

the receiver is able to receive data as fast as the sender happens to send data. Thus, there is no need for the receiver to ask the sender to slow down!

Reliable Data Transfer over a Channel with Bit Errors: `rdt2.0`

A more realistic model of the underlying channel is one in which bits in a packet may be corrupted. Such bit errors typically occur in the physical components of a network as a packet is transmitted, propagates, or is buffered. We'll continue to assume for the moment that all transmitted packets are received (although their bits may be corrupted) in the order in which they were sent.

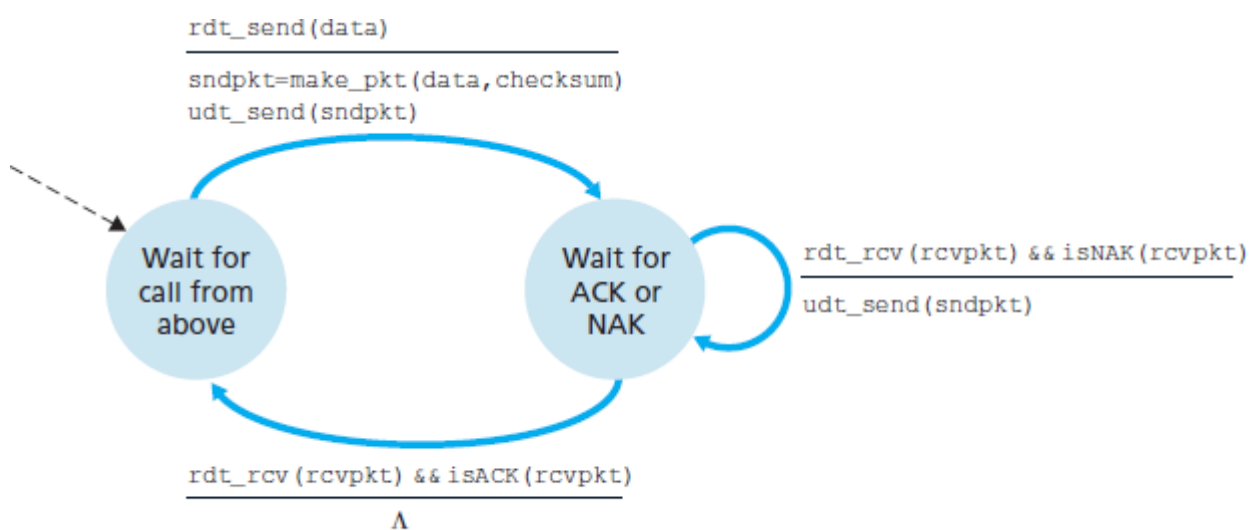
Before developing a protocol for reliably communicating over such a channel, first consider how people might deal with such a situation. Consider how you yourself might dictate a long message over the phone. In a typical scenario, the message taker might say "OK" after each sentence has been heard, understood, and recorded. If the message taker hears a garbled sentence, you're asked to repeat the garbled sentence. This message-dictation protocol uses both **positive acknowledgments** ("OK") and **negative acknowledgments** ("Please repeat that."). These control messages allow the receiver to let the sender know what has been received correctly, and what has been received in error and thus requires repeating. In a computer network setting, reliable data transfer protocols based on such retransmission are known as **ARQ (Automatic Repeat reQuest) protocols**.

Fundamentally, three additional protocol capabilities are required in ARQ protocols to handle the presence of bit errors:

- **Error detection.** First, a mechanism is needed to allow the receiver to detect when bit errors have occurred. Recall from the previous section that UDP uses the Internet checksum field for exactly this purpose. In **Chapter 6** we'll examine error-detection and -correction techniques in greater detail; these techniques allow the receiver to detect and possibly correct packet bit errors. For now, we need only know that these techniques require that extra bits (beyond the bits of original data to be transferred) be sent from the sender to the receiver; these bits will be gathered into the packet checksum field of the `rdt2.0` data packet.
- **Receiver feedback.** Since the sender and receiver are typically executing on different end systems, possibly separated by thousands of miles, the only way for the sender to learn of the receiver's view of the world (in this case, whether or not a packet was received correctly) is for the receiver to provide explicit feedback to the sender. The positive (ACK) and negative (NAK) acknowledgment replies in the message-dictation scenario are examples of such feedback. Our `rdt2.0` protocol will similarly send ACK and NAK packets back from the receiver to the sender. In principle, these packets need only be one bit long; for example, a 0 value could indicate a NAK and a value of 1 could indicate an ACK.
- **Retransmission.** A packet that is received in error at the receiver will be retransmitted by the sender.

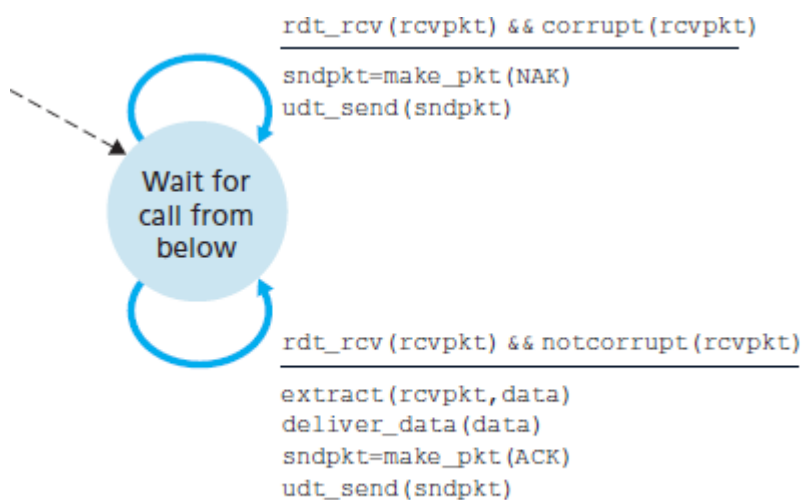
Figure 3.10 shows the FSM representation of *rdt2.0*, a data transfer protocol employing error detection, positive acknowledgments, and negative acknowledgments.

The send side of *rdt2.0* has two states. In the leftmost state, the send-side protocol is waiting for data to be passed down from the upper layer. When the *rdt_send(data)* event occurs, the sender will create a packet (*sndpkt*) containing the data to be sent, along with a packet checksum (for example, as discussed in **Section 3.3.2** for the case of a UDP segment), and then send the packet via the *udt_send(sndpkt)* operation. In the rightmost state, the sender protocol is waiting for an ACK or a NAK packet from the receiver. If an ACK packet is received



a. rdt2.0: sending side

Figure 3.10 *rdt2.0* – A protocol for a channel with bit errors



b. rdt2.0: receiving side

(the notation *rdt_rcv(rcvpkt) && isACK(rcvpkt)* in **Figure 3.10** corresponds to this event), the sender knows that the most recently transmitted packet has been received correctly and thus the protocol returns to the state of waiting for data from the upper layer. If a NAK is received, the protocol retransmits the last packet and waits for an ACK or NAK to be returned by the receiver in response to

the retransmitted data packet. It is important to note that when the sender is in the wait-for-ACK-or-NAK state, it *cannot* get more data from the upper layer; that is, the `rdt_send()` event can not occur; that will happen only after the sender receives an ACK and leaves this state. Thus, the sender will not send a new piece of data until it is sure that the receiver has correctly received the current packet. Because of this behavior, protocols such as `rdt2.0` are known as **stop-and-wait** protocols.

The receiver-side FSM for `rdt2.0` still has a single state. On packet arrival, the receiver replies with either an ACK or a NAK, depending on whether or not the received packet is corrupted. In **Figure 3.10**, the notation `rdt_rcv(rcvpkt) && corrupt(rcvpkt)` corresponds to the event in which a packet is received and is found to be in error.

Protocol `rdt2.0` may look as if it works but, unfortunately, it has a fatal flaw. In particular, we haven't accounted for the possibility that the ACK or NAK packet could be corrupted! (Before proceeding on, you should think about how this problem may be fixed.) Unfortunately, our slight oversight is not as innocuous as it may seem. Minimally, we will need to add checksum bits to ACK/NAK packets in order to detect such errors. The more difficult question is how the protocol should recover from errors in ACK or NAK packets. The difficulty here is that if an ACK or NAK is corrupted, the sender has no way of knowing whether or not the receiver has correctly received the last piece of transmitted data.

Consider three possibilities for handling corrupted ACKs or NAKs:

- For the first possibility, consider what a human might do in the message-dictation scenario. If the speaker didn't understand the "OK" or "Please repeat that" reply from the receiver, the speaker would probably ask, "What did you say?" (thus introducing a new type of sender-to-receiver packet to our protocol). The receiver would then repeat the reply. But what if the speaker's "What did you say?" is corrupted? The receiver, having no idea whether the garbled sentence was part of the dictation or a request to repeat the last reply, would probably then respond with "What did *you* say?" And then, of course, that response might be garbled. Clearly, we're heading down a difficult path.
- A second alternative is to add enough checksum bits to allow the sender not only to detect, but also to recover from, bit errors. This solves the immediate problem for a channel that can corrupt packets but not lose them.
- A third approach is for the sender simply to resend the current data packet when it receives a garbled ACK or NAK packet. This approach, however, introduces **duplicate packets** into the sender-to-receiver channel. The fundamental difficulty with duplicate packets is that the receiver doesn't know whether the ACK or NAK it last sent was received correctly at the sender. Thus, it cannot know *a priori* whether an arriving packet contains new data or is a retransmission!

A simple solution to this new problem (and one adopted in almost all existing data transfer protocols, including TCP) is to add a new field to the data packet and have the sender number its data packets by putting a **sequence number** into this field. The receiver then need only check this sequence number to

determine whether or not the received packet is a retransmission. For this simple case of a stop-and-wait protocol, a 1-bit sequence number will suffice, since it will allow the receiver to know whether the sender is resending the previously transmitted packet (the sequence number of the received packet has the same sequence number as the most recently received packet) or a new packet (the sequence number changes, moving “forward” in modulo-2 arithmetic). Since we are currently assuming a channel that does not lose packets, ACK and NAK packets do not themselves need to indicate the sequence number of the packet they are acknowledging. The sender knows that a received ACK or NAK packet (whether garbled or not) was generated in response to its most recently transmitted data packet.

Figures 3.11 and **3.12** show the FSM description for *rdt2.1*, our fixed version of *rdt2.0*. The *rdt2.1* sender and receiver FSMs each now have twice as many states as before. This is because the protocol state must now reflect whether the packet currently being sent (by the sender) or expected (at the receiver) should have a sequence number of 0 or 1. Note that the actions in those states where a 0-numbered packet is being sent or expected are mirror images of those where a 1-numbered packet is being sent or expected; the only differences have to do with the handling of the sequence number.

Protocol *rdt2.1* uses both positive and negative acknowledgments from the receiver to the sender. When an out-of-order packet is received, the receiver sends a positive acknowledgment for the packet it has received. When a corrupted packet

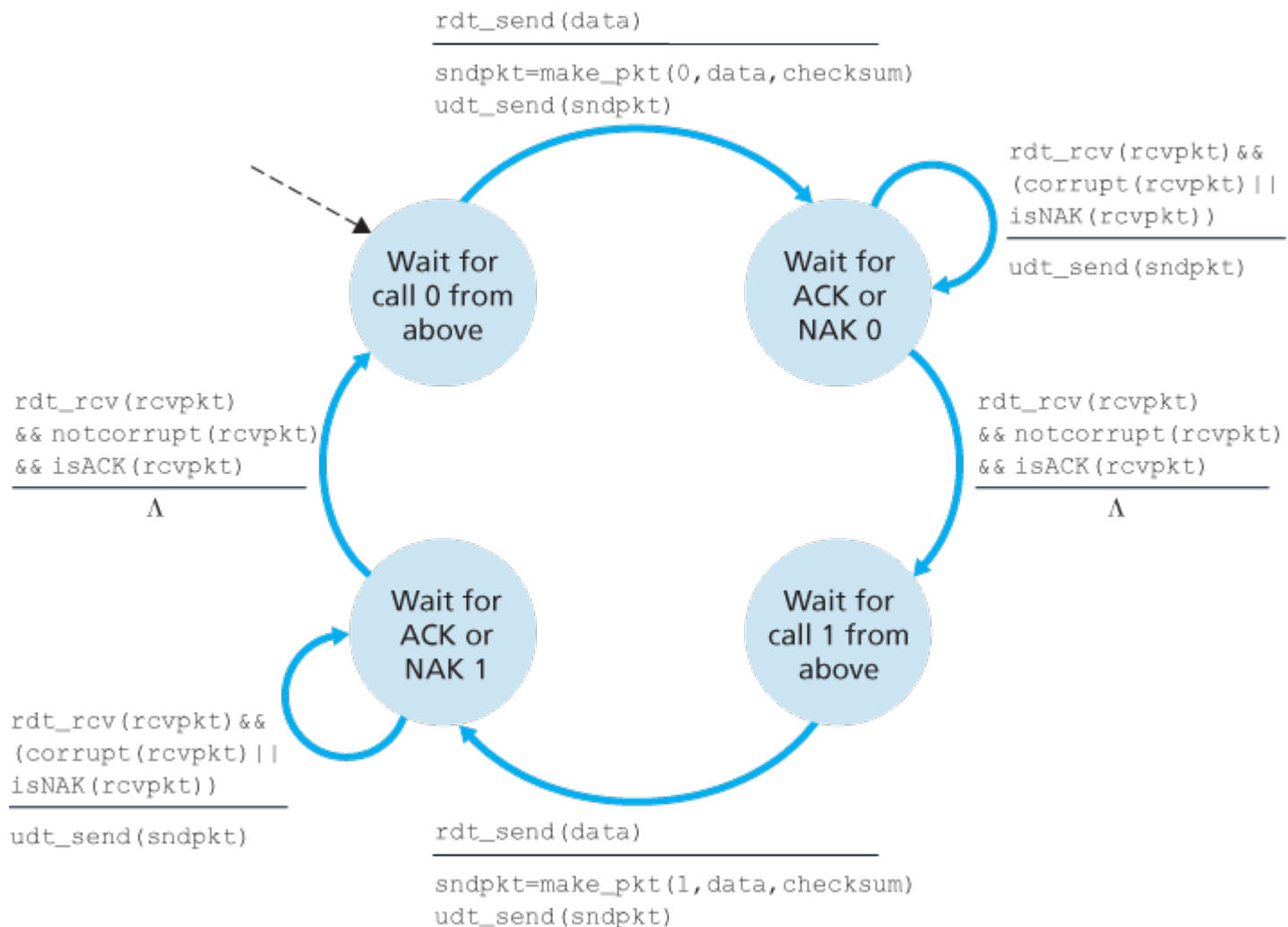


Figure 3.11 *rdt2.1* sender

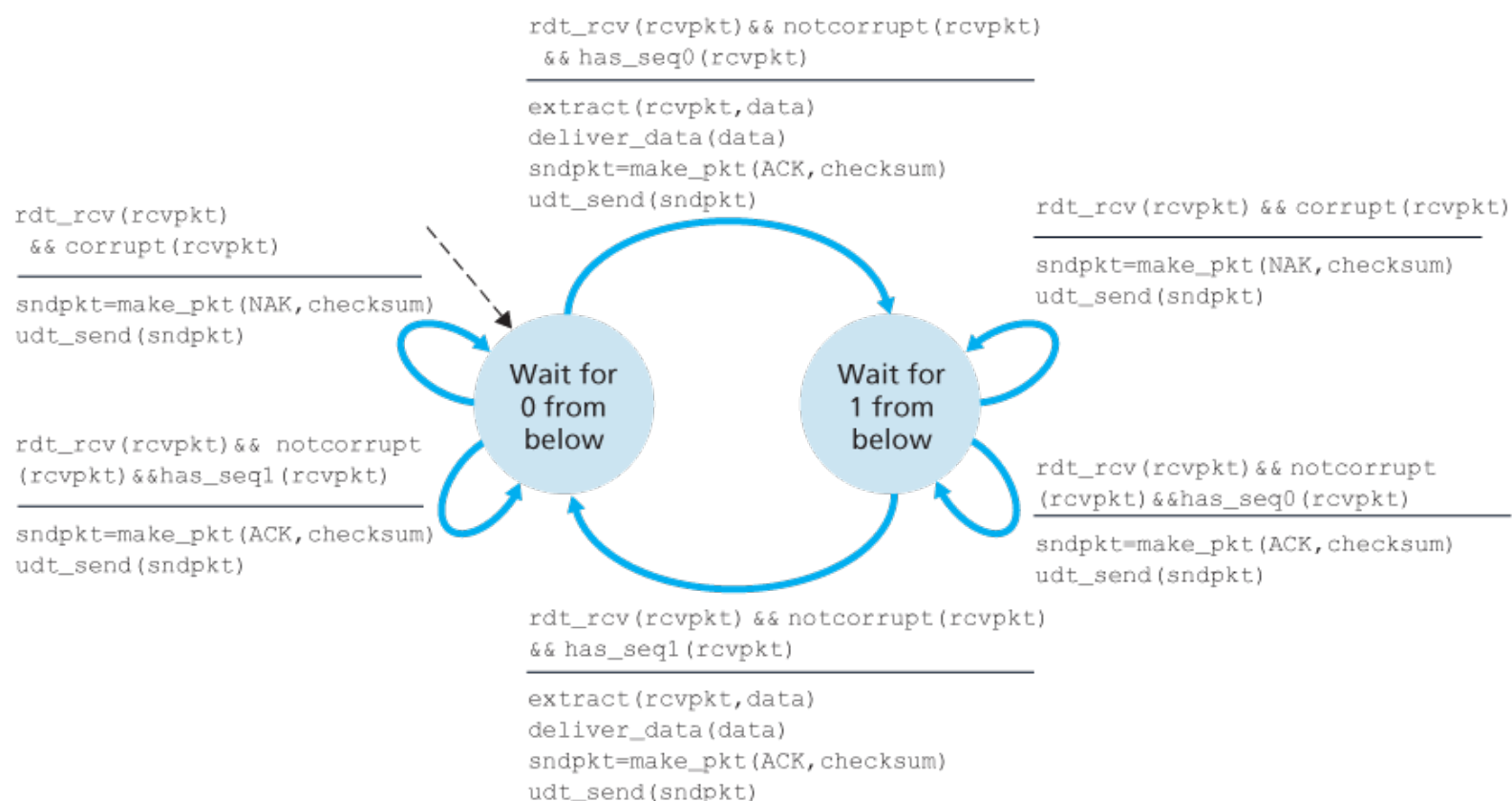


Figure 3.12 *rdt2.1* receiver

is received, the receiver sends a negative acknowledgment. We can accomplish the same effect as a NAK if, instead of sending a NAK, we send an ACK for the last correctly received packet. A sender that receives two ACKs for the same packet (that is, receives **duplicate ACKs**) knows that the receiver did not correctly receive the packet following the packet that is being ACKed twice. Our NAK-free reliable data transfer protocol for a channel with bit errors is *rdt2.2*, shown in **Figures 3.13** and **3.14**. One subtle change between *rdt2.1* and *rdt2.2* is that the receiver must now include the sequence number of the packet being acknowledged by an ACK message (this is done by including the `ACK, 0` or `ACK, 1` argument in `make_pkt()` in the receiver FSM), and the sender must now check the sequence number of the packet being acknowledged by a received ACK message (this is done by including the `0` or `1` argument in `isACK()` in the sender FSM).

Reliable Data Transfer over a Lossy Channel with Bit Errors: *rdt3.0*

Suppose now that in addition to corrupting bits, the underlying channel can *lose* packets as well, a not-uncommon event in today's computer networks (including the Internet). Two additional concerns must now be addressed by the protocol: how to detect packet loss and what to do when packet loss occurs. The use of checksumming, sequence numbers, ACK packets, and retransmissions—the techniques

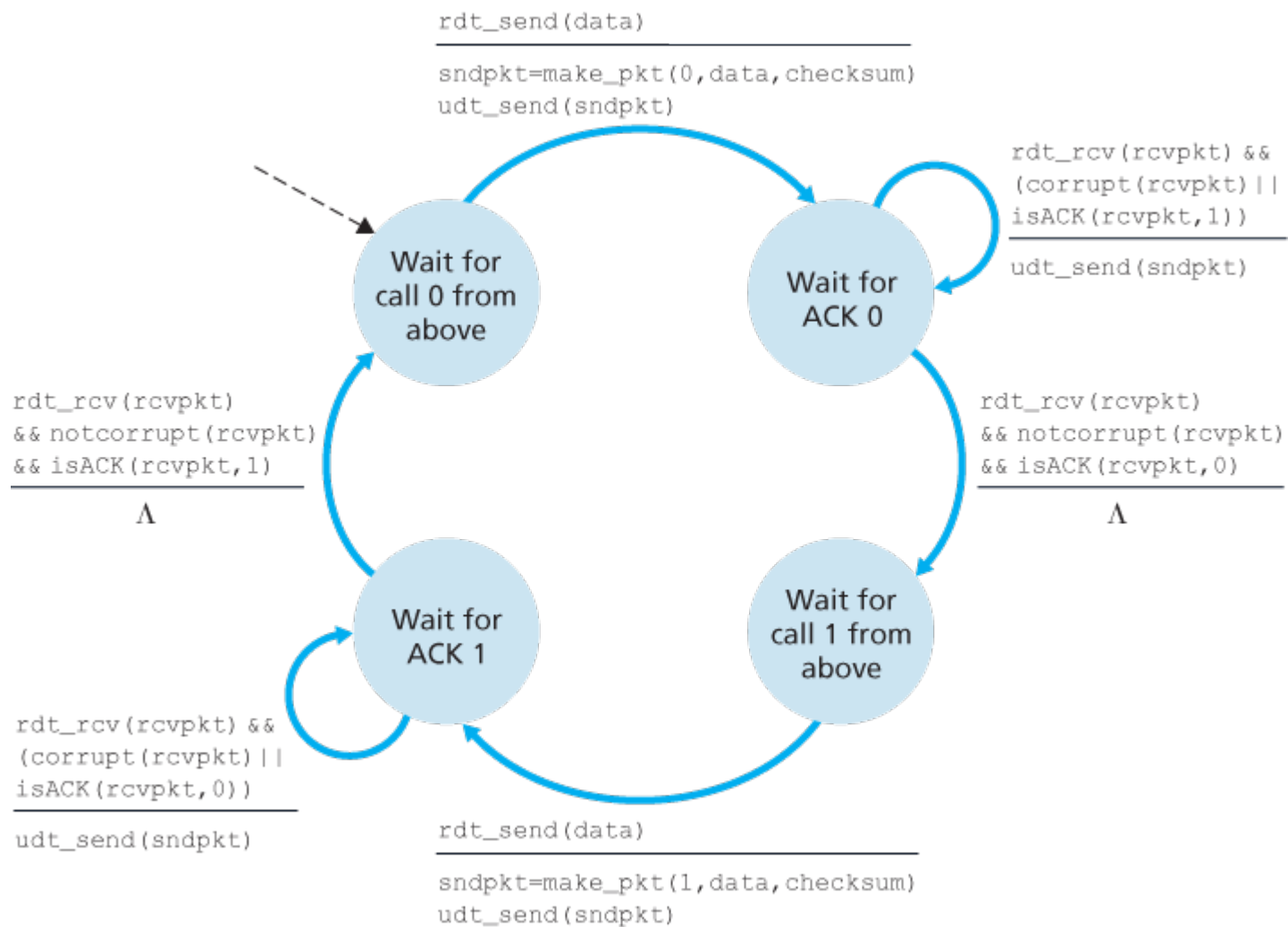


Figure 3.13 *rdt2.2* sender

already developed in *rdt2.2*—will allow us to answer the latter concern. Handling the first concern will require adding a new protocol mechanism.

There are many possible approaches toward dealing with packet loss (several more of which are explored in the exercises at the end of the chapter). Here, we'll put the burden of detecting and recovering from lost packets on the sender. Suppose that the sender transmits a data packet and either that packet, or the receiver's ACK of that packet, gets lost. In either case, no reply is forthcoming at the sender from the receiver. If the sender is willing to wait long enough so that it is *certain* that a packet has been lost, it can simply retransmit the data packet. You should convince yourself that this protocol does indeed work.

But how long must the sender wait to be certain that something has been lost? The sender must clearly wait at least as long as a round-trip delay between the sender and receiver (which may include buffering at intermediate routers) plus whatever amount of time is needed to process a packet at the receiver. In many networks, this worst-case maximum delay is very difficult even to estimate, much less know with certainty. Moreover, the protocol should ideally recover from packet loss as soon as possible; waiting for a worst-case delay could mean a long wait until error recovery

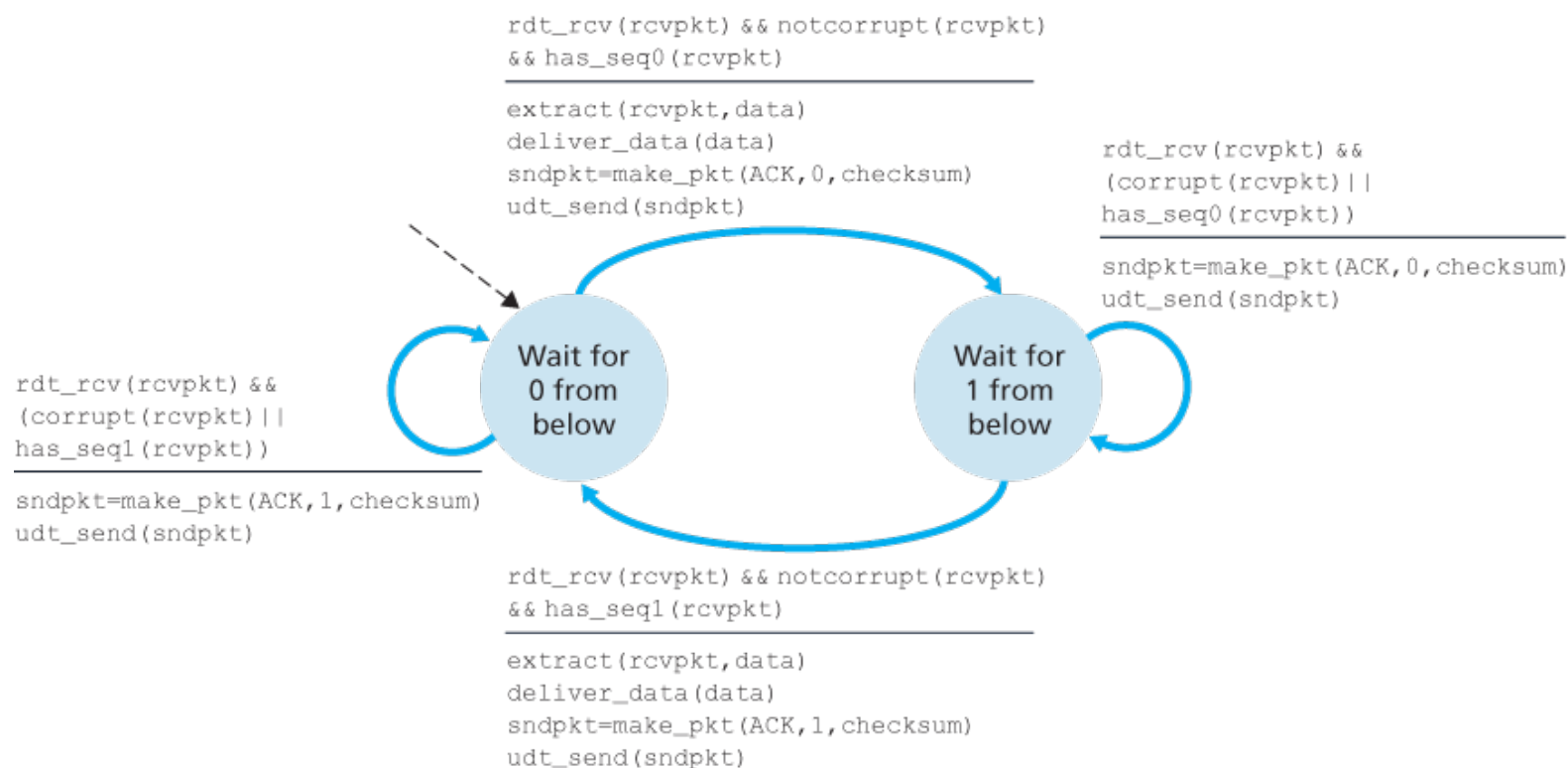


Figure 3.14 *rdt2.2* receiver

is initiated. The approach thus adopted in practice is for the sender to judiciously choose a time value such that packet loss is likely, although not guaranteed, to have happened. If an ACK is not received within this time, the packet is retransmitted. Note that if a packet experiences a particularly large delay, the sender may retransmit the packet even though neither the data packet nor its ACK have been lost. This introduces the possibility of **duplicate data packets** in the sender-to-receiver channel. Happily, protocol *rdt2.2* already has enough functionality (that is, sequence numbers) to handle the case of duplicate packets.

From the sender's viewpoint, retransmission is a panacea. The sender does not know whether a data packet was lost, an ACK was lost, or if the packet or ACK was simply overly delayed. In all cases, the action is the same: retransmit. Implementing a time-based retransmission mechanism requires a **countdown timer** that can interrupt the sender after a given amount of time has expired. The sender will thus need to be able to (1) start the timer each time a packet (either a first-time packet or a retransmission) is sent, (2) respond to a timer interrupt (taking appropriate actions), and (3) stop the timer.

Figure 3.15 shows the sender FSM for *rdt3.0*, a protocol that reliably transfers data over a channel that can corrupt or lose packets; in the homework problems, you'll be asked to provide the receiver FSM for *rdt3.0*. **Figure 3.16** shows how the protocol operates with no lost or delayed packets and how it handles lost data packets. In **Figure 3.16**, time moves forward from the top of the diagram toward the bottom of the