Chapter 1
Introduction

"UNIX is simple. It just takes a genius to understand its simplicity."

— *Dennis Ritchie (1941–2011)*

Overview

- What is an operating system, anyway?
- Operating systems history
- The menagerie of modern operating systems
- Review of computer hardware
- Operating system concepts
- Operating system structure
  - User interface to the operating system
  - Anatomy of a system call
  - Monolithic vs. microkernel vs. virtual machine

What *is* an operating system?

- It's a program that provides useful abstractions of hardware to applications
  - Acts as an intermediary between computer and users
  - Standardizes the interface to the user across different types of hardware
    - Hides the messy details that must be performed
    - Presents user with a "virtual" machine, easier to use
- It's a resource manager
  - Each program gets time with the resource
  - Each program gets space on the resource
- May have potentially conflicting goals:
  - Use hardware efficiently
  - Give maximum performance to each user

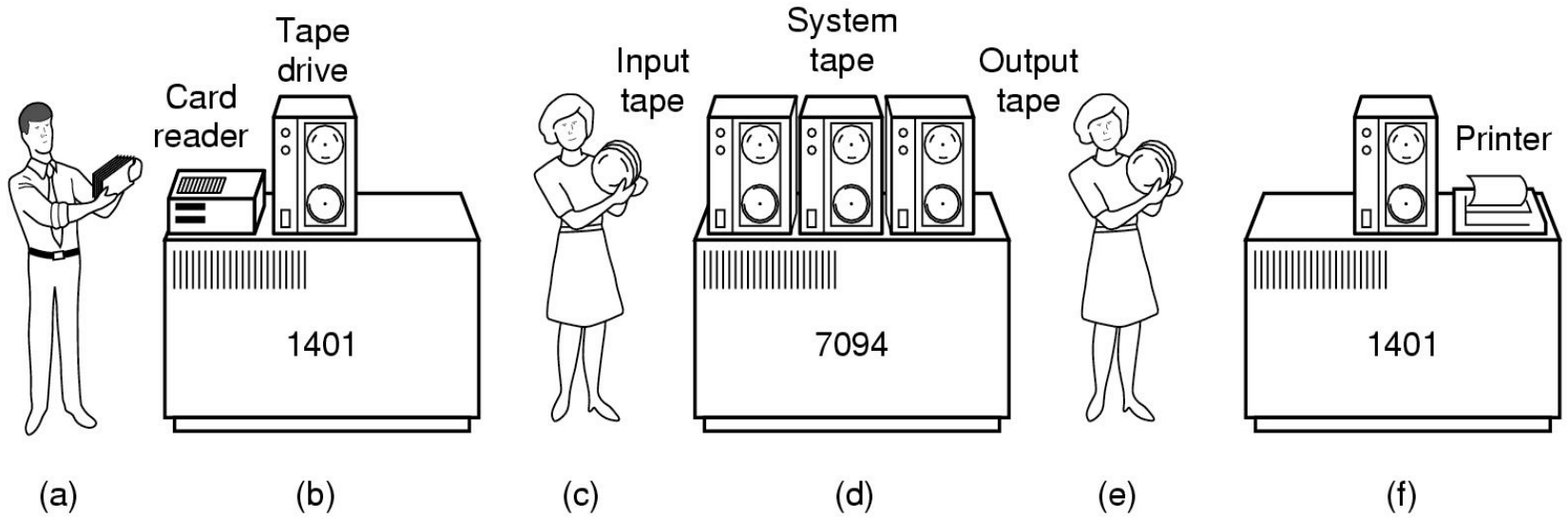
Operating system timeline

- First generation: 1945 – 1955
  - Vacuum tubes
  - Plug boards
- Second generation: 1955 – 1965
  - Transistors
  - Batch systems
- Third generation: 1965 – 1980
  - Integrated circuits
  - Multiprogramming
- Fourth generation: 1980 – present
  - Large scale integration
  - Personal computers
- Fifth generation: ??? (maybe 2001–?)
  - Systems connected by high-speed networks?
  - Wide area resource management?
  - Peer-to-peer systems or clouds?

First generation: direct input

- Run one job at a time
  - Enter it into the computer (might require rewiring!)
  - Run it
  - Record the results
- Problem: lots of wasted computer time!
  - Computer was idle during first and last steps
  - Computers were **very** expensive!
- Goal: make better use of an expensive commodity: computer time

Second generation: batch systems

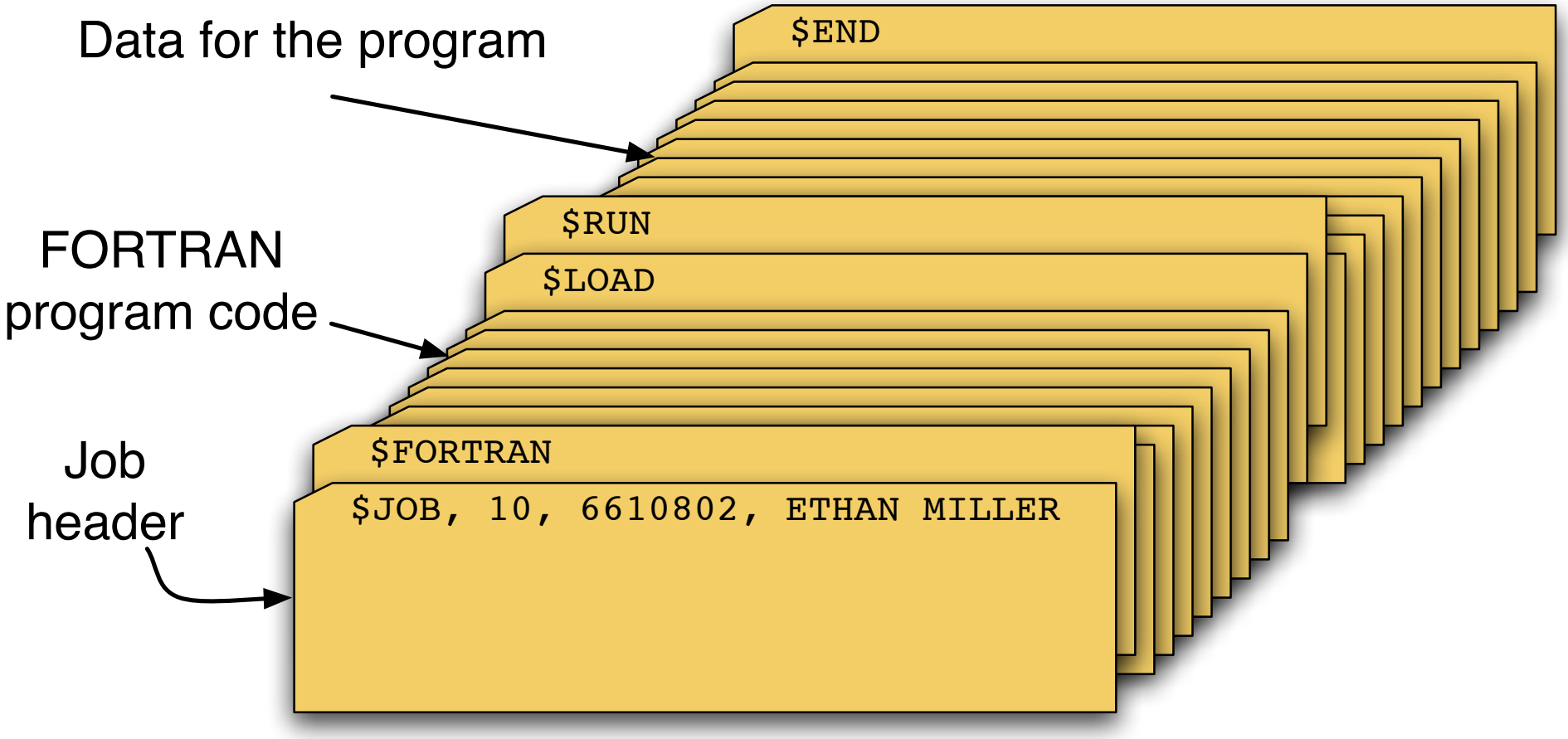


- Bring cards to 1401
- Read cards onto input tape
- Put input tape on 7094
- Perform the computation, writing results to output tape
- Put output tape on 1401, which prints output


CONTROL DATA
6600


IBM

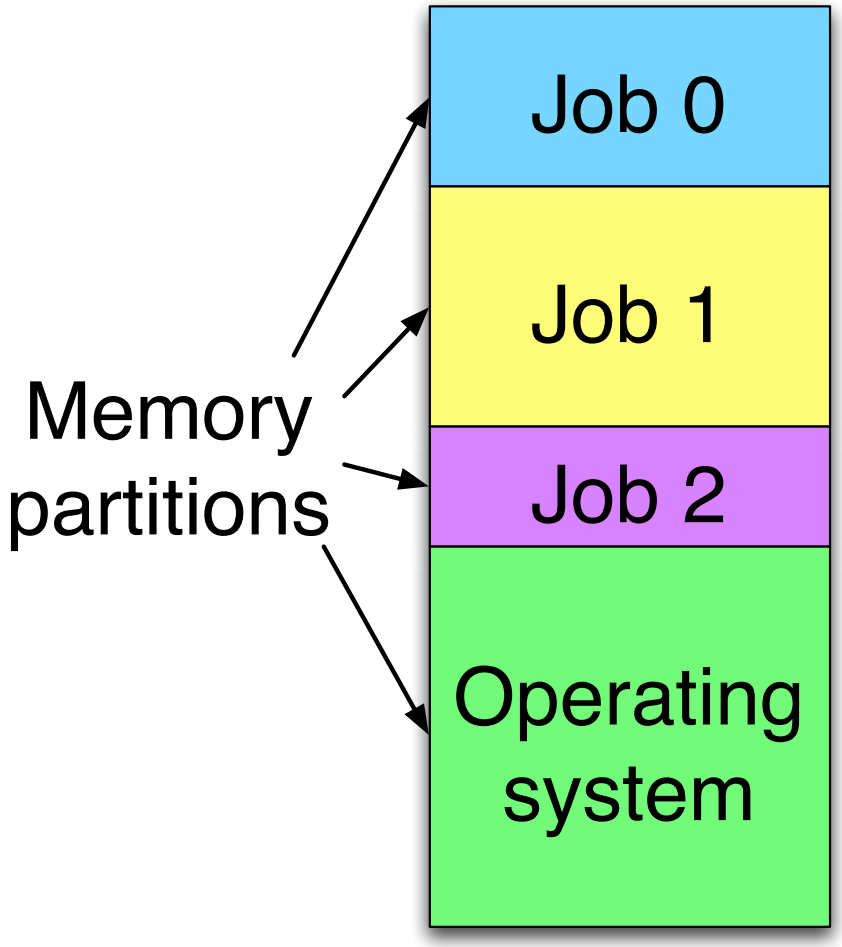
Structure of a typical second generation job



Spooling

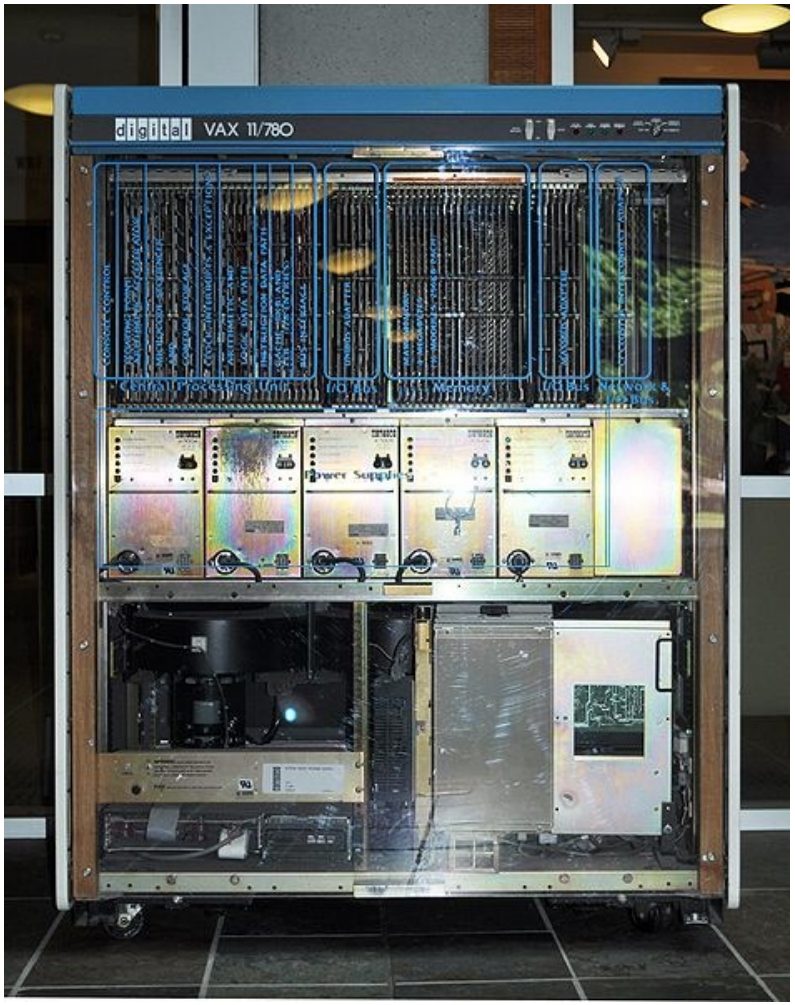
- Original batch systems used tape drives
- Later batch systems used disks for buffering
  - Operator read cards onto disk attached to the computer
  - Computer read jobs from disk
  - Computer wrote job results to disk
  - Operator directed that job results be printed from disk
- Disks enabled simultaneous peripheral operation on-line (spooling)
  - Computer overlapped I/O of one job with execution of another
  - Better utilization of the expensive CPU
  - Still only one job active at any given time

Third generation: multiprogramming



- Multiple jobs in memory
  - Protected from one another
- OS protected from each job as well
- Resources (hardware, time) split between jobs
- Still not interactive
  - User submits job
  - Computer runs it
  - User gets results minutes (hours, days) later


digital
decsystem10


digital VAX 11/780

Timesharing

- Multiprogramming allowed several jobs to be active at one time
  - Initially used for batch systems
  - Cheaper hardware terminals ⇒ interactive use

- Computer use got much cheaper and easier
  - No more “priesthood”
  - Quick turnaround meant quick fixes for problems

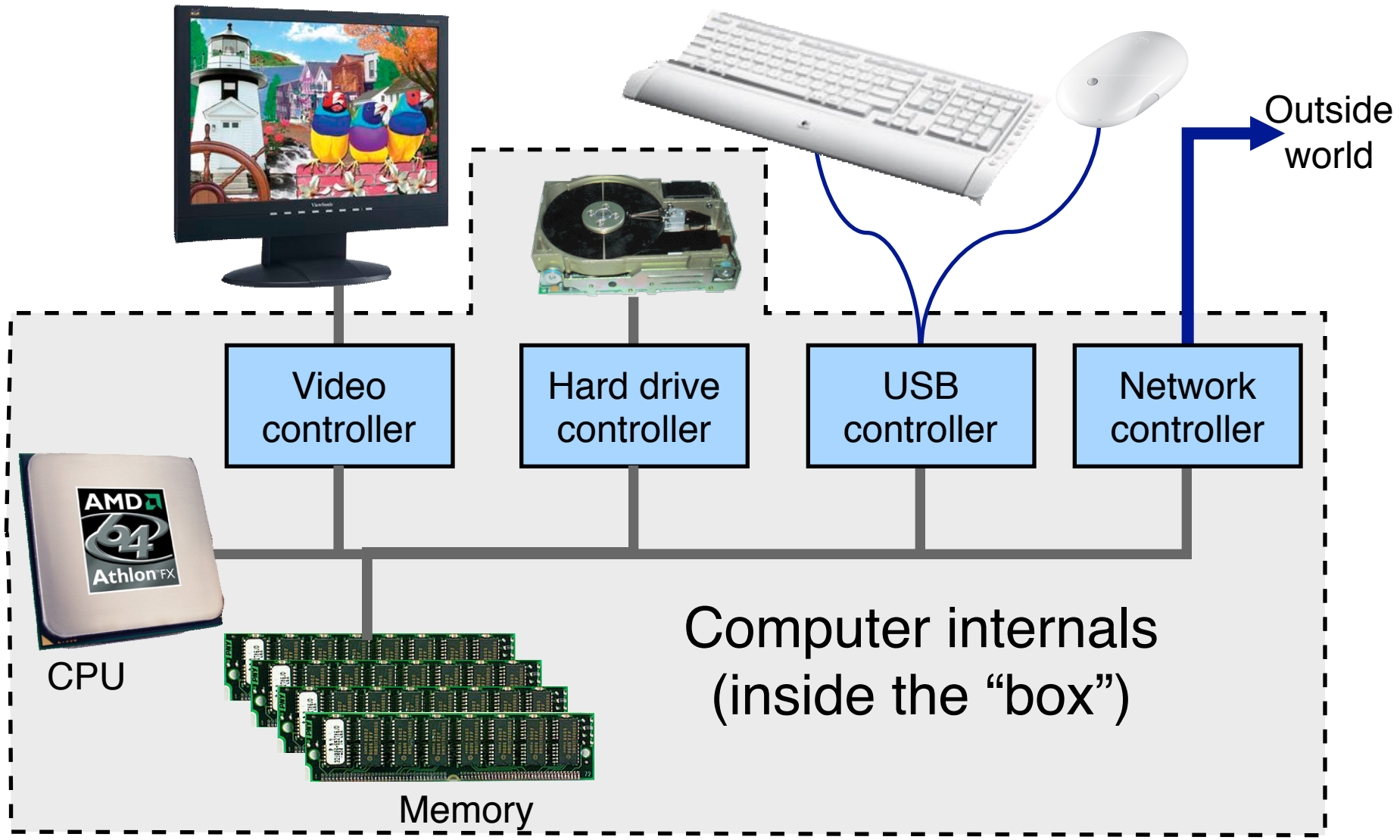

digital VT100


DATA DYNAMICS

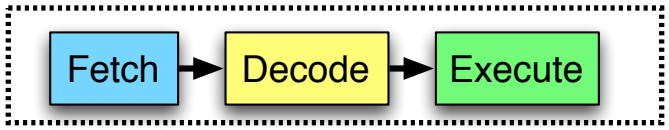
Types of modern operating systems

- Mainframe operating systems: MVS
- Server operating systems: FreeBSD, Linux, *Solaris*
  - Multiprocessor operating systems
- Personal computer operating systems: MacOS X, Windows 7, Linux (?)
- Handheld device operating systems: Android (Linux), iOS (OS X), Windows
- Real-time operating systems: VxWorks, QNX
  - Embedded operating systems
  - Sensor network nodes
- Smart card operating systems
- *Some operating systems can fit into more than one category*

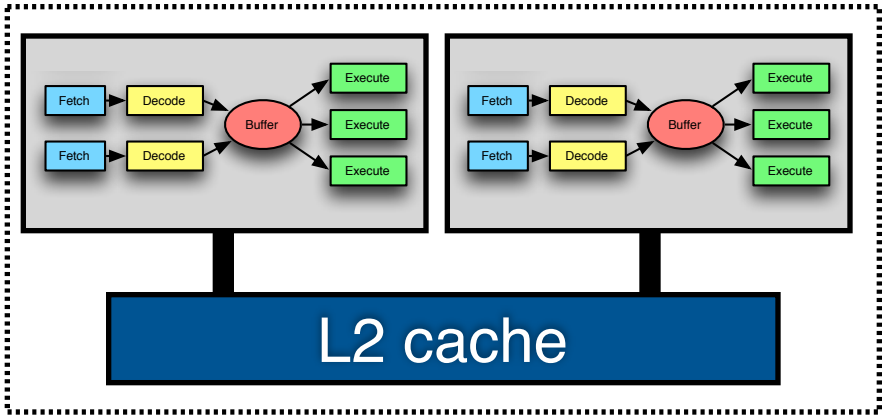
Components of a simple PC



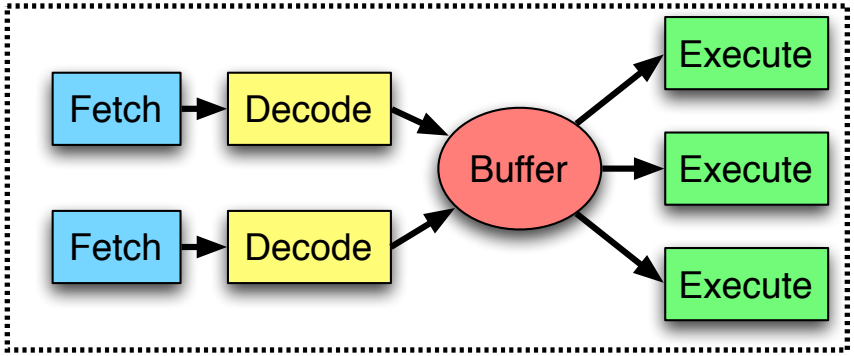
Multicore CPUs



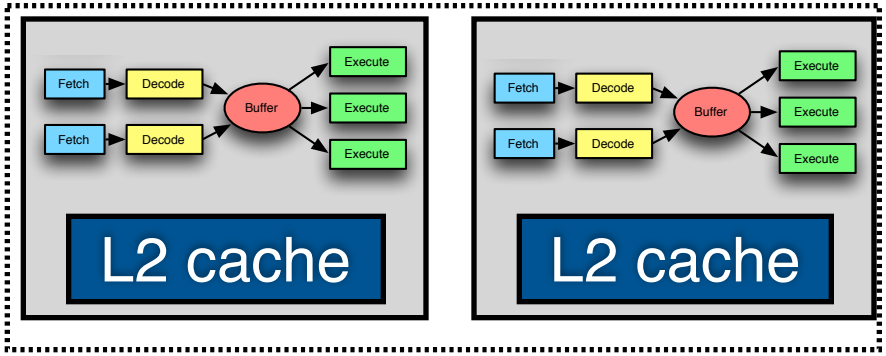
Pipelined CPU



Dual-core CPU
(shared L2 cache)

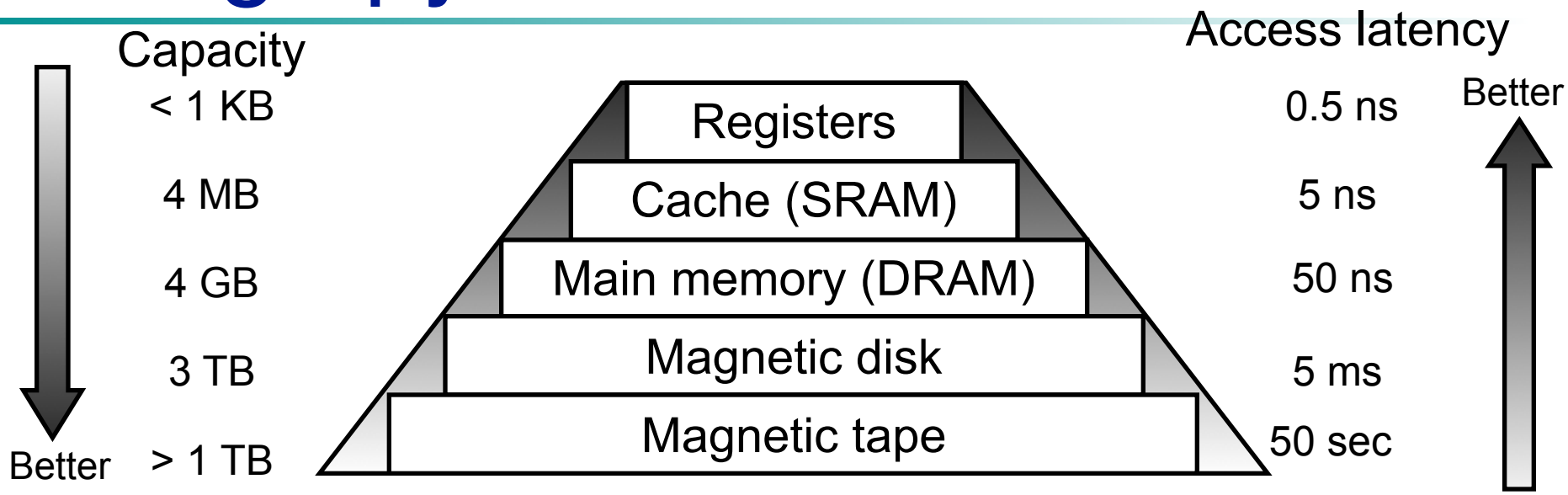


Superscalar CPU



Dual-core CPU
(separate L2 caches)

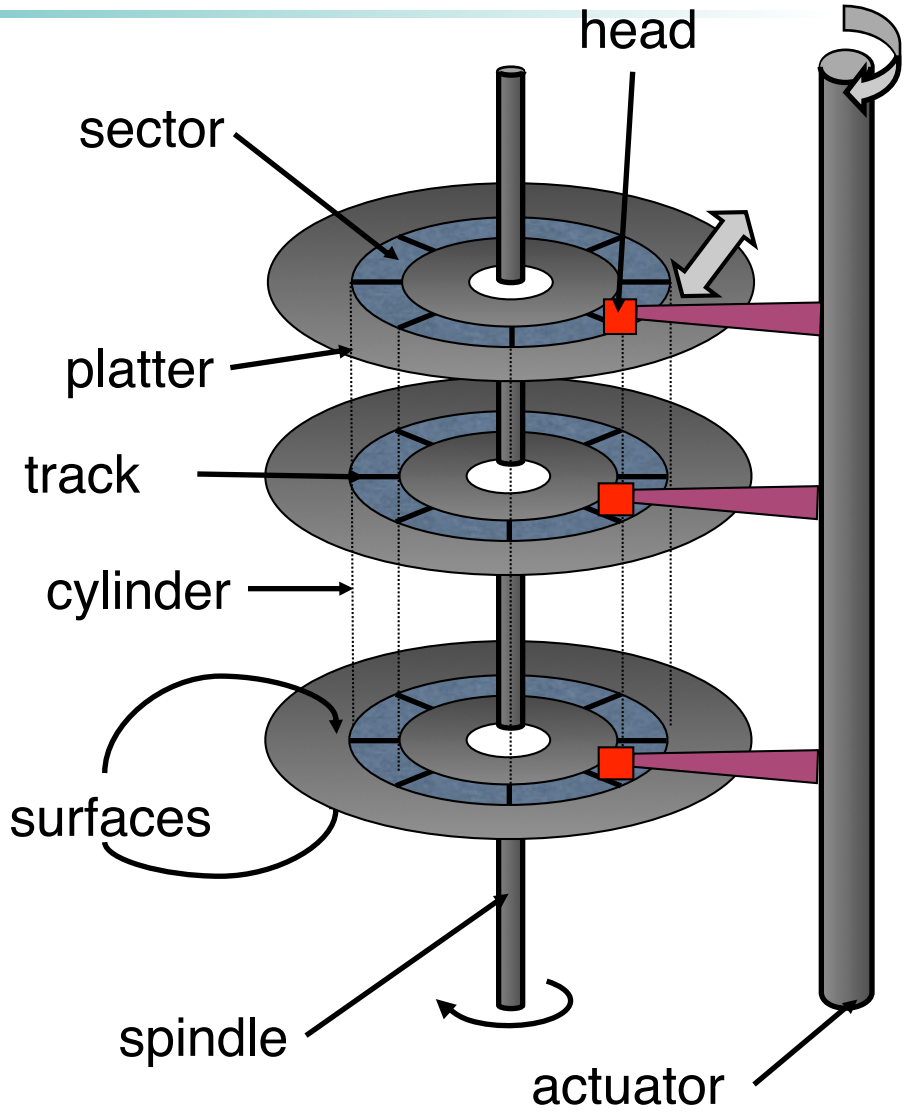
Storage pyramid

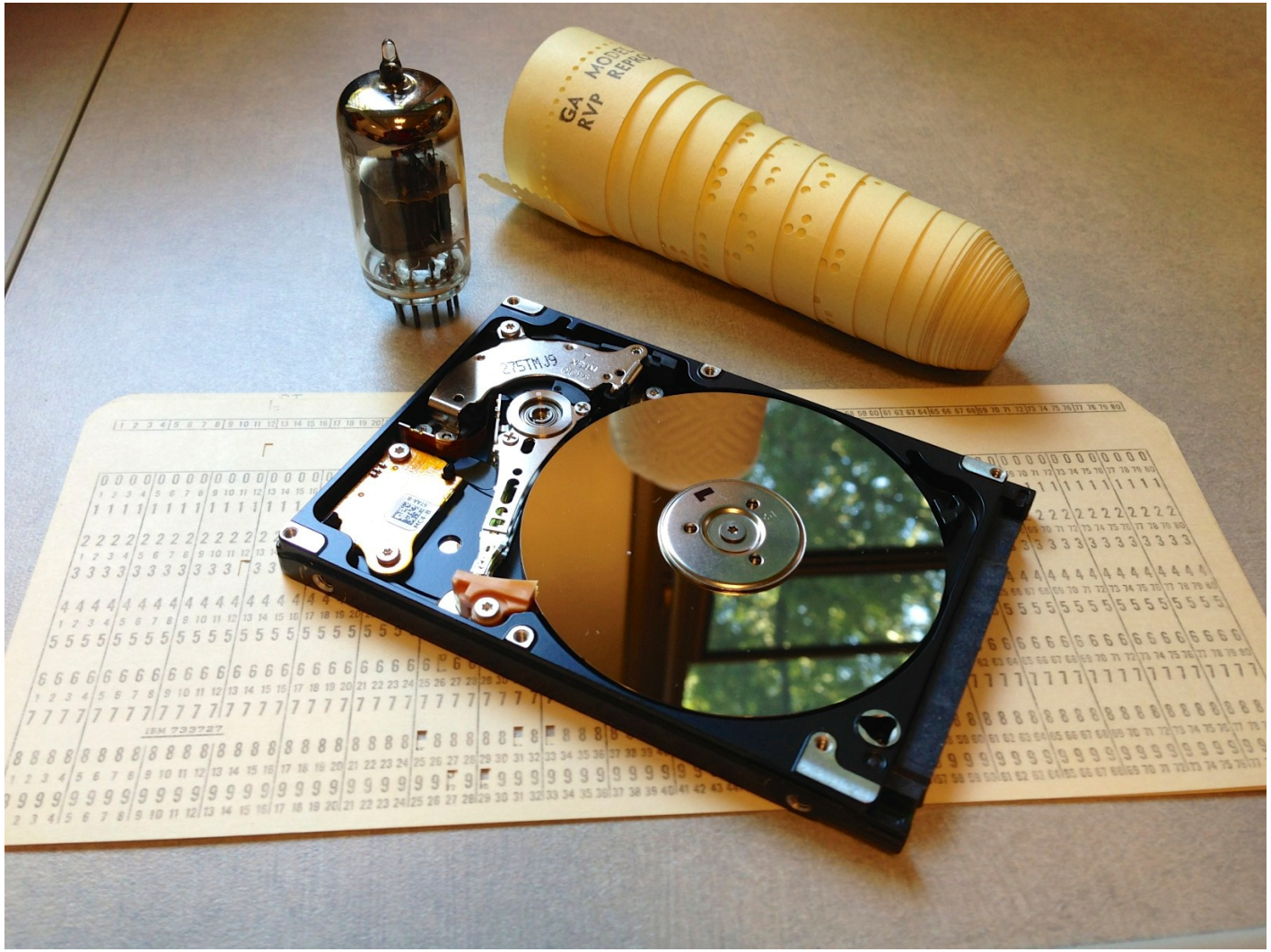


- Goal: really large memory with very low latency
  - Latencies are smaller at the top of the hierarchy
  - Capacities are larger at the bottom of the hierarchy
- Solution: move data between levels to create illusion of large memory with low latency

Disk drive structure

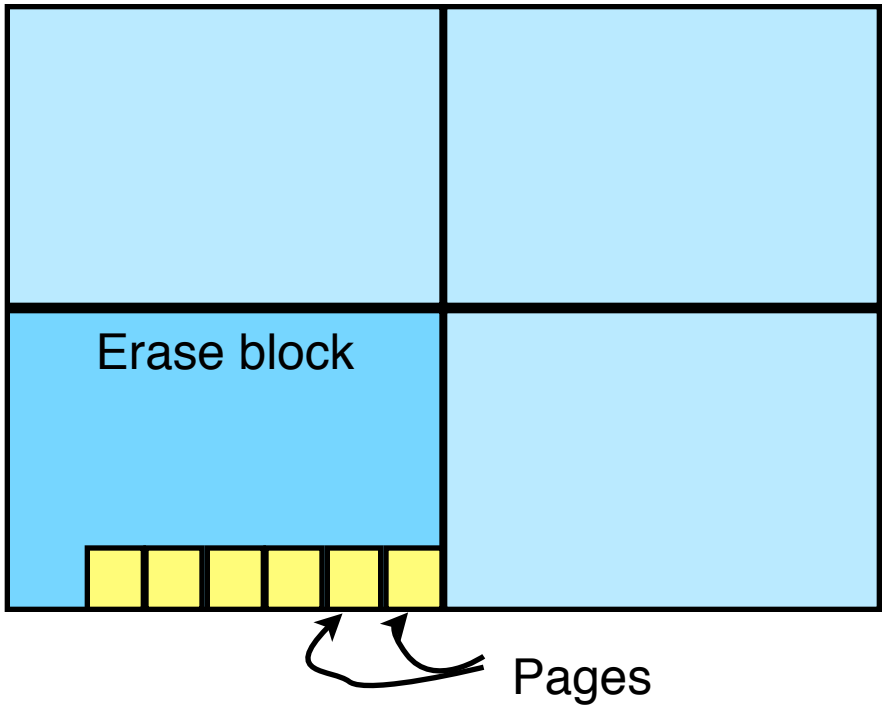
- Data stored on surfaces
  - Up to two surfaces per platter
  - One or more platters per disk
- Data in concentric tracks
  - Tracks broken into sectors
    - 256B–4KB per sector
  - Cylinder: corresponding tracks on all surfaces
- Data read and written by heads
  - Actuator moves heads
  - Heads move in *unison*

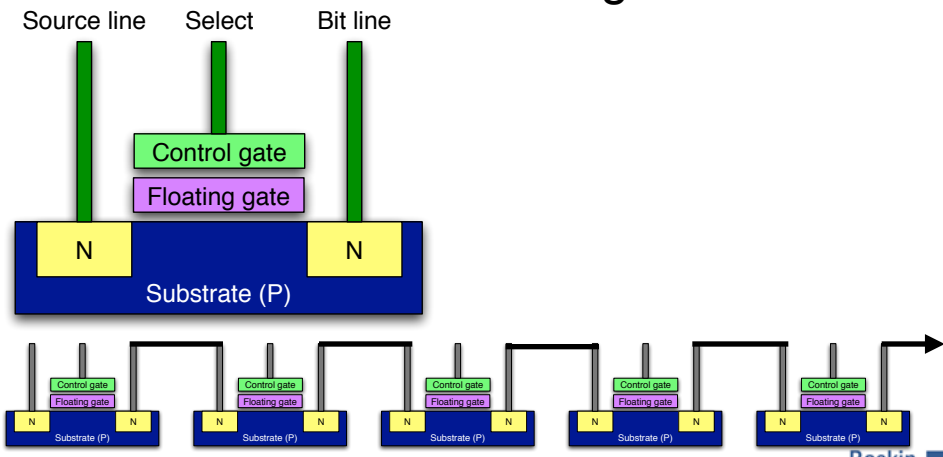


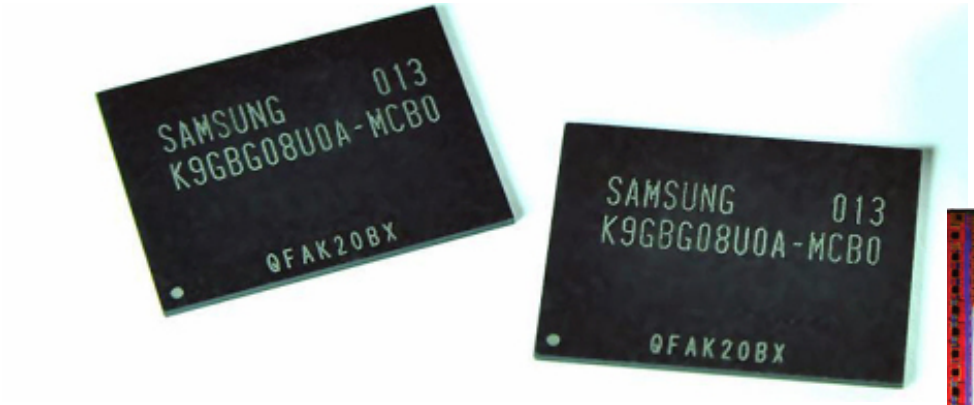


Flash memory structure

- Flash is divided into *erase blocks*
  - Blocks must be erased before they can be written
  - Erase blocks are typically 256KB–1MB or larger
- Flash is read and written in *pages*
  - Typically 64–256 pages per erase block
- *Flash Translation Layer* (FTL) manages the device
  - Necessary to make it look like a disk
- More details when we cover I/O



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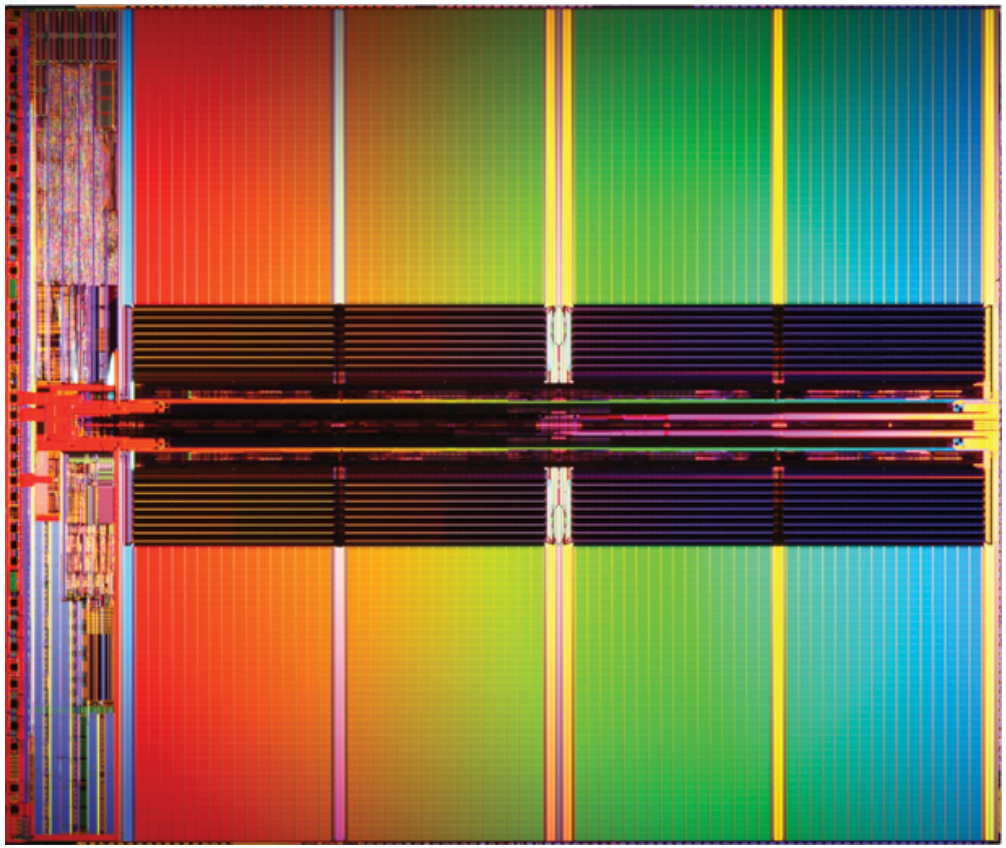
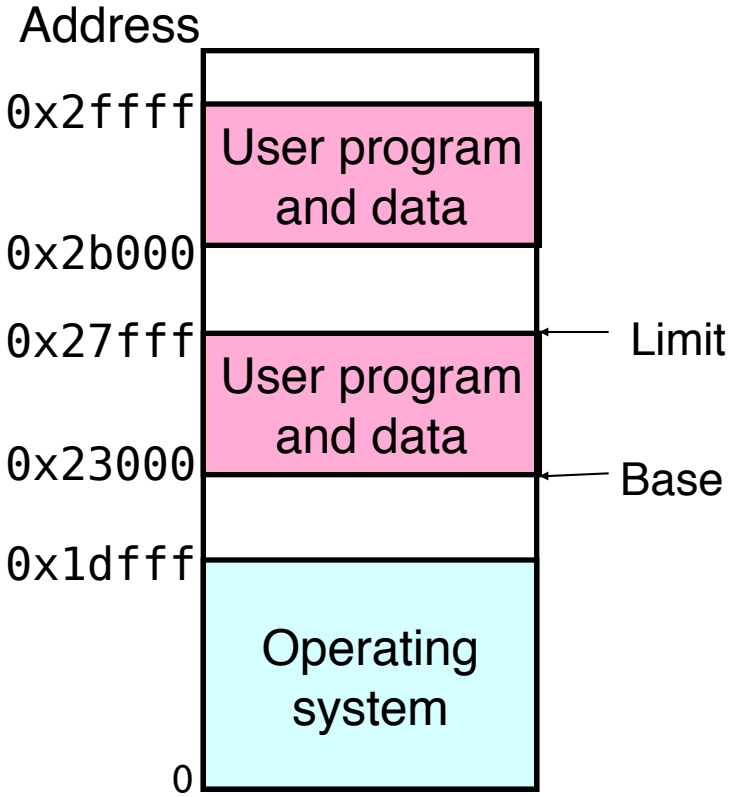
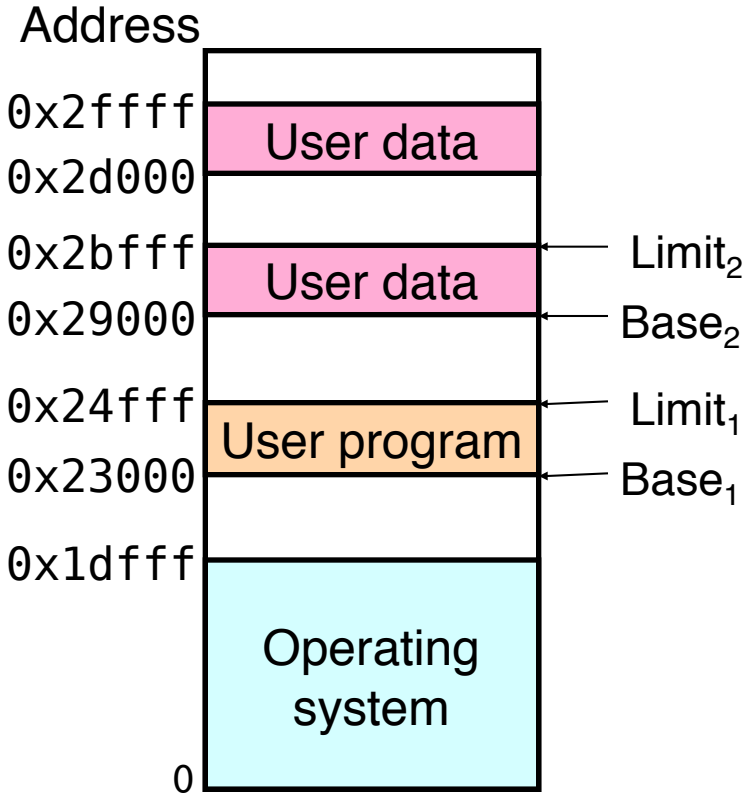


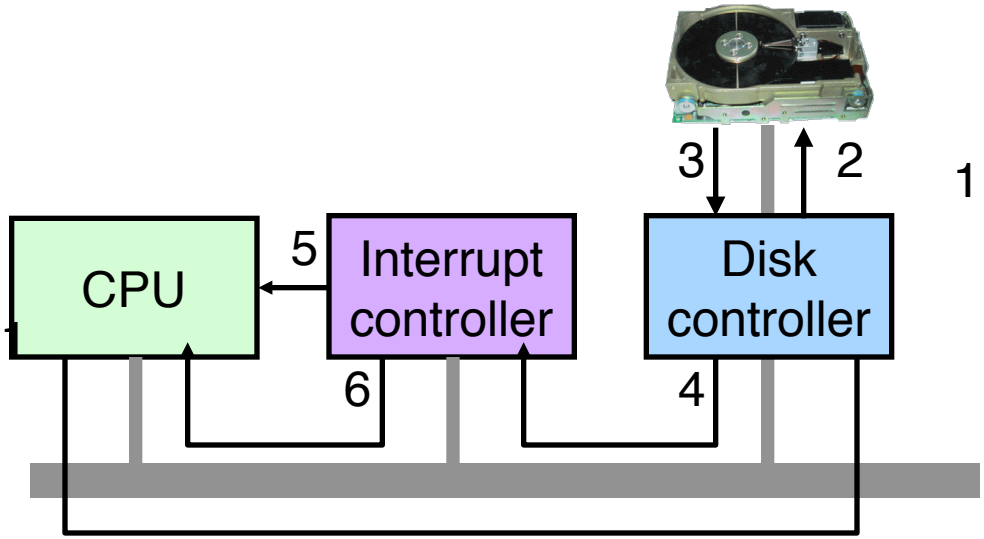
Memory

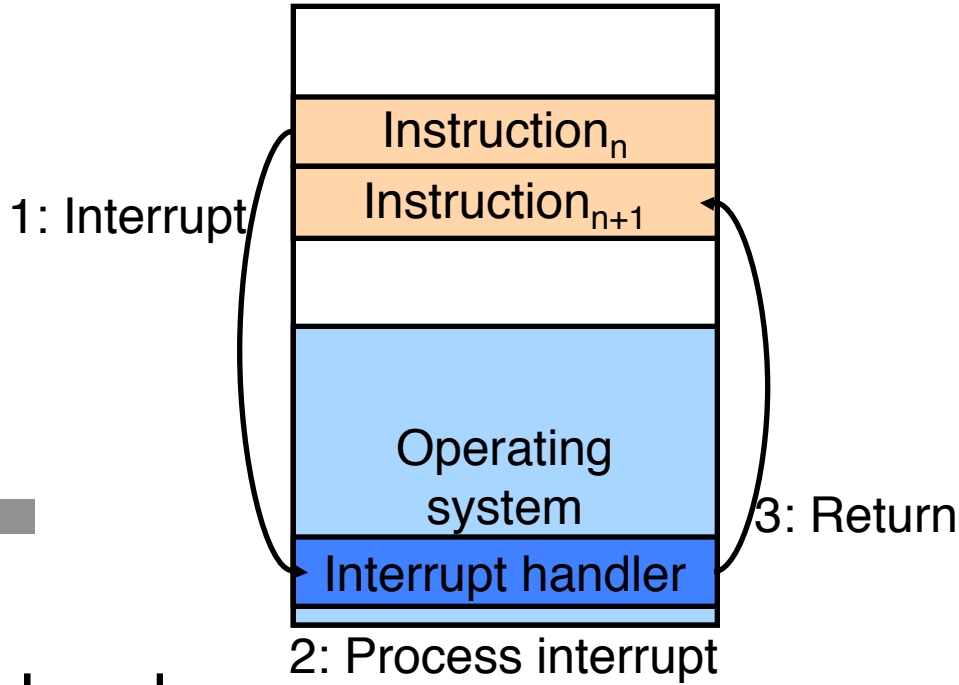




- Single base/limit pair: set for each process
- Two base/limit registers: one for program, one for data

Anatomy of a device request



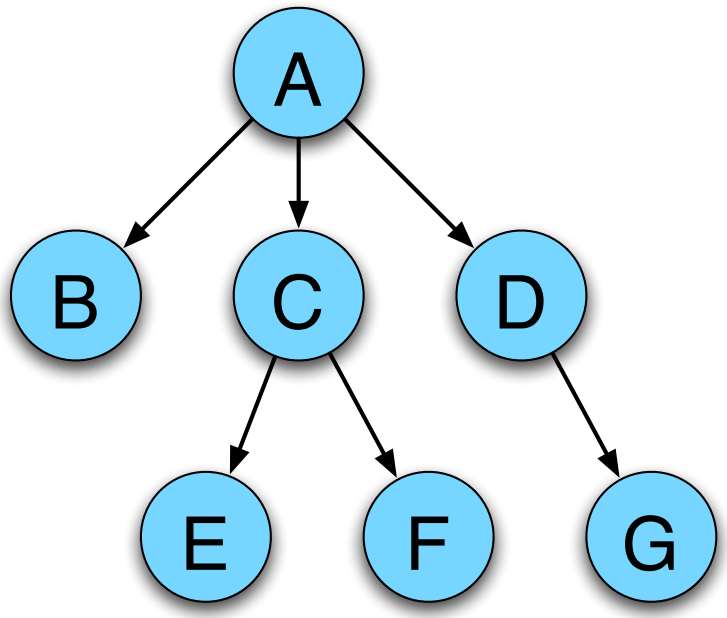


- Left: sequence as seen by hardware
  - Request sent to controller, then to disk
  - Disk responds, signals disk controller which tells interrupt controller
  - Interrupt controller notifies CPU
- Right: interrupt handling (software point of view)

Operating systems concepts

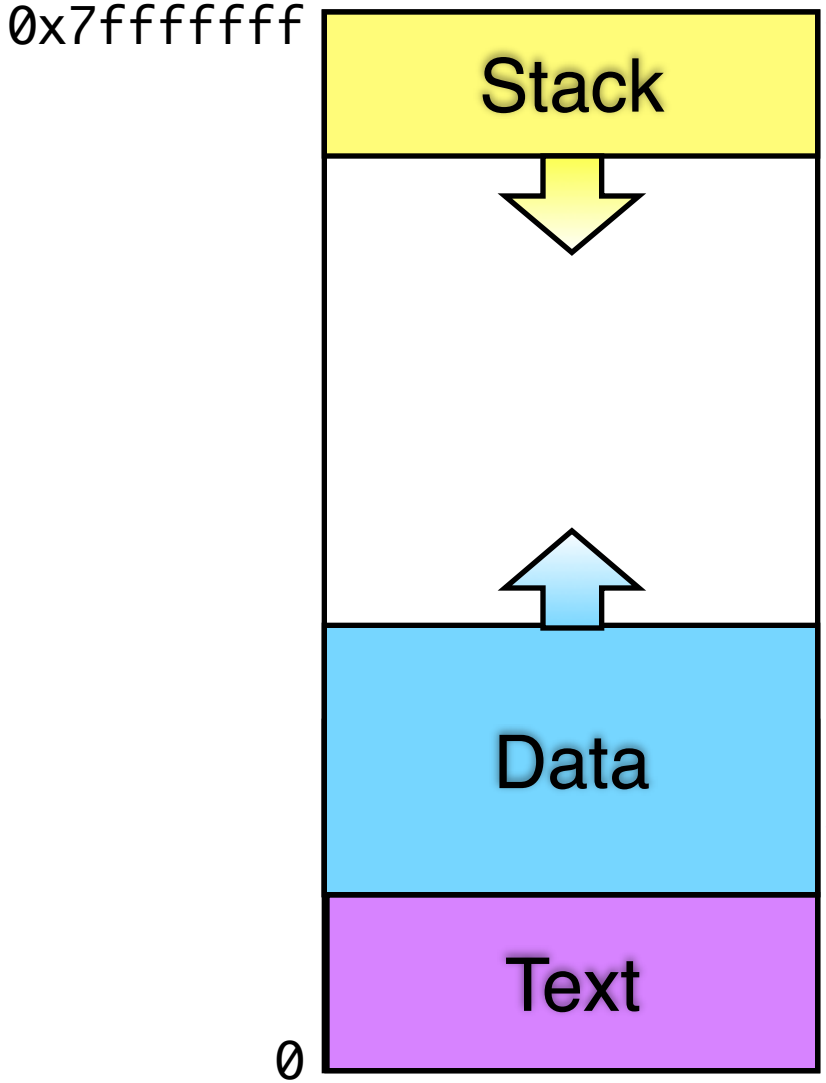
- Many of these should be familiar to Unix users…
- Processes (and trees of processes)
- Deadlock
- File systems & directory trees
- Pipes
- We'll cover all of these in more depth later on, but it's useful to have some basic definitions now

Processes



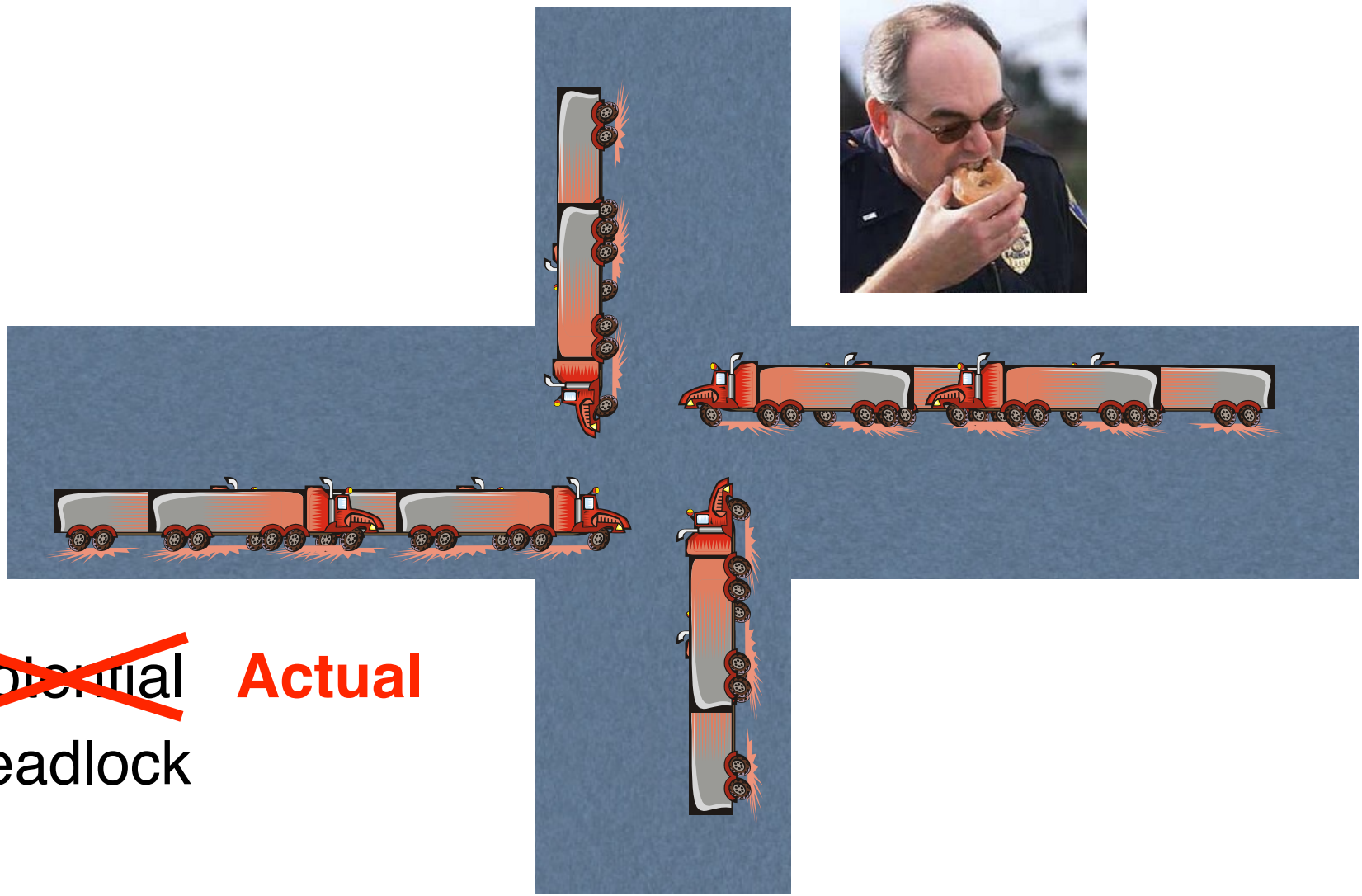
- Process: program in execution
  - Address space (memory) the program can use
  - State (registers, including program counter & stack pointer)
- OS keeps track of all processes in a process table
- Processes can create other processes
  - Process tree tracks these relationships
  - A is the root of the tree
  - A created three child processes: B, C, and D
  - C created two child processes: E and F
  - D created one child process: G

Inside a (Unix) process



- Processes have three segments
  - Text: program code
  - Data: program data
    - Statically declared variables
    - Areas allocated by malloc() or new
  - Stack
    - Automatic variables
    - Procedure call information
- Address space growth
  - Text: doesn't grow
  - Data: grows "up"
  - Stack: grows "down"

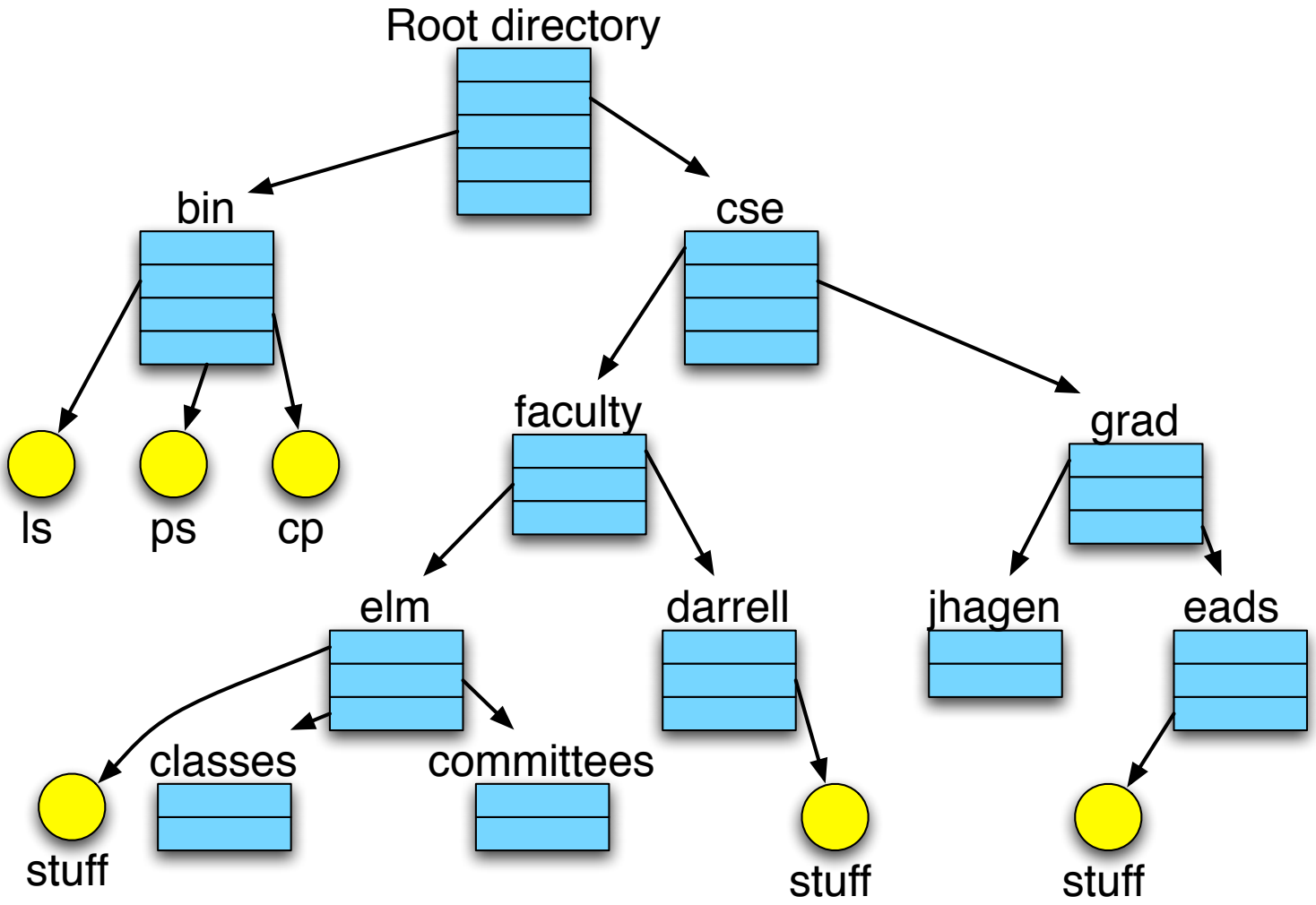
Deadlock



~~Potential~~ deadlock

Actual

Hierarchical file systems



Interprocess communication

- Processes want to exchange information with each other
- Many ways to do this, including
  - Network
  - Pipe (special file): A writes into pipe, and B reads from it

System calls

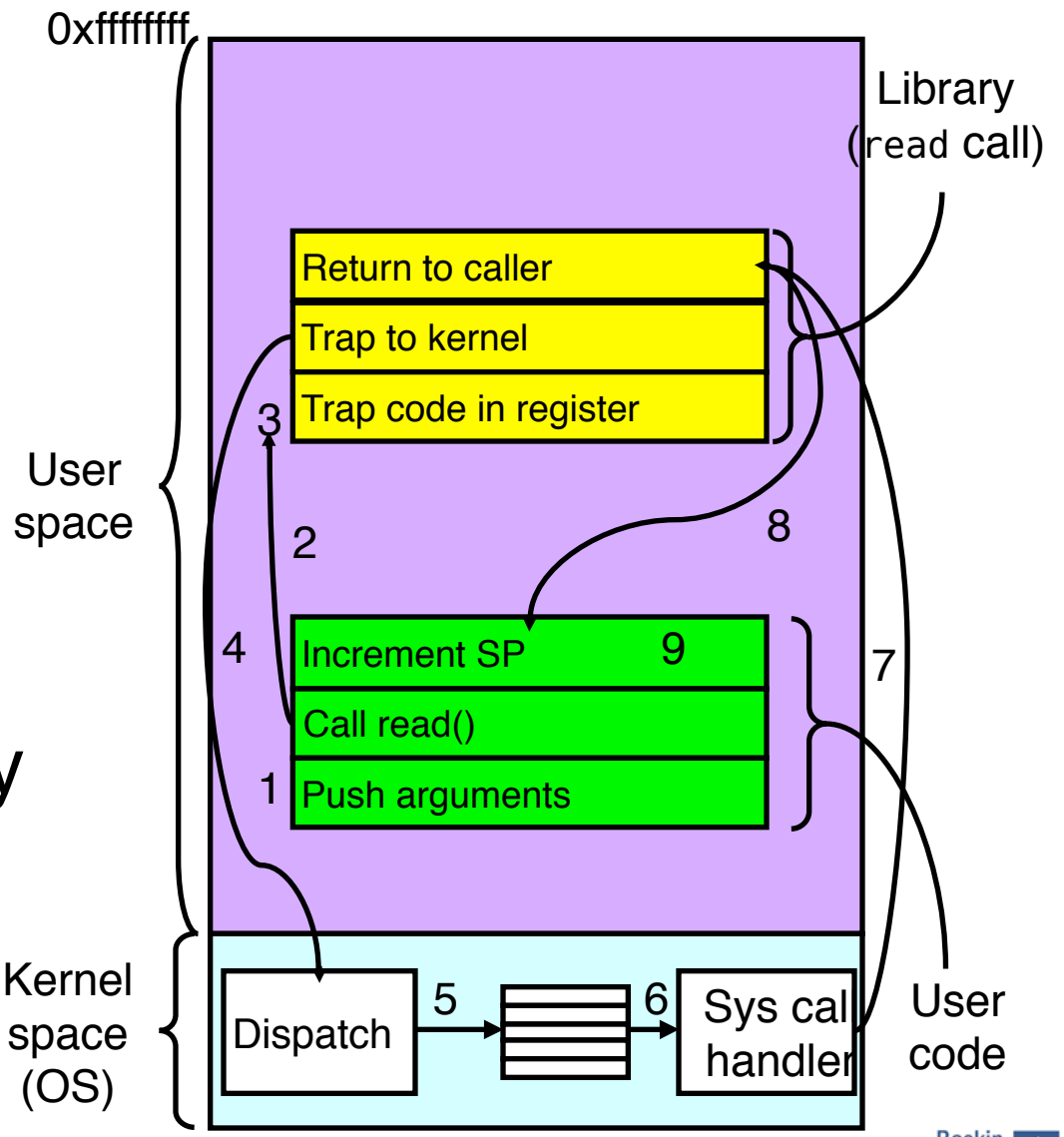
- OS runs in privileged mode
  - Some operations are permitted only in privileged (also called supervisor or system) mode
    - Example: access a device like a disk or network card
    - Example: change allocation of memory to processes
  - User programs run in user mode and can't do the operations
- Programs want the OS to perform a service
  - Access a file
  - Create a process
  - Others…
- Accomplished by system call

How system calls work

- User program enters supervisor mode
  - Must enter via well-defined entry point
- Program passes relevant information to OS
- OS performs the service if
  - The OS is able to do so
  - The service is permitted for this program at this time
- OS checks information passed to make sure it's OK
  - Don't want programs reading data into other programs' memory!
- OS needs to be paranoid!
  - Users do the darnedest things…

Making a system call

- System call: read(fd,buffer,length)
- Program pushes arguments, calls library
- Library sets up trap, calls OS
- OS handles system call
- Control returns to library
- Library returns to user program



System calls for files & directories

Call	Description
`fd = open(name,how)`	Open a file for reading and/or writing
`s = close(fd)`	Close an open file
`n = read(fd,buffer,size)`	Read data from a file into a buffer
`n = write(fd,buffer,size)`	Write data from a buffer into a file
`s = lseek(fd,offset,whence)`	Move the "current" pointer for a file
`s = stat(name,&buffer)`	Get a file's status information (in *buffer*)
`s = mkdir(name,mode)`	Create a new directory
`s = rmdir(name)`	Remove a directory (must be empty)
`s = link(name1,name2)`	Create a new entry (*name2*) that points to the same object as *name1*
`s = unlink(name)`	Remove *name* as a link to an object (deletes the object if *name* was the only link to it)

More system calls

Call	Description
`pid = fork()`	Create a child process identical to the parent
`pid=waitpid(pid,&statloc,options)`	Wait for a child to terminate
`s = execve(name,argv,environp)`	Replace a process' core image
`exit(status)`	Terminate process execution and return status
`s = chdir(dirname)`	Change the working directory
`s = chmod(name,mode)`	Change a file's protection bits
`s = kill(pid,signal)`	Send a signal to a process
`seconds = time(&seconds)`	Get the current time

A simple shell

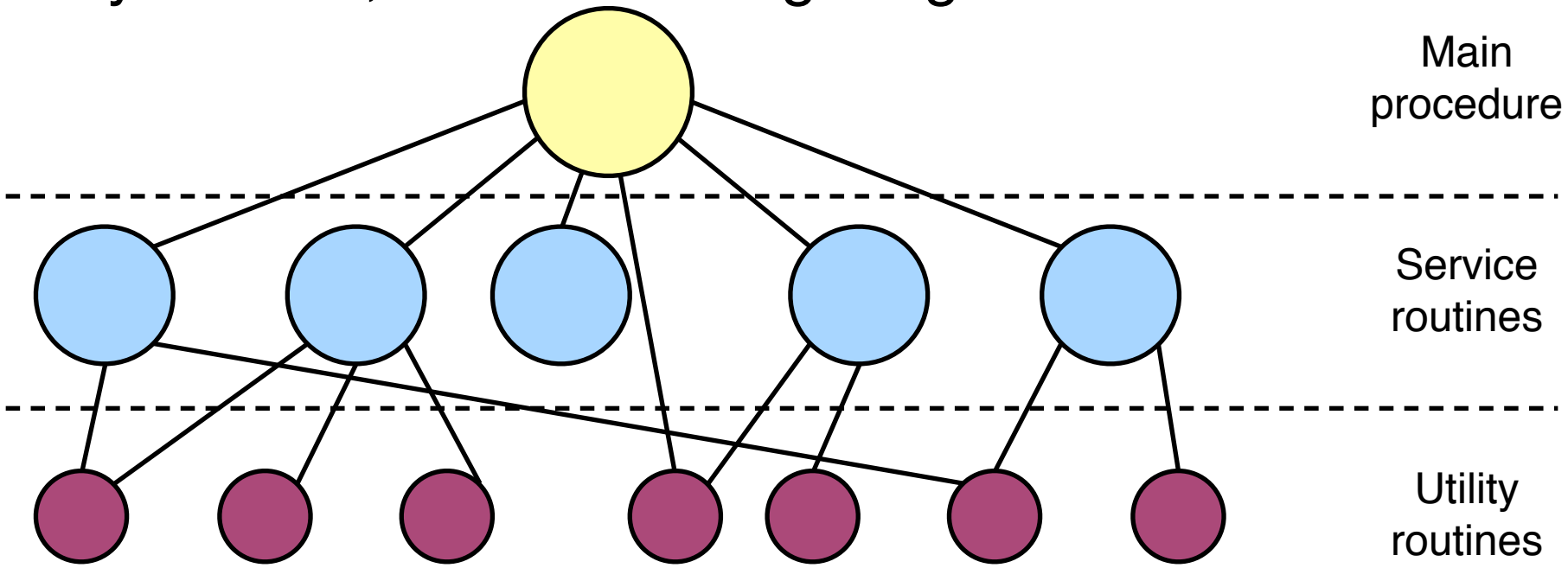
```
while (TRUE) {                  /* repeat forever */
  print_prompt( );              /* display prompt */
  read_command (command, parameters)/* input from terminal */

if (fork() != 0) {          /* fork off child process */
  /* Parent code */
  waitpid( -1, &status, 0);   /* wait for child to exit */
} else {
  /* Child code */
  execve (command, parameters, 0);  /* execute command */
 }
}
```

Operating system structure

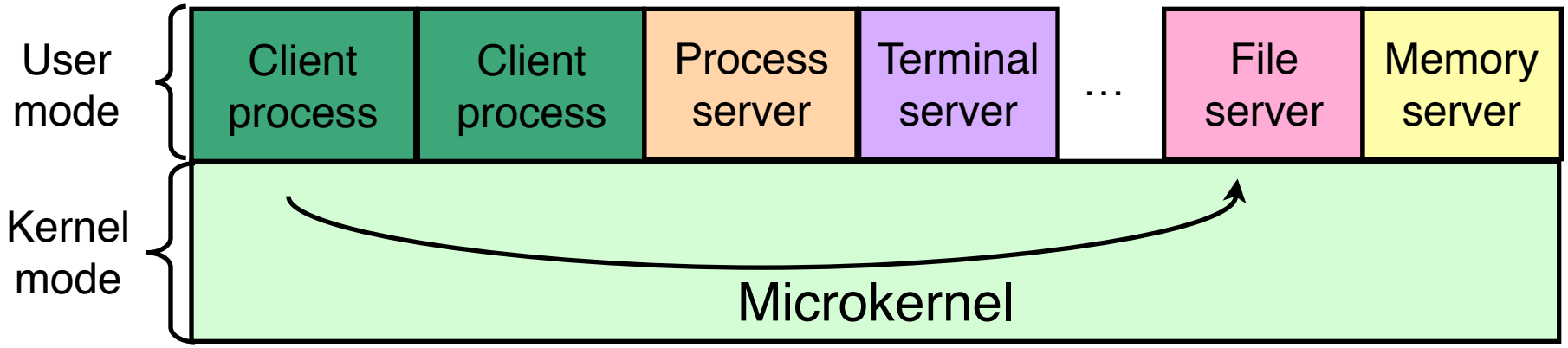
- OS is composed of lots of pieces
  - Memory management
  - Process management
  - Device drivers
  - File system
- How do the pieces of the operating system fit together and communicate with each other?
- Different ways to structure an operating system
  - Monolithic
    - Modular is similar, but more extensible
  - Virtual machines
  - Microkernel

Monolithic OS structure

- All of the OS is one big “program”
  - Any piece can access any other piece
- Sometimes modular (as with Linux)
  - Extra pieces can be dynamically added
  - Extra pieces become part of the whole
- Easy to write, but harder to get right…

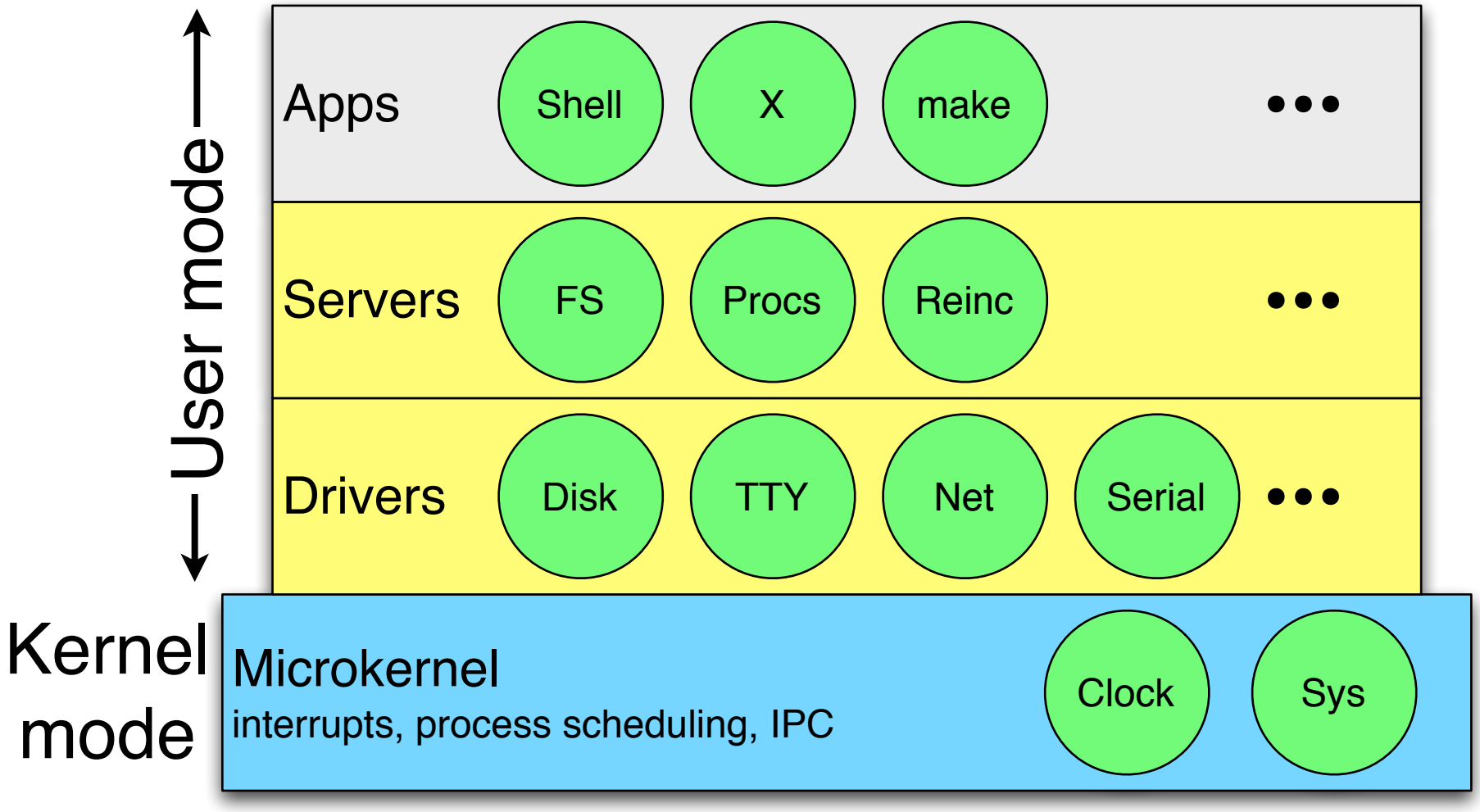


Microkernels (client-server)

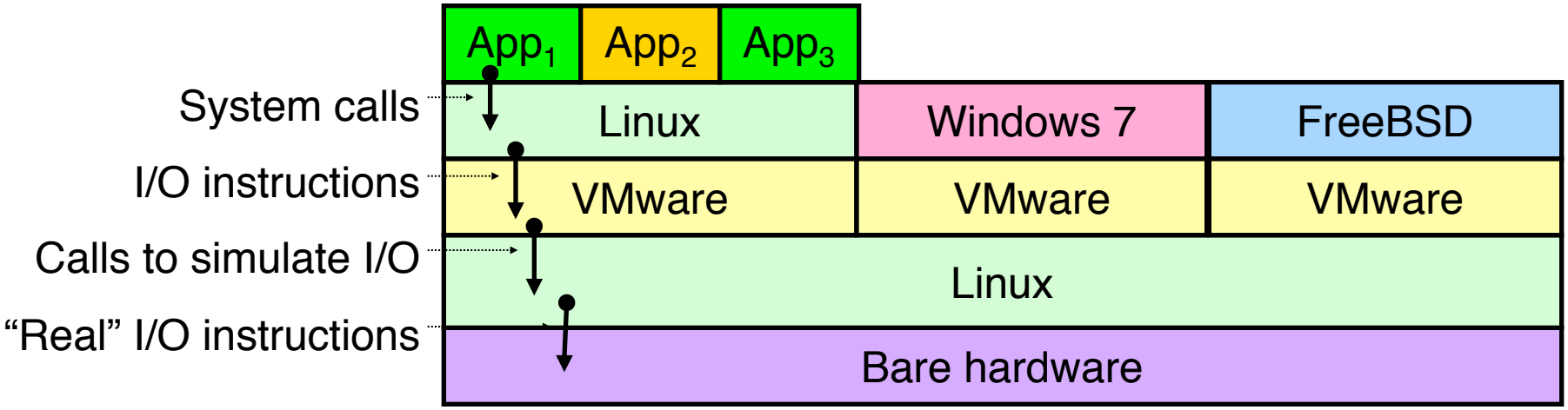


- Processes (clients and OS servers) don't share memory
  - Communication via message-passing
  - Separation reduces risk of "byzantine" failures
- Examples include
  - Mach (used by MacOS X)
  - MINIX

MINIX3 microkernel

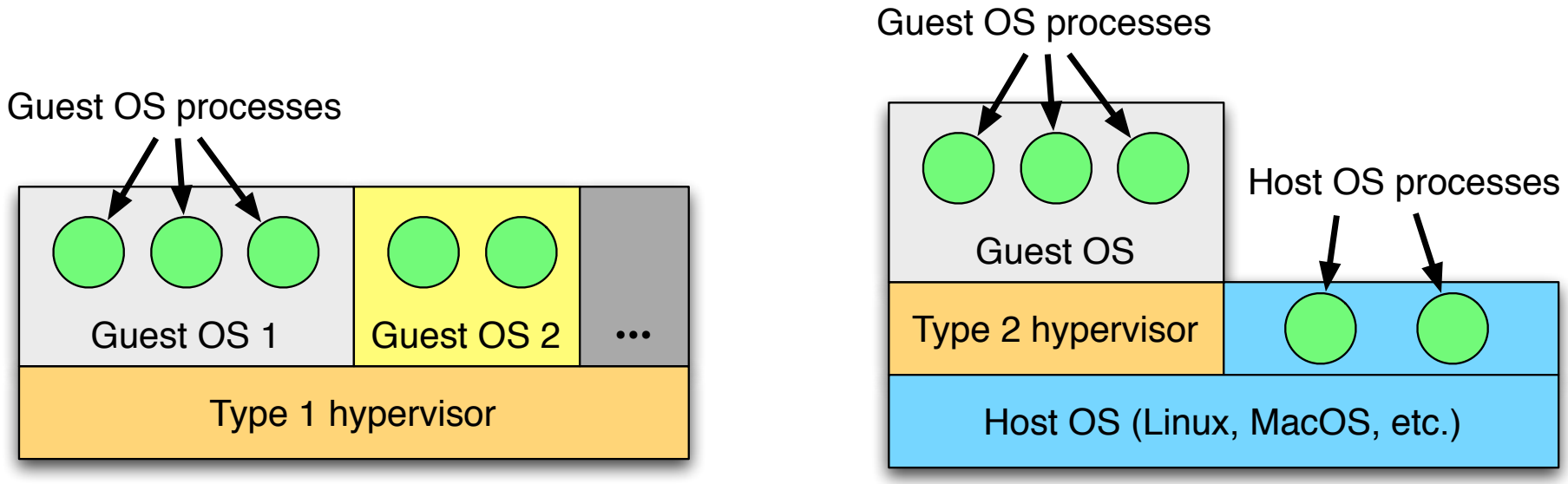


Virtual machines



- First widely used in VM/370 with CMS
- Available today in VMware and VirtualBox
  - Allows users to run any x86-based OS on top of Linux, Windows, MacOS
- "Guest" OS can crash without harming underlying OS
  - Only virtual machine fails—rest of underlying OS is fine
- "Guest" OS can even use raw hardware
  - Virtual machine keeps things separated

Two types of VM managers



- Type 1 hypervisor
  - Runs on bare hardware
  - Manages resources between guest operating systems
  - May provide some *simple* OS-like services (FS, scheduling)
- Type 2 hypervisor
  - Runs as a process in the "host" operating system
  - May use host OS services (file system, etc.)

Why use virtual machines?

- Virtual machines encapsulate *all* of a computer's state in a single file
  - Easy to store and relocate "computers" when packaged as virtual machines
    - Keep your environment in the cloud
    - Put it on any convenient computer
  - Make systems more reliable: use *any* computer to run your environment
- Virtual machines allow users low-level access to "hardware"
  - Shared hardware with the illusion of having your own computer
- Is there a difference between a VM manager and an OS?