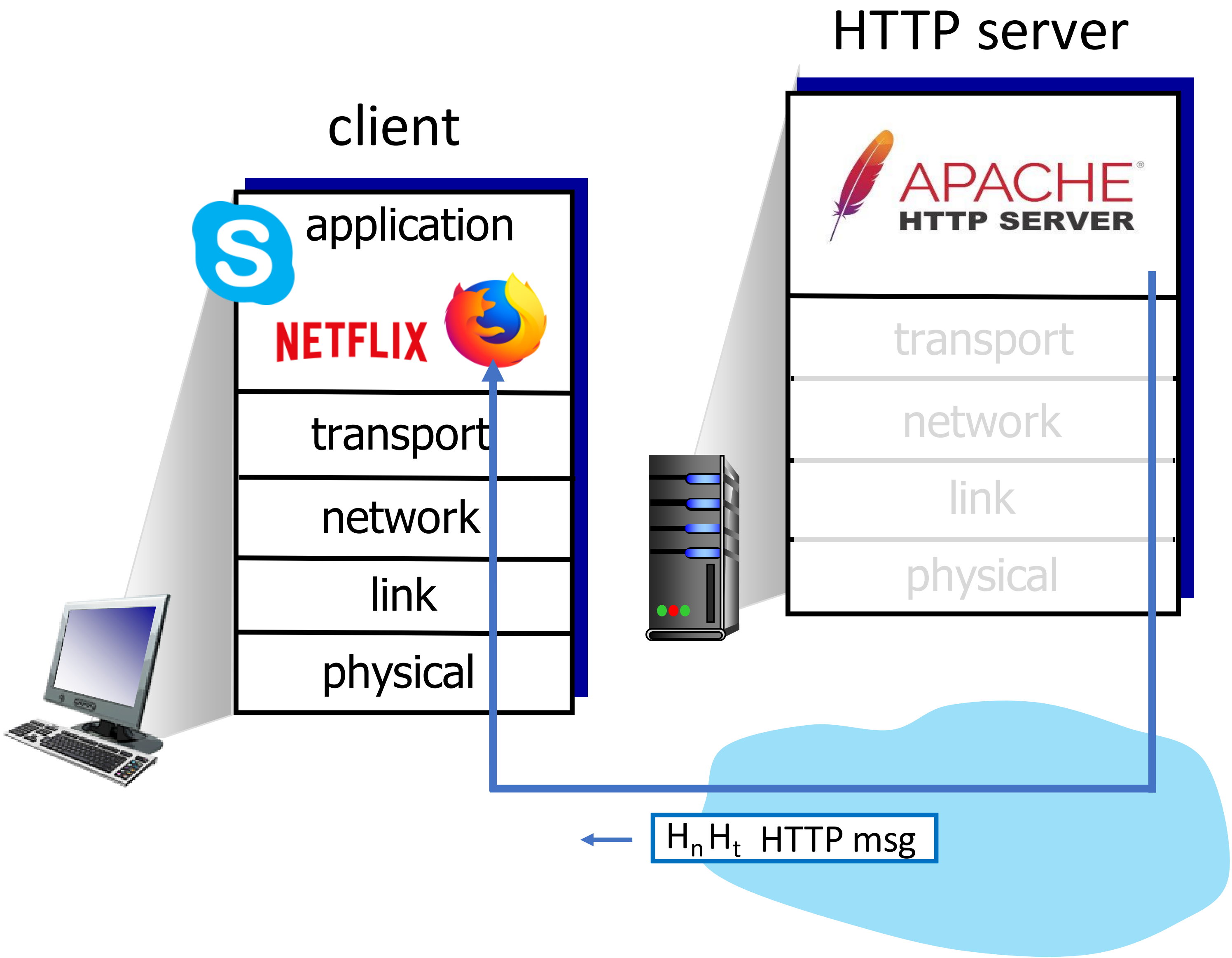
HTTP server
client
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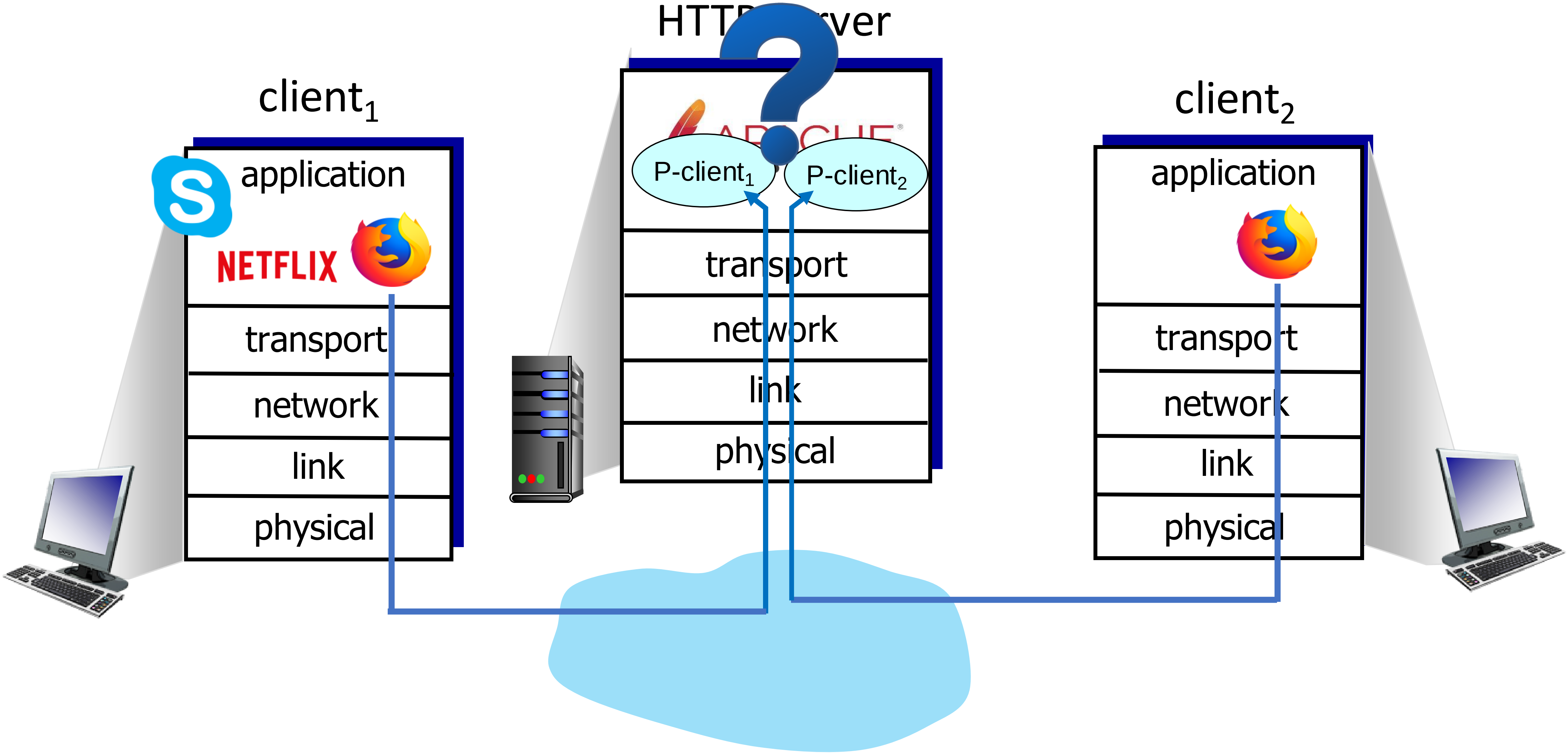
APACHE
HTTP SERVER
transport
network
link
physical
$H_n H_t$ HTTP msg


HTTP server
client1
application
transport
network
link
physical
P-client1
P-client2
transport
network
link
physical
client2
application
transport
network
link
physical

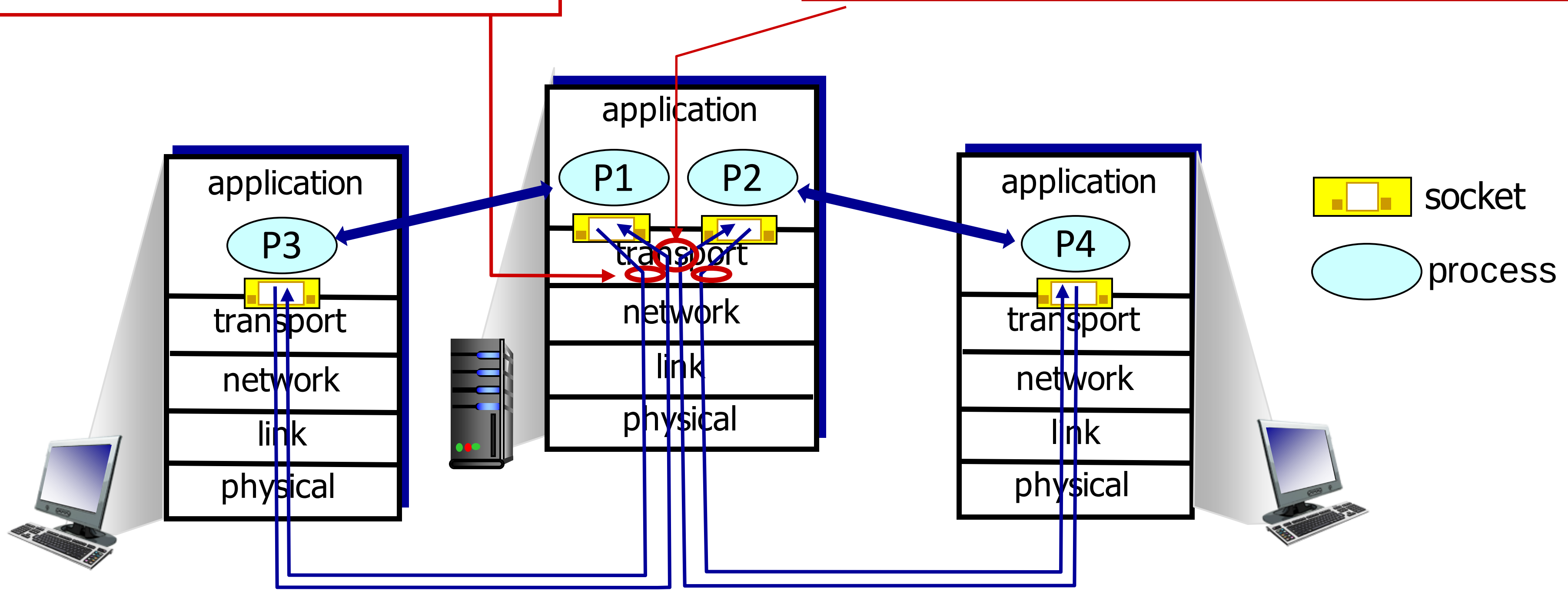
Multiplexing/demultiplexing

multiplexing at sender:

handle data from multiple sockets, add transport header (later used for demultiplexing)

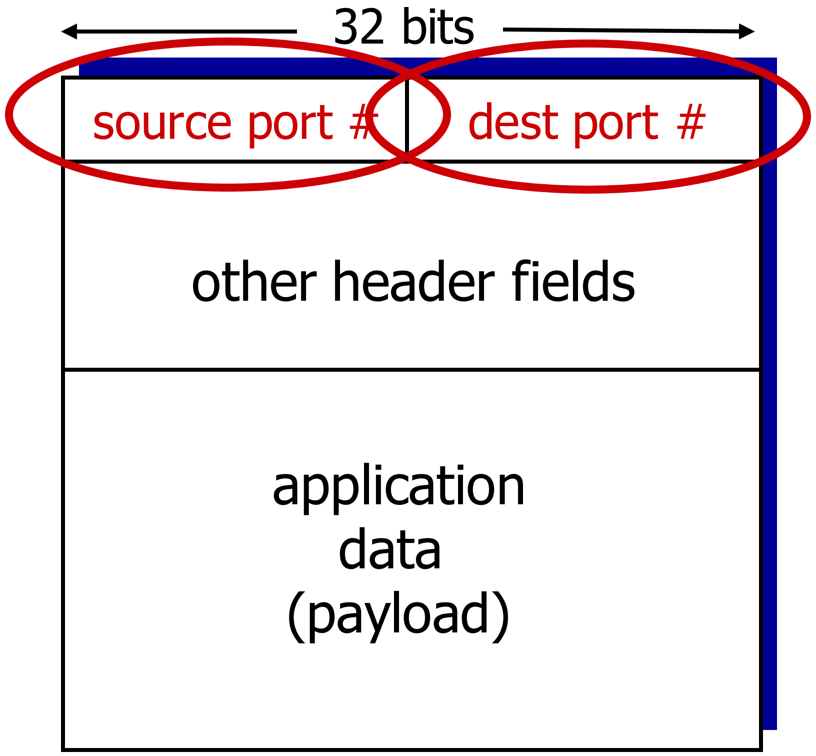
demultiplexing at receiver:

use header info to deliver received segments to correct socket



How demultiplexing works

- host receives IP datagrams
  - each datagram has source IP address, destination IP address
  - each datagram carries one transport-layer segment
  - each segment has source, destination port number
- host uses *IP addresses & port numbers* to direct segment to appropriate socket



TCP/UDP segment format

Connectionless demultiplexing

Recall:

- when creating socket, must specify *host-local* port #:

```
DatagramSocket mySocket1
 = new DatagramSocket(12534);
```

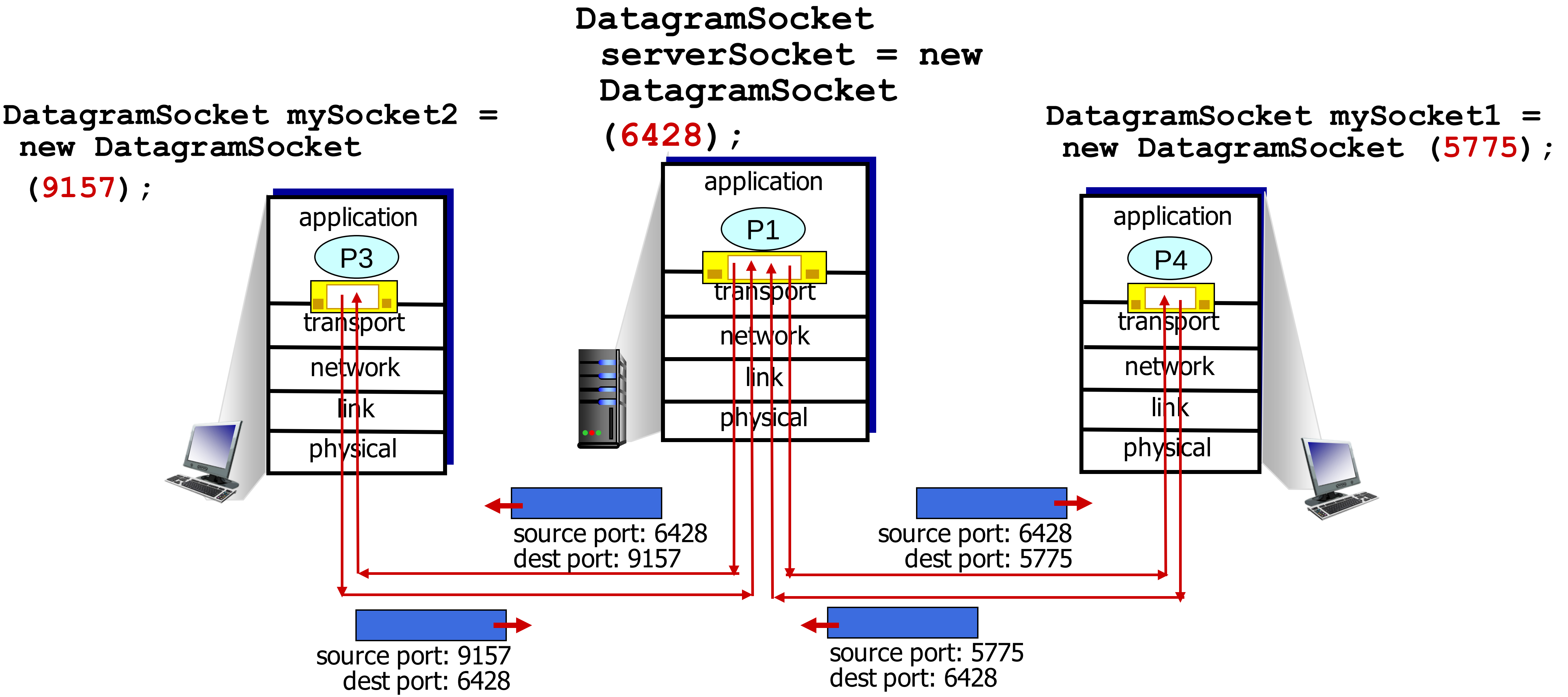
- when creating datagram to send into UDP socket, must specify
  - destination IP address
  - destination port #

when receiving host receives *UDP* segment:

- checks destination port # in segment
- directs UDP segment to socket with that port #

IP/UDP datagrams with *same dest. port #,* but different source IP addresses and/or source port numbers will be directed to *same socket* at receiving host

Connectionless demultiplexing: an example



```
DatagramSocket mySocket2 =
 new DatagramSocket
 (9157);
```

```
DatagramSocket
 serverSocket = new
 DatagramSocket
 (6428);
```

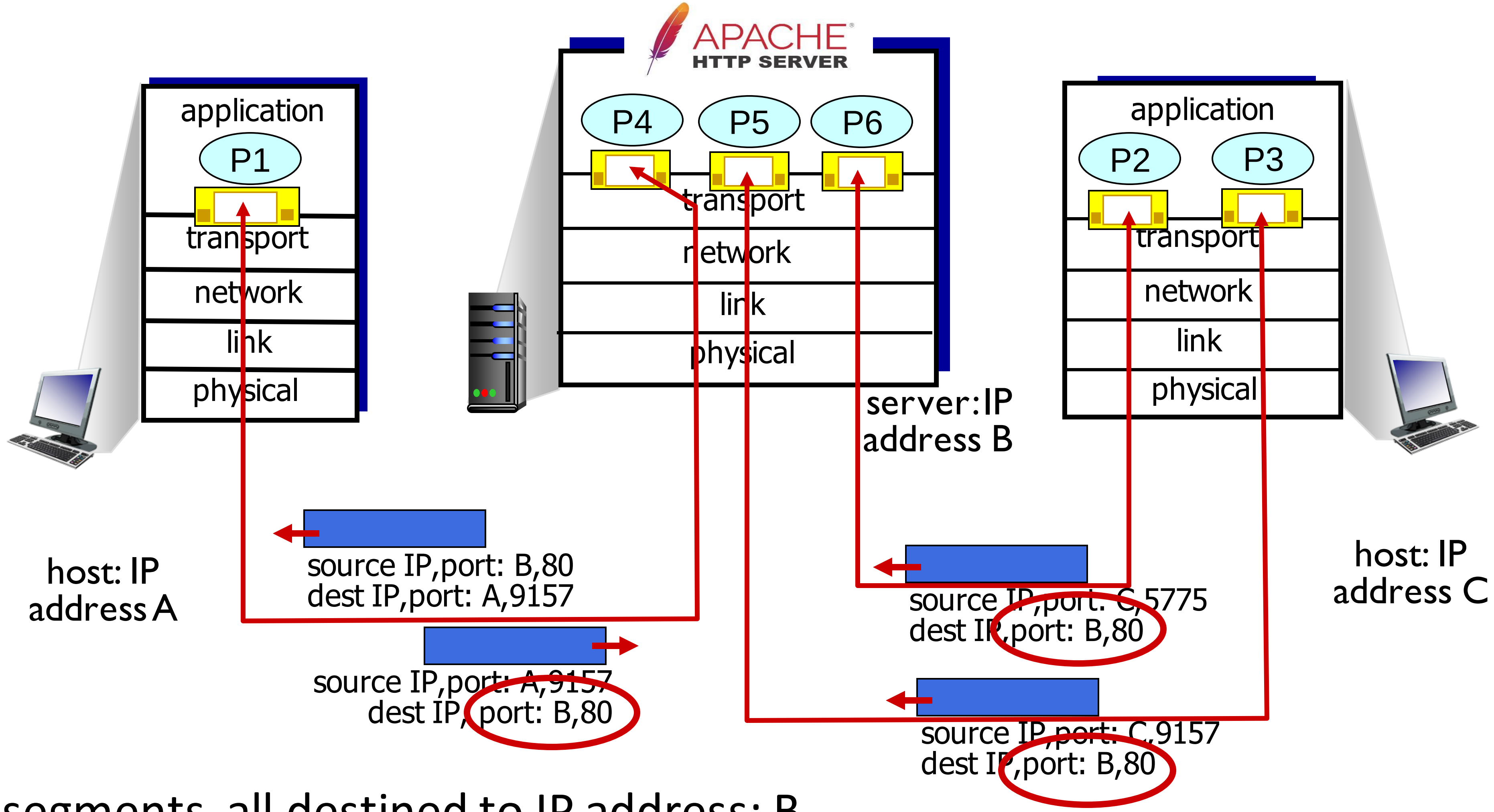
```
DatagramSocket mySocket1 =
 new DatagramSocket (5775);
```

Connection-oriented demultiplexing

- TCP socket identified by 4-tuple:
  - source IP address
  - source port number
  - dest IP address
  - dest port number
- demux: receiver uses *all four values* *(4-tuple)* to direct segment to appropriate socket

- server may support many simultaneous TCP sockets:
  - each socket identified by its own 4-tuple
  - each socket associated with a different connecting client

Connection-oriented demultiplexing: example



Three segments, all destined to IP address: B,
dest port: 80 are demultiplexed to *different* sockets

Summary

- Multiplexing, demultiplexing: based on segment, datagram header field values
- **UDP:** demultiplexing using destination port number (only)
- **TCP:** demultiplexing using 4-tuple: source and destination IP addresses, and port numbers
- Multiplexing/demultiplexing happen at *all* layers

Transport layer: overview

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UDP: User Datagram Protocol

- "no frills," "bare bones" Internet transport protocol
- "best effort" service, UDP segments may be:
  - lost
  - delivered out-of-order to app
- *connectionless:*
  - no handshaking between UDP sender, receiver
  - each UDP segment handled independently of others

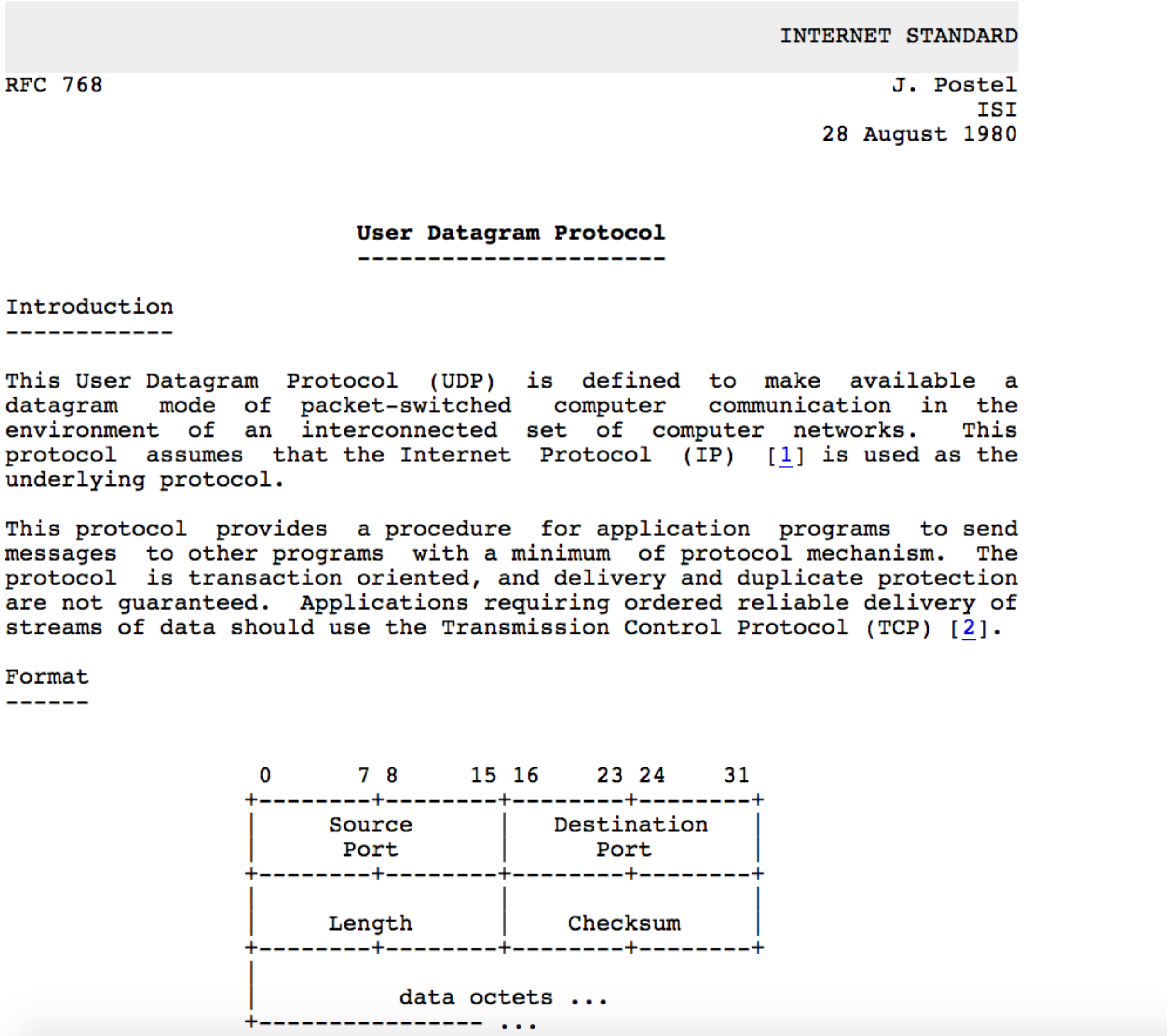
Why is there a UDP?

- no connection establishment (which can add RTT delay)
- simple: no connection state at sender, receiver
- small header size
- no congestion control
  - UDP can blast away as fast as desired!
  - can function in the face of congestion

UDP: User Datagram Protocol

- UDP use:
  - streaming multimedia apps (loss tolerant, rate sensitive)
  - DNS
  - SNMP
  - HTTP/3
- if reliable transfer needed over UDP (e.g., HTTP/3):
  - add needed reliability at application layer
  - add congestion control at application layer

UDP: User Datagram Protocol [RFC 768]



INTERNET STANDARD

RFC 768 J. Postel
ISI
28 August 1980

User Datagram Protocol

Introduction

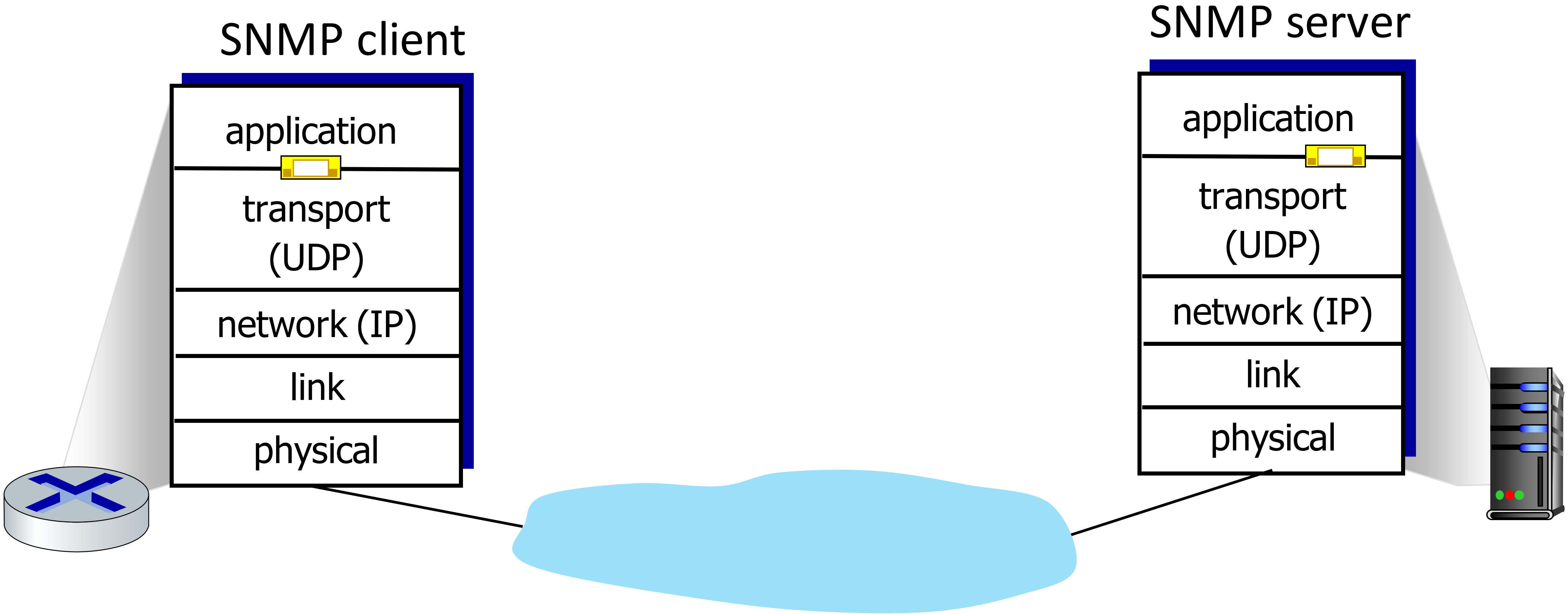
This User Datagram Protocol (UDP) is defined to make available a datagram mode of packet-switched computer communication in the environment of an interconnected set of computer networks. This protocol assumes that the Internet Protocol (IP) [1] is used as the underlying protocol.

This protocol provides a procedure for application programs to send messages to other programs with a minimum of protocol mechanism. The protocol is transaction oriented, and delivery and duplicate protection are not guaranteed. Applications requiring ordered reliable delivery of streams of data should use the Transmission Control Protocol (TCP) [2].

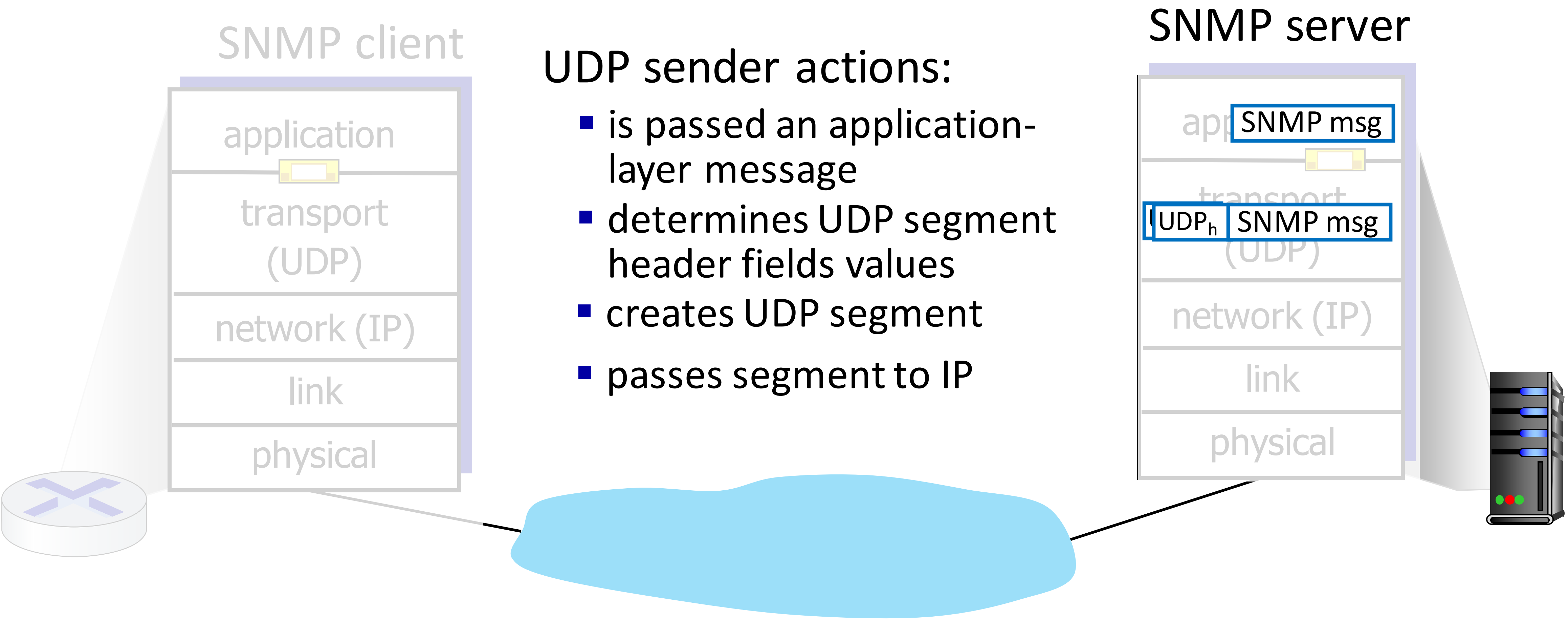
Format

```
 0      7 8     15 16    23 24    31
+--------+--------+--------+--------+
|     Source      |   Destination   |
|      Port       |      Port       |
+--------+--------+--------+--------+
|                 |                 |
|     Length      |    Checksum     |
+--------+--------+--------+--------+
|
|          data octets ...
+---------------- ...
```

UDP: Transport Layer Actions



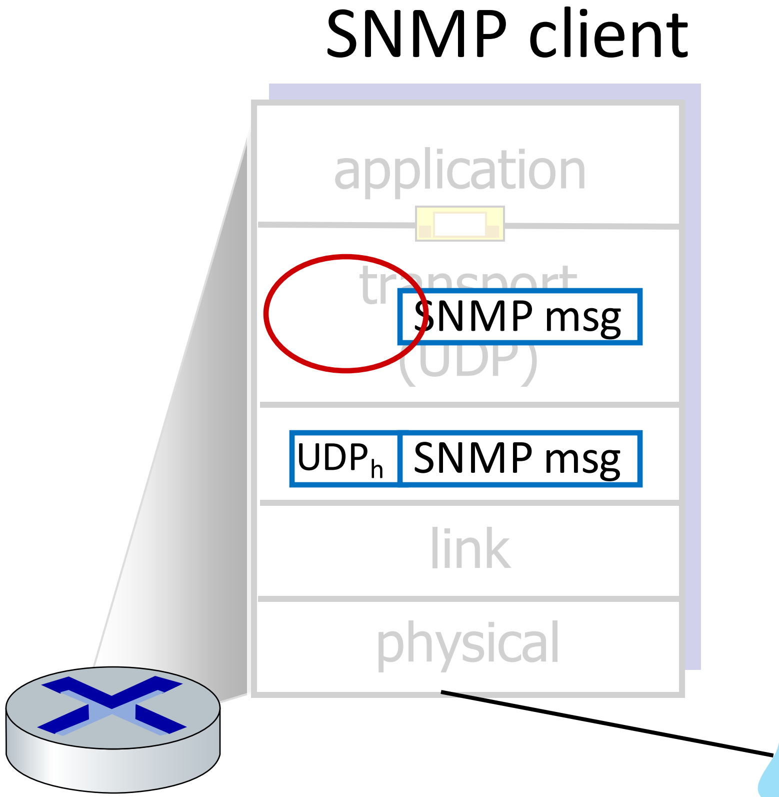
UDP: Transport Layer Actions



UDP sender actions:

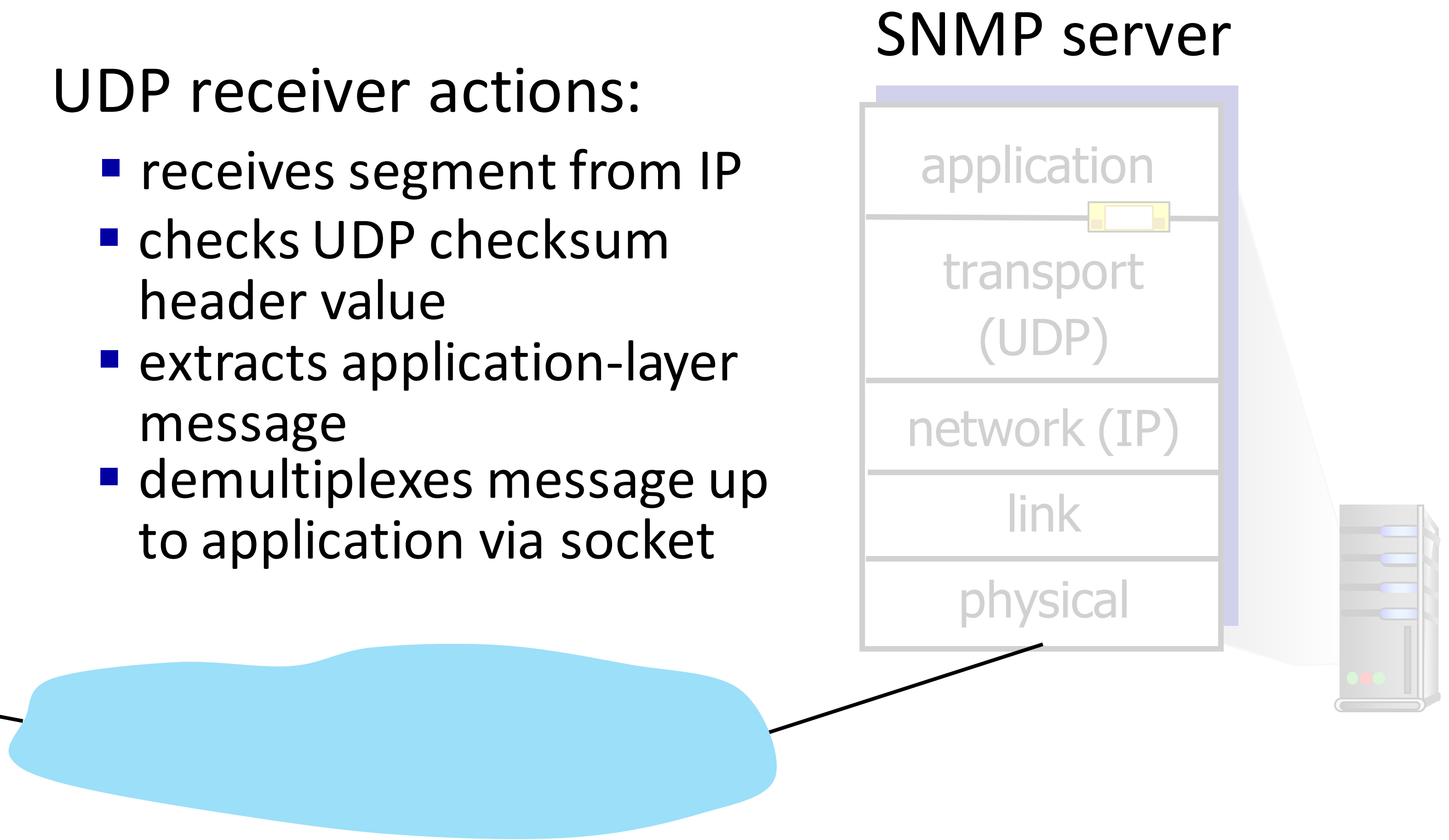
- is passed an application-layer message
- determines UDP segment header fields values
- creates UDP segment
- passes segment to IP

UDP: Transport Layer Actions

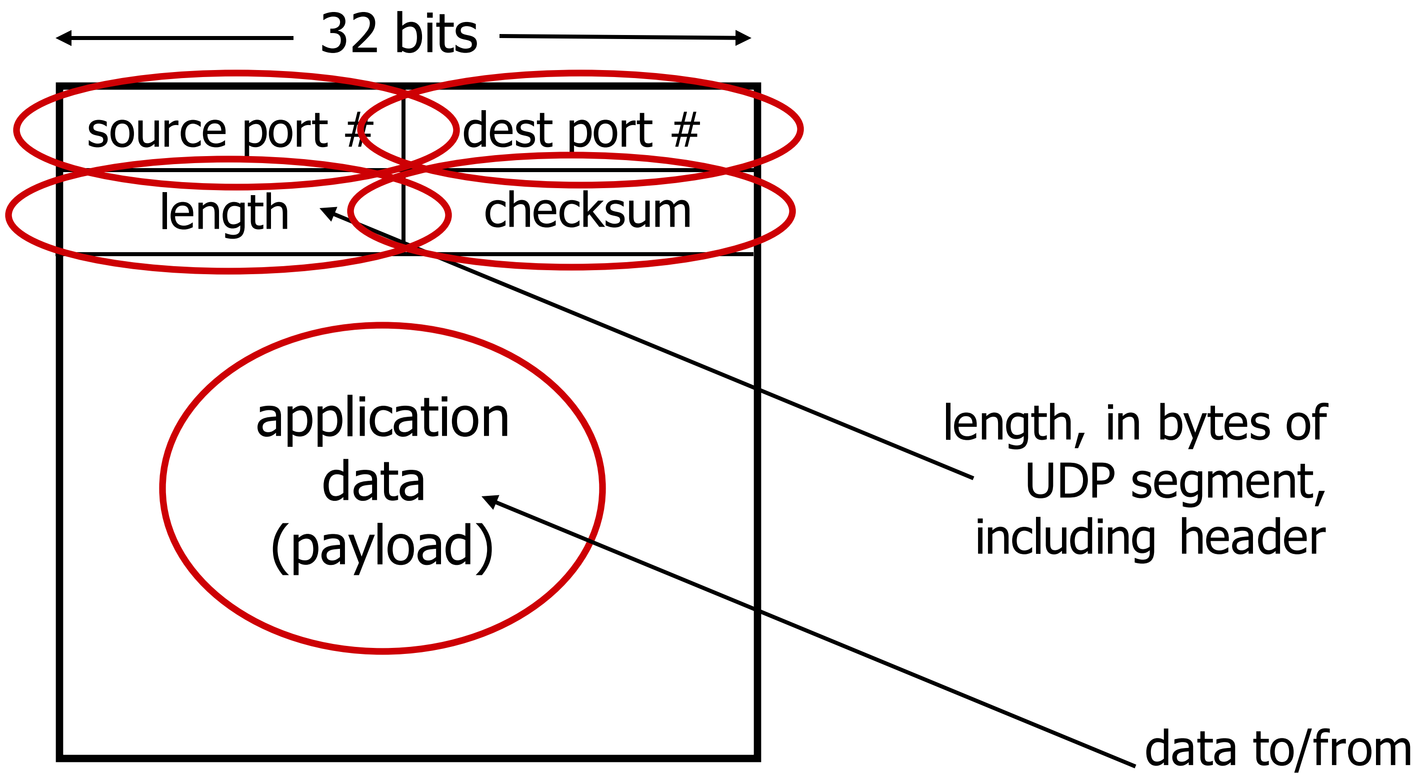


UDP receiver actions:

- receives segment from IP
- checks UDP checksum header value
- extracts application-layer message
- demultiplexes message up to application via socket



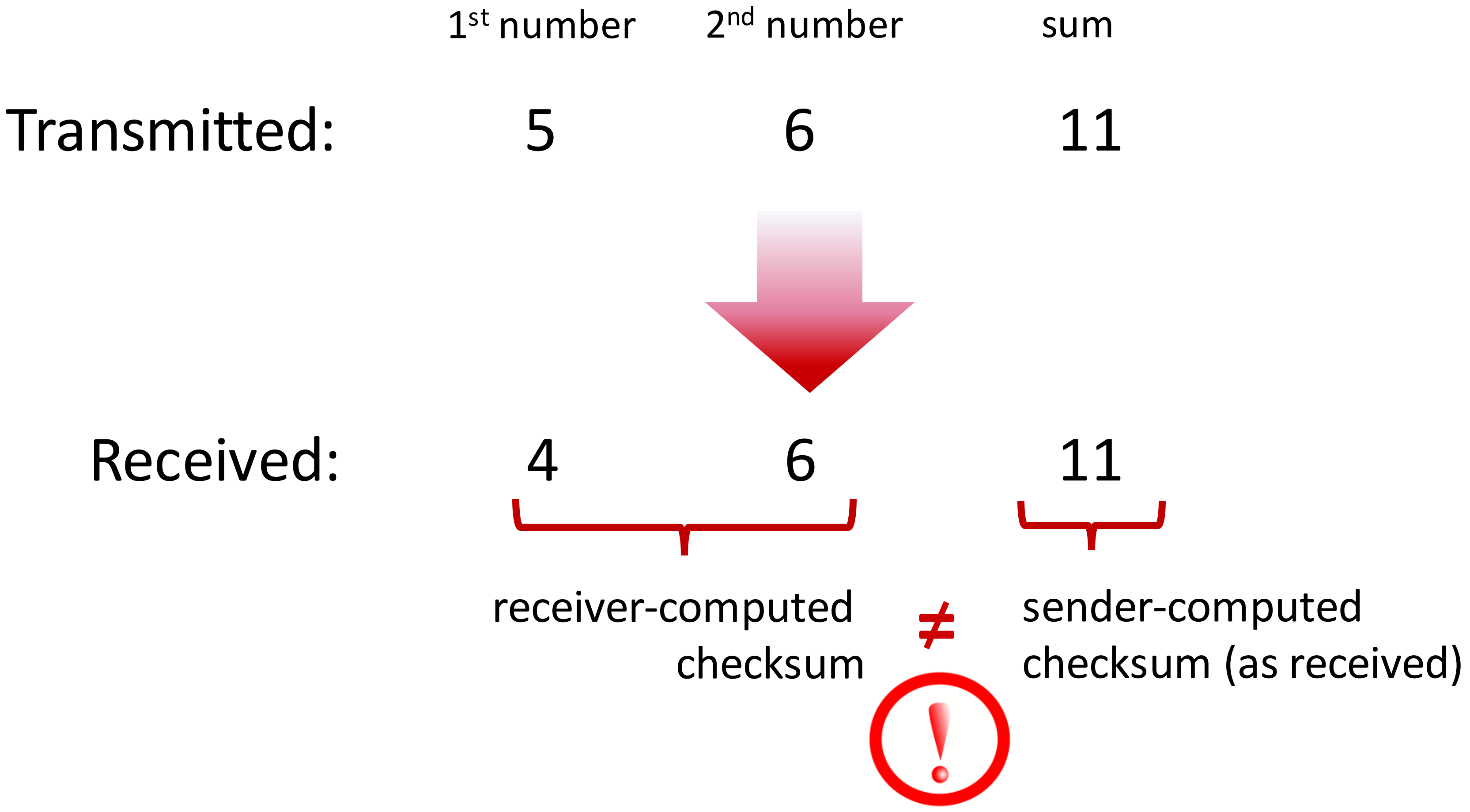
UDP segment header



UDP segment format

UDP checksum

Goal: detect errors (*i.e.,* flipped bits) in transmitted segment



	1st number	2nd number	sum
Transmitted:	5	6	11
Received:	4	6	11

receiver-computed checksum ≠ sender-computed checksum (as received)

UDP checksum

Goal: detect errors (*i.e.,* flipped bits) in transmitted segment

sender:

- treat contents of UDP segment (including UDP header fields and IP addresses) as sequence of 16-bit integers
- checksum: addition (one's complement sum) of segment content
- checksum value put into UDP checksum field

receiver:

- compute checksum of received segment
- check if computed checksum equals checksum field value:
  - Not equal - error detected
  - Equal - no error detected. *But maybe errors nonetheless?* More later ….

Internet checksum: an example

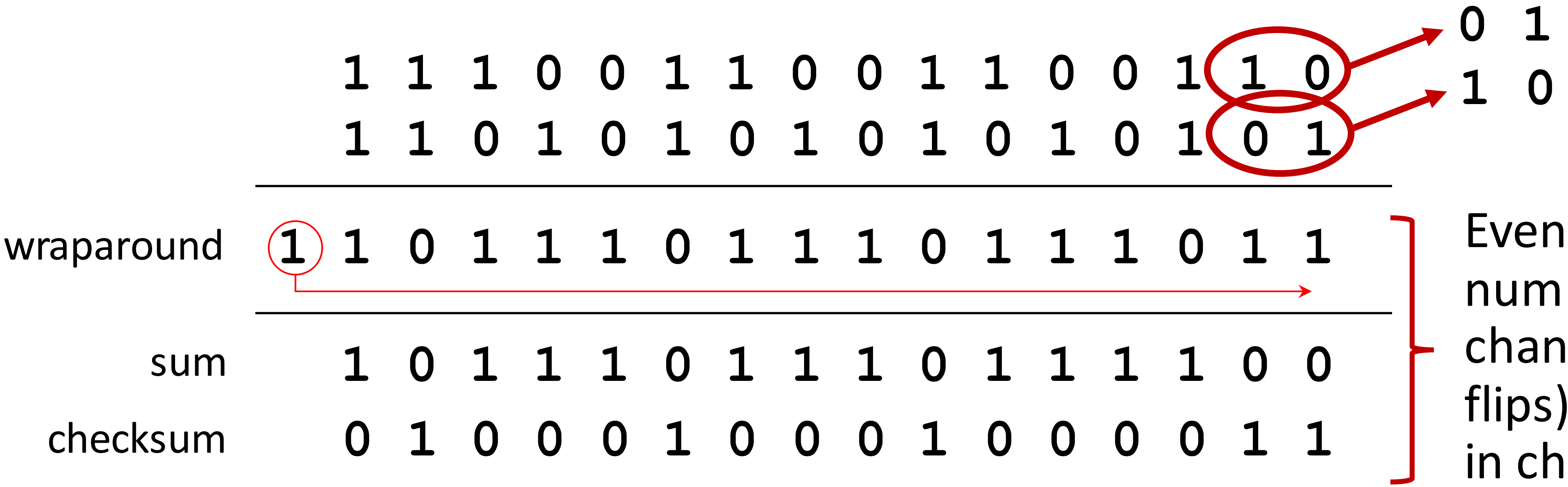
example: add two 16-bit integers

		1	1	1	0	0	1	1	0	0	1	1	0	0	1	1	0
		1	1	0	1	0	1	0	1	0	1	0	1	0	1	0	1
wraparound	1	1	0	1	1	1	0	1	1	1	0	1	1	1	0	1	1
sum		1	0	1	1	1	0	1	1	1	0	1	1	1	1	0	0
checksum		0	1	0	0	0	1	0	0	0	1	0	0	0	0	1	1

Note: when adding numbers, a carryout from the most significant bit needs to be added to the result

Internet checksum: weak protection!

example: add two 16-bit integers



```
              1 1 1 0 0 1 1 0 0 1 1 0 0 1 1 0      0 1
              1 1 0 1 0 1 0 1 0 1 0 1 0 1 0 1      1 0

wraparound  1 1 0 1 1 1 0 1 1 1 0 1 1 1 0 1 1

sum           1 0 1 1 1 0 1 1 1 0 1 1 1 1 0 0
checksum      0 1 0 0 0 1 0 0 0 1 0 0 0 0 1 1
```

Even though numbers have changed (bit flips), *no* change in checksum!

Summary: UDP

- “no frills” protocol:
  - segments may be lost, delivered out of order
  - best effort service: “send and hope for the best”
- UDP has its pluses:
  - no setup/handshaking needed (no RTT incurred)
  - can function when network service is compromised
  - helps with reliability (checksum)
- build additional functionality on top of UDP in application layer (e.g., HTTP/3)

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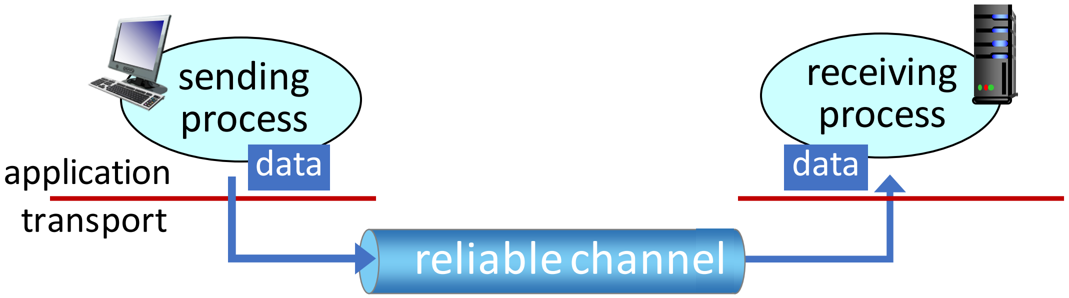
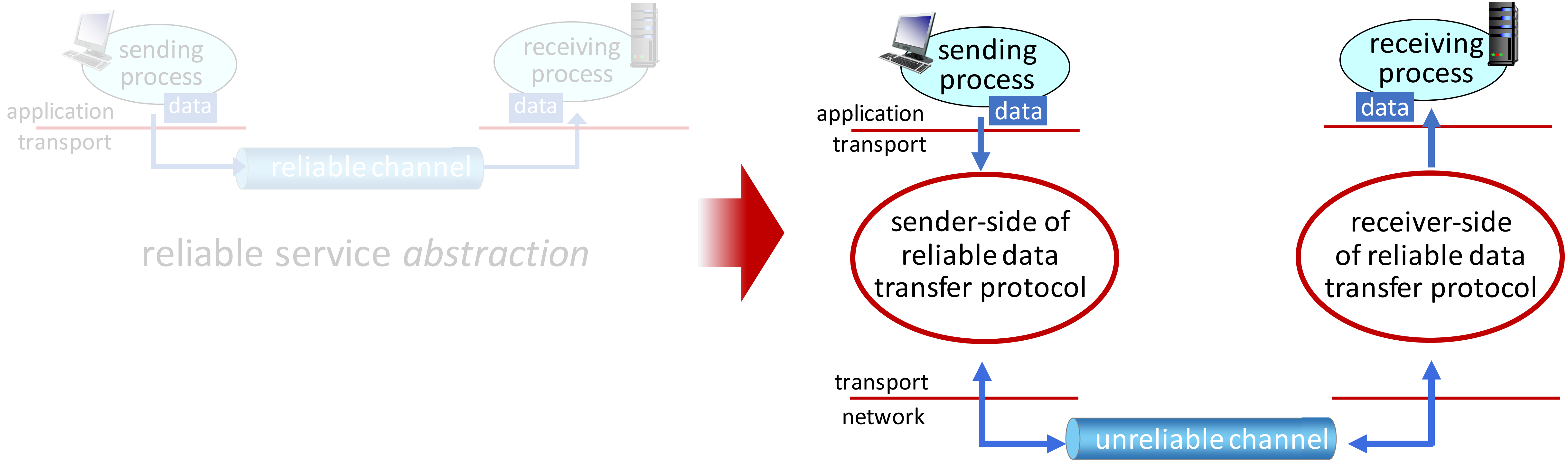
Principles of reliable data transfer



reliable service *abstraction*

Principles of reliable data transfer



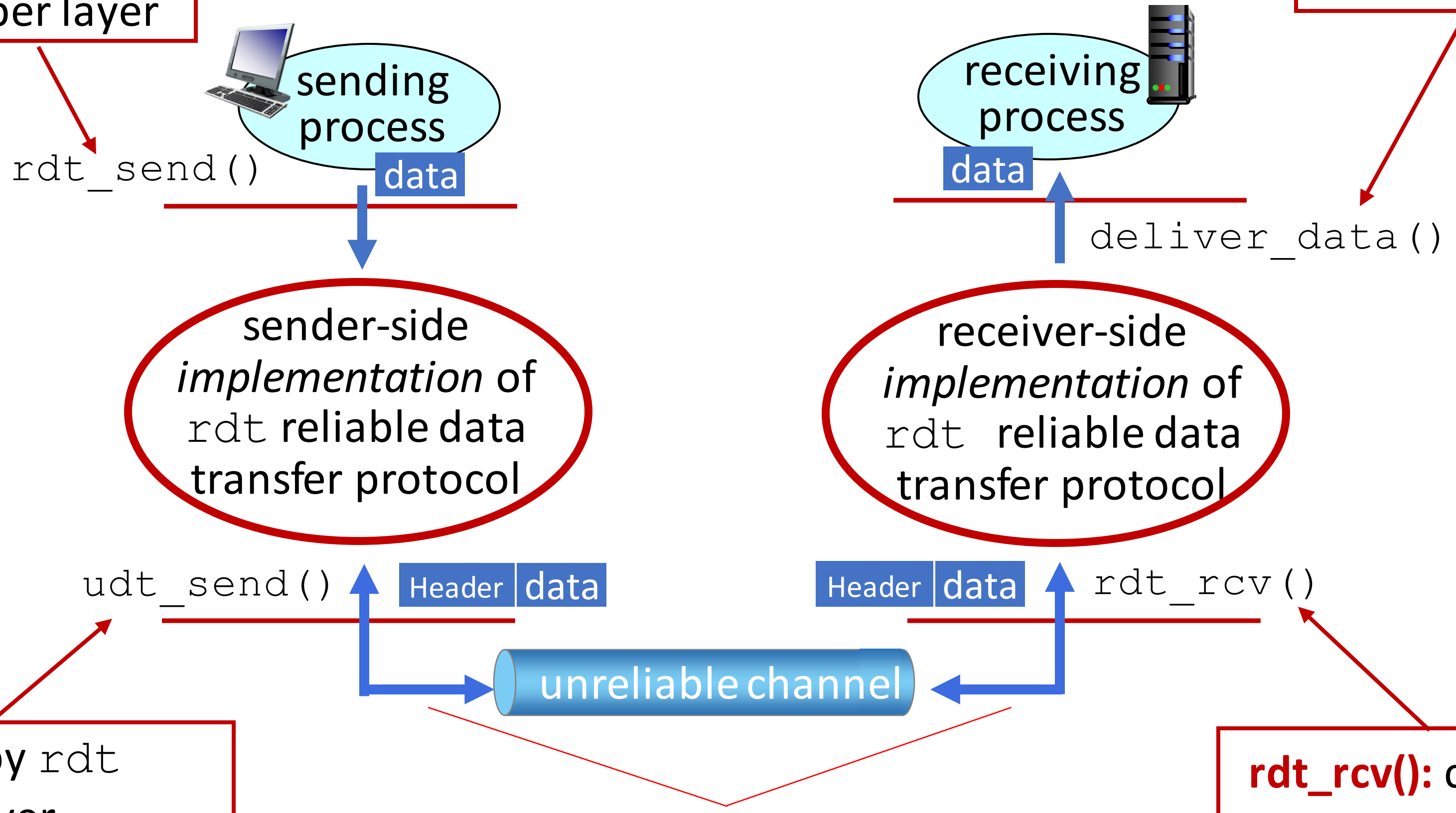
reliable service *abstraction*

reliable service *implementation*

Reliable data transfer protocol (rdt): interfaces

rdt_send(): called from above, (e.g., by app.). Passed data to deliver to receiver upper layer

deliver_data(): called by `rdt` to deliver data to upper layer


sending process
data
rdt_send()
sender-side *implementation* of rdt reliable data transfer protocol
udt_send()
Header
data
unreliable channel
receiving process
data
deliver_data()
receiver-side *implementation* of rdt reliable data transfer protocol
Header
data
rdt_rcv()

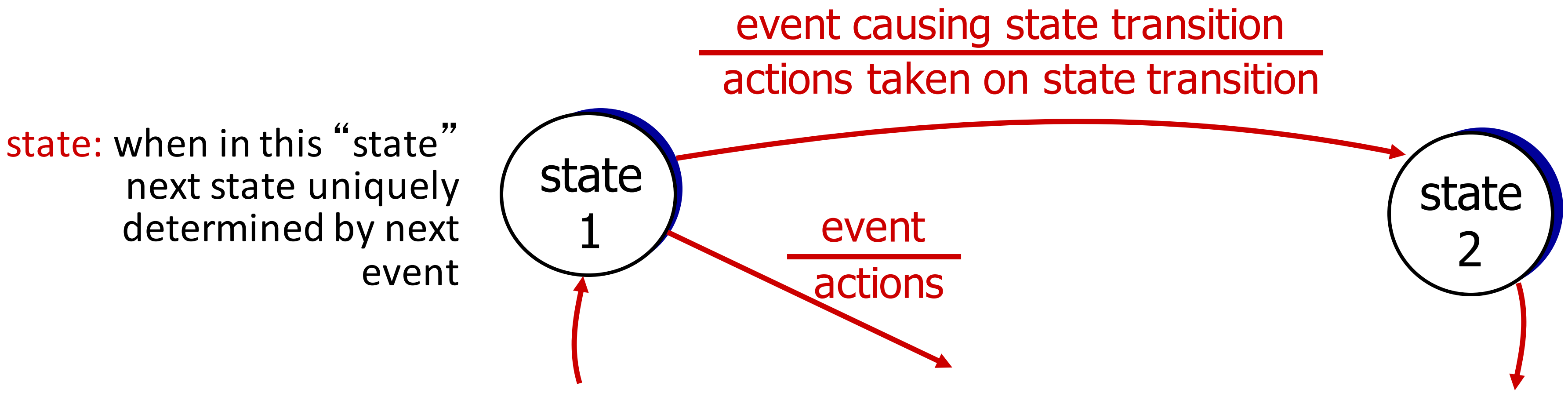
Bi-directional communication over unreliable channel

udt_send(): called by `rdt` to transfer packet over unreliable channel to receiver

rdt_rcv(): called when packet arrives on receiver side of channel

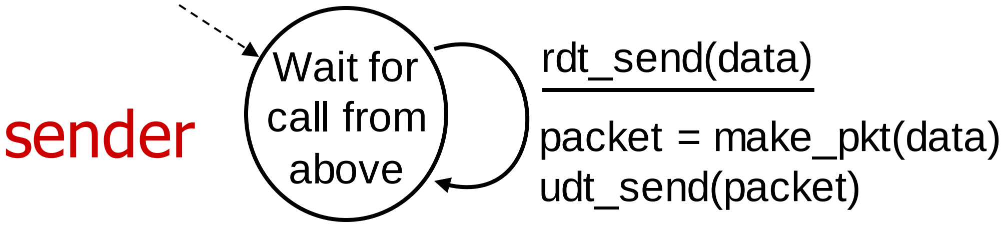
Reliable data transfer: getting started

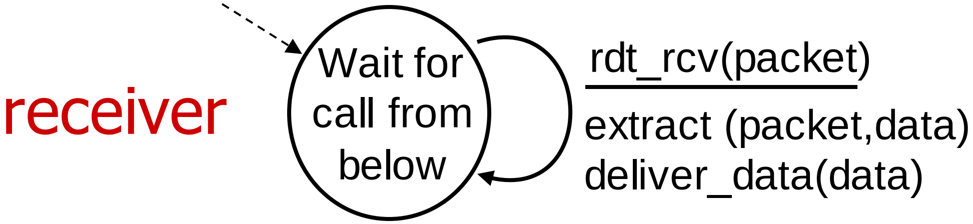
- incrementally develop sender, receiver sides of reliable data transfer protocol (`rdt`)
- consider only unidirectional data transfer
  - but control info will flow in both directions!
- use finite state machines (FSM) to specify sender, receiver


event causing state transition
actions taken on state transition
state: when in this "state" next state uniquely determined by next event
state 1
state 2
event
actions

rdt1.0: reliable transfer over a reliable channel

- underlying channel perfectly reliable
  - no bit errors
  - no loss of packets
- *separate* FSMs for sender, receiver:
  - sender sends data into underlying channel
  - receiver reads data from underlying channel





rdt2.0: channel with bit errors

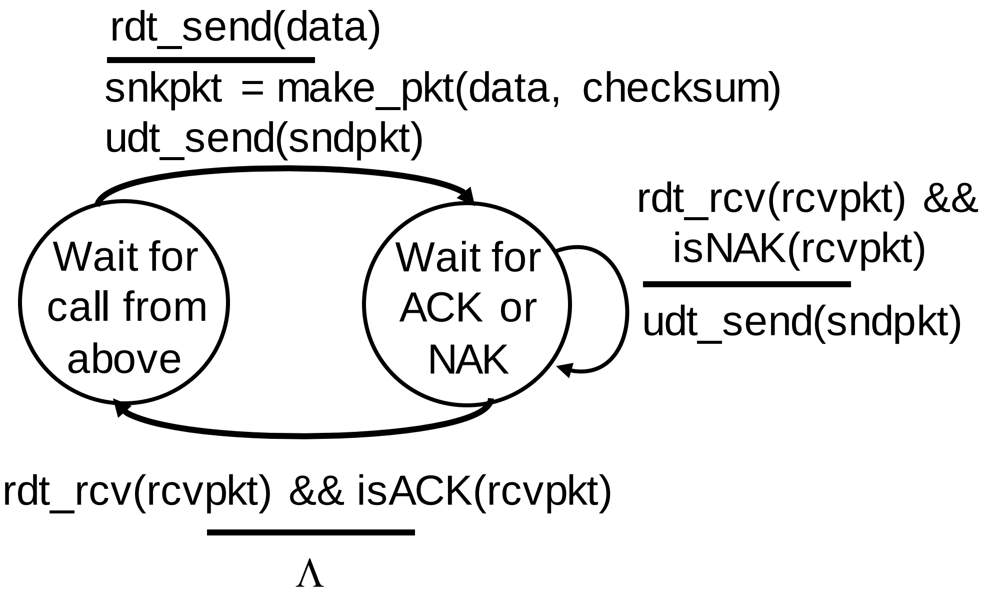
- underlying channel may flip bits in packet
  - checksum (e.g., Internet checksum) to detect bit errors
- *the* question: how to recover from errors?
  - *acknowledgements (ACKs):* receiver explicitly tells sender that pkt received OK
  - *negative acknowledgements (NAKs):* receiver explicitly tells sender that pkt had errors
  - sender *retransmits* pkt on receipt of NAK

stop and wait

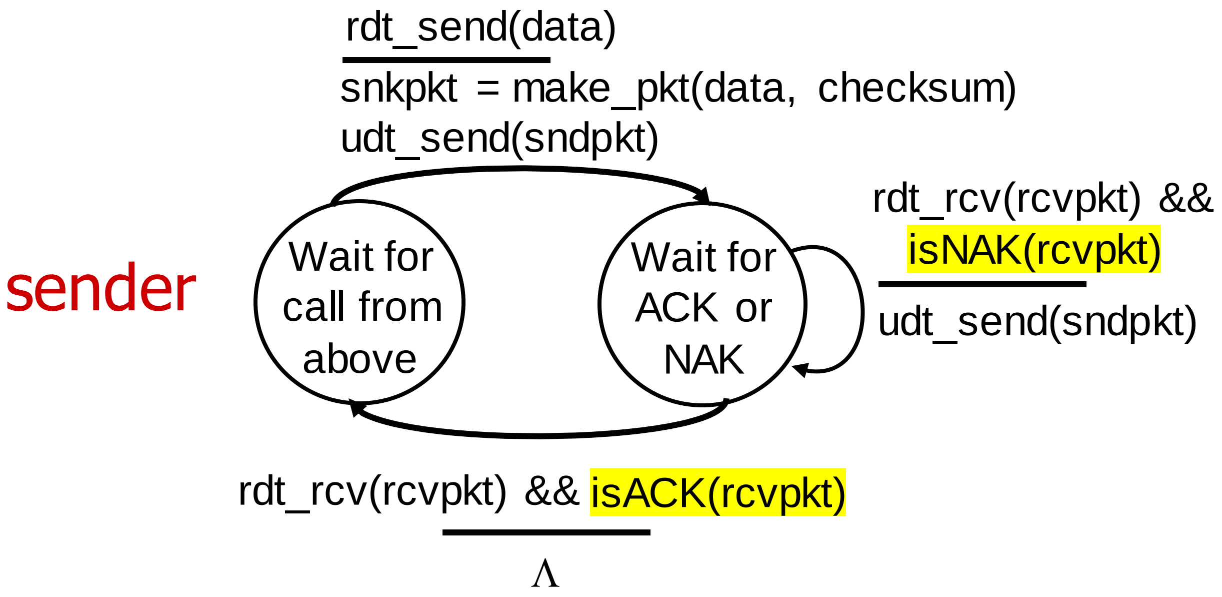
sender sends one packet, then waits for receiver response

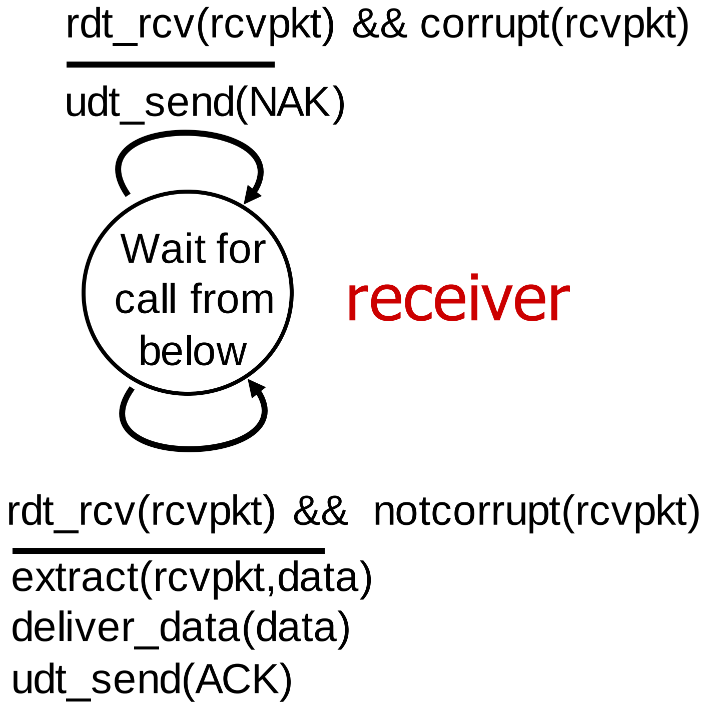
rdt2.0: FSM specifications

sender


rdt_send(data)
snkpkt = make_pkt(data, checksum)
udt_send(sndpkt)
Wait for call from above
Wait for ACK or NAK
rdt_rcv(rcvpkt) && isNAK(rcvpkt)
udt_send(sndpkt)
rdt_rcv(rcvpkt) && isACK(rcvpkt)
Λ

rdt2.0: FSM specification

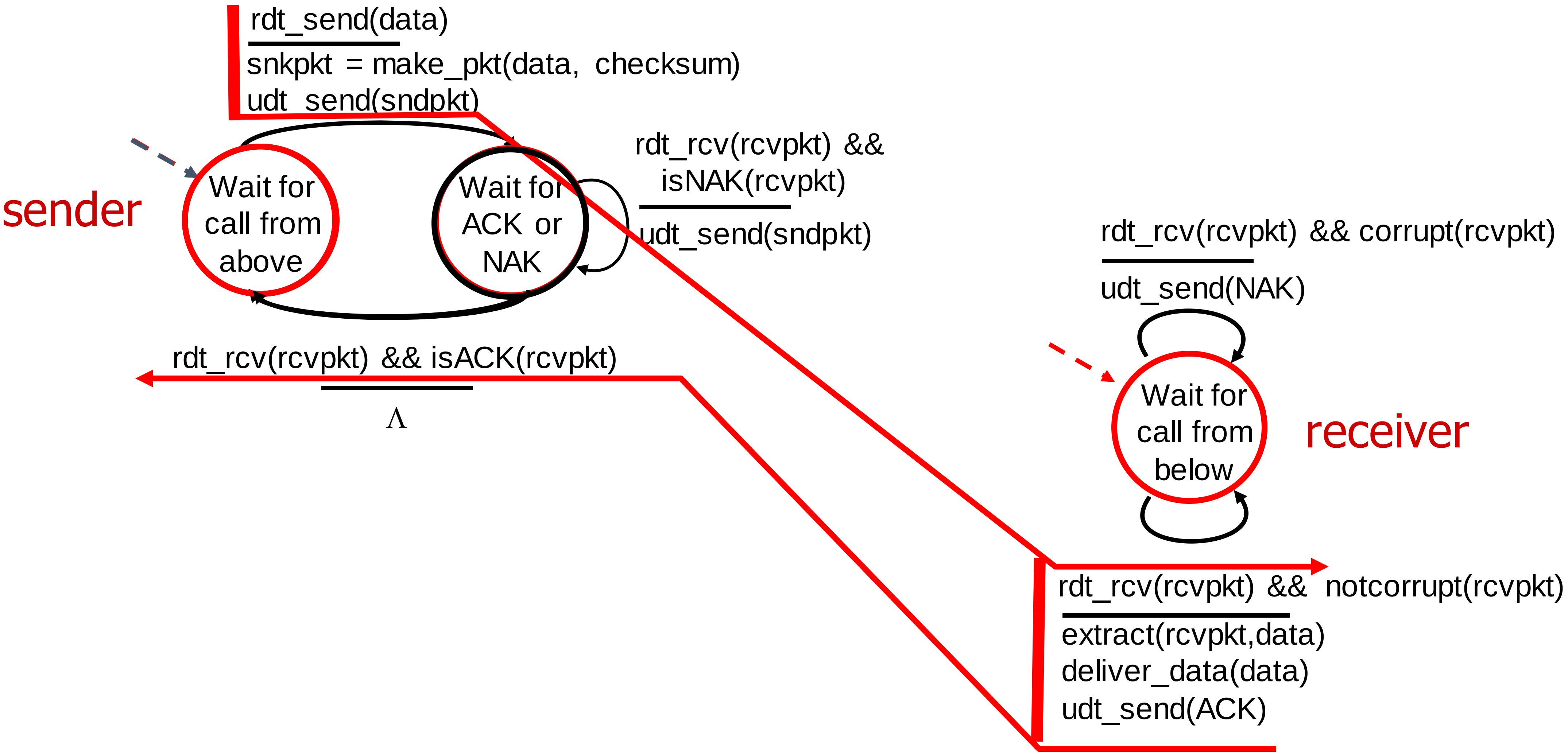




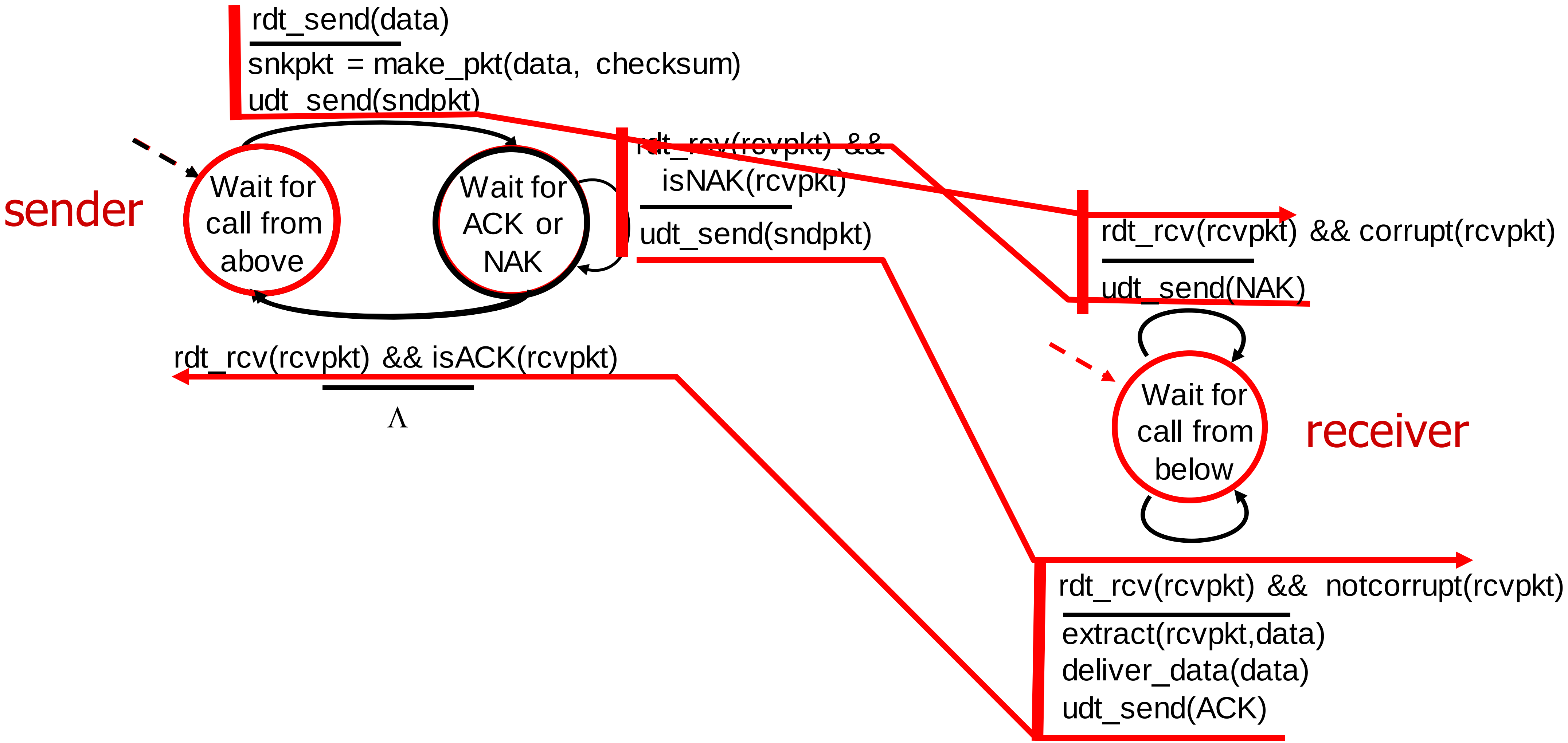
Note: "state" of receiver (did the receiver get my message correctly?) isn't known to sender unless somehow communicated from receiver to sender

- that's why we need a protocol!

rdt2.0: operation with no errors



rdt2.0: corrupted packet scenario



rdt2.0 has a fatal flaw!

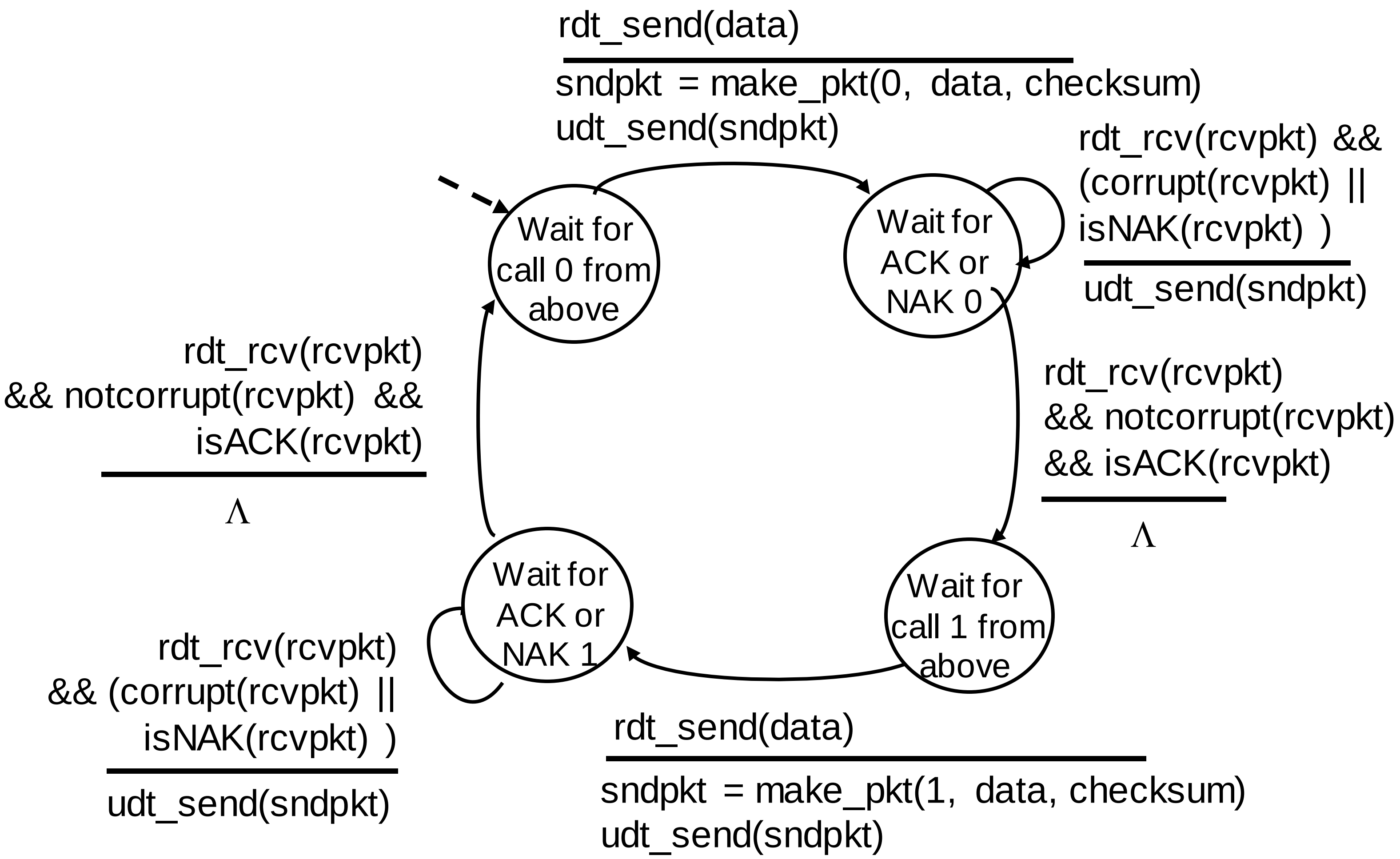
what happens if ACK/NAK corrupted?

- sender doesn't know what happened at receiver!
- can't just retransmit: possible duplicate

handling duplicates:

- sender retransmits current pkt if ACK/NAK corrupted
- sender adds *sequence number* to each pkt
- receiver discards (doesn't deliver up) duplicate pkt

rdt2.1: sender, handling garbled ACK/NAKs



rdt_send(data)

sndpkt = make_pkt(0, data, checksum)
udt_send(sndpkt)

rdt_rcv(rcvpkt) && (corrupt(rcvpkt) || isNAK(rcvpkt))

udt_send(sndpkt)

rdt_rcv(rcvpkt) && notcorrupt(rcvpkt) && isACK(rcvpkt)

Λ

rdt_send(data)

sndpkt = make_pkt(1, data, checksum)
udt_send(sndpkt)

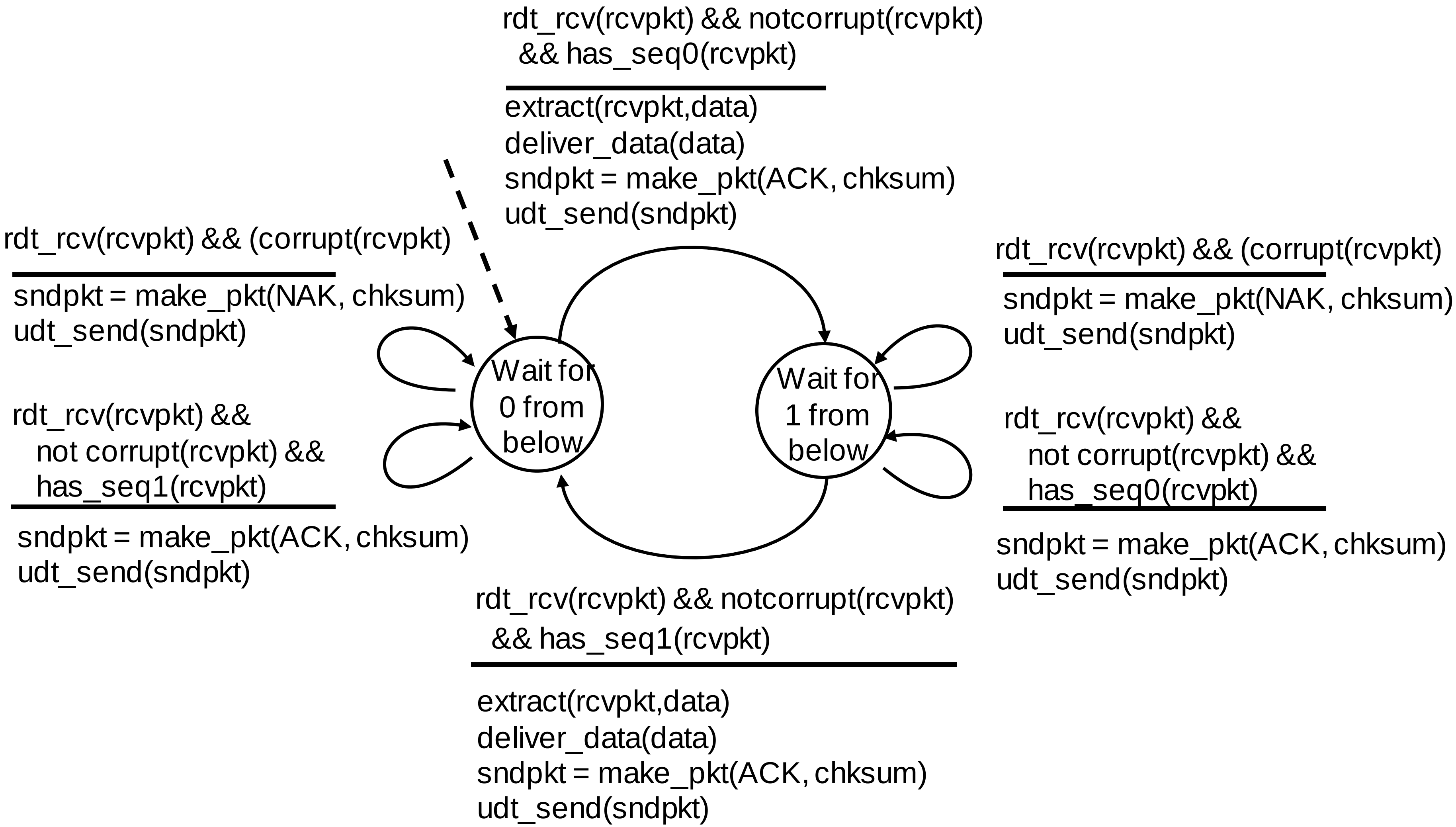
rdt_rcv(rcvpkt) && (corrupt(rcvpkt) || isNAK(rcvpkt))

udt_send(sndpkt)

rdt_rcv(rcvpkt) && notcorrupt(rcvpkt) && isACK(rcvpkt)

Λ

rdt2.1: receiver, handling garbled ACK/NAKs



rdt_rcv(rcvpkt) && notcorrupt(rcvpkt)
&& has_seq0(rcvpkt)

extract(rcvpkt,data)
deliver_data(data)
sndpkt = make_pkt(ACK, chksum)
udt_send(sndpkt)

rdt_rcv(rcvpkt) && (corrupt(rcvpkt)

sndpkt = make_pkt(NAK, chksum)
udt_send(sndpkt)

rdt_rcv(rcvpkt) &&
not corrupt(rcvpkt) &&
has_seq1(rcvpkt)

sndpkt = make_pkt(ACK, chksum)
udt_send(sndpkt)

rdt_rcv(rcvpkt) && (corrupt(rcvpkt)

sndpkt = make_pkt(NAK, chksum)
udt_send(sndpkt)

rdt_rcv(rcvpkt) &&
not corrupt(rcvpkt) &&
has_seq0(rcvpkt)

sndpkt = make_pkt(ACK, chksum)
udt_send(sndpkt)

rdt_rcv(rcvpkt) && notcorrupt(rcvpkt)
&& has_seq1(rcvpkt)

extract(rcvpkt,data)
deliver_data(data)
sndpkt = make_pkt(ACK, chksum)
udt_send(sndpkt)

rdt2.1: discussion

sender:

- seq # added to pkt
- two seq. #s (0,1) will suffice. Why?
- must check if received ACK/NAK corrupted
- twice as many states
  - state must "remember" whether "expected" pkt should have seq # of 0 or 1

receiver:

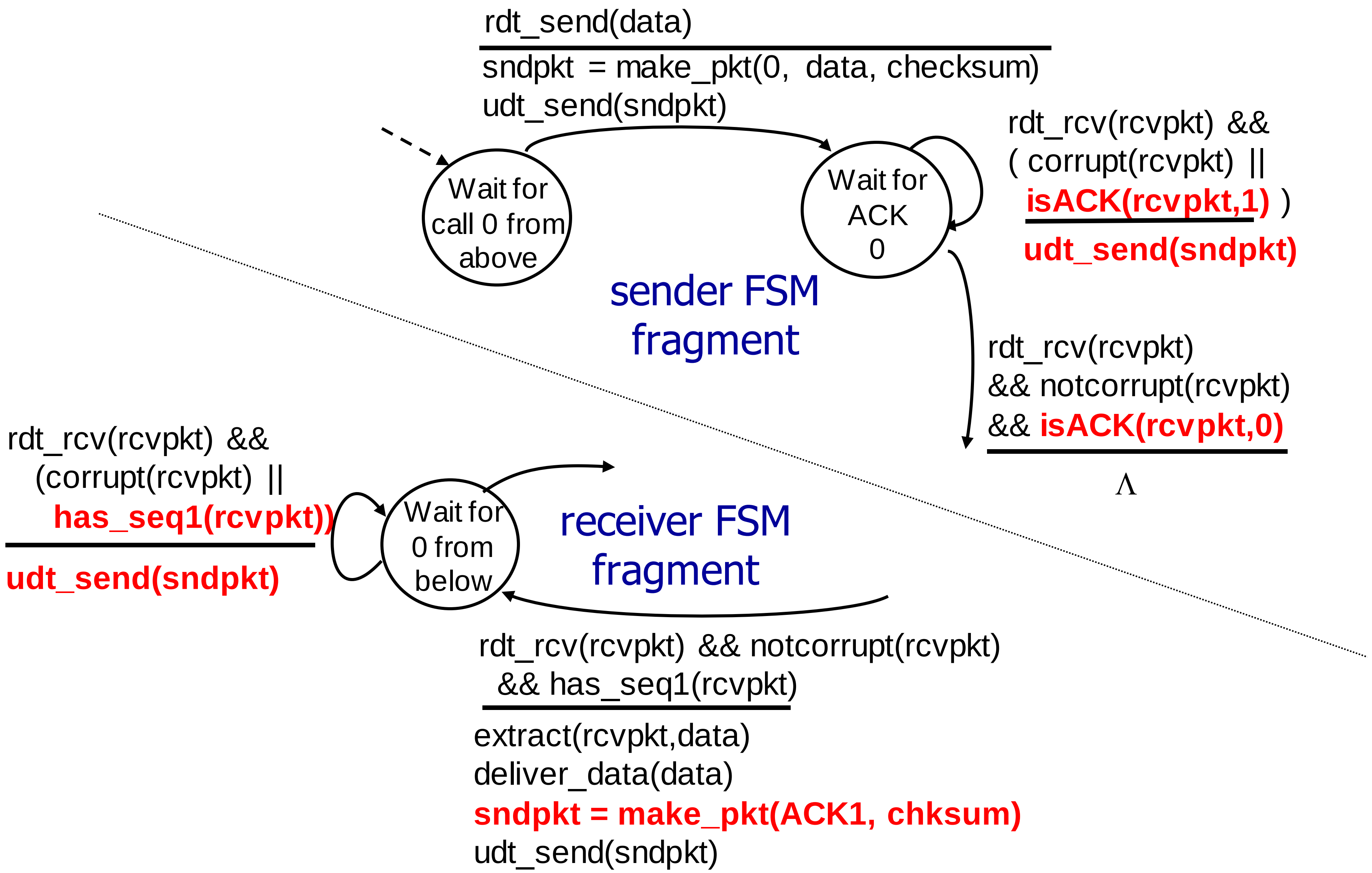
- must check if received packet is duplicate
  - state indicates whether 0 or 1 is expected pkt seq #
- note: receiver can *not* know if its last ACK/NAK received OK at sender

rdt2.2: a NAK-free protocol

- same functionality as rdt2.1, using ACKs only
- instead of NAK, receiver sends ACK for last pkt received OK
  - receiver must *explicitly* include seq # of pkt being ACKed
- duplicate ACK at sender results in same action as NAK: *retransmit current pkt*

As we will see, TCP uses this approach to be NAK-free

rdt2.2: sender, receiver fragments



sender FSM fragment

rdt_send(data)

sndpkt = make_pkt(0, data, checksum)
udt_send(sndpkt)

rdt_rcv(rcvpkt) &&
(corrupt(rcvpkt) ||
isACK(rcvpkt,1))

udt_send(sndpkt)

rdt_rcv(rcvpkt)
&& notcorrupt(rcvpkt)
&& **isACK(rcvpkt,0)**

Λ

receiver FSM fragment

rdt_rcv(rcvpkt) &&
(corrupt(rcvpkt) ||
has_seq1(rcvpkt))

udt_send(sndpkt)

rdt_rcv(rcvpkt) && notcorrupt(rcvpkt)
&& has_seq1(rcvpkt)

extract(rcvpkt,data)
deliver_data(data)
sndpkt = make_pkt(ACK1, chksum)
udt_send(sndpkt)

rdt3.0: channels with errors *and* loss

New channel assumption: underlying channel can also *lose* packets (data, ACKs)

- checksum, sequence #s, ACKs, retransmissions will be of help … but not quite enough

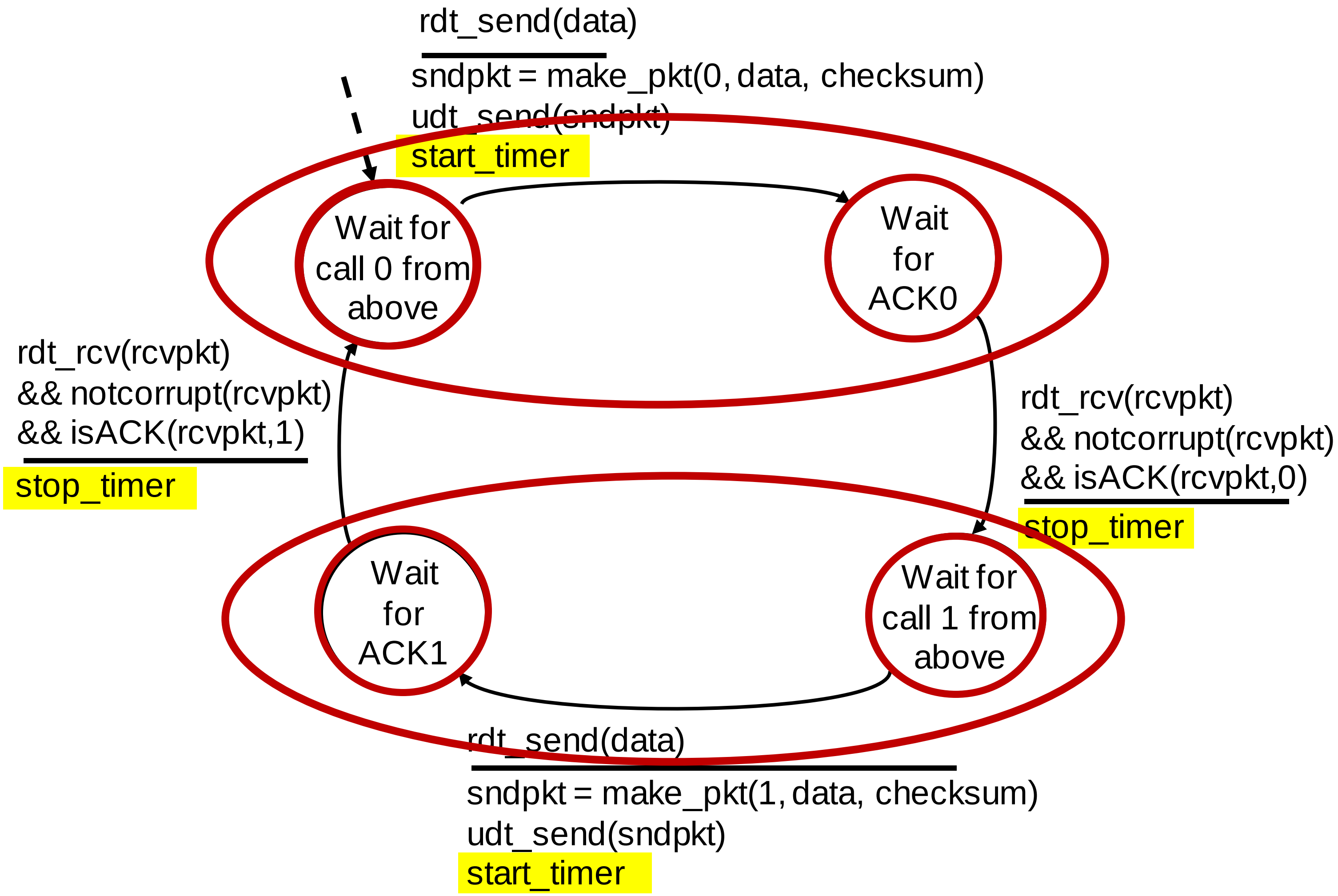
rdt3.0: channels with errors *and* loss

Approach: sender waits "reasonable" amount of time for ACK

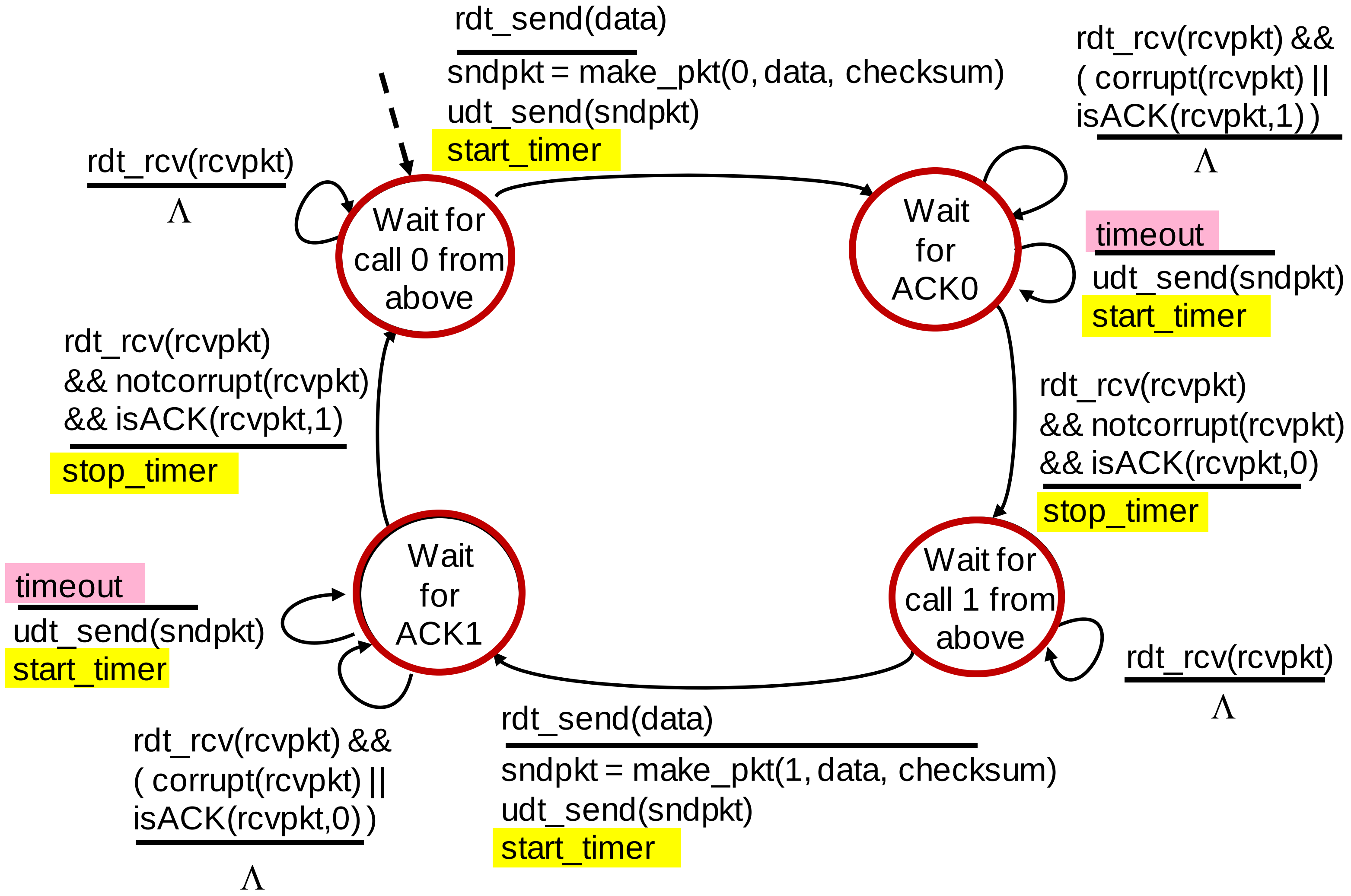
- retransmits if no ACK received in this time
- if pkt (or ACK) just delayed (not lost):
  - retransmission will be duplicate, but seq #s already handles this!
  - receiver must specify seq # of packet being ACKed
- use countdown timer to interrupt after "reasonable" amount of time

timeout

rdt3.0 sender



rdt3.0 sender



rdt_send(data)

sndpkt = make_pkt(0, data, checksum)
udt_send(sndpkt)
start_timer

rdt_rcv(rcvpkt)

Λ

Wait for call 0 from above

Wait for ACK0

rdt_rcv(rcvpkt) &&
(corrupt(rcvpkt) ||
isACK(rcvpkt,1))

Λ

timeout

udt_send(sndpkt)
start_timer

rdt_rcv(rcvpkt)
&& notcorrupt(rcvpkt)
&& isACK(rcvpkt,1)

stop_timer

rdt_rcv(rcvpkt)
&& notcorrupt(rcvpkt)
&& isACK(rcvpkt,0)

stop_timer

timeout

udt_send(sndpkt)
start_timer

Wait for ACK1

Wait for call 1 from above

rdt_rcv(rcvpkt)

Λ

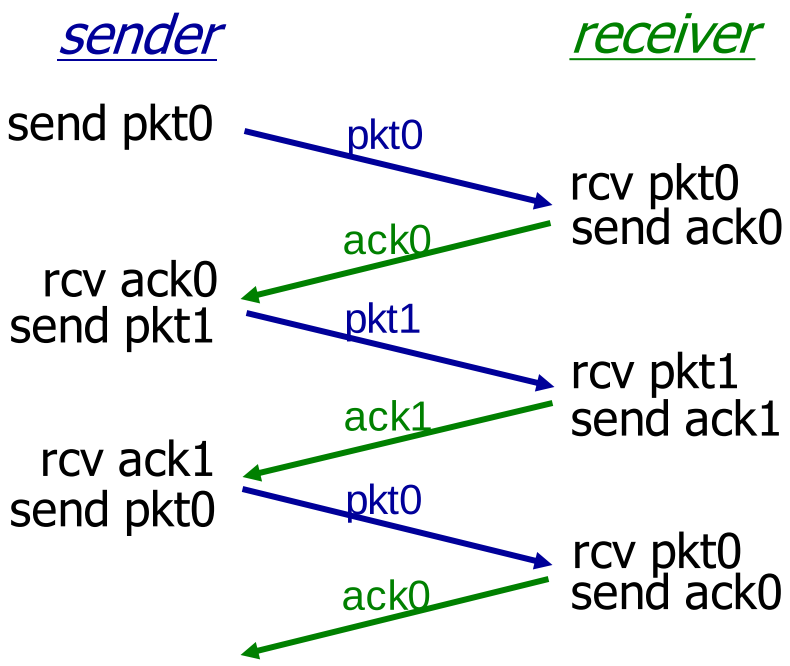
rdt_rcv(rcvpkt) &&
(corrupt(rcvpkt) ||
isACK(rcvpkt,0))

Λ

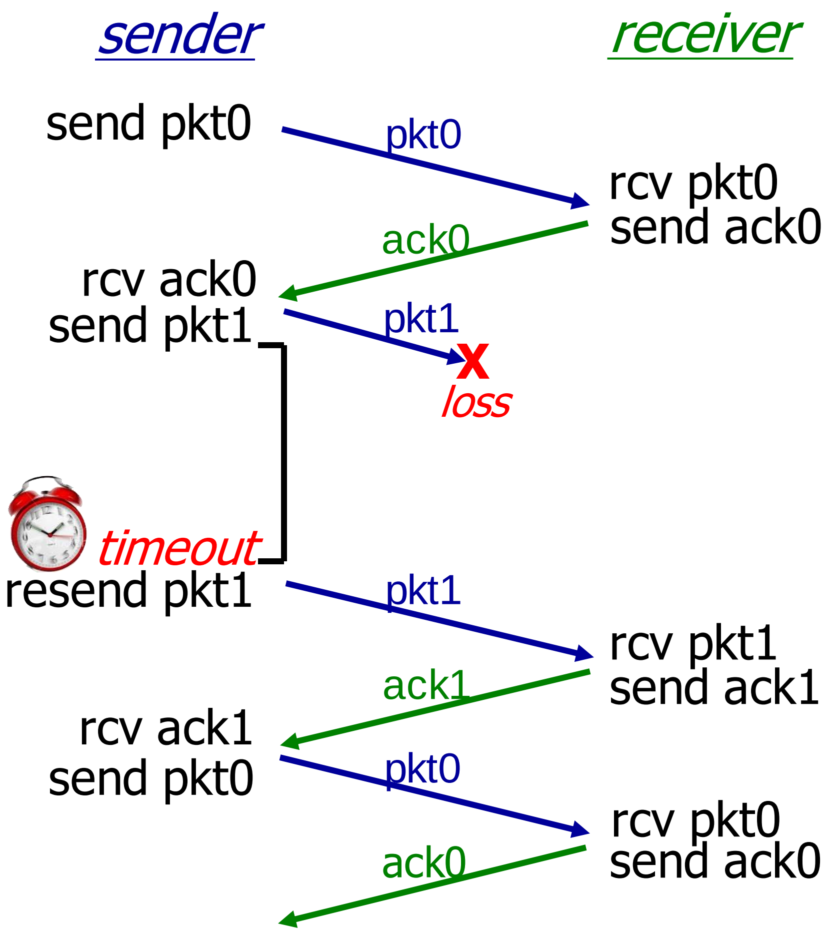
rdt_send(data)

sndpkt = make_pkt(1, data, checksum)
udt_send(sndpkt)
start_timer

rdt3.0 in action

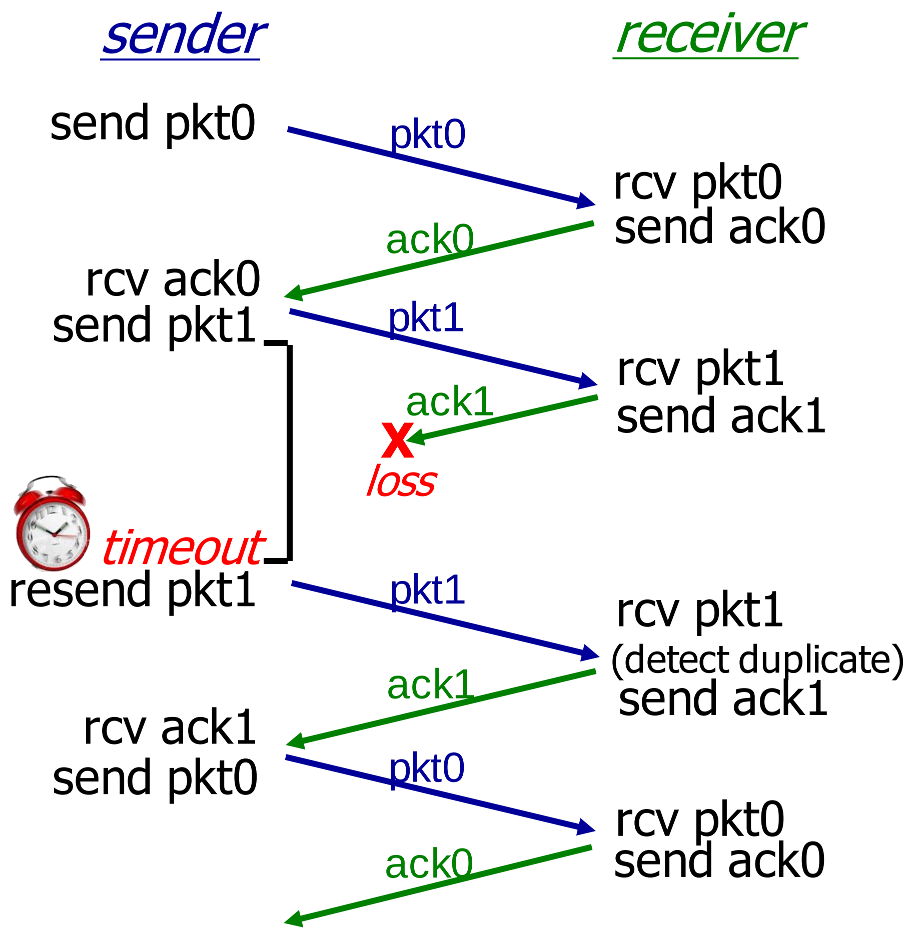


(a) no loss

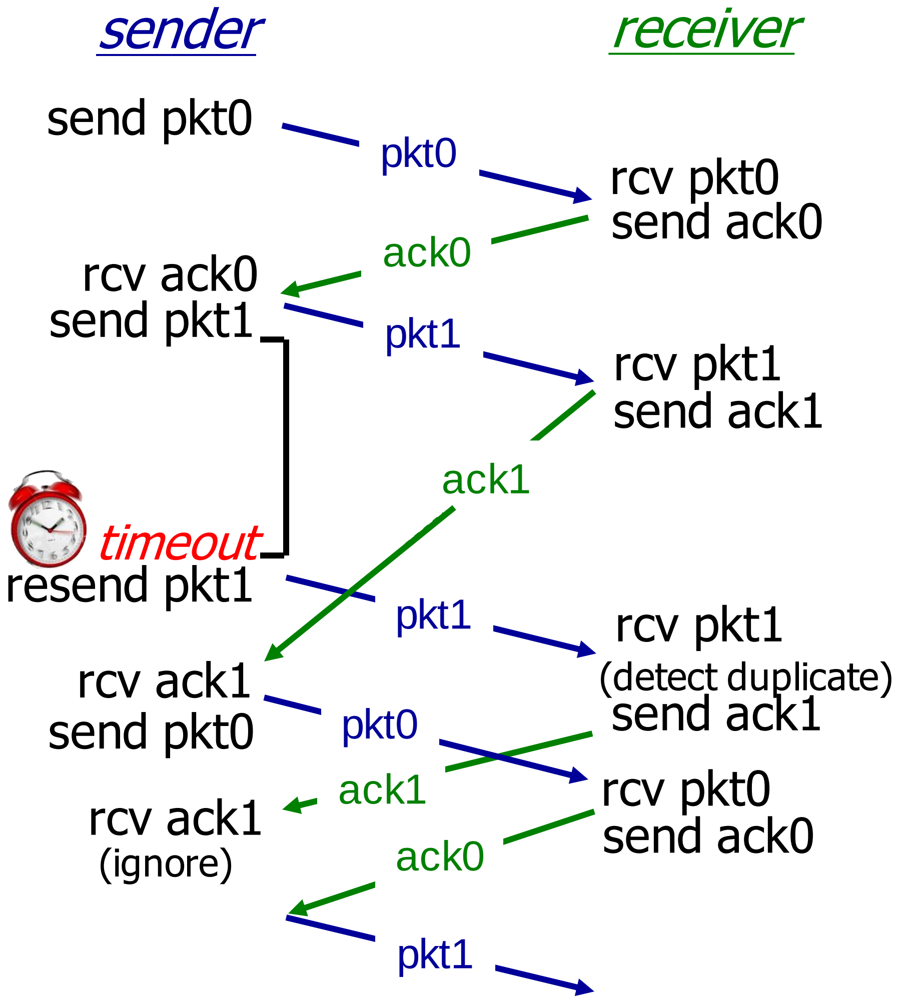


(b) packet loss

rdt3.0 in action



(c) ACK loss



(d) premature timeout/ delayed ACK

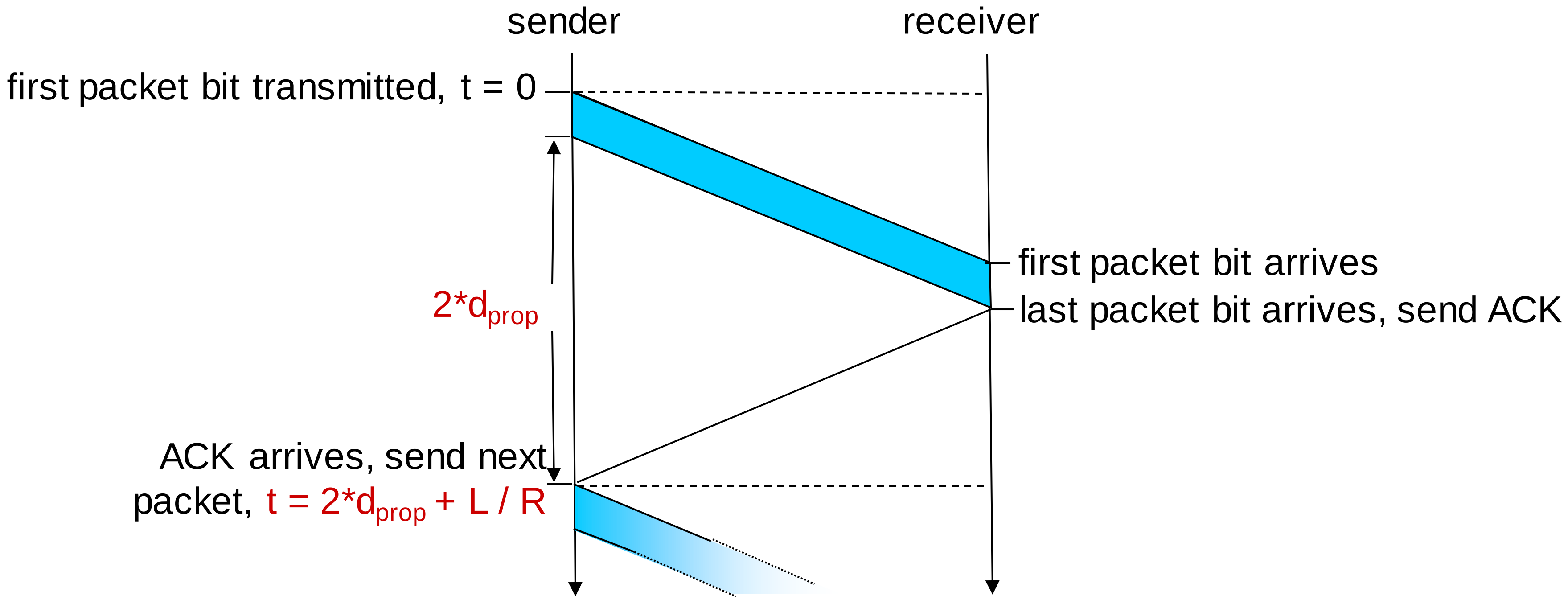
Performance of rdt3.0 (stop-and-wait)

- U_{sender}: *utilization* – fraction of time sender busy sending

- example: 1 Gbps link, 15 ms prop. delay, 8000 bit packet
  - time to transmit packet into channel:

$$D_{trans} = \frac{L}{R} = \frac{8000 \text{ bits}}{10^9 \text{ bits/sec}} = 8 \text{ microsecs}$$

rdt3.0: stop-and-wait operation

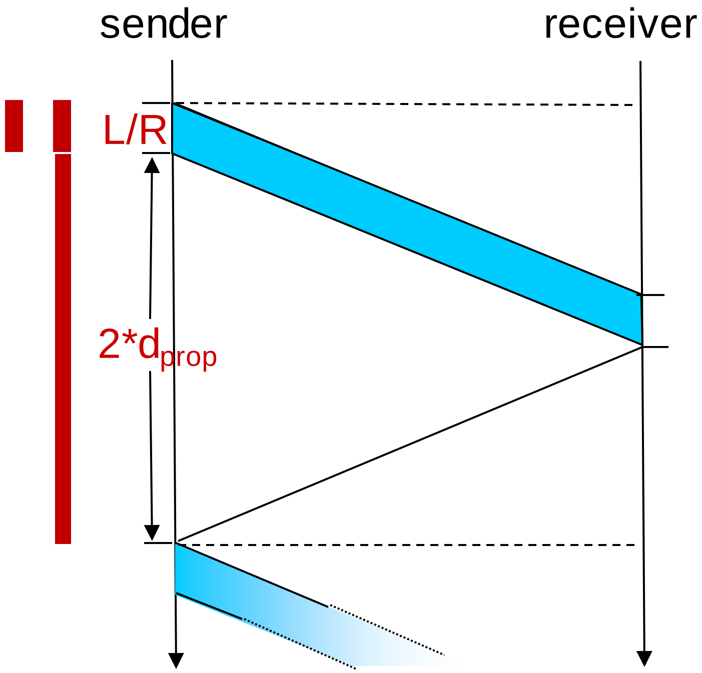

sender
receiver
first packet bit transmitted, t = 0
first packet bit arrives
last packet bit arrives, send ACK
$2*d_{prop}$
ACK arrives, send next packet, $t = 2*d_{prop} + L / R$

rdt3.0: stop-and-wait operation

$$U_{\text{sender}} = \frac{L / R}{2{*}d_{\text{prop}} + L / R}$$

$$= \frac{.008}{30.008}$$

$$= 0.00027$$

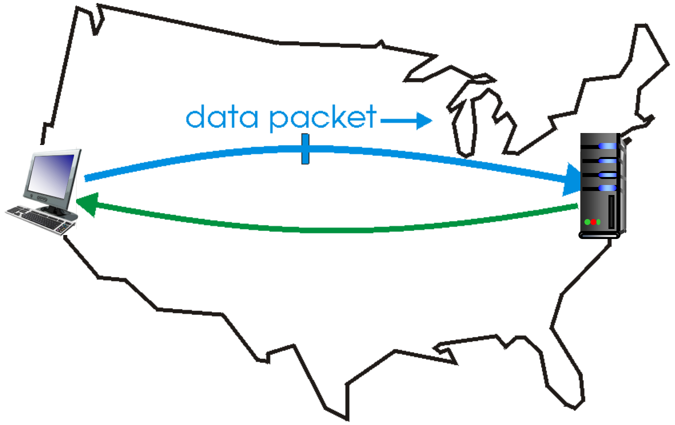


- rdt 3.0 protocol performance stinks!
- Protocol limits performance of underlying infrastructure (channel)

rdt3.0: pipelined protocols operation

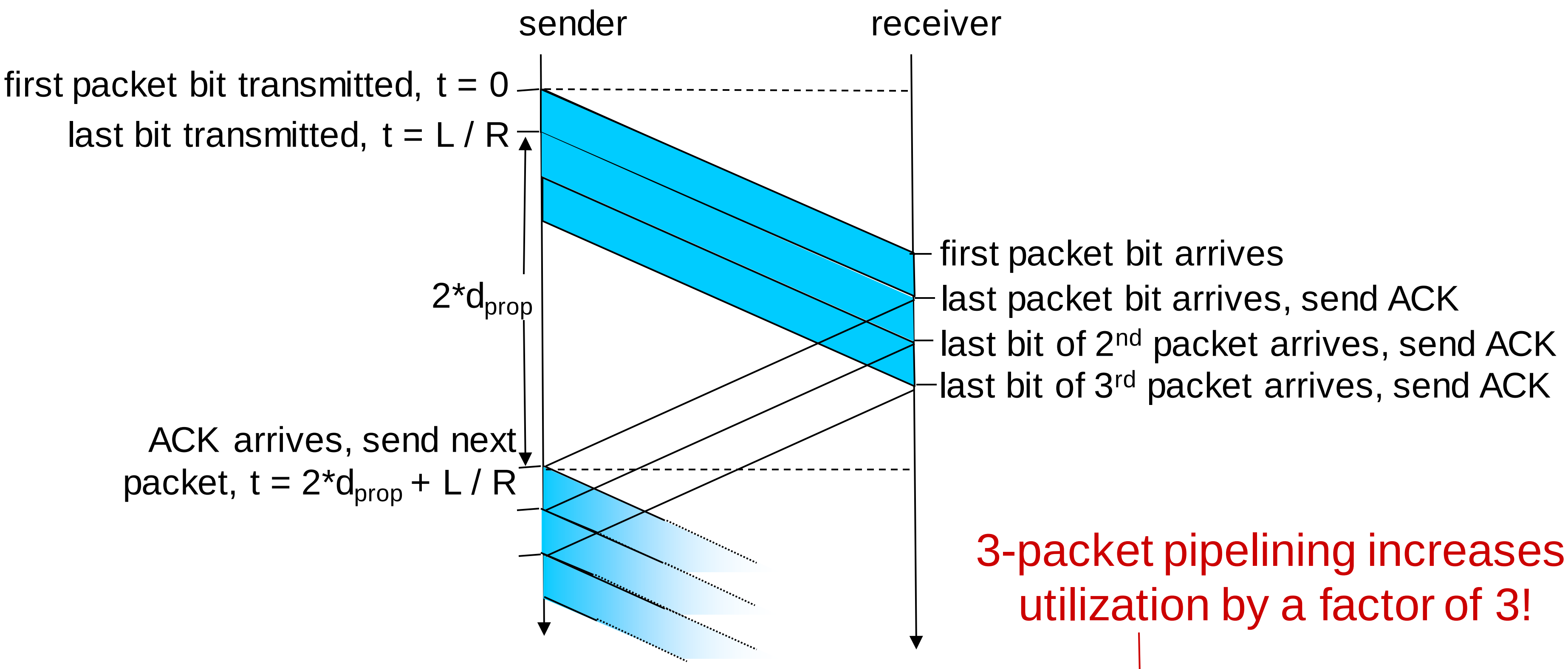
pipelining: sender allows multiple, "in-flight", yet-to-be-acknowledged packets

- range of sequence numbers must be increased
- buffering at sender and/or receiver



(a) a stop-and-wait protocol in operation

Pipelining: increased utilization

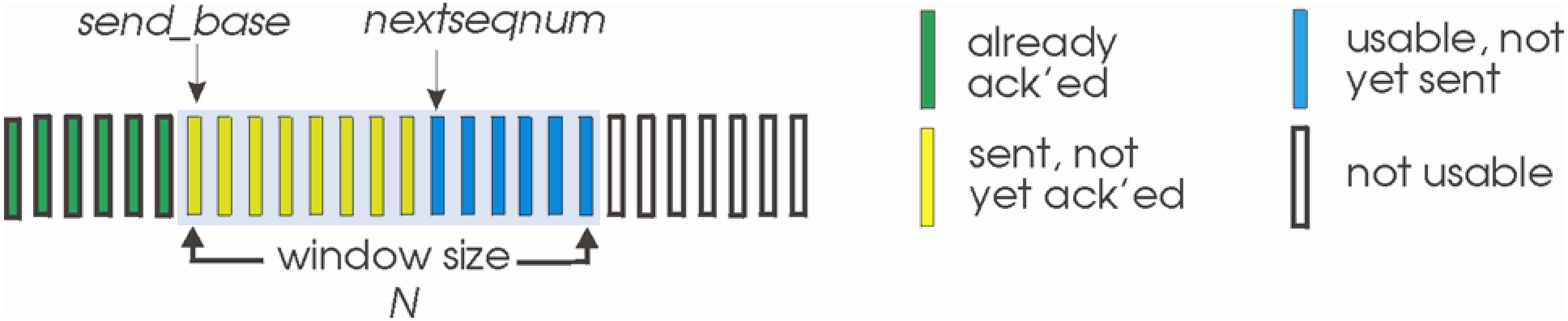

sender
receiver
first packet bit transmitted, t = 0
last bit transmitted, t = L / R
first packet bit arrives
last packet bit arrives, send ACK
last bit of 2nd packet arrives, send ACK
last bit of 3rd packet arrives, send ACK
2*dprop
ACK arrives, send next packet, t = 2*dprop + L / R

3-packet pipelining increases utilization by a factor of 3!

$$U_{sender} = \frac{3L / R}{2^*d_{prop} + L/R} = \frac{.0024}{30.008} = 0.00081$$

Go-Back-N: sender

- sender: "window" of up to N, consecutive transmitted but unACKed pkts
  - k-bit seq # in pkt header

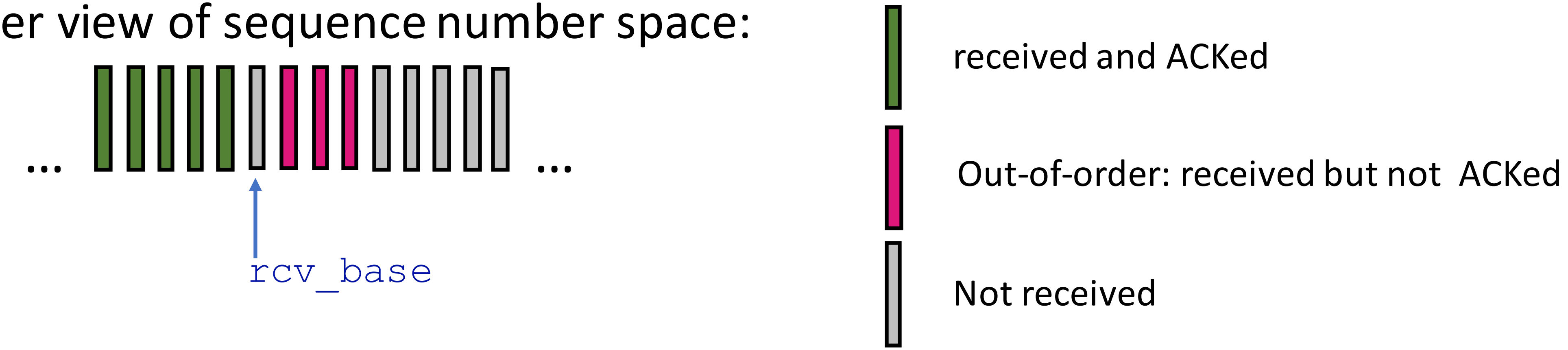


- *cumulative ACK:* ACK(*n*): ACKs all packets up to, including seq # *n*
  - on receiving ACK(*n*): move window forward to begin at *n+1*
- timer for oldest in-flight packet
- *timeout(n):* retransmit packet n and all higher seq # packets in window

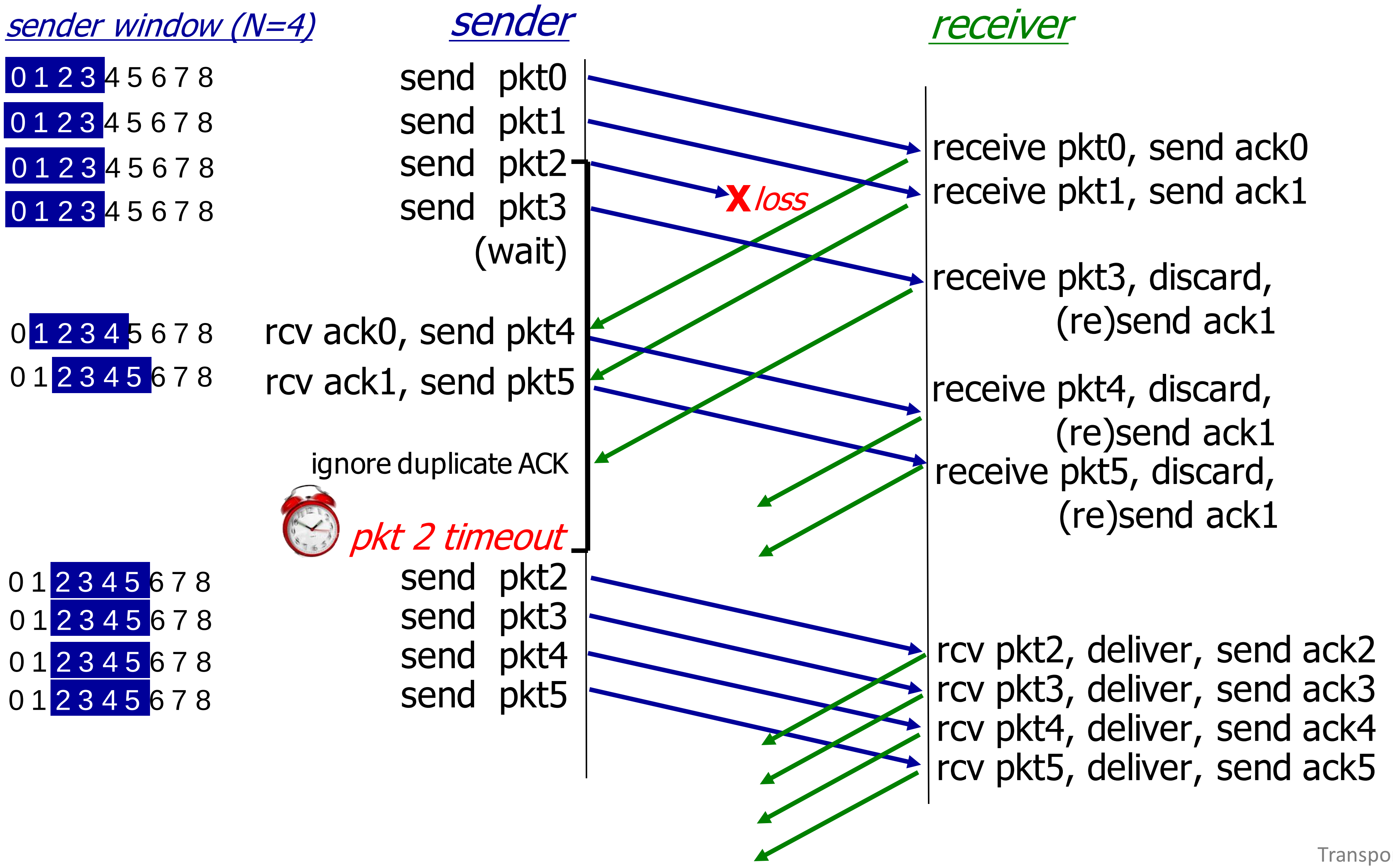
Go-Back-N: receiver

- ACK-only: always send ACK for correctly-received packet so far, with highest *in-order* seq #
  - may generate duplicate ACKs
  - need only remember `rcv_base`
- on receipt of out-of-order packet:
  - can discard (don't buffer) or buffer: an implementation decision
  - re-ACK pkt with highest in-order seq #

Receiver view of sequence number space:



Go-Back-N in action



sender window (N=4)

sender

receiver

0 1 2 3 4 5 6 7 8 send pkt0

0 1 2 3 4 5 6 7 8 send pkt1

0 1 2 3 4 5 6 7 8 send pkt2

0 1 2 3 4 5 6 7 8 send pkt3

(wait)

receive pkt0, send ack0

receive pkt1, send ack1

X loss

receive pkt3, discard,
(re)send ack1

0 **1 2 3 4** 5 6 7 8 rcv ack0, send pkt4

0 1 **2 3 4 5** 6 7 8 rcv ack1, send pkt5

receive pkt4, discard,
(re)send ack1

receive pkt5, discard,
(re)send ack1

ignore duplicate ACK

pkt 2 timeout

0 1 **2 3 4 5** 6 7 8 send pkt2

0 1 **2 3 4 5** 6 7 8 send pkt3

0 1 **2 3 4 5** 6 7 8 send pkt4

0 1 **2 3 4 5** 6 7 8 send pkt5

rcv pkt2, deliver, send ack2

rcv pkt3, deliver, send ack3

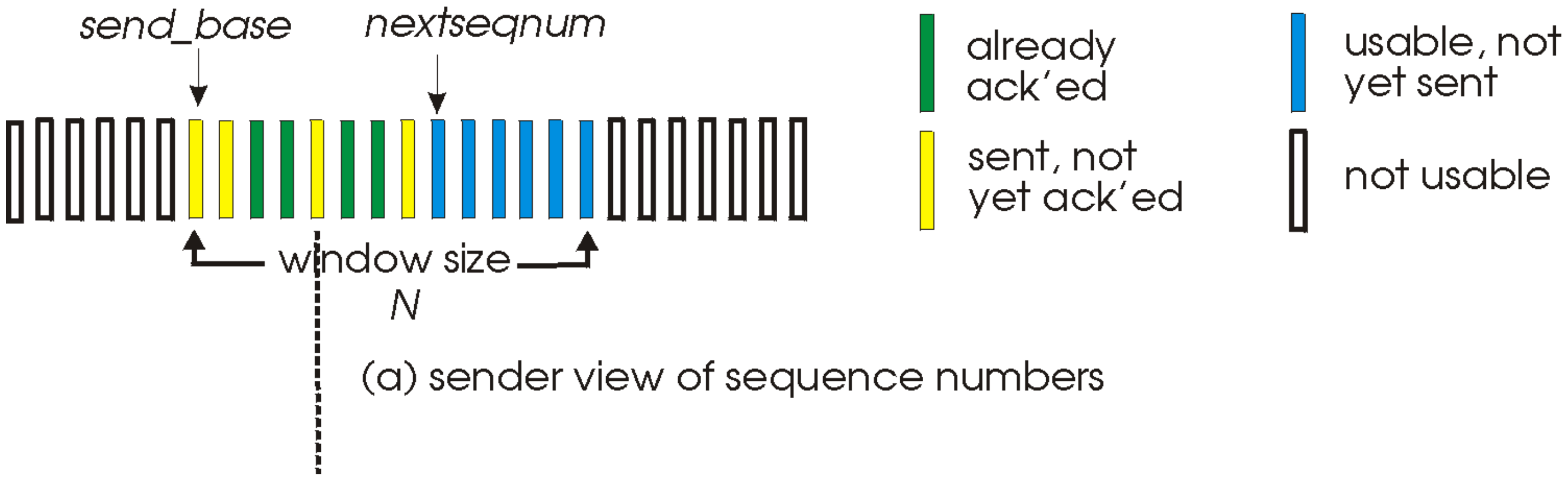
rcv pkt4, deliver, send ack4

rcv pkt5, deliver, send ack5

Selective repeat

- receiver *individually* acknowledges all correctly received packets
  - buffers packets, as needed, for eventual in-order delivery to upper layer
- sender times-out/retransmits individually for unACKed packets
  - sender maintains timer for each unACKed pkt
- sender window
  - *N* consecutive seq #s
  - limits seq #s of sent, unACKed packets

Selective repeat: sender, receiver windows



(a) sender view of sequence numbers

Selective repeat: sender and receiver

sender

data from above:

- if next available seq # in window, send packet

timeout(*n*):

- resend packet *n*, restart timer

ACK(*n*) in [sendbase,sendbase+N]:

- mark packet *n* as received
- if n smallest unACKed packet, advance window base to next unACKed seq #

receiver

packet *n* in [rcvbase, rcvbase+N-1]

- send ACK(*n*)
- out-of-order: buffer
- in-order: deliver (also deliver buffered, in-order packets), advance window to next not-yet-received packet

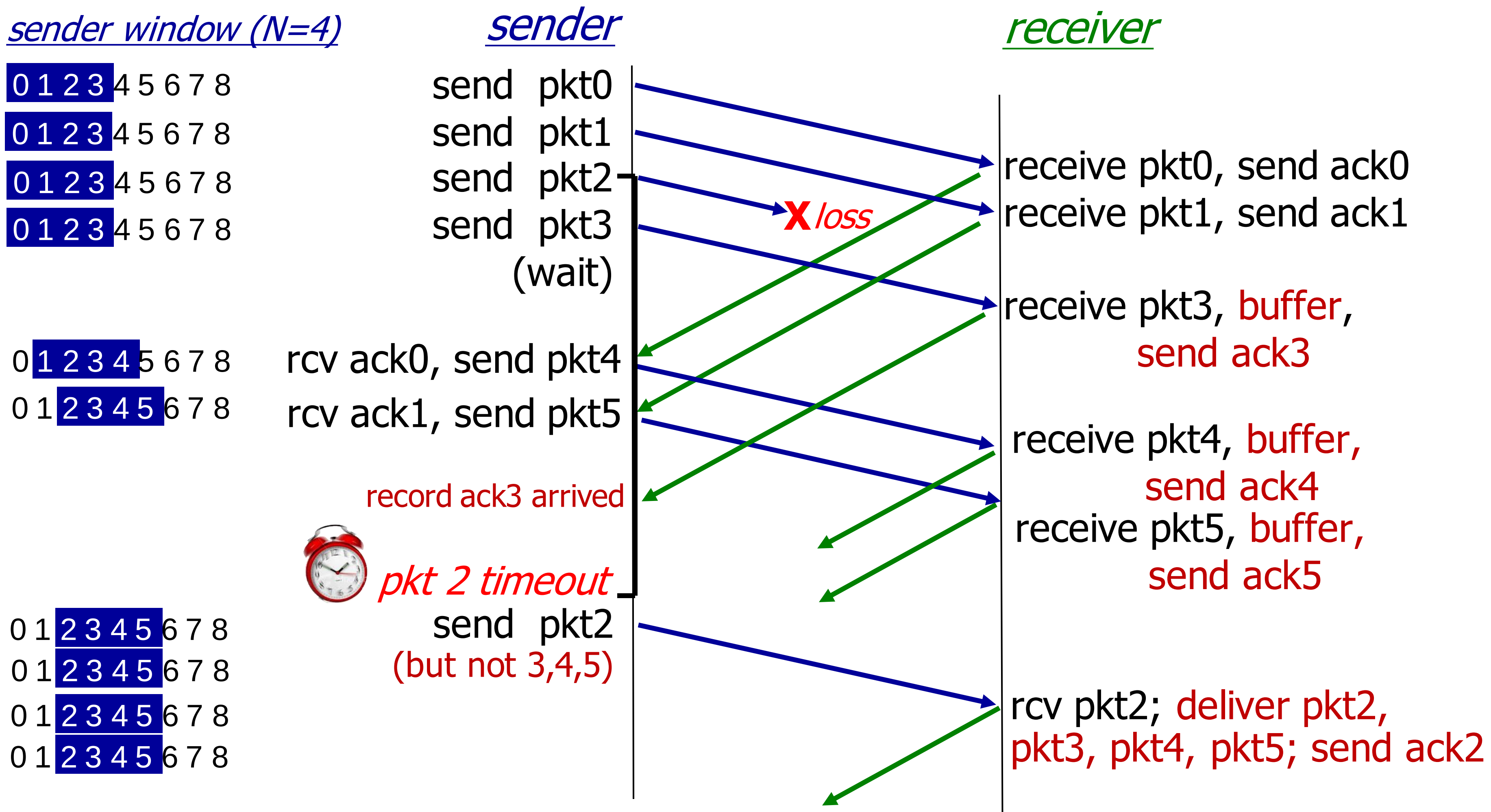
packet *n* in [rcvbase-N,rcvbase-1]

- ACK(*n*)

otherwise:

- ignore

Selective Repeat in action



sender window (N=4)

sender

receiver

0 1 2 3 4 5 6 7 8 send pkt0

0 1 2 3 4 5 6 7 8 send pkt1

0 1 2 3 4 5 6 7 8 send pkt2

0 1 2 3 4 5 6 7 8 send pkt3

(wait)

X *loss*

receive pkt0, send ack0

receive pkt1, send ack1

receive pkt3, buffer, send ack3

0 1 2 3 4 5 6 7 8 rcv ack0, send pkt4

0 1 2 3 4 5 6 7 8 rcv ack1, send pkt5

receive pkt4, buffer, send ack4

receive pkt5, buffer, send ack5

record ack3 arrived

pkt 2 timeout

0 1 2 3 4 5 6 7 8 send pkt2

0 1 2 3 4 5 6 7 8 (but not 3,4,5)

0 1 2 3 4 5 6 7 8

0 1 2 3 4 5 6 7 8

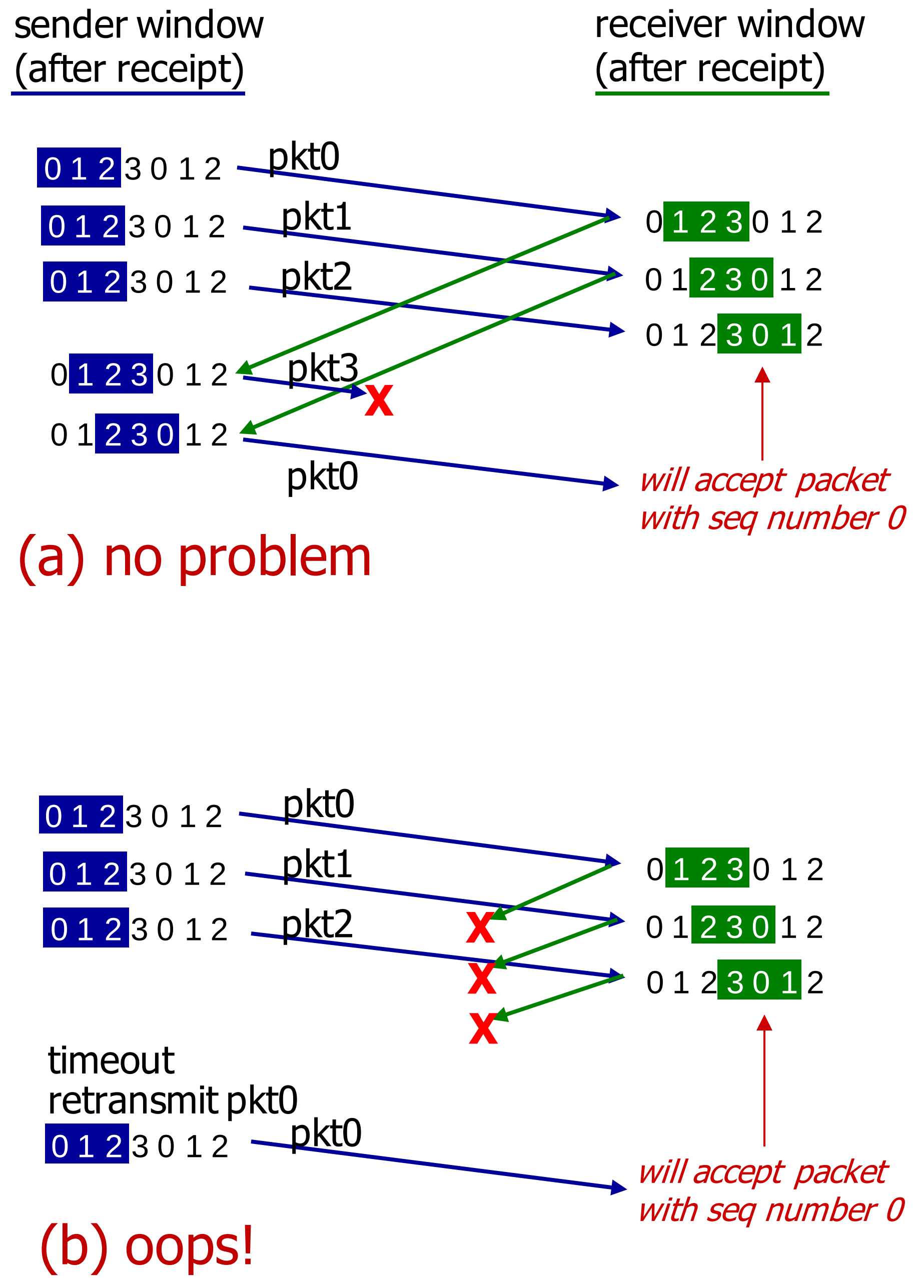
rcv pkt2; deliver pkt2, pkt3, pkt4, pkt5; send ack2

Q: what happens when ack2 arrives?

Selective repeat: a dilemma!

example:

- seq #s: 0, 1, 2, 3 (base 4 counting)
- window size=3



Selective repeat: a dilemma!

example:

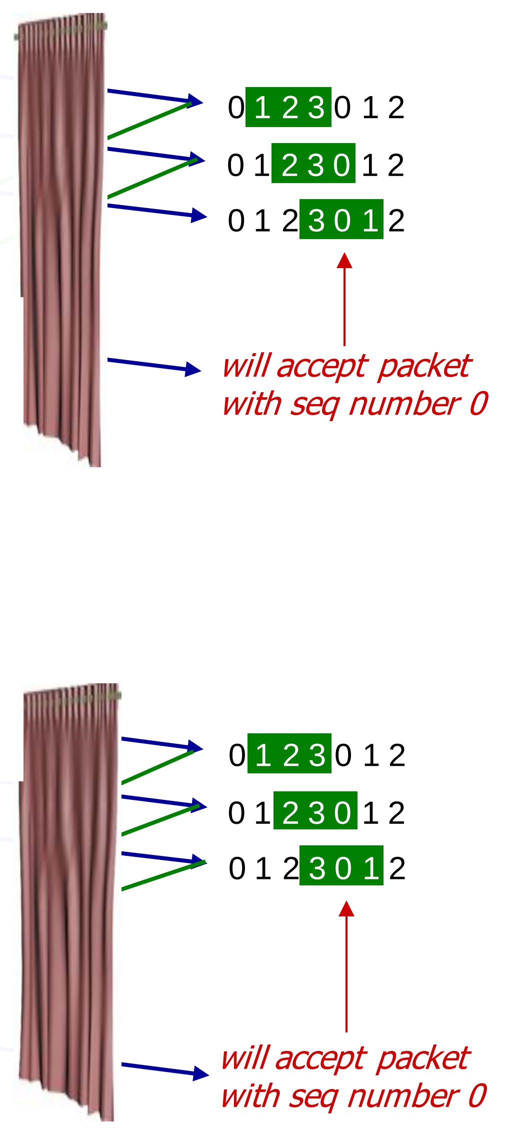
- seq #s: 0, 1, 2, 3 (base 4 counting)
- window size=3

Q: What relationship is needed between sequence # size and window size to avoid problem in scenario (b)?

window size must be less than or equal to half the size of the sequence number space

sender window (after receipt)

receiver window (after receipt)



will accept packet with seq number 0

will accept packet with seq number 0

- *receiver can't see sender side*
- *receiver behavior identical in both cases!*
- *something's (very) wrong!*

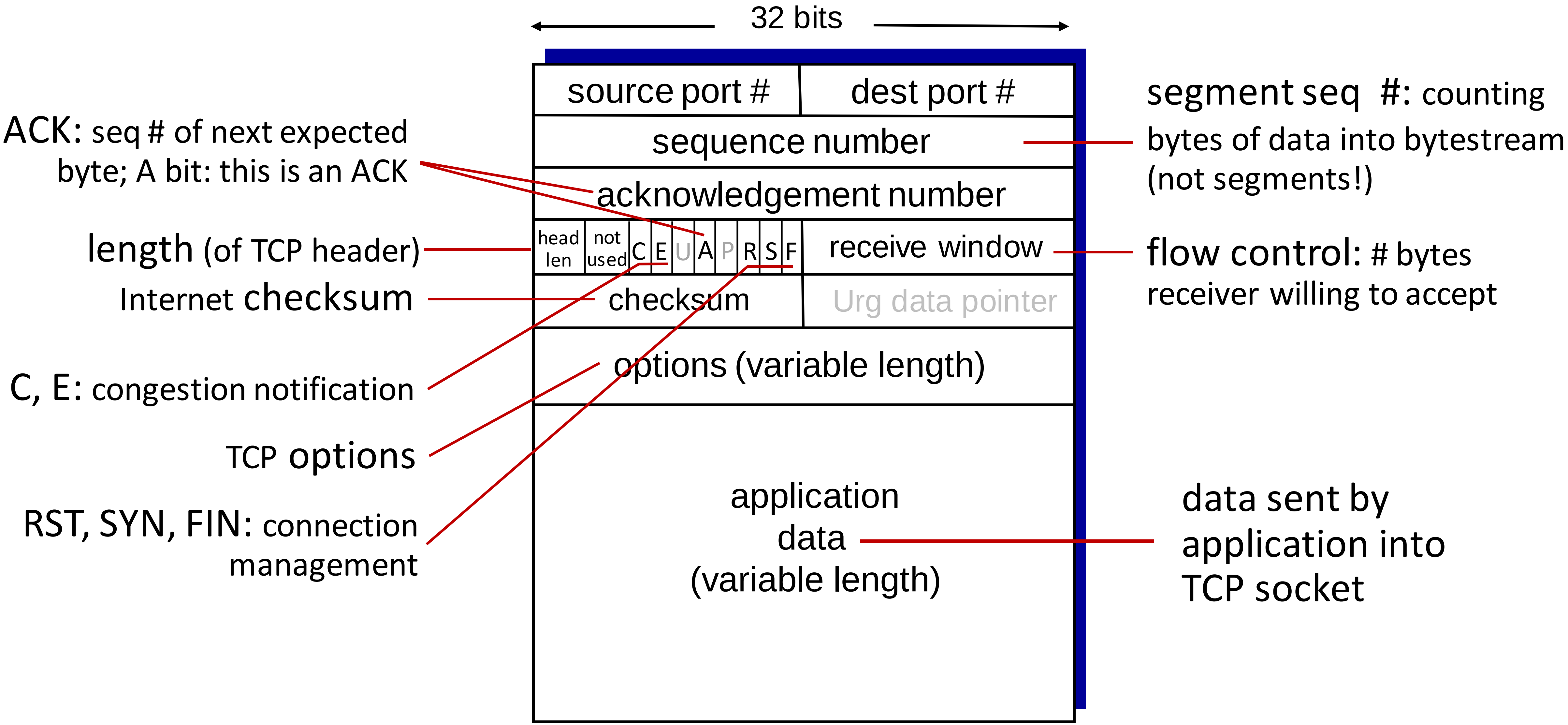
Transport layer: overview

- Transport-layer services
- Multiplexing and demultiplexing
- Connectionless transport: UDP
- Principles of reliable data transfer
- Connection-oriented transport: TCP
  - segment structure
  - reliable data transfer
  - flow control
  - connection management
- Principles of congestion control
- TCP congestion control

TCP: overview RFCs: 793,1122, 2018, 5681, 7323

- point-to-point:
  - one sender, one receiver
- full duplex data:
  - bi-directional data flow in same connection
  - MSS: maximum segment size
- cumulative ACKs
- pipelining:
  - TCP congestion and flow control set window size
- connection-oriented:
  - handshaking (exchange of control messages) initializes sender, receiver state before data exchange
- flow controlled:
  - sender will not overwhelm receiver

TCP segment structure



ACK: seq # of next expected byte; A bit: this is an ACK

length (of TCP header)

Internet checksum

C, E: congestion notification

TCP options

RST, SYN, FIN: connection management

segment seq #: counting bytes of data into bytestream (not segments!)

flow control: # bytes receiver willing to accept

data sent by application into TCP socket

TCP sequence numbers, ACKs

Sequence numbers:

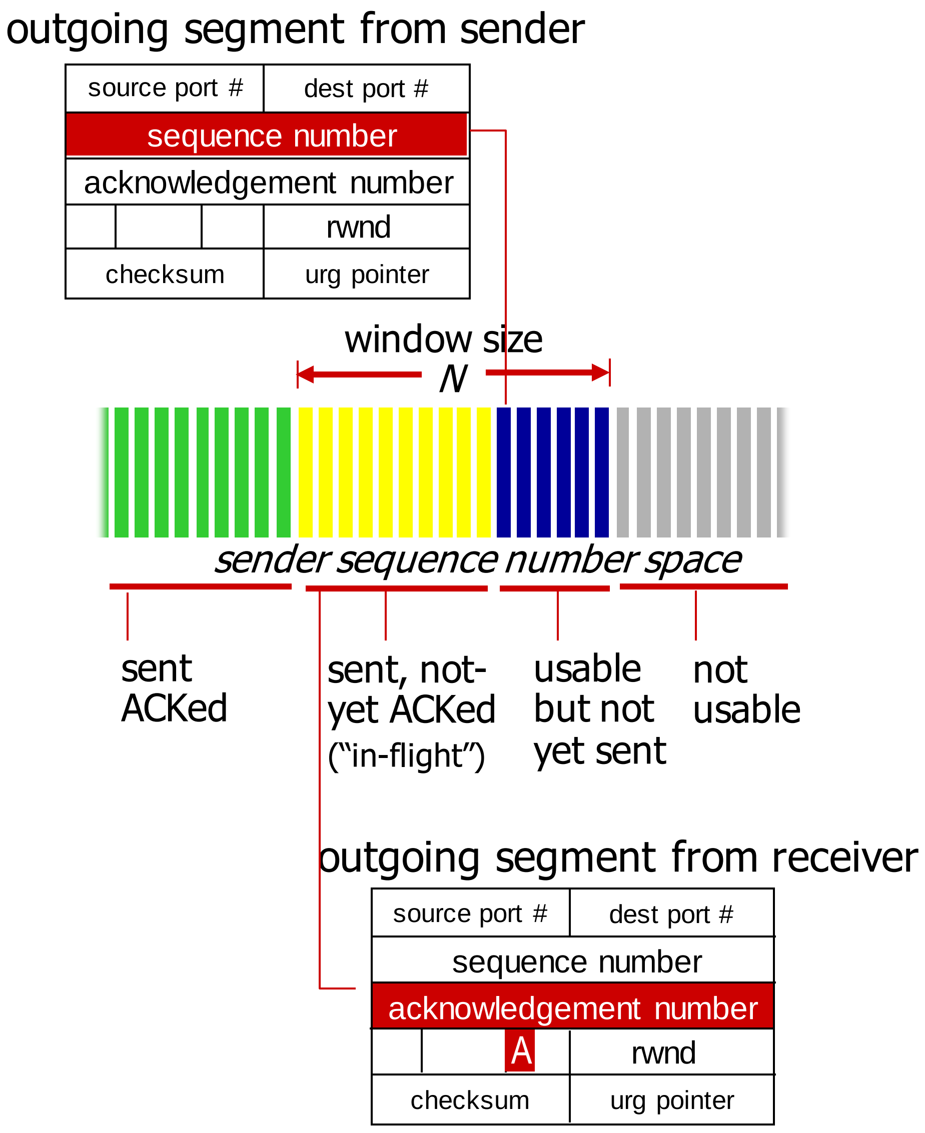
- byte stream "number" of first byte in segment's data

Acknowledgements:

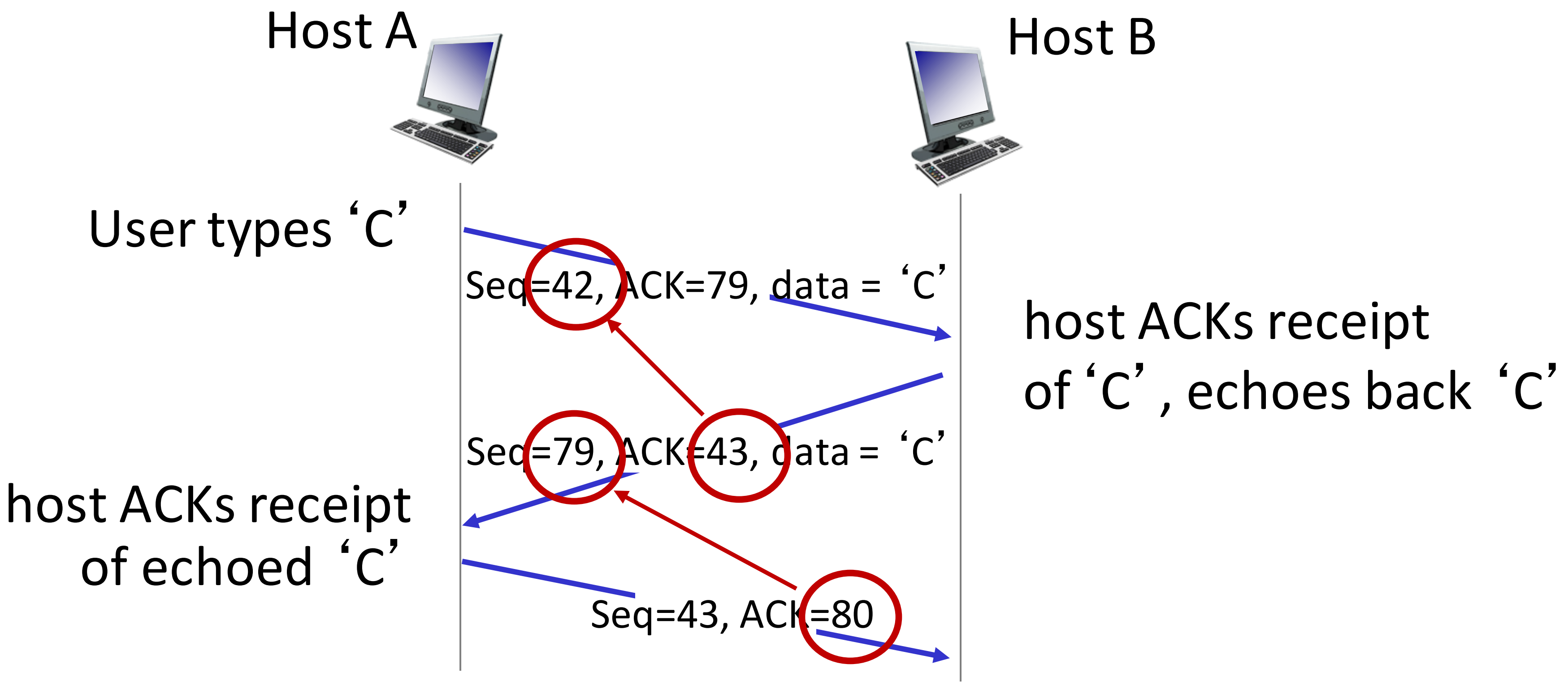
- seq # of next byte expected from other side
- cumulative ACK

Q: how receiver handles out-of-order segments

- *A:* TCP spec doesn't say, - up to implementor



TCP sequence numbers, ACKs



Host A
Host B
User types ‘C’
Seq=42, ACK=79, data = ‘C’
host ACKs receipt of ‘C’, echoes back ‘C’
Seq=79, ACK=43, data = ‘C’
host ACKs receipt of echoed ‘C’
Seq=43, ACK=80

simple telnet scenario

TCP round trip time, timeout

Q: how to set TCP timeout value?

- longer than RTT, but RTT varies!
- *too short:* premature timeout, unnecessary retransmissions
- *too long:* slow reaction to segment loss

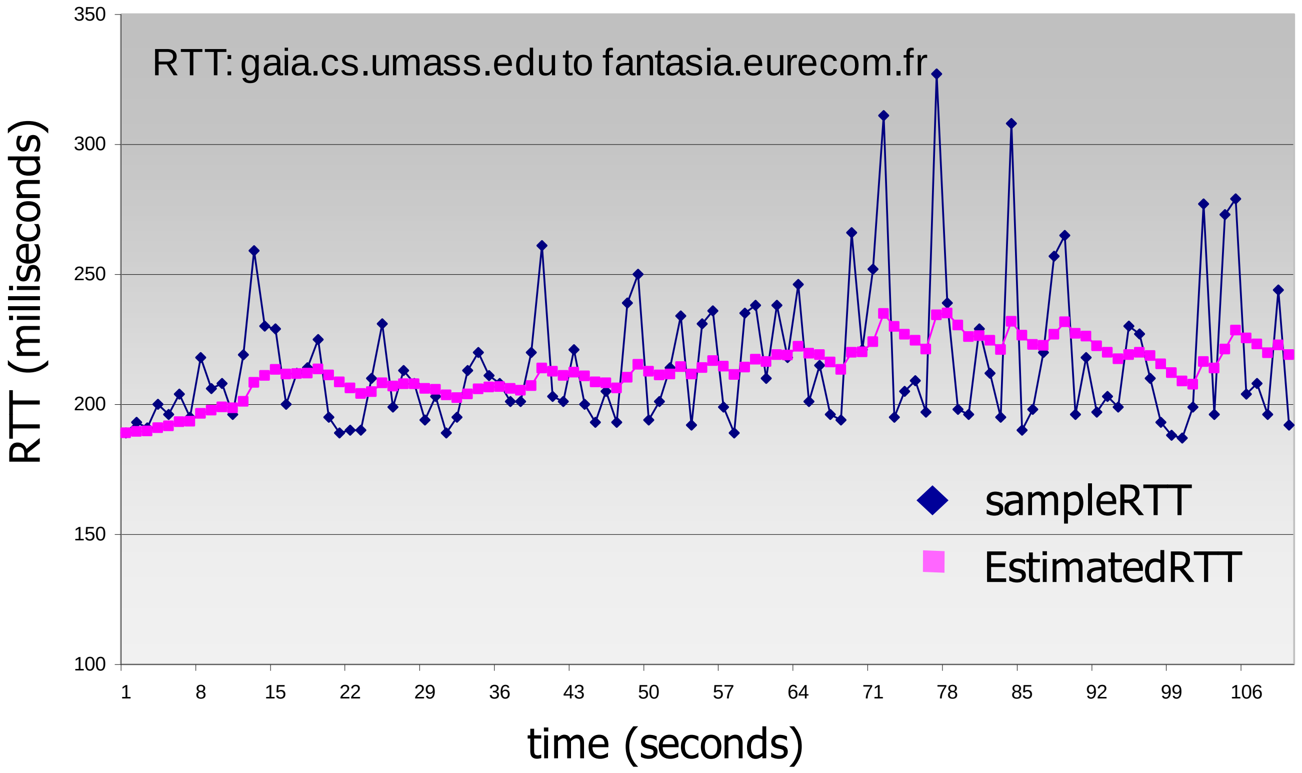
Q: how to estimate RTT?

- `SampleRTT`: measured time from segment transmission until ACK receipt
  - ignore retransmissions
- `SampleRTT` will vary, want estimated RTT "smoother"
  - average several *recent* measurements, not just current `SampleRTT`

TCP round trip time, timeout

```
EstimatedRTT = (1- α)*EstimatedRTT + α*SampleRTT
```

- exponential weighted moving average (EWMA)
- influence of past sample decreases exponentially fast
- typical value: $\alpha = 0.125$



TCP round trip time, timeout

- timeout interval: **`EstimatedRTT`** plus “safety margin”
  - large variation in **`EstimatedRTT`**: want a larger safety margin

```
TimeoutInterval = EstimatedRTT + 4*DevRTT
```

estimated RTT

“safety margin”

- **`DevRTT`**: EWMA of **`SampleRTT`** deviation from **`EstimatedRTT`**:

```
DevRTT = (1-β)*DevRTT + β*|SampleRTT-EstimatedRTT|
```

(typically, β = 0.25)

* Check out the online interactive exercises for more examples: http://gaia.cs.umass.edu/kurose_ross/interactive/

TCP Sender (simplified)

event: data received from application

- create segment with seq #
- seq # is byte-stream number of first data byte in segment
- start timer if not already running
  - think of timer as for oldest unACKed segment
  - expiration interval: **`TimeOutInterval`**

event: timeout

- retransmit segment that caused timeout
- restart timer

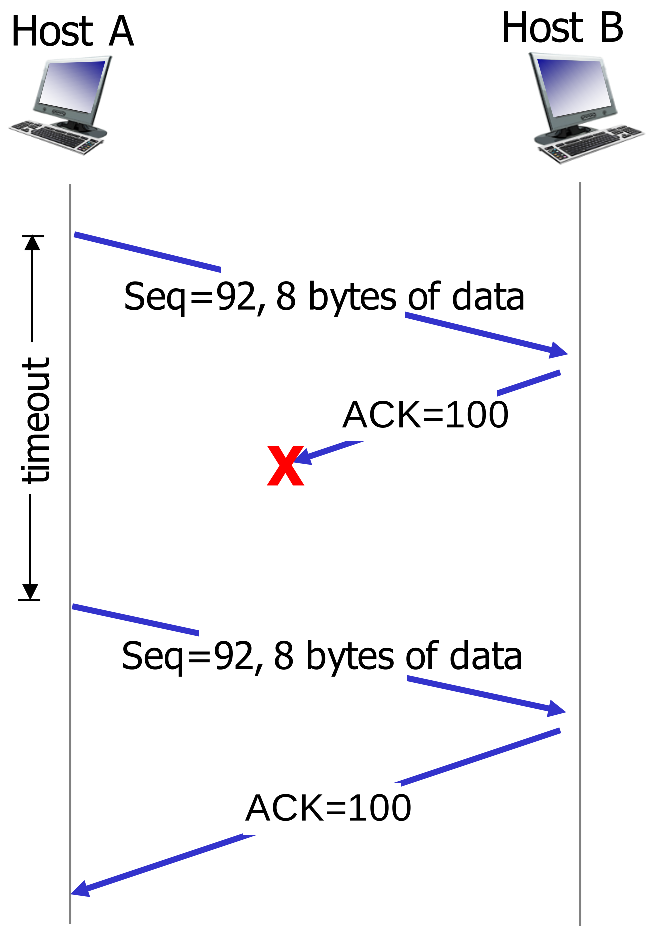
event: ACK received

- if ACK acknowledges previously unACKed segments
  - update what is known to be ACKed
  - start timer if there are still unACKed segments

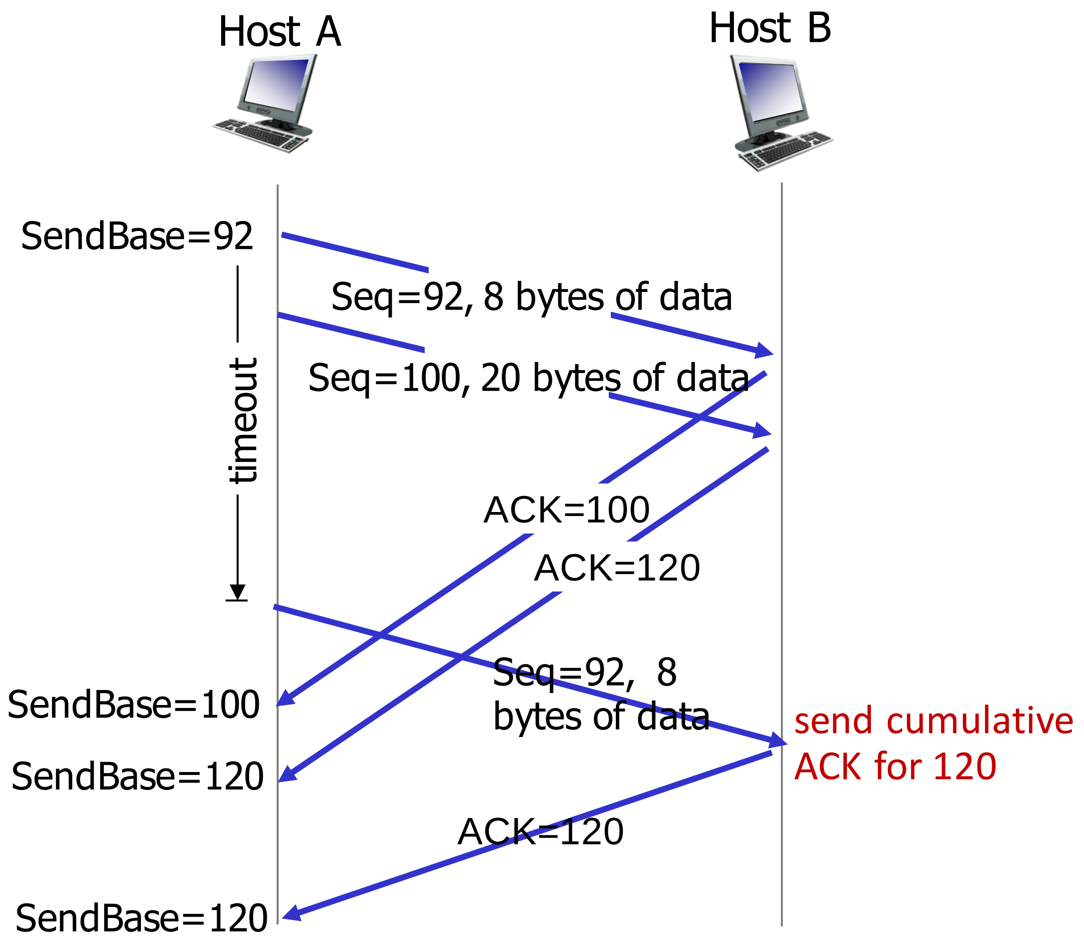
TCP Receiver: ACK generation [RFC 5681]

Event at receiver	*TCP receiver action*
arrival of in-order segment with expected seq #. All data up to expected seq # already ACKed	delayed ACK. Wait up to 500ms for next segment. If no next segment, send ACK
arrival of in-order segment with expected seq #. One other segment has ACK pending	immediately send single cumulative ACK, ACKing both in-order segments
arrival of out-of-order segment higher-than-expect seq. # . Gap detected	immediately send *duplicate ACK,* indicating seq. # of next expected byte

TCP: retransmission scenarios

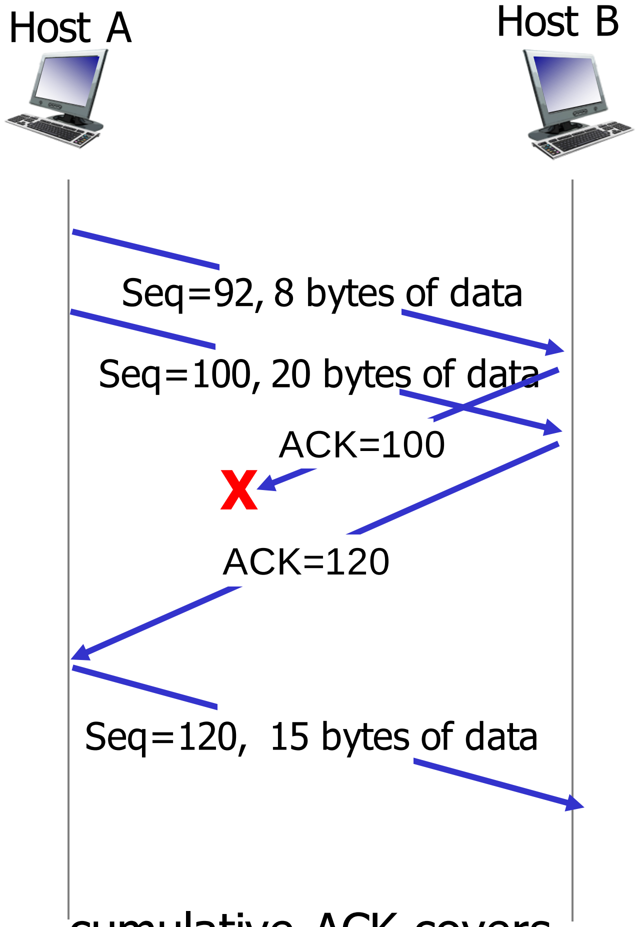


lost ACK scenario



premature timeout

TCP: retransmission scenarios



cumulative ACK covers
for earlier lost ACK

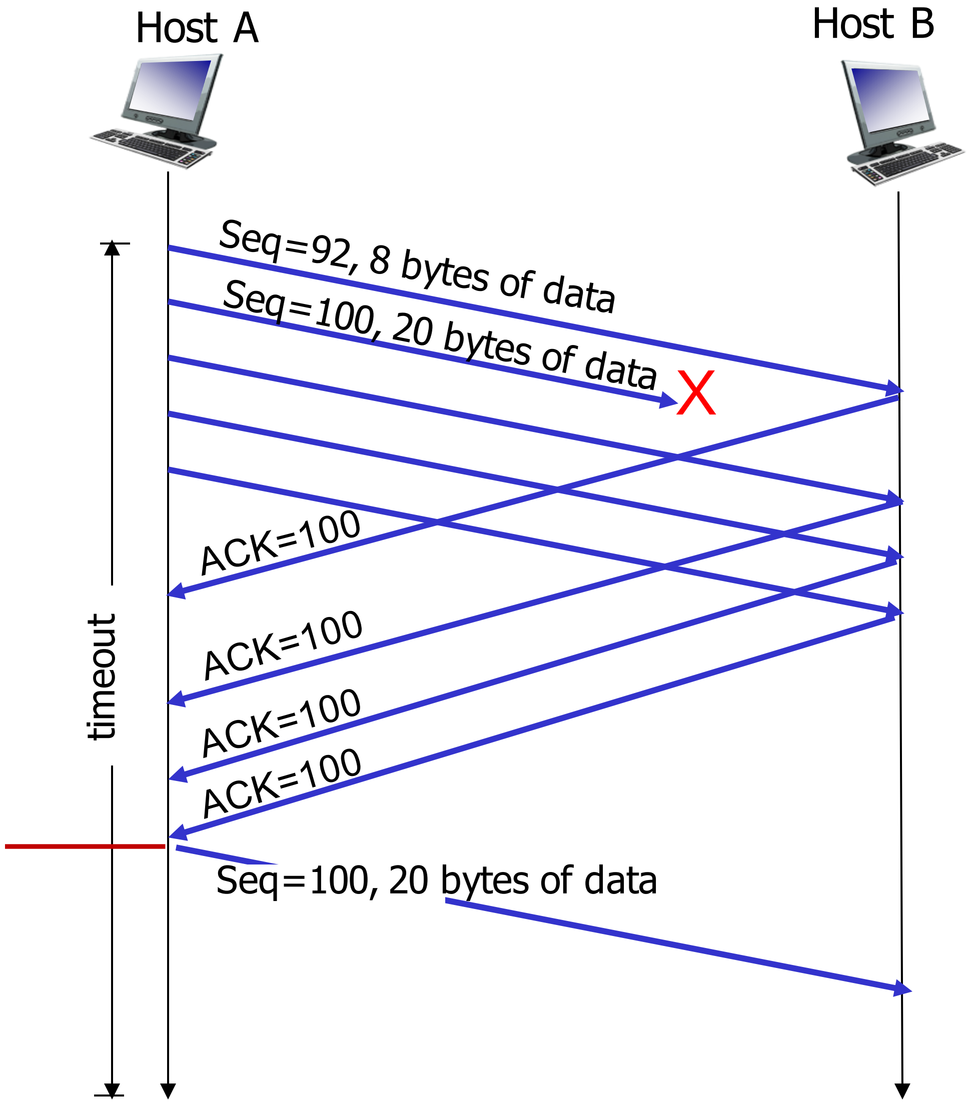
TCP fast retransmit

TCP fast retransmit

if sender receives 3 additional ACKs for same data ("triple duplicate ACKs"), resend unACKed segment with smallest seq #

- likely that unACKed segment lost, so don't wait for timeout

Receipt of three duplicate ACKs indicates 3 segments received after a missing segment – lost segment is likely. So retransmit!



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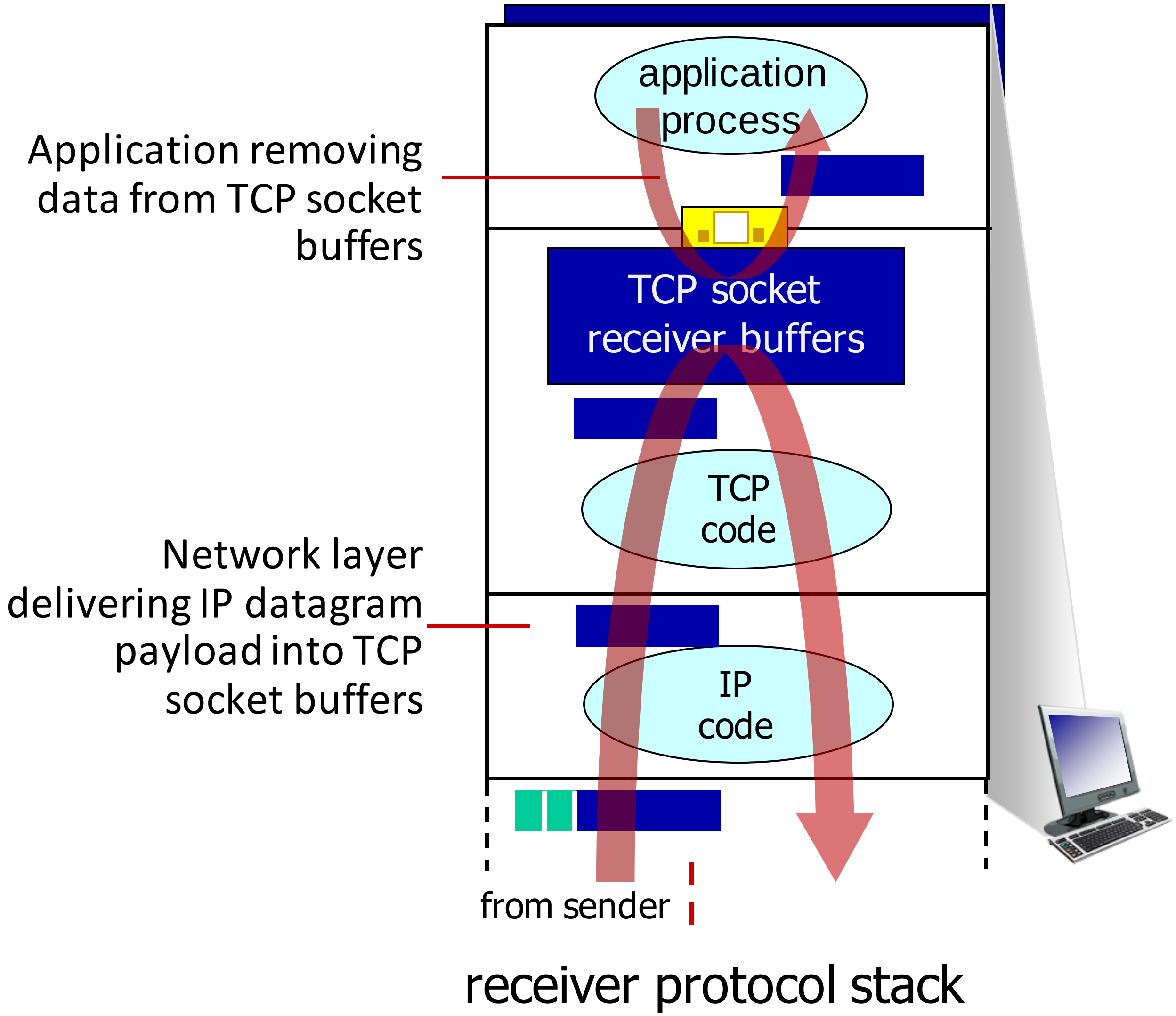
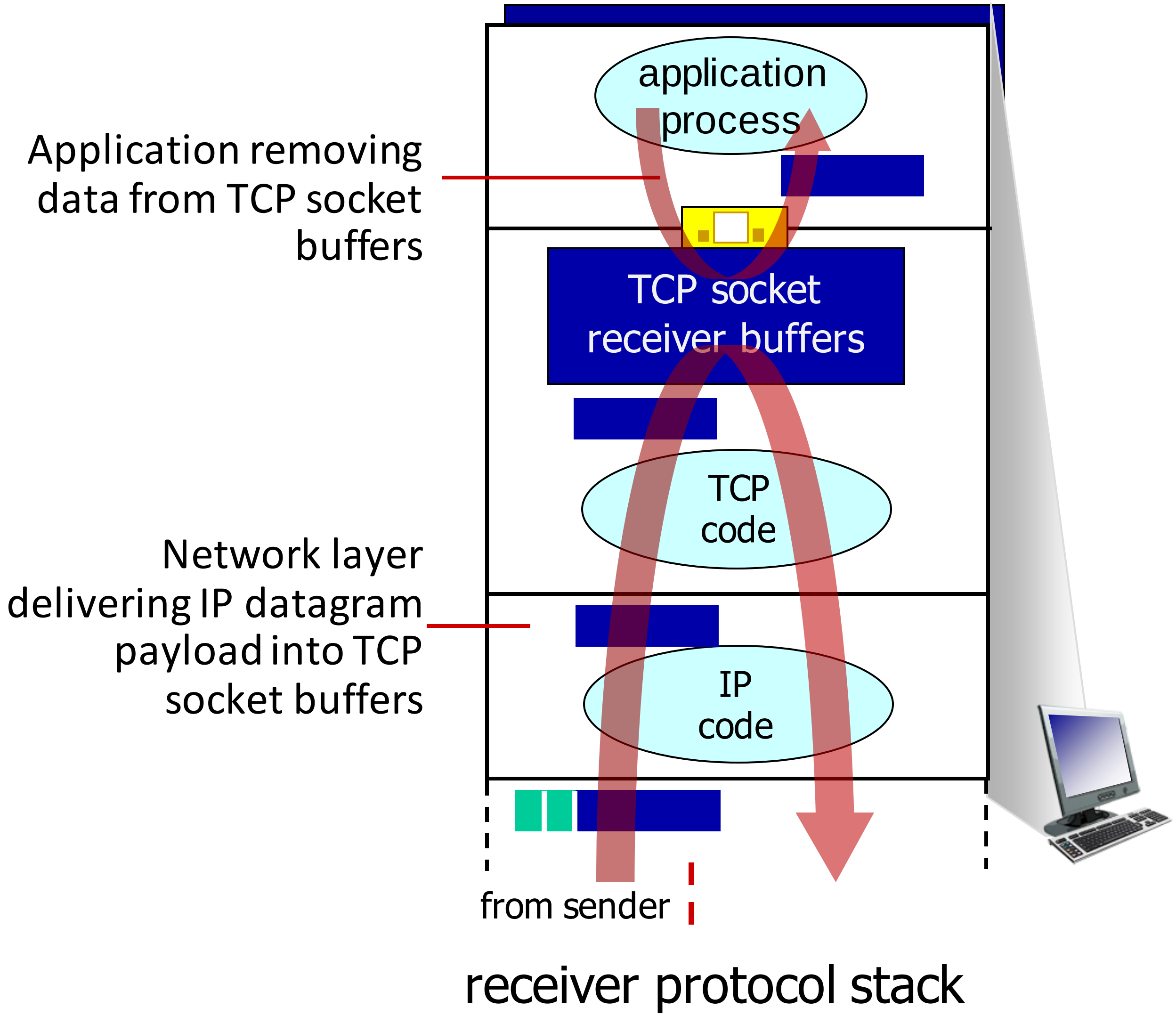
TCP flow control

Q: What happens if network layer delivers data faster than application layer removes data from socket buffers?


Application removing data from TCP socket buffers
application process
TCP socket receiver buffers
TCP code
Network layer delivering IP datagram payload into TCP socket buffers
IP code
from sender
receiver protocol stack

TCP flow control

Q: What happens if network layer delivers data faster than application layer removes data from socket buffers?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Application removing data from TCP socket buffers
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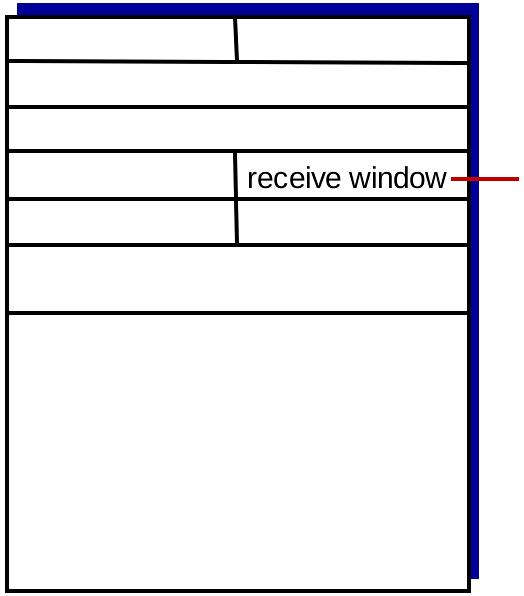
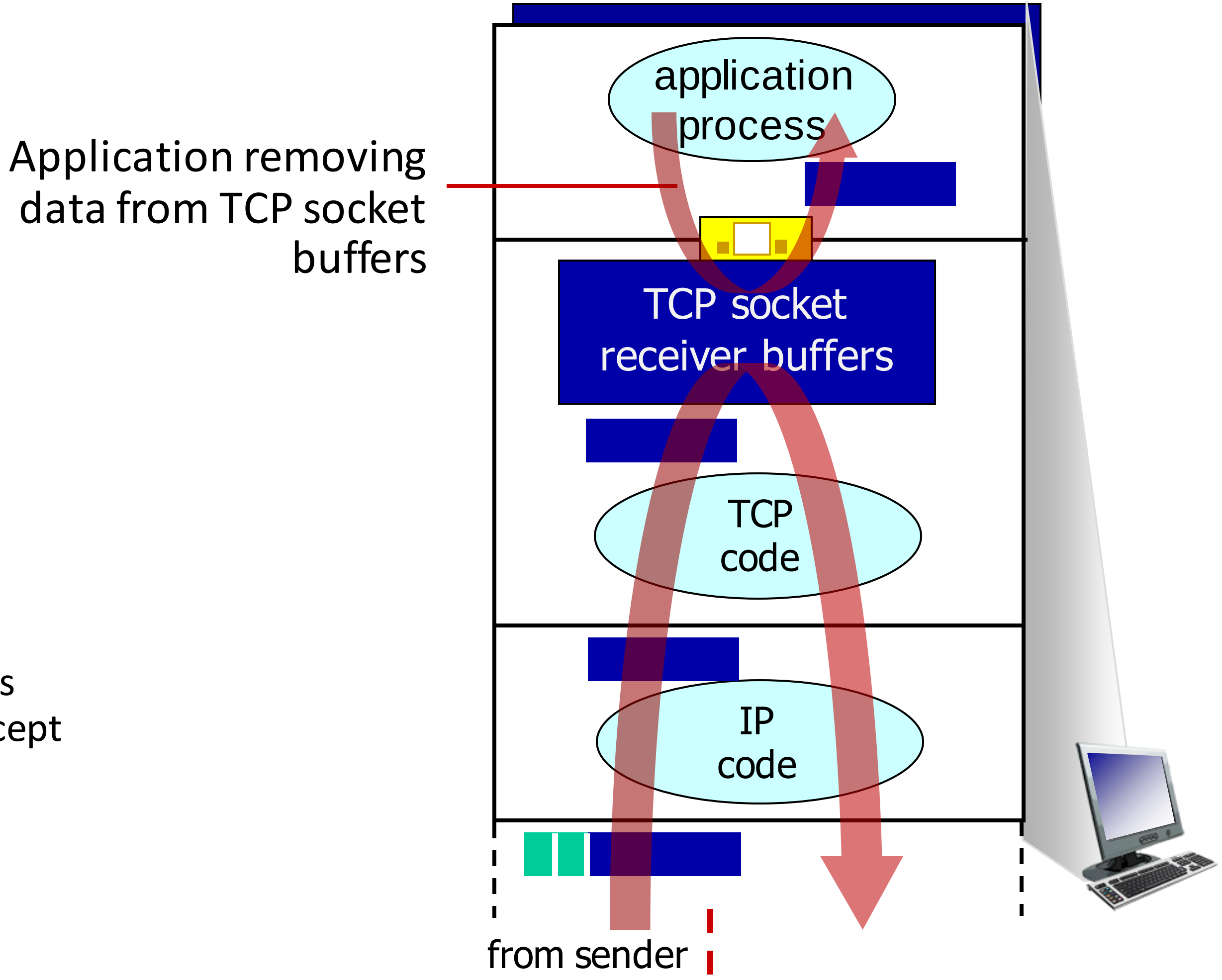
TCP flow control

Q: What happens if network layer delivers data faster than application layer removes data from socket buffers?



flow control: # bytes receiver willing to accept


application process
Application removing data from TCP socket buffers
TCP socket receiver buffers
TCP code
IP code
from sender

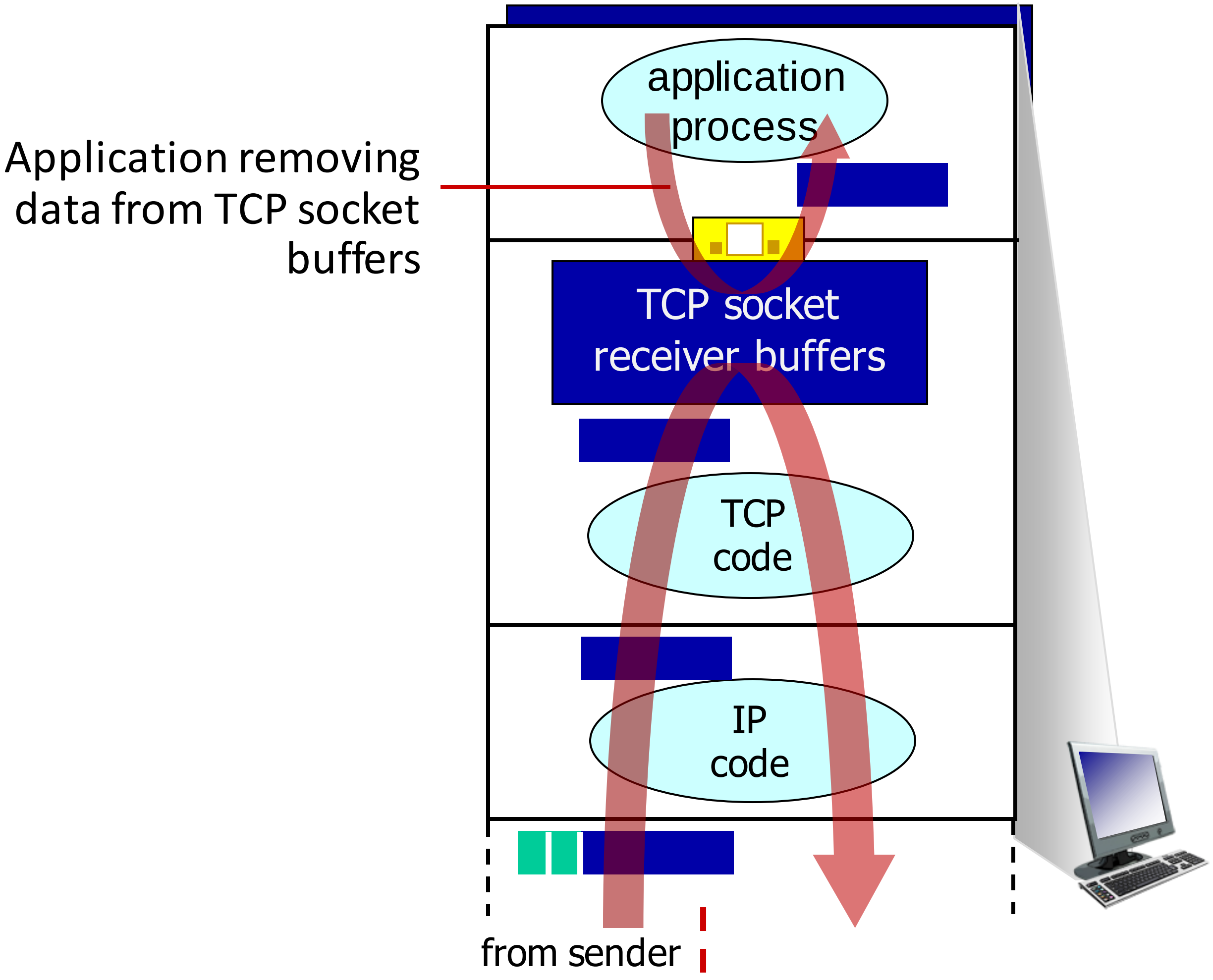
receiver protocol stack

TCP flow control

Q: What happens if network layer delivers data faster than application layer removes data from socket buffers?

flow control

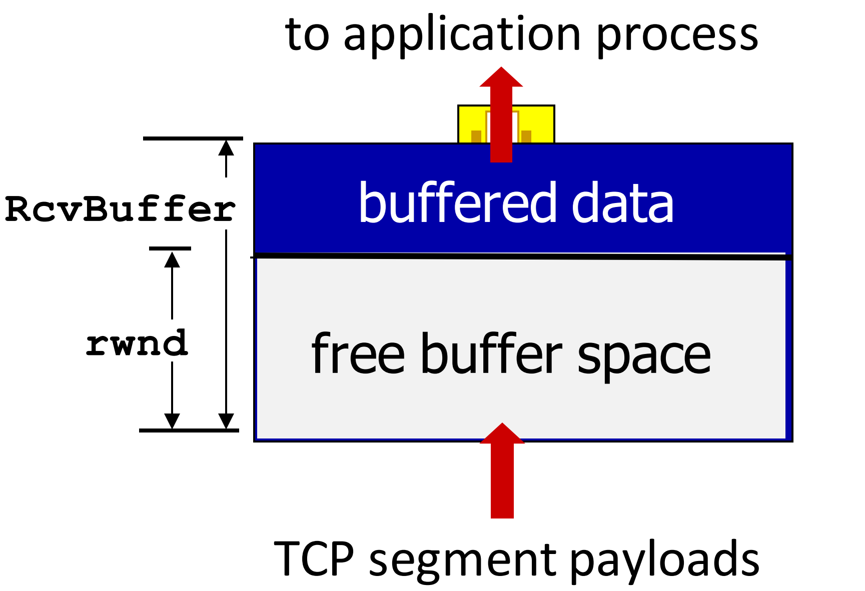
receiver controls sender, so sender won't overflow receiver's buffer by transmitting too much, too fast


Application removing data from TCP socket buffers
application process
TCP socket receiver buffers
TCP code
IP code
from sender

receiver protocol stack

TCP flow control

- TCP receiver "advertises" free buffer space in **`rwnd`** field in TCP header
  - **`RcvBuffer`** size set via socket options (typical default is 4096 bytes)
  - many operating systems autoadjust **`RcvBuffer`**
- sender limits amount of unACKed ("in-flight") data to received **`rwnd`**
- guarantees receive buffer will not overflow



TCP receiver-side buffering

TCP flow control

- TCP receiver "advertises" free buffer space in **`rwnd`** field in TCP header
  - **`RcvBuffer`** size set via socket options (typical default is 4096 bytes)
  - many operating systems autoadjust **`RcvBuffer`**
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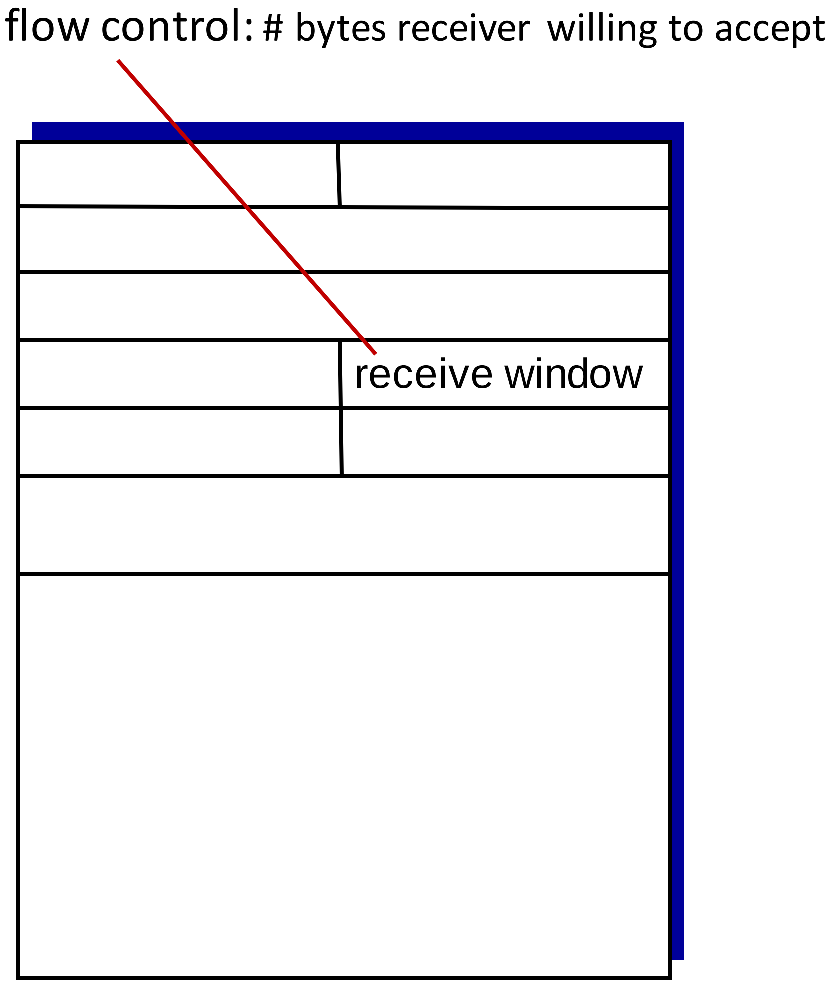
- guarantees receive buffer will not overflow

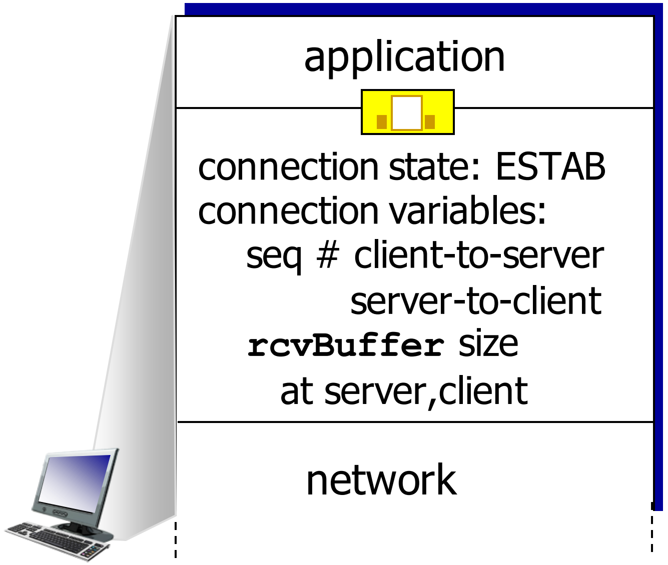


TCP segment format

TCP connection management

before exchanging data, sender/receiver "handshake":

- agree to establish connection (each knowing the other willing to establish connection)
- agree on connection parameters (e.g., starting seq #s)

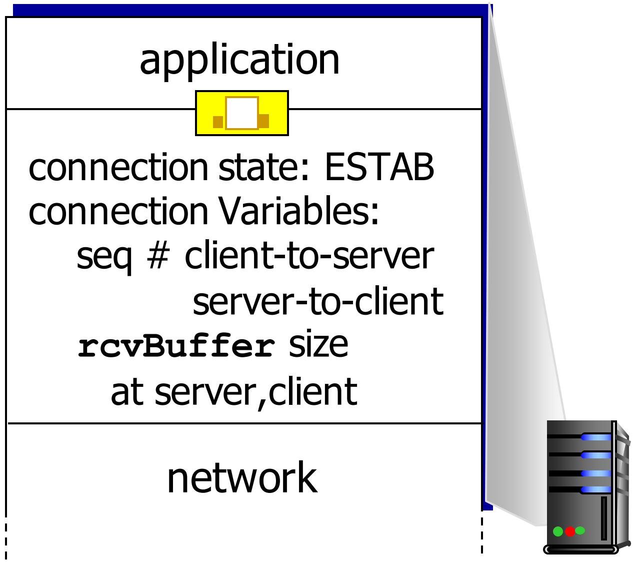


application

connection state: ESTAB
connection variables:
seq # client-to-server
server-to-client
rcvBuffer size
at server,client

network

```
Socket clientSocket =
  newSocket("hostname","port number");
```



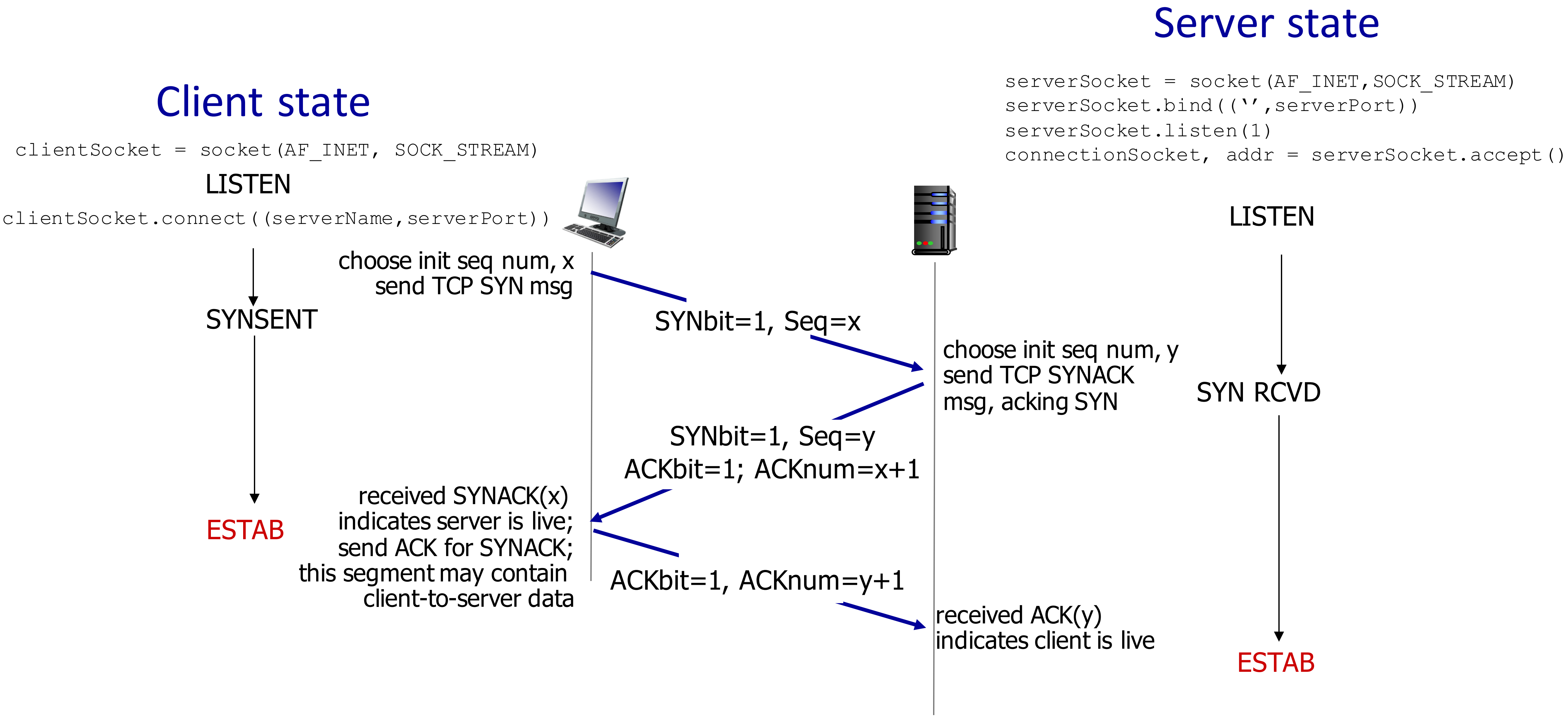
application

connection state: ESTAB
connection Variables:
seq # client-to-server
server-to-client
rcvBuffer size
at server,client

network

```
Socket connectionSocket =
  welcomeSocket.accept();
```

TCP 3-way handshake



Client state

```
clientSocket = socket(AF_INET, SOCK_STREAM)
```

LISTEN

```
clientSocket.connect((serverName,serverPort))
```

Server state

```
serverSocket = socket(AF_INET,SOCK_STREAM)
serverSocket.bind((‘’,serverPort))
serverSocket.listen(1)
connectionSocket, addr = serverSocket.accept()
```

LISTEN

choose init seq num, x
send TCP SYN msg

SYNSENT

SYNbit=1, Seq=x

choose init seq num, y
send TCP SYNACK
msg, acking SYN

SYN RCVD

SYNbit=1, Seq=y
ACKbit=1; ACKnum=x+1

received SYNACK(x)
indicates server is live;
send ACK for SYNACK;
this segment may contain
client-to-server data

ESTAB

ACKbit=1, ACKnum=y+1

received ACK(y)
indicates client is live

ESTAB

Closing a TCP connection

- client, server each close their side of connection
  - send TCP segment with FIN bit = 1
- respond to received FIN with ACK
  - on receiving FIN, ACK can be combined with own FIN
- simultaneous FIN exchanges can be handled

Transport layer: overview

- Transport-layer services
- Multiplexing and demultiplexing
- Connectionless transport: UDP
- Principles of reliable data transfer
- Connection-oriented transport: TCP
- Principles of congestion control
- TCP congestion control

Principles of congestion control

Congestion:

- informally: “too many sources sending too much data too fast for *network* to handle”
- manifestations:
  - long delays (queueing in router buffers)
  - packet loss (buffer overflow at routers)
- different from flow control!
- a top-10 problem!

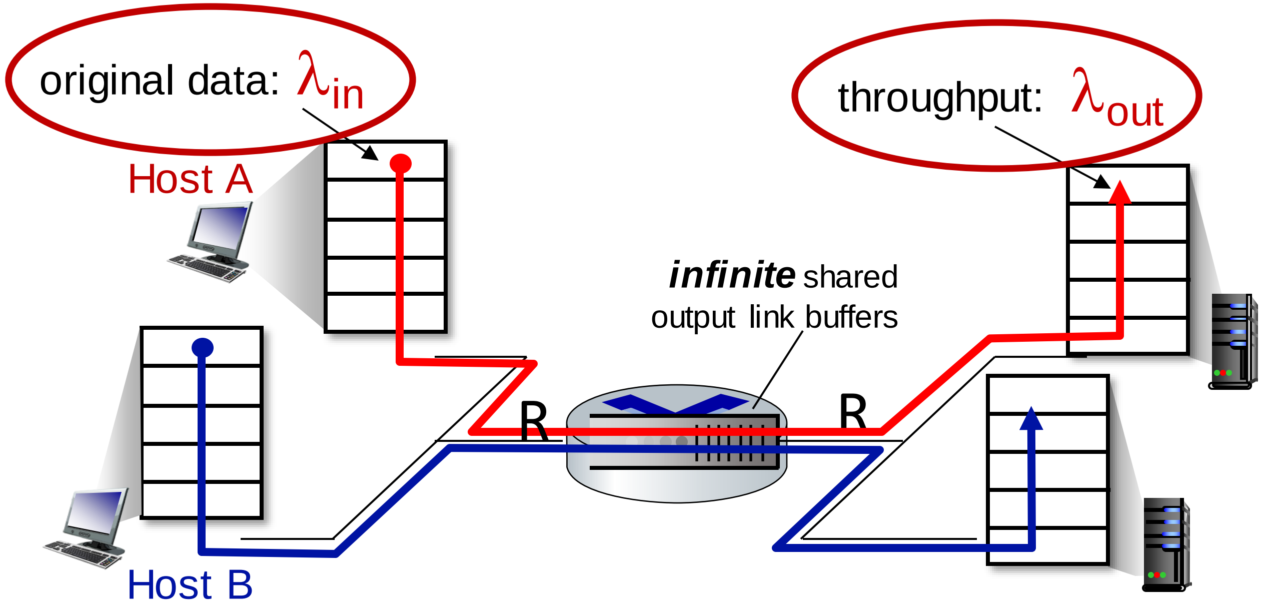
congestion control: too many senders, sending too fast

flow control: one sender too fast for one receiver

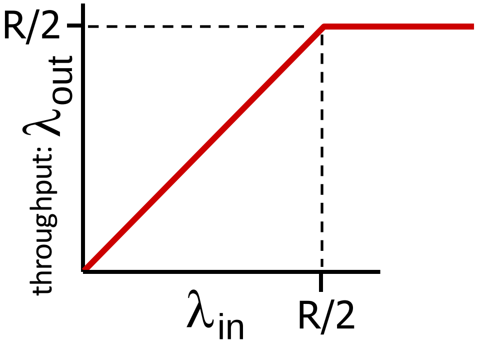
Causes/costs of congestion: scenario 1

Simplest scenario:

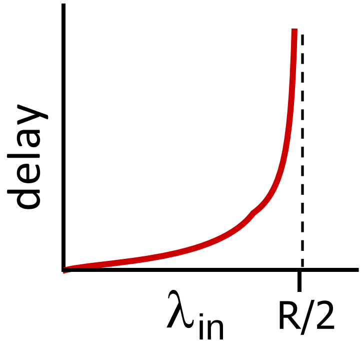
- one router, infinite buffers
- input, output link capacity: R
- two flows
- no retransmissions needed


original data: λ_{in}
throughput: λ_{out}
Host A
Host B
R
R
infinite shared output link buffers

Q: What happens as arrival rate λ_{in} approaches R/2?



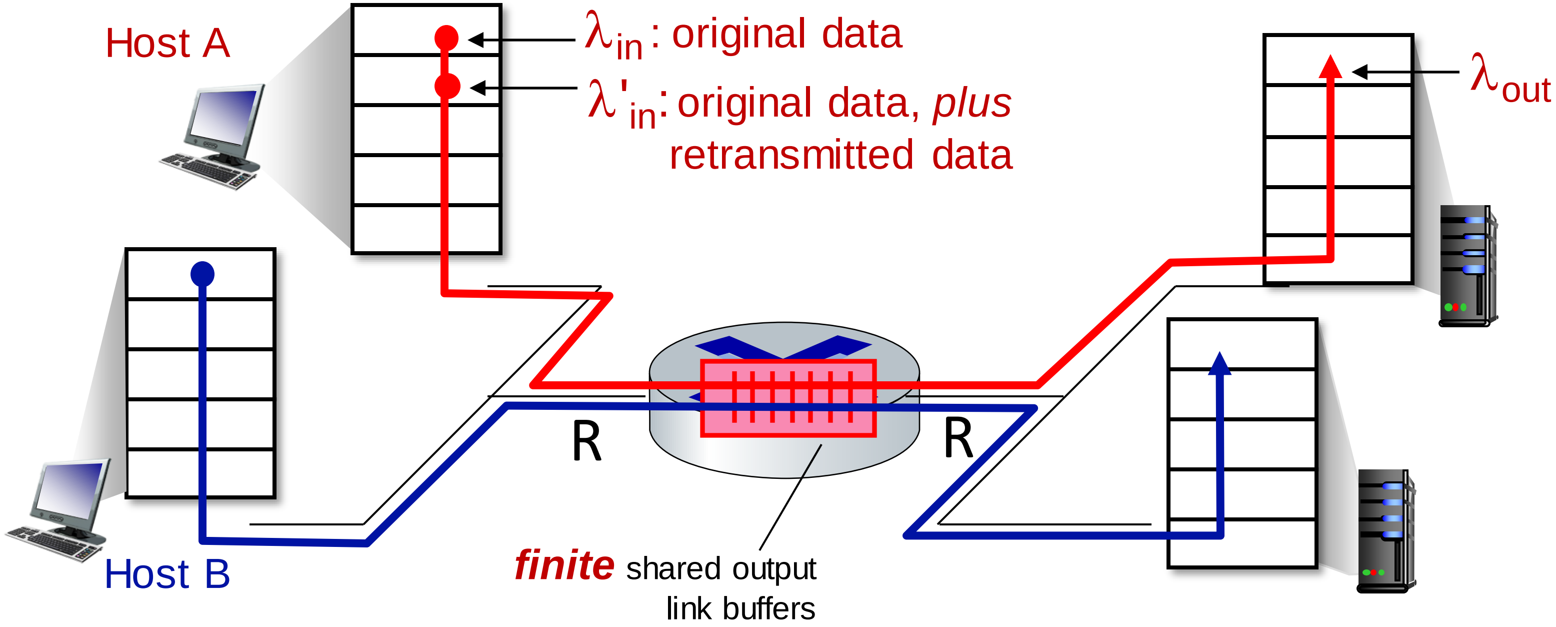
maximum per-connection throughput: R/2



large delays as arrival rate λ_{in} approaches capacity

Causes/costs of congestion: scenario 2

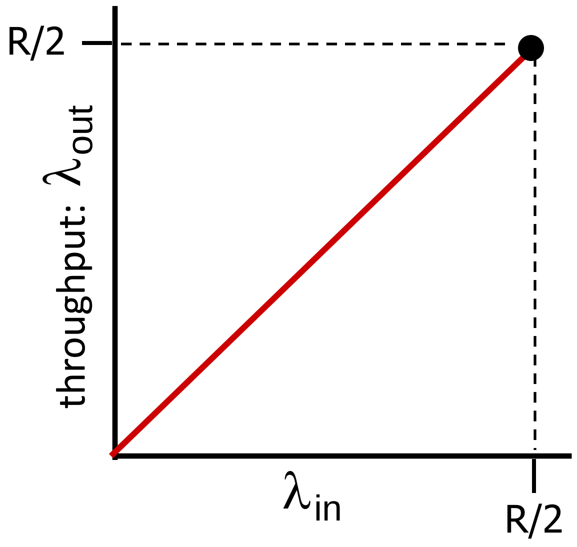
- one router, *finite* buffers
- sender retransmits lost, timed-out packet
  - application-layer input = application-layer output: $\lambda_{in} = \lambda_{out}$
  - transport-layer input includes *retransmissions* : $\lambda'_{in} \geq \lambda_{in}$

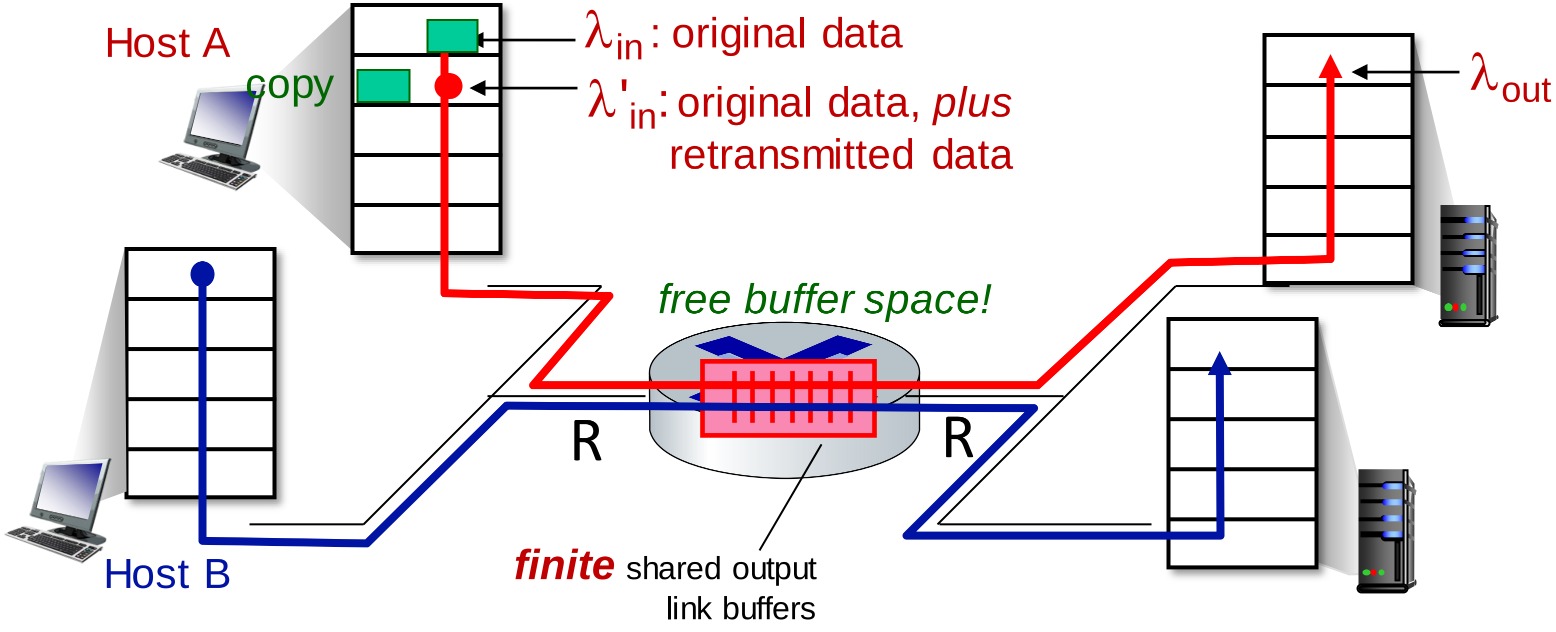

Host A
λ_{in} : original data
λ'_{in}: original data, *plus* retransmitted data
λ_{out}
Host B
R
R
finite shared output link buffers

Causes/costs of congestion: scenario 2

Idealization: perfect knowledge

- sender sends only when router buffers available

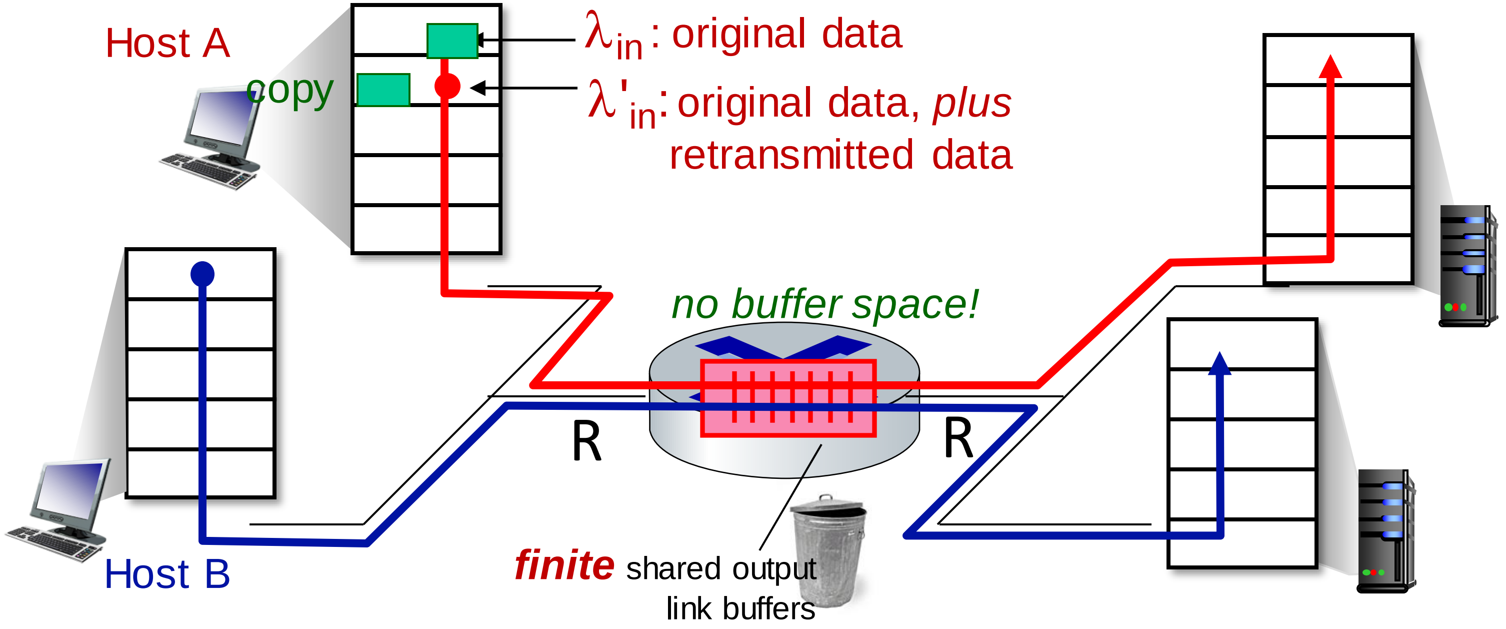



Host A
copy
λ_{in}: original data
λ'_{in}: original data, *plus* retransmitted data
λ_{out}
free buffer space!
R
R
finite shared output link buffers
Host B

Causes/costs of congestion: scenario 2

Idealization: *some* perfect knowledge

- packets can be lost (dropped at router) due to full buffers
- sender knows when packet has been dropped: only resends if packet *known* to be lost

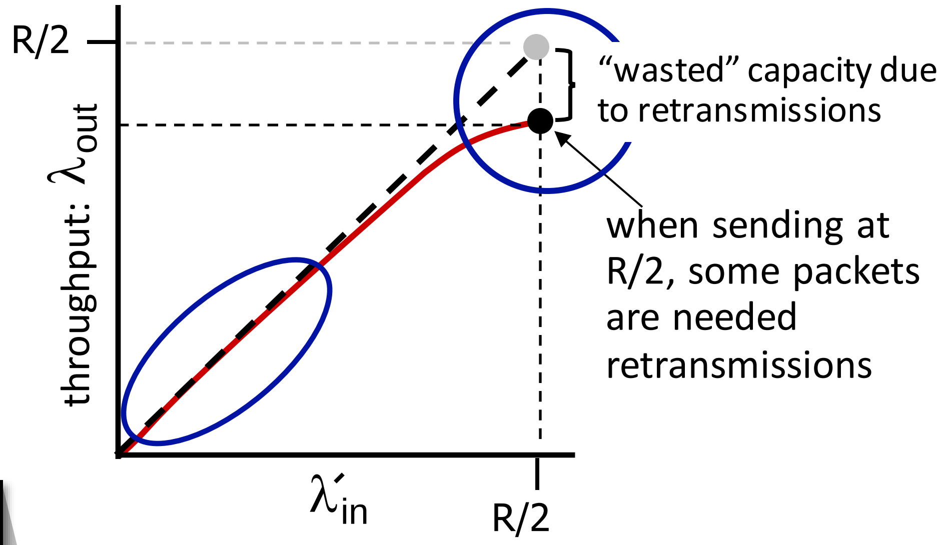


Host A
copy
λ_{in} : original data
λ'_{in}: original data, *plus* retransmitted data
no buffer space!
R
R
finite shared output link buffers
Host B

Causes/costs of congestion: scenario 2

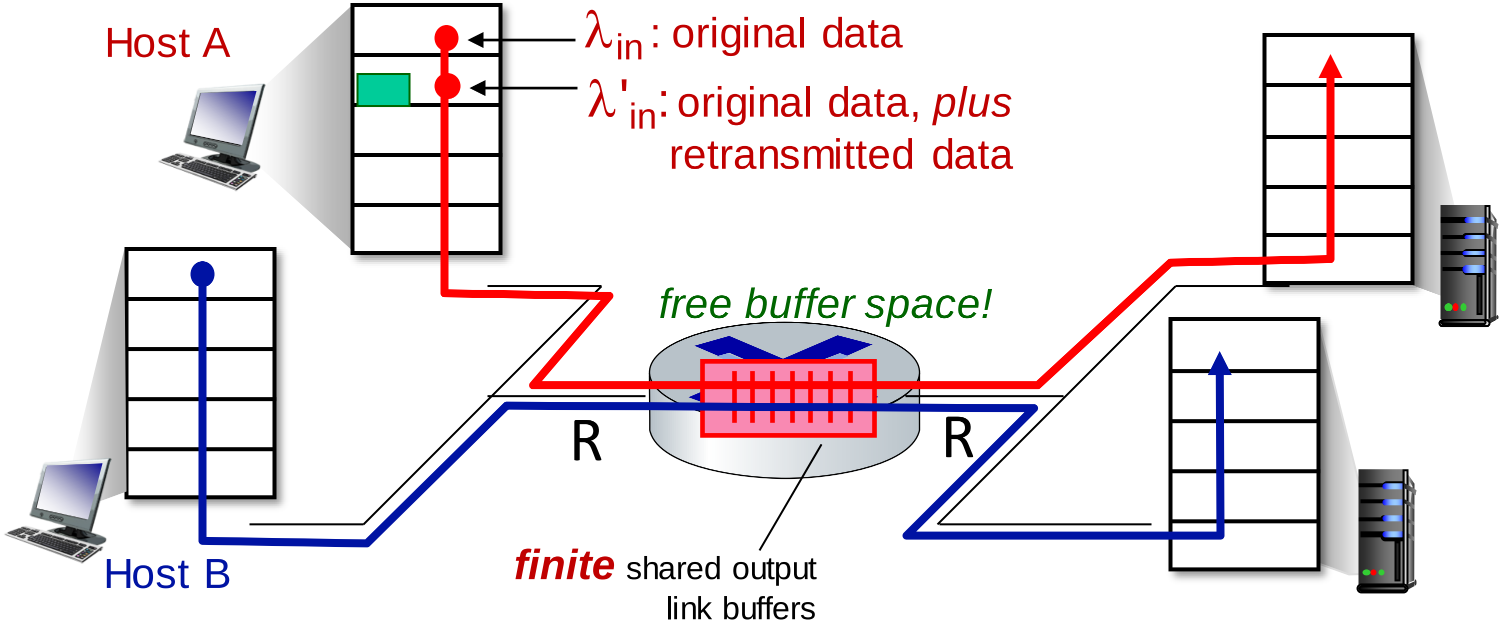
Idealization: *some* perfect knowledge

- packets can be lost (dropped at router) due to full buffers
- sender knows when packet has been dropped: only resends if packet *known* to be lost



"wasted" capacity due to retransmissions

when sending at R/2, some packets are needed retransmissions

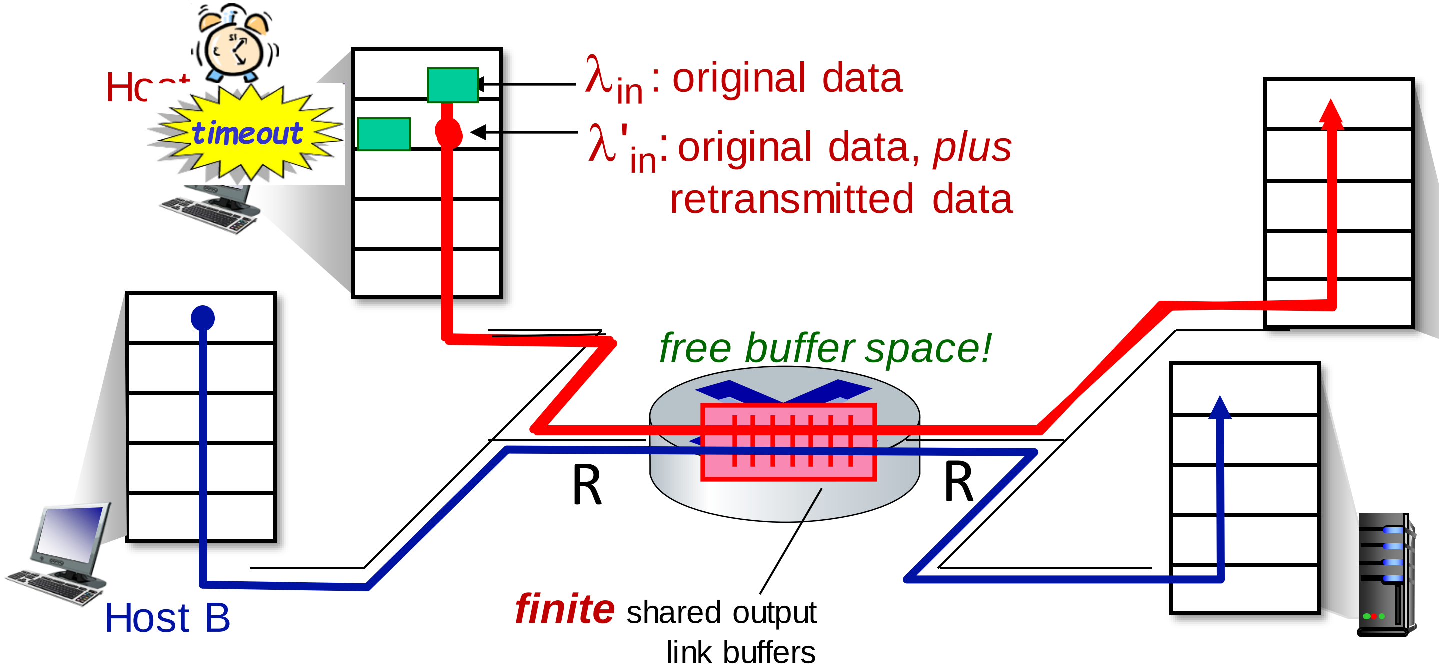


Host A
Host B
λ_{in}: original data
λ'_{in}: original data, *plus* retransmitted data
free buffer space!
R
R
finite shared output link buffers

Causes/costs of congestion: scenario 2

Realistic scenario: *un-needed duplicates*

- packets can be lost, dropped at router due to full buffers – requiring retransmissions
- but sender timers can time out prematurely, sending *two* copies, *both* of which are delivered

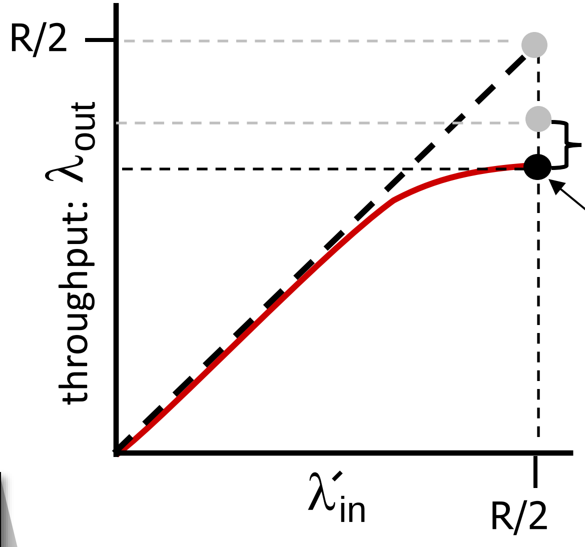


λ_{in} : original data

λ'_{in}: original data, *plus* retransmitted data

free buffer space!

finite shared output link buffers



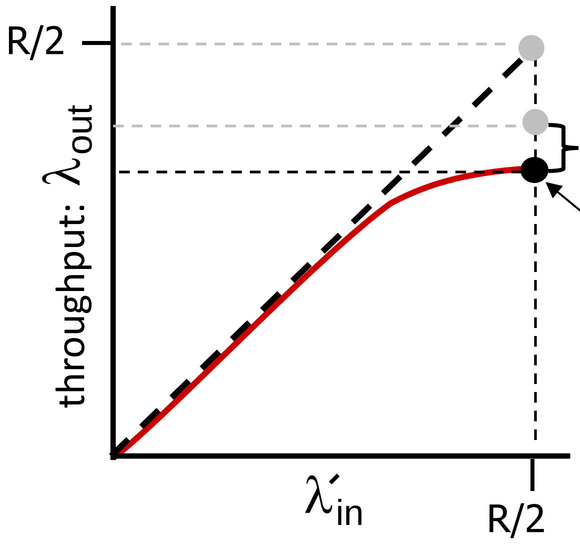
"wasted" capacity due to un-needed retransmissions

when sending at R/2, some packets are retransmissions, including needed and *un-needed* duplicates, that are delivered!

Causes/costs of congestion: scenario 2

Realistic scenario: *un-needed duplicates*

- packets can be lost, dropped at router due to full buffers – requiring retransmissions
- but sender times can time out prematurely, sending *two* copies, *both* of which are delivered



"wasted" capacity due to un-needed retransmissions

when sending at R/2, some packets are retransmissions, including needed and *un-needed* duplicates, that are delivered!

"costs" of congestion:

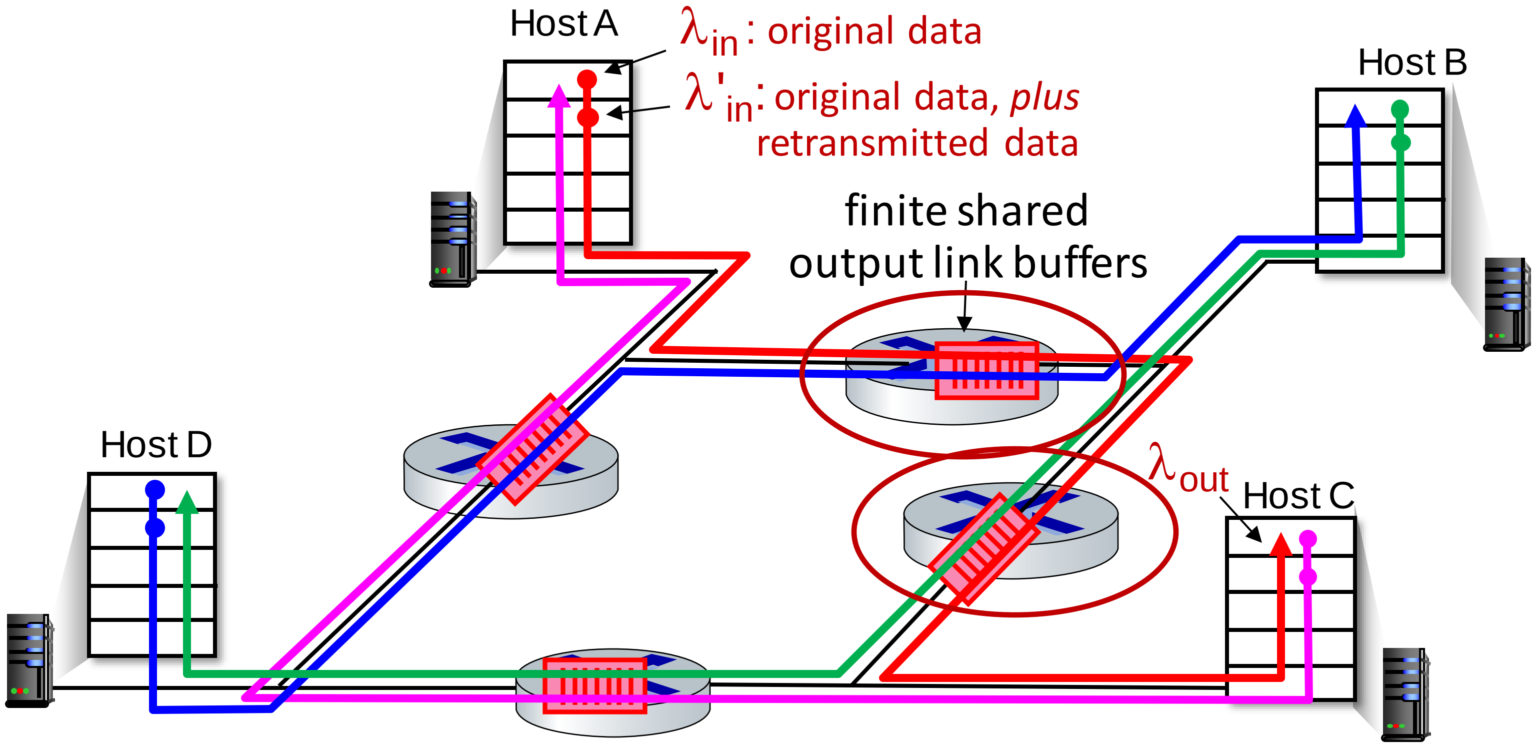
- more work (retransmission) for given receiver throughput
- unneeded retransmissions: link carries multiple copies of a packet
  - decreasing maximum achievable throughput

Causes/costs of congestion: scenario 3

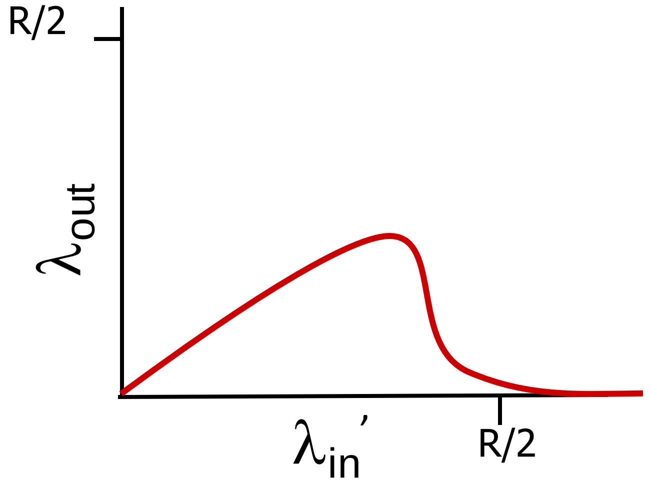
- *four* senders
- *multi-hop* paths
- timeout/retransmit

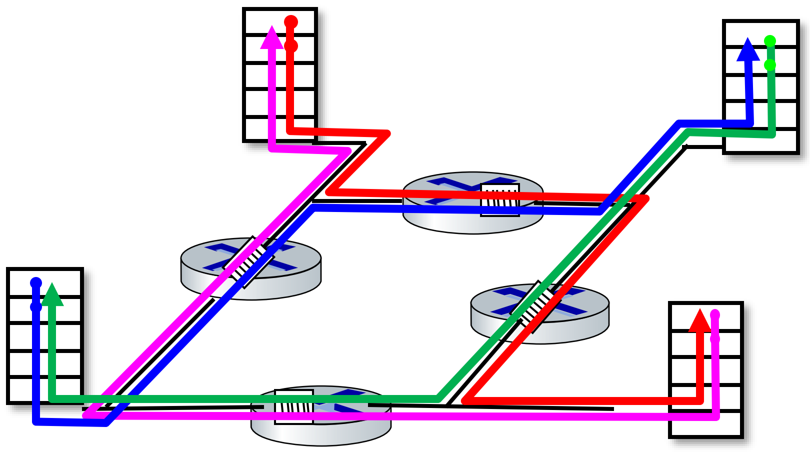
Q: what happens as λ_{in} and λ_{in}' increase ?

A: as red λ_{in}' increases, all arriving blue pkts at upper queue are dropped, blue throughput → 0


Host A
λ_{in} : original data
λ'_{in}: original data, *plus* retransmitted data
Host B
finite shared output link buffers
Host D
λ_{out}
Host C

Causes/costs of congestion: scenario 3



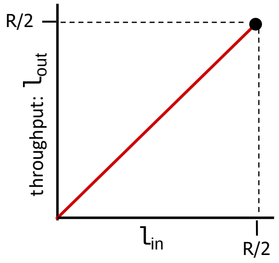


another “cost” of congestion:

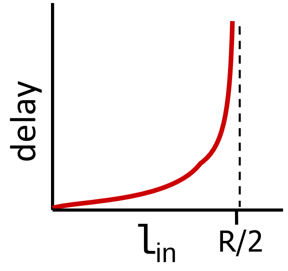
- when packet dropped, any upstream transmission capacity and buffering used for that packet was wasted!

Causes/costs of congestion: insights

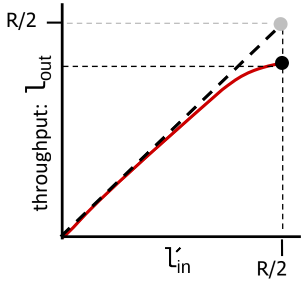
- throughput can never exceed capacity



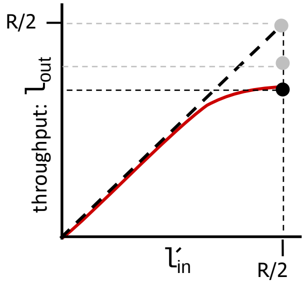
- delay increases as capacity approached



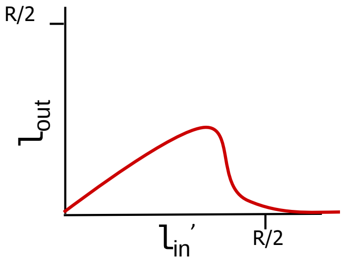
- loss/retransmission decreases effective throughput



- un-needed duplicates further decreases effective throughput



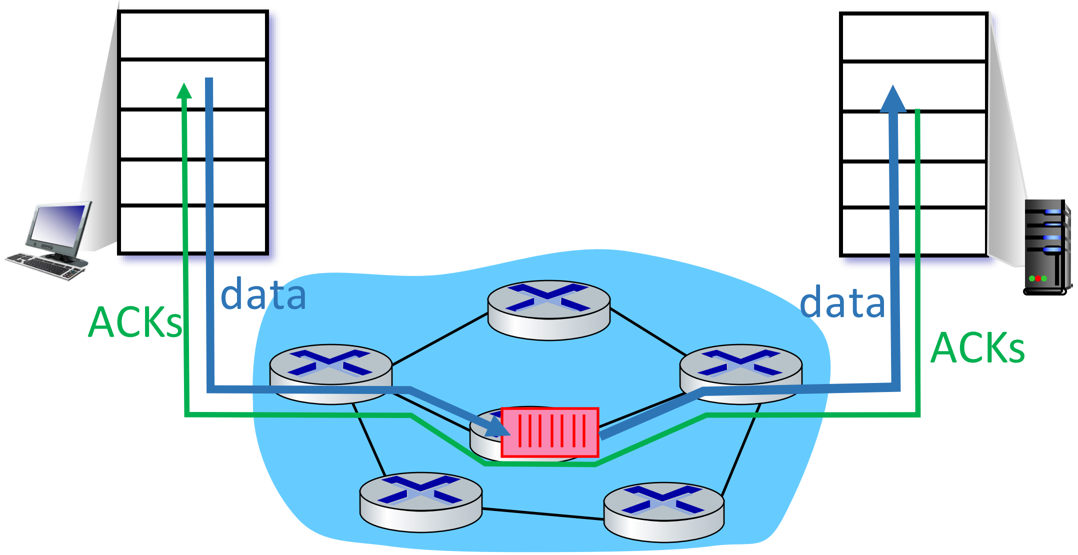
- upstream transmission capacity / buffering wasted for packets lost downstream



Approaches towards congestion control

End-end congestion control:

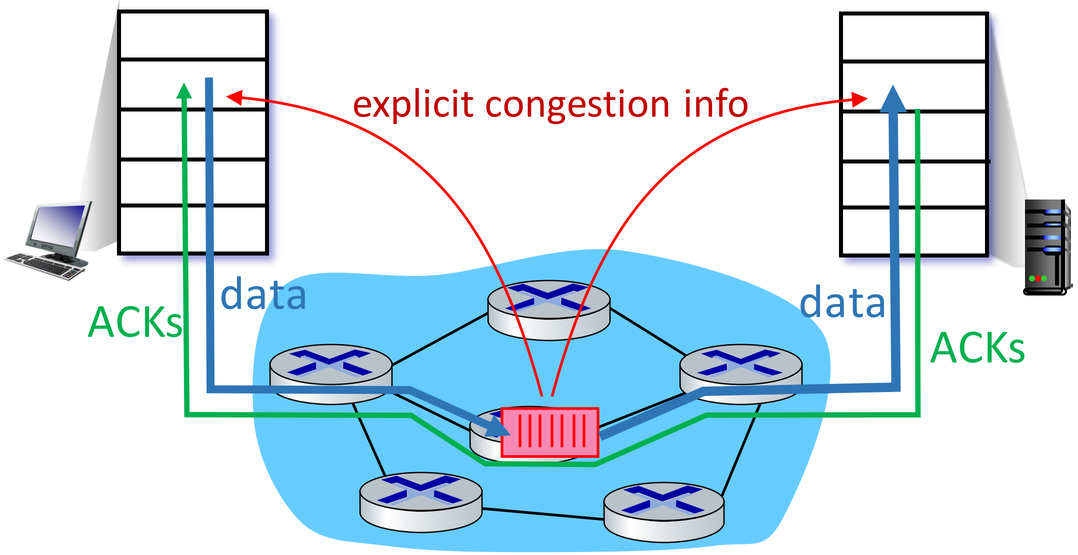
- no explicit feedback from network
- congestion *inferred* from observed loss, delay
- approach taken by TCP



Approaches towards congestion control

Network-assisted congestion control:

- routers provide *direct* feedback to sending/receiving hosts with flows passing through congested router
- may indicate congestion level or explicitly set sending rate
- TCP ECN, ATM, DECbit protocols



Transport layer: overview

- Transport-layer services
- Multiplexing and demultiplexing
- Connectionless transport: UDP
- Principles of reliable data transfer
- Connection-oriented transport: TCP
- Principles of congestion control
- TCP congestion control

TCP congestion control: AIMD

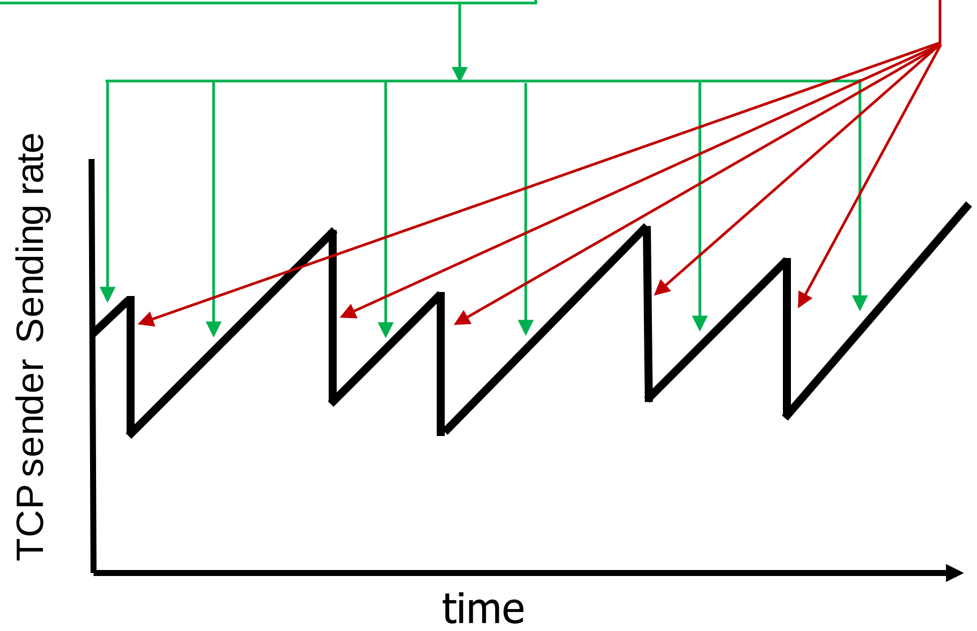
- *approach:* senders can increase sending rate until packet loss (congestion) occurs, then decrease sending rate on loss event

Additive Increase

increase sending rate by 1 maximum segment size every RTT until loss detected

Multiplicative Decrease

cut sending rate in half at each loss event



AIMD sawtooth behavior: *probing* for bandwidth

TCP AIMD: more

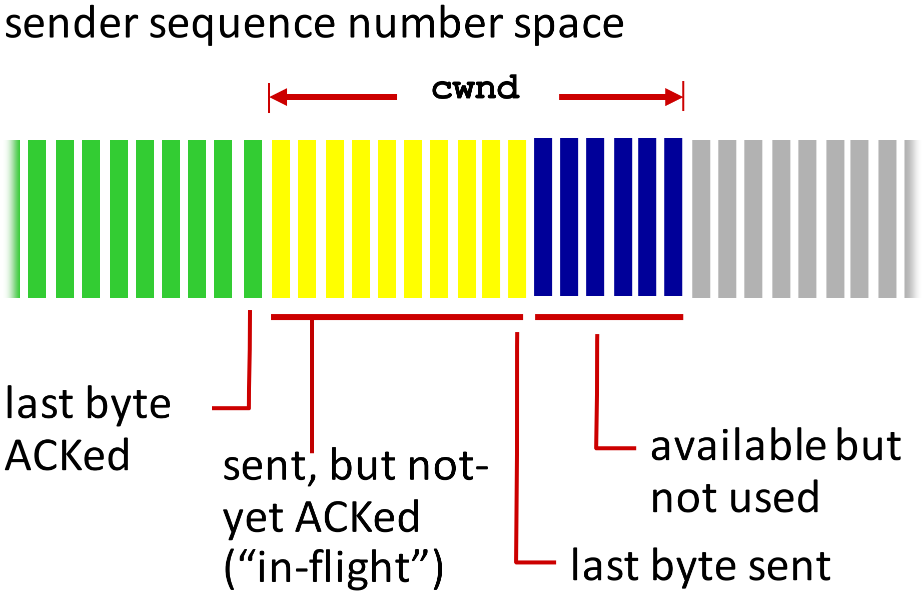
Multiplicative decrease detail: sending rate is

- Cut in half on loss detected by triple duplicate ACK (TCP Reno)
- Cut to 1 MSS (maximum segment size) when loss detected by timeout (TCP Tahoe)

Why AIMD?

- AIMD – a distributed, asynchronous algorithm – has been shown to:
  - optimize congested flow rates network wide!
  - have desirable stability properties

TCP congestion control: details


sender sequence number space
cwnd
last byte ACKed
sent, but not-yet ACKed ("in-flight")
available but not used
last byte sent

TCP sending behavior:

- *roughly:* send `cwnd` bytes, wait RTT for ACKS, then send more bytes

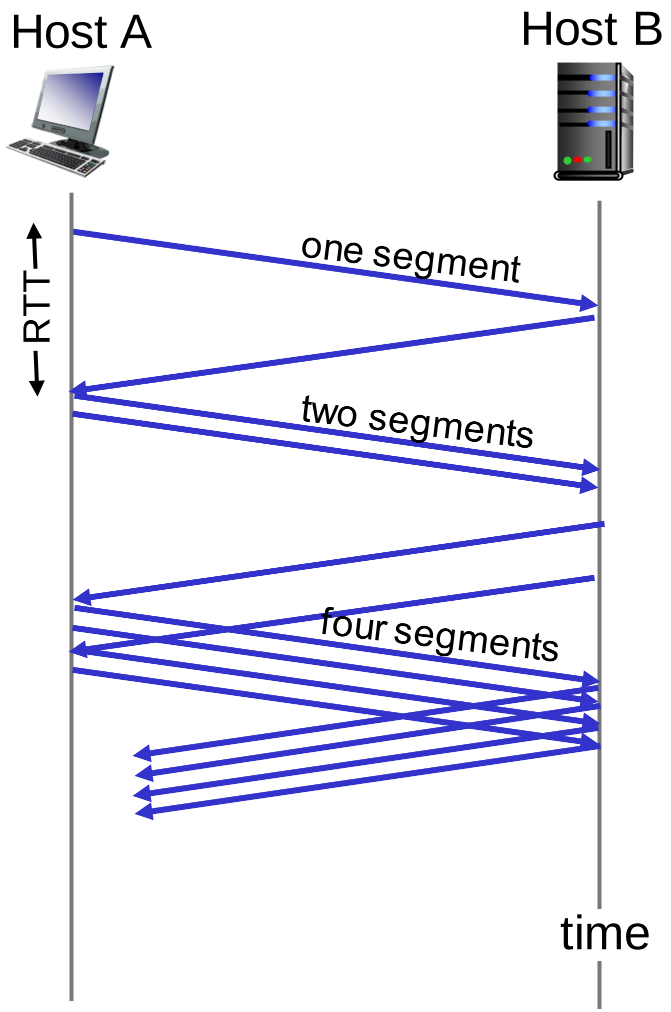
$$\text{TCP rate} \approx \frac{\texttt{cwnd}}{\text{RTT}} \text{ bytes/sec}$$

- TCP sender limits transmission: `LastByteSent- LastByteAcked ≤ cwnd`
- `cwnd` is dynamically adjusted in response to observed network congestion (implementing TCP congestion control)

TCP slow start

- when connection begins, increase rate exponentially until first loss event:
  - initially **`cwnd`** = 1 MSS
  - double **`cwnd`** every RTT
  - done by incrementing **`cwnd`** for every ACK received

- *summary:* initial rate is slow, but ramps up exponentially fast



TCP: detecting, reacting to loss

- loss indicated by timeout:
  - `cwnd` set to 1 MSS;
  - window then grows exponentially (as in slow start) to threshold, then grows linearly
- loss indicated by 3 duplicate ACKs: TCP RENO
  - dup ACKs indicate network capable of delivering some segments
  - `cwnd` is cut in half window then grows linearly
- TCP Tahoe always sets `cwnd` to 1 (timeout or 3 duplicate acks)

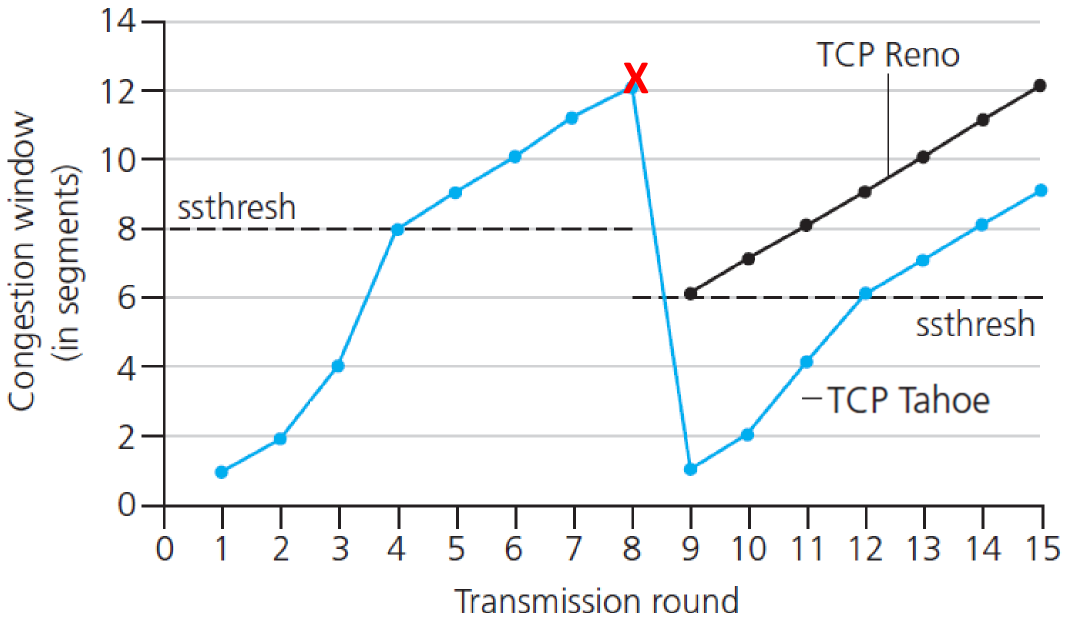
TCP: from slow start to congestion avoidance

Q: when should the exponential increase switch to linear?

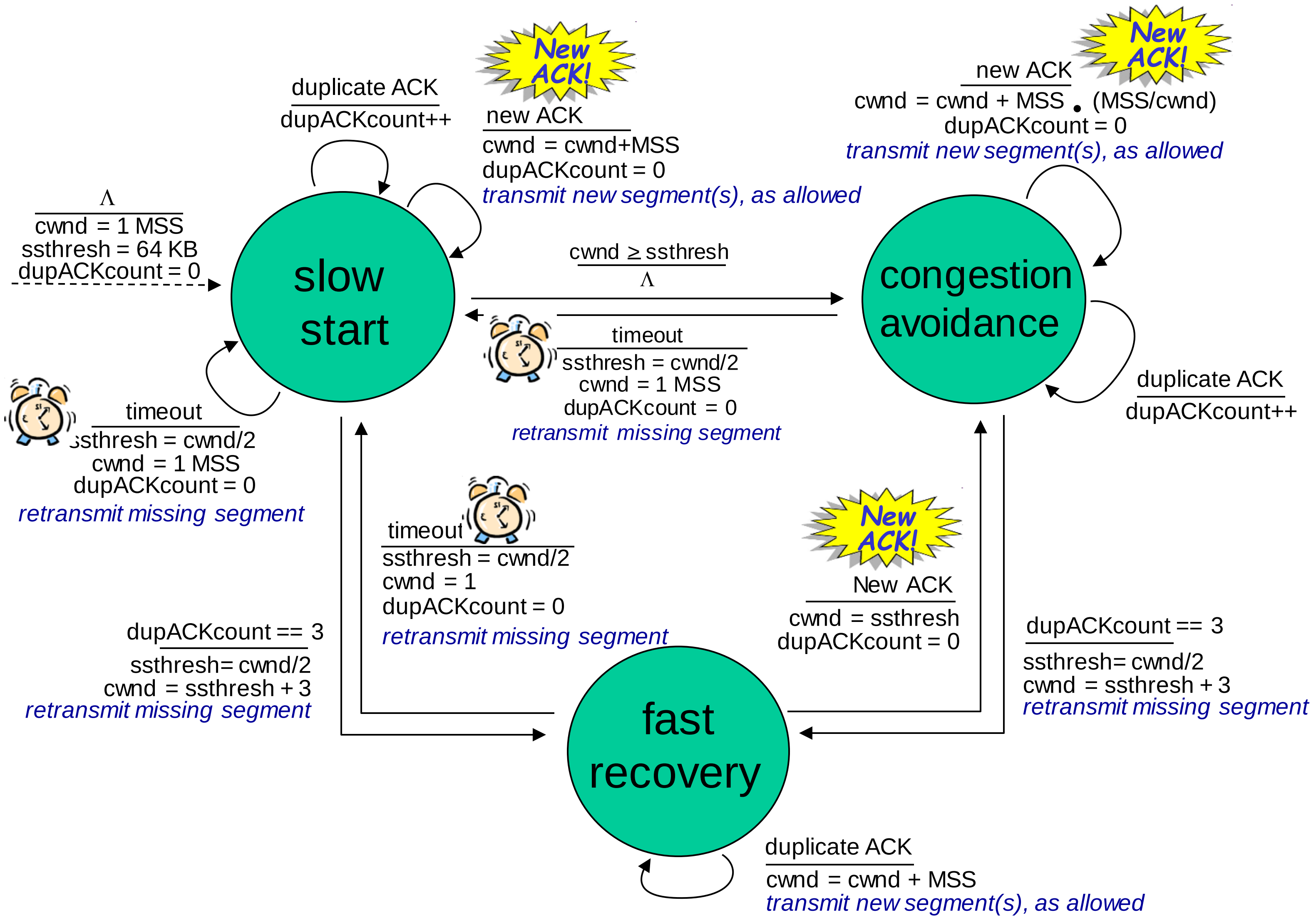
A: when **cwnd** gets to 1/2 of its value before timeout.

Implementation:

- variable **ssthresh**
- on loss event, **ssthresh** is set to 1/2 of **cwnd** just before loss event



Summary: TCP congestion control



slow start

congestion avoidance

fast recovery

Λ
cwnd = 1 MSS
ssthresh = 64 KB
dupACKcount = 0

duplicate ACK
dupACKcount++

new ACK
cwnd = cwnd+MSS
dupACKcount = 0
transmit new segment(s), as allowed

timeout
ssthresh = cwnd/2
cwnd = 1 MSS
dupACKcount = 0
retransmit missing segment

cwnd $\geq$ ssthresh
Λ

timeout
ssthresh = cwnd/2
cwnd = 1 MSS
dupACKcount = 0
retransmit missing segment

new ACK
cwnd = cwnd + MSS • (MSS/cwnd)
dupACKcount = 0
transmit new segment(s), as allowed

duplicate ACK
dupACKcount++

dupACKcount == 3
ssthresh= cwnd/2
cwnd = ssthresh + 3
retransmit missing segment

timeout
ssthresh = cwnd/2
cwnd = 1
dupACKcount = 0
retransmit missing segment

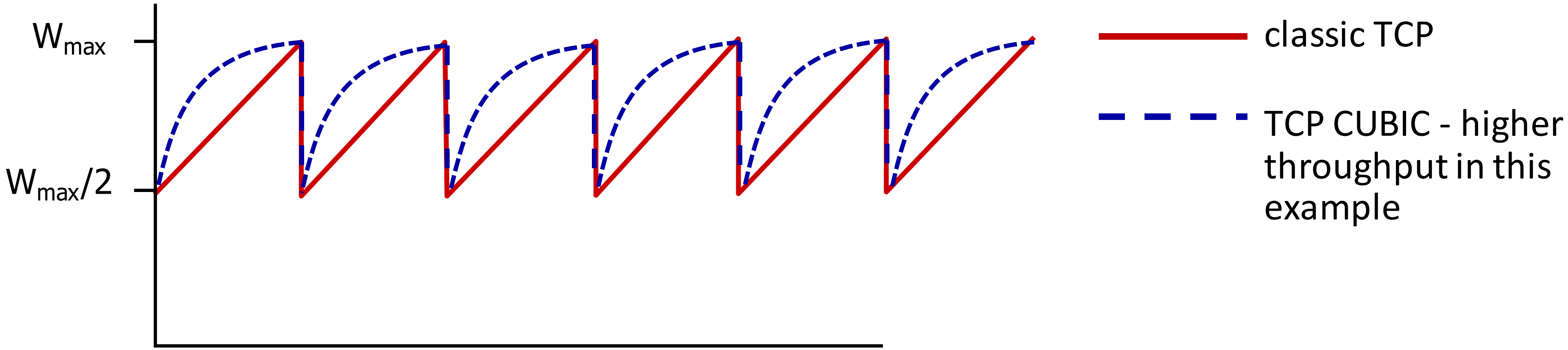
New ACK
cwnd = ssthresh
dupACKcount = 0

dupACKcount == 3
ssthresh= cwnd/2
cwnd = ssthresh + 3
retransmit missing segment

duplicate ACK
cwnd = cwnd + MSS
transmit new segment(s), as allowed

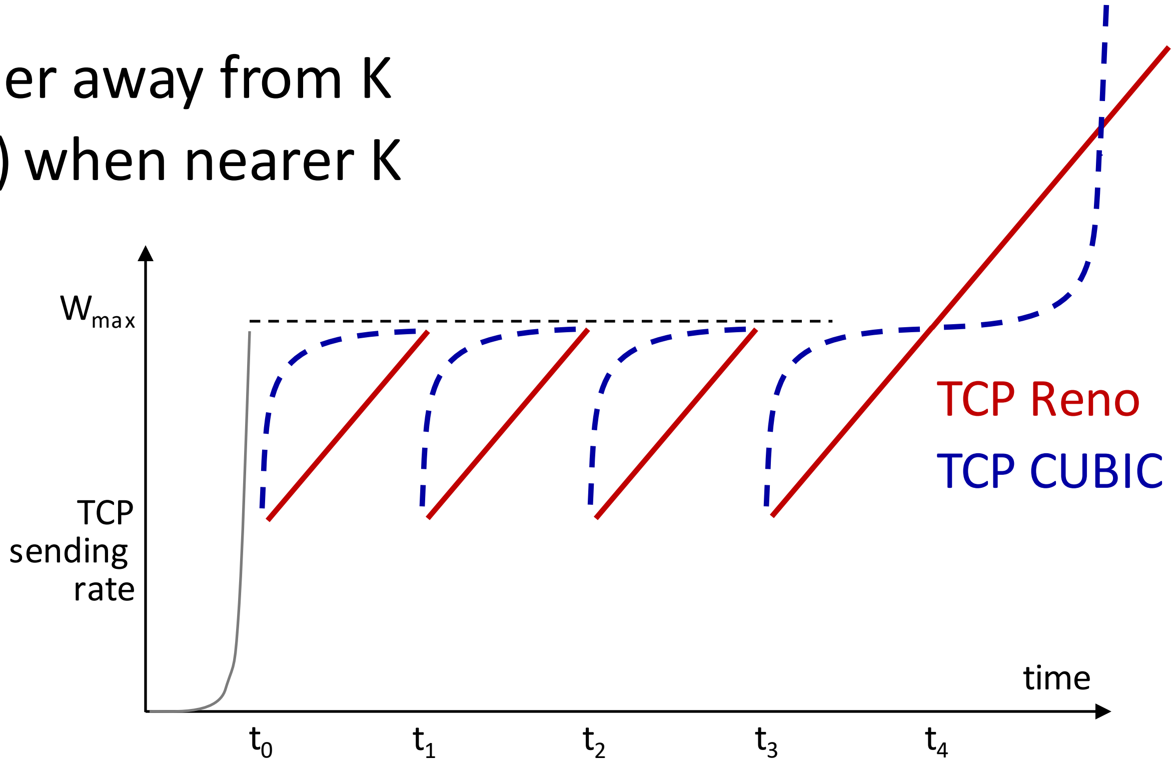
TCP CUBIC

- Is there a better way than AIMD to "probe" for usable bandwidth?
- Insight/intuition:
  - W_{max}: sending rate at which congestion was detected
  - congestion state of bottleneck link probably (?) hasn't changed much
  - after cutting rate/window in half on loss, initially ramp to to W_{max} *faster*, but then approach W_{max} more *slowly*



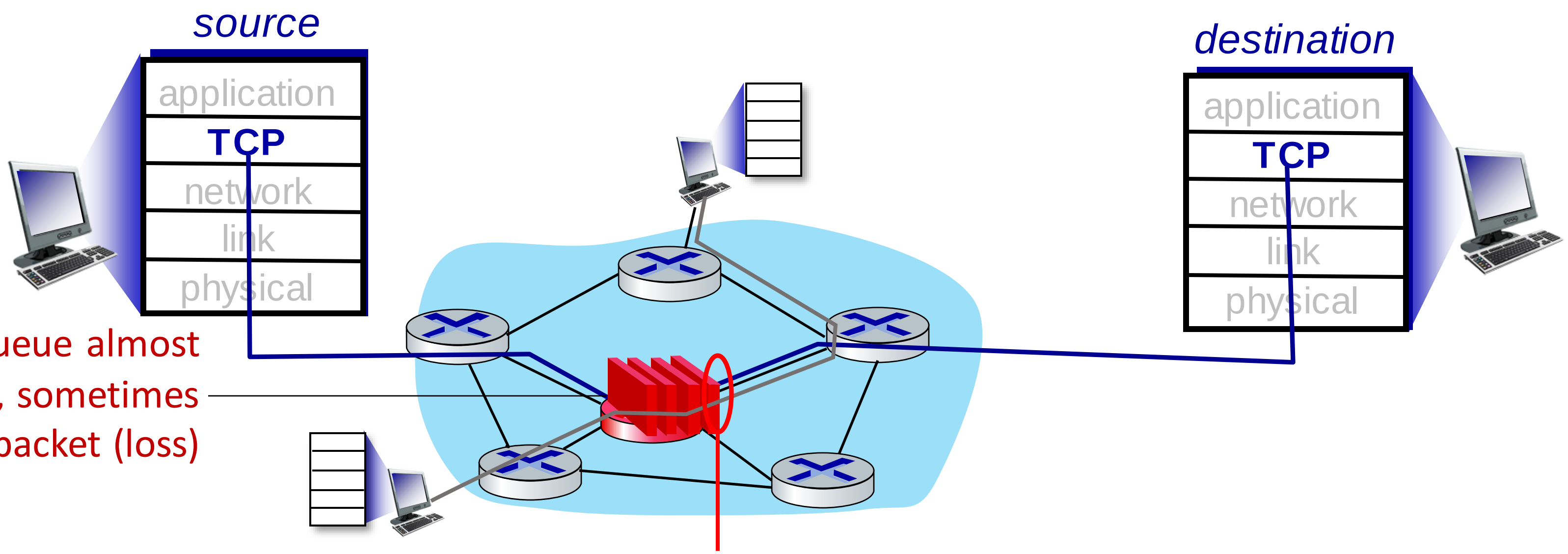
TCP CUBIC

- K: point in time when TCP window size will reach W_{max}
  - K itself is tunable
- increase W as a function of the *cube* of the distance between current time and K
  - larger increases when further away from K
  - smaller increases (cautious) when nearer K
- TCP CUBIC default in Linux, most popular TCP for popular Web servers



TCP and the congested "bottleneck link"

- TCP (classic, CUBIC) increase TCP's sending rate until packet loss occurs at some router's output: the *bottleneck link*

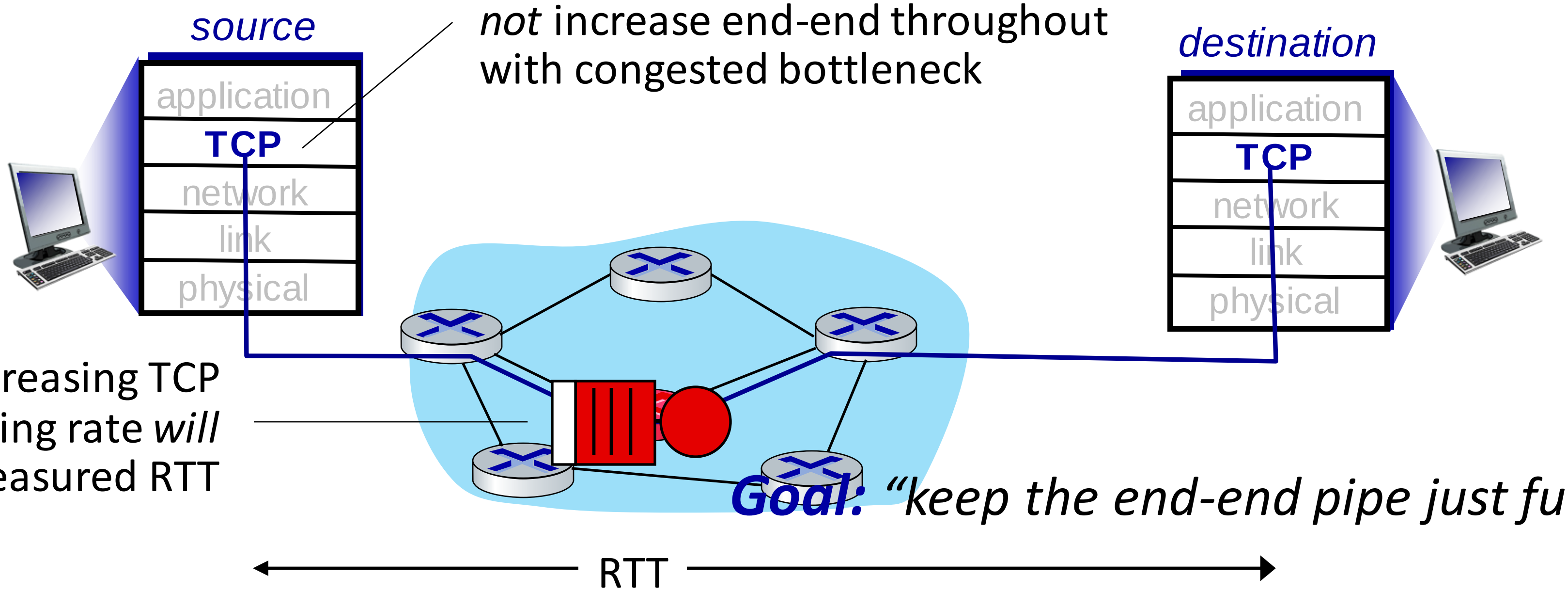


packet queue almost never empty, sometimes overflows packet (loss)

bottleneck link (almost always busy)

TCP and the congested “bottleneck link”

- TCP (classic, CUBIC) increase TCP’s sending rate until packet loss occurs at some router’s output: the *bottleneck link*
- understanding congestion: useful to focus on congested bottleneck link



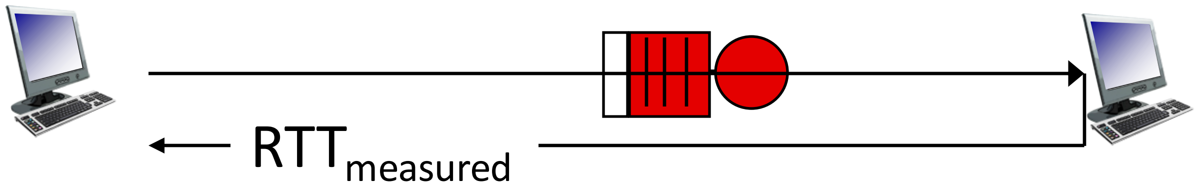
insight: increasing TCP sending rate will *not* increase end-end throughout with congested bottleneck

insight: increasing TCP sending rate *will* increase measured RTT

Goal: *“keep the end-end pipe just full, but not fuller”*

Delay-based TCP congestion control

Keeping sender-to-receiver pipe “just full enough, but no fuller”: keep bottleneck link busy transmitting, but avoid high delays/buffering



$$\text{measured throughput} = \frac{\text{\# bytes sent in last RTT interval}}{\text{RTT}_{\text{measured}}}$$

Delay-based approach: TCP Vegas

- RTT_{min} - minimum observed RTT (uncongested path)
- uncongested throughput with congestion window `cwnd` is cwnd/RTT_{min}

```
if measured throughput “very close” to  uncongested throughput
    increase cwnd linearly              /* since path not congested */
else if measured throughput “far below” uncongested throughout
    decrease cwnd  linearly             /* since path is congested */
```

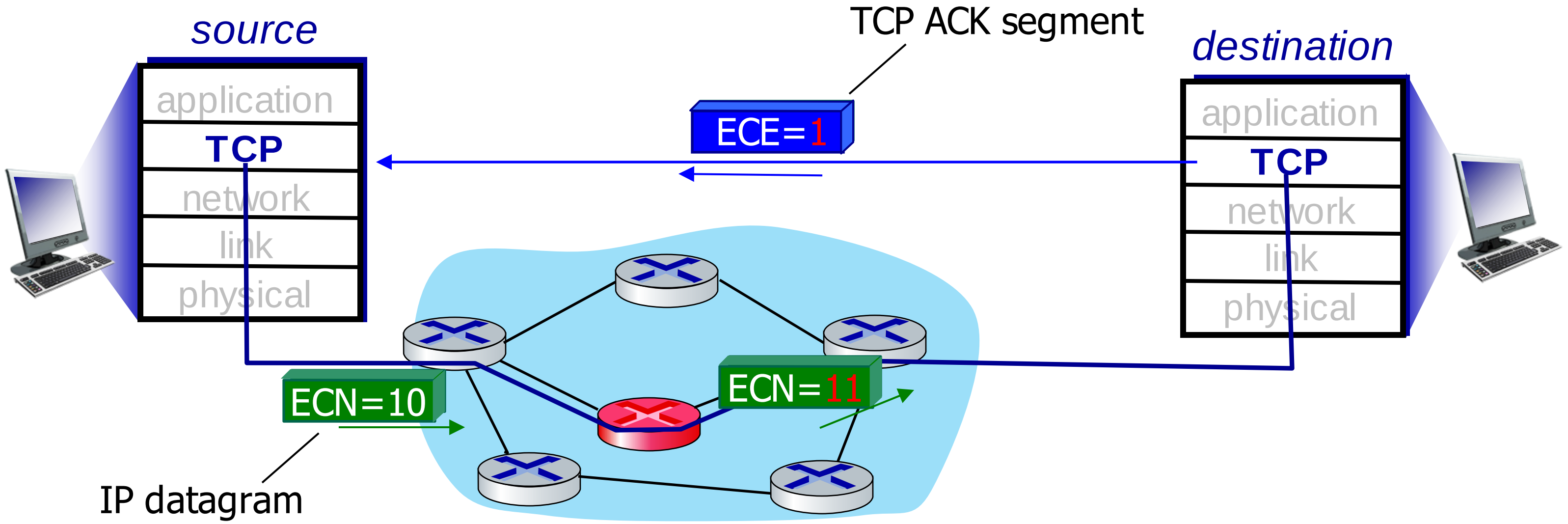
Delay-based TCP congestion control

- congestion control without inducing/forcing loss
- maximizing throughout ("keeping the just pipe full… ") while keeping delay low ("…but not fuller")
- a number of deployed TCPs take a delay-based approach
  - BBR deployed on Google's (internal) backbone network

Explicit congestion notification (ECN)

TCP deployments often implement *network-assisted* congestion control:

- two bits in IP header (ToS field) marked *by network router* to indicate congestion
  - *policy* to determine marking chosen by network operator
- congestion indication carried to destination
- destination sets ECE bit on ACK segment to notify sender of congestion
- involves both IP (IP header ECN bit marking) and TCP (TCP header C,E bit marking)



source
application
TCP
network
link
physical
TCP ACK segment
ECE=1
destination
application
TCP
network
link
physical
ECN=10
ECN=11
IP datagram