UC San Diego

DSC 102 Systems for Scalable Analytics

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Topic 1: Basics of Machine Resources

Part 2: Operating Systems

Ch. 2, 4.1-4.2, 6, 7, 13, 14.1, 18.1, 21, 22, 26, 36, 37, 39, and 40.1-40.2 of Comet Book

Outline

- Basics of Computer Organization
 - Digital Representation of Data
 - Processors and Memory Hierarchy
- Basics of Operating Systems (OS)
 - Process Management: Virtualization; Concurrency
 - Filesystem and Data Files
 - Main Memory Management
 - Persistent Data Storage

App Stores

"changed how software development worked, and expanded the **number of people who could comfortably, safely use a computer** from a few hundred million to a few billion."

Putting apps in a sandbox

Apps can only do things that Apple allows and cannot ask (or persuade, or trick) the user for permission to do 'dangerous' things.





- Would this break my phone?
- Would this run my battery down?
- Steal my bank details?

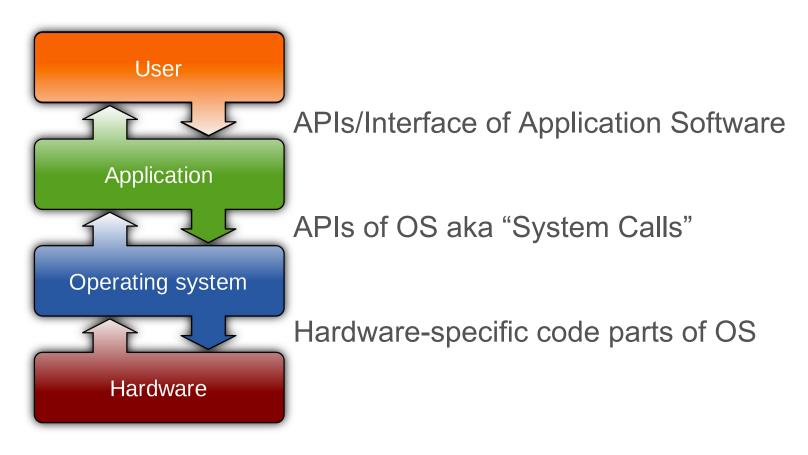
Q: What is an OS? Why do we need it?



Role of an OS in a Computer

- An OS is a large set of interrelated programs that make it easier for applications and user-written programs to use computer hardware effectively, efficiently, and securely
 - Akin to a government's role in a country
- Without OS, computer users must speak machine code!
- 2 key principles in OS (any system) design & impl.:
 - Modularity: Divide system into functionally cohesive components that each do their jobs well
 - Akin to executive-legislature-judiciary split
 - Abstraction: Layers of functionalities from low-level (close to hardware) to high level (close to user)
 - Akin to local-city-county-state-federal levels?

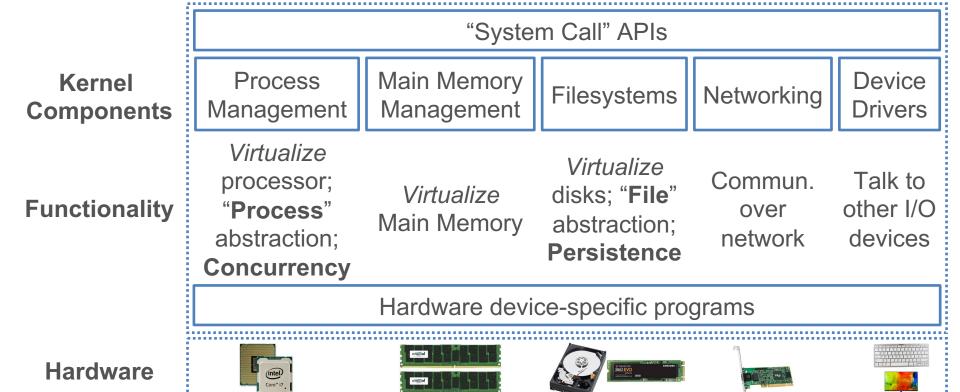
Role of an OS in a Computer



"Application Software" notion is now more complex due to multiple tiers of abstraction; "Platform Software" or "Software Framework" is a new tier between "Application" and OS

Key Components of OS

- Kernel: The core of an OS with modules to abstract the hardware and APIs for programs to use
- Auxiliary parts of OS include shell/terminal, file browser for usability, extra programs installed by I/O devices, etc.



Outline

- Basics of Computer Organization
 - Digital Representation of Data

You will face myriad and new data types

Processors and Memory Hierard

Compute hardware is evolving fast

- Basics of Operating Systems (OS)
- Process Management: Virtualization; Concurrency
 - Filesystem and Data Files
 - Main Memory Managemer

Persistent Data Storage

You will need to use new methods on evolving data file formats on clusters / cloud

Storage hardware are evolving fast

The Abstraction of a Process

- Process: A running program, the central abstraction in OS
 - Started by OS when a program is executed by user
 - OS keeps inventory of "alive" processes (Process List) and handles apportioning of hardware among processes

Q: Why bother knowing process management in Data Science?

- A query is a program that becomes a process
- A data system typically abstracts away process management because user specifies the queries / processes in system's API





But in the cloud era, things are up in the air! Will help to know a bit of how they handle data-intensive computations under the hood.

The Abstraction of a Process

- High-level steps OS takes to get a process going:
 - 1. Create a process (get Process ID; add to Process List)
 - 2. Assign part of DRAM to process, aka its **Address Space**
 - 3. Load code and static data (if applicable) to that space
 - 4. Set up the inputs needed to run program's *main()*
 - 5. Update process' **State** to *Ready*
 - 6. When process is **scheduled** (*Running*), OS temporarily hands off control to process to run the show!
 - 7. Eventually, process finishes or run **Destroy**

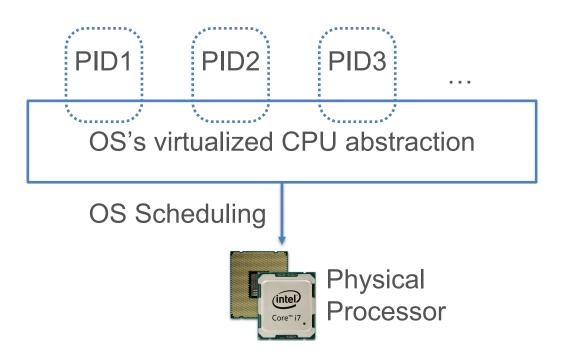
Virtualization of Hardware Resources

Q: But is it not risky/foolish for OS to hand off control of hardware to a process (random user-written program)?!

- OS has mechanisms and policies to regain control
- Virtualization:
 - Each hardware resource is treated as a virtual entity that OS can divvy up among processes in a controlled way
- Limited Direct Execution:
 - OS mechanism to time-share CPU and preempt a process to run a different one, aka "context switch"
 - A Scheduling policy tells OS what time-sharing to use
 - Processes also must transfer control to OS for "privileged" operations (e.g., I/O); System Calls API

Virtualization of Processors

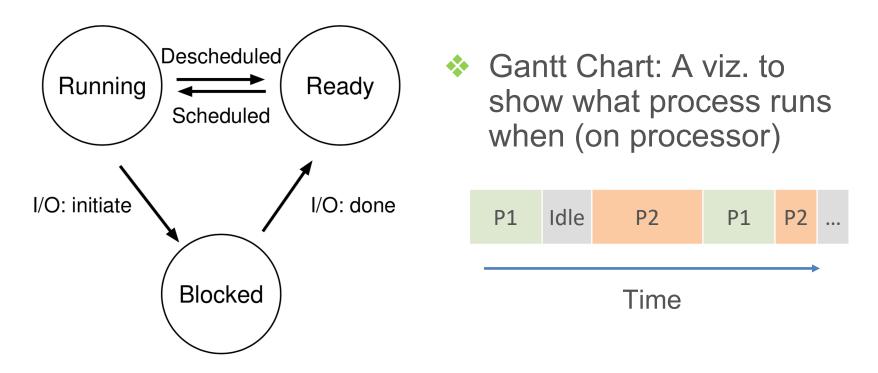
Virtualization of processor enables process isolation, i.e., each process given an "illusion" that it alone runs



- Inter-process communication possible in System Calls API
- Later: Generalize to Thread abstraction for concurrency

Process Management by OS

OS keeps moving processes between 3 states:



Sometimes, if a process gets "stuck" and OS did not schedule something else, system hangs; need to reboot!

Scheduling Policies/Algorithms

- Schedule: Record of what process runs on each CPU when
- Policy controls how OS time-shares CPUs among processes
- Key terms for a process (aka job):
 - Arrival Time: Time when process gets created
 - Job Length: Duration of time needed for process
 - Start Time: Times when process first starts on processor
 - Completion Time: Time when process finishes/killed
 - Response Time = Start Time Arrival Time
 - Turnaround Time = Completion Time Arrival Time
- Workload: Set of processes, arrival times, and job lengths that OS Scheduler has to handle

Scheduling Policies/Algorithms

- In general, not all Arrival Times and Job Lengths will be known beforehand. But preemption is possible.
- Key Principle: Inherent tension in scheduling between overall workload performance and allocation fairness
 - Performance metric is usually Average Turnaround Time
 - Many fairness metrics exist, e.g., Jain's fairness index
- 100s of scheduling policies studied! Well-known ones: FIFO, SJF, STCF, Round Robin, Random, etc.
 - Different criteria for ranking; preemptive vs not
 - Complex "multi-level feedback queue" schedulers
 - ML-based schedulers are "hot" nowadays!

Scheduling Policy: FIFO

- First-In-First-Out aka First-Come-First-Serve (FCFS)
- Ranking criterion: Arrival Time; no preemption allowed

Example: P1, P2, P3 of lengths 10,40,10 units arrive closely in that order

	P1	P2	P2	P2	P2	P3				
	0	10	20	30	40	50	60	70	80	
		Tir	me —							
Process		Arrival		Start	Completion		Response		Turnaroun	nd
Г	100033	Time		Time	Time		Time		Time	
P1		0)	0	10		0		10	
P2		0 10		10	50		10		50	
Р3		0)	50	60		50		60	
			Avg:	20		40				

Main con: Short jobs may wait a lot, aka "Convoy Effect"

Scheduling Policy: SJF

- Shortest Job First
- Ranking criterion: Job Length; no preemption allowed

Example: P1, P2, P3 of lengths 10,40,10 units arrive closely in that order

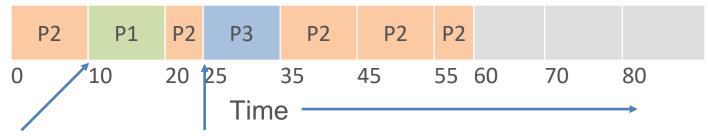
	P1	Р3	P2	P2	P2	P2			
	0	10	20	30	40	50	60	70	80
		Tir	me —						
Process		Arrival		Start	Completion		Response		Turnaround
		Time		Time	Time		Time		Time
P1		0	0		10		0		10
P2		0		20	60		20		60
Р3		0 10		20		10		20	
(FIFO Avg: 20 and 40) Avg:						10		30	

Main con: Not all Job Lengths might be known beforehand

Scheduling Policy: SCTF

- Shortest Completion Time First
- Jobs might not all arrive at same time; preemption possible

Example: P1, P2, P3 of lengths 10,40,10 units arrive at different times



P1 arrives; switch P3 arrives; switch

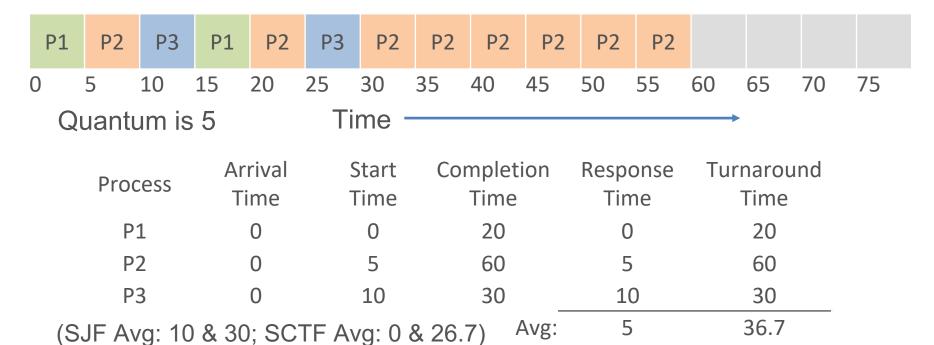
Process	Arrival Time	Start Time	Completion Time	Response Time	Turnaround Time
P1	10	10	20	0	10
P2	0	0	60	0	60
Р3	25	25	35	0	10
	(SJF A	/g: 10 and	d 30) Avg:	0	26.7

Main con same as SJF; Job Lengths might not be known

Scheduling Policy: Round Robin

- RR does not need to know job lengths
- Fixed time quantum given to each job; cycle through jobs

Example: P1, P2, P3 of lengths 10,40,10 units arrive closely in that order



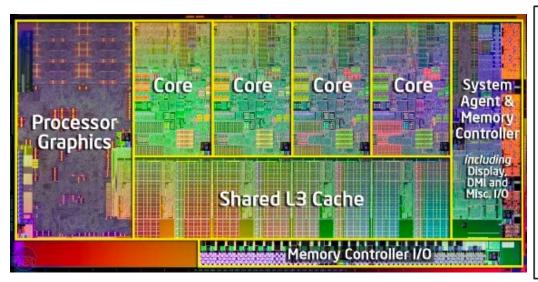
RR is often very fair, but Avg Turnaround Time goes up!

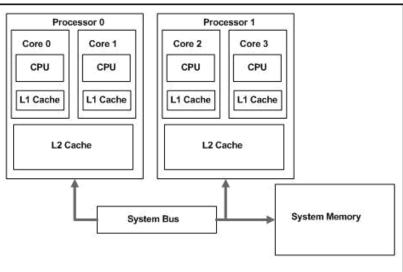
Peer Instruction Activity

(Switch slides)

Concurrency

- Modern computers often have multiple processors and multiple cores per processor
- Concurrency: Multiple processors/cores run different/same set of instructions simultaneously on different/shared data
- New levels of shared caches are added





Concurrency

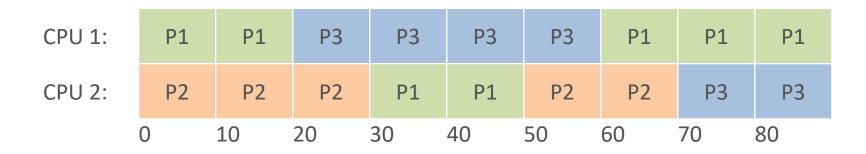
- Multiprocessing: Different processes run on different cores (or entire CPUs) simultaneously
- Thread: Generalization of OS's Process abstraction
 - A program spawns many threads; each run parts of the program's computations simultaneously
 - Multithreading: Same core used by many threads



- Issues in dealing with multithreaded programs that write shared data:
 - Cache coherence
 - Locking; deadlocks
 - Complex scheduling

Concurrency

- Scheduling for multiprocessing/multicore is more complex
- Load Balancing: Ensuring different cores/proc. are kept roughly equally busy, i.e., reduce idle times
- Multi-queue multiprocessor scheduling (MQMS) is common
 - Each proc./core has its own job queue
 - OS moves jobs across queues based on load
 - Example Gantt chart for MQMS:



Concurrency in Data Science

- Thankfully, most data-intensive computations in data science do not need concurrent writes on shared data!
 - Concurrent low-level ops abstracted away by libraries/APIs
 - Partitioning / replication of data simplifies concurrency
- Later topic (Parallelism Paradigms) will cover parallelism in depth:
 - Multi-core, multi-node, etc.
 - Task parallelism, Partitioned data parallelism, etc.

Review Questions

- If you can afford infinite DRAM, is there any reason not to use it?
- What is the purpose of an OS?
- Why is the design of an OS so modular?
- Why does an OS need to use a scheduling policy?
- Which quantity captures latency of a process starting: Response Time or Turnaround Time?
- What gives rise to different scheduling policies?
- Which scheduling policy is the fairest among the ones we covered?
- What is the Convoy Effect? Which sched. policy has that issue?
- Explain one pro and one con of Round Robin over SJF.

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Q: What is a file?



Abstractions: File and Directory

- File: A persistent sequence of bytes that stores a logically coherent digital object for an application
 - File Format: An application-specific standard that dictates how to interpret and process a file's bytes
 - 100s of file formats exist (e.g., TXT, DOC, GIF, MPEG); varying data models/types, domain-specific, etc.
 - Metadata: Summary or organizing info. about file content (aka payload) stored with file itself; format-dependent
- Directory: A cataloging structure with a list of references to files and/or (recursively) other directories
 - Typically treated as a special kind of file
 - Sub dir., Parent dir., Root dir.

Filesystem

- Filesystem: The part of OS that helps programs create, manage, and delete files on disk (sec. storage)
- Roughly split into logical level and physical level
 - Logical level exposes file and dir. abstractions and offers System Call APIs for file handling
 - Physical level works with disk firmware and moves bytes to/from disk to DRAM

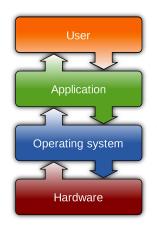
Filesystem

- Dozens of filesystems exist, e.g., ext2, ext3, NTFS, etc.
 - Differ on how they layer file and dir. abstractions as bytes, what metadata is stored, etc.
 - Differ on how data integrity/reliability is assured, support for editing/resizing, compression/encryption, etc.
 - Some can work with ("mounted" by) multiple OSs

Virtualization of File on Disk

- OS abstracts a file on disk as a virtual object for processes
- File Descriptor: An OS-assigned +ve integer identifier/reference for a file's virtual object that a process can use
 - 0/1/2 reserved for STDIN/STDOUT/STDERR
 - File Handle: A PL's abstraction on top of a file descr. (fd)

System Call API for File Handling:



API of OS called "System Calls"

- open(): Create a file; assign fd; optionally overwrite
- read(): Copy file's bytes on disk to in-mem. buffer; sized
- write(): Copy bytes from in-mem. buffer to file on disk
- fsync(): "Flush" (force write) "dirty" data to disk
- close(): Free up the fd and other OS state info on it
- Iseek(): Position offset in file's fd (for random R/W later)
- Dozens more (rename, mkdir, chmod, etc.)

Q: What is a database? How is it different from just a bunch of files?

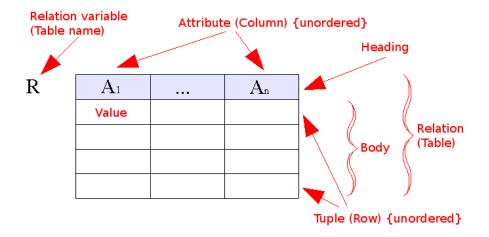
Files Vs Databases: Data Model

- Database: An organized collection of interrelated data
 - Data Model: An abstract model to define organization of data in a formal (mathematically precise) way
 - E.g., Relations, XML, Matrices, DataFrames
- Every database is just an abstraction on top of data files!
 - Logical level: Data model for higher-level reasoning
 - Physical level: How bytes are layered on top of files
 - All data systems (RDBMSs, Dask, Spark, TensorFlow, etc.) are application/platform software that use OS System Call API for handling data files

Data as File: Structured

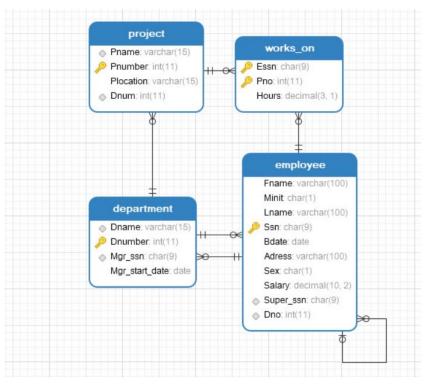
Structured Data: A form of data with regular substructure

Relation



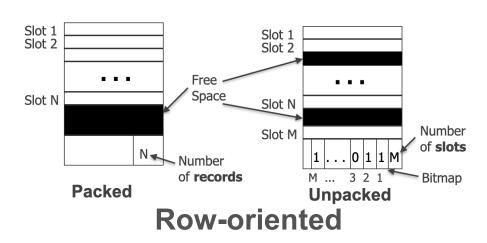
Most RDBMSs and Spark serialize a relation as binary file(s), often compressed

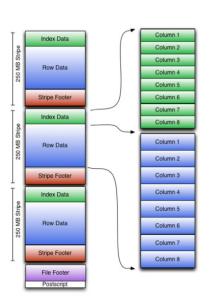
Relational Database



Aside: Relational File Formats

- Different RDBMSs and Spark/HDFS-based tools serialize relation/tabular data in different binary formats, often compressed
 - One file per relation; data layout can be row vs columnar (e.g., ORC, Parquet) vs hybrid formats
 - RDBMS vendor-specific vs open Apache
 - Parquet becoming especially popular





Columnar

Ad: Take CSE 132C for more on relational file formats

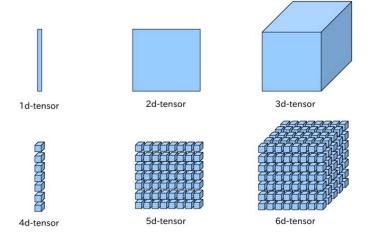
Data as File: Structured

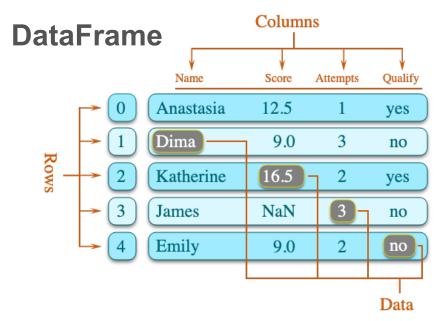
Structured Data: A form of data with regular substructure

Matrix

	_ 1	2		n _
1	a_{11}	a_{12}		$a_{1m{n}}$
2	a_{21}	a_{22}		$a_{2oldsymbol{n}}$
3	a_{31}	a_{32}		a_{3n}
:	:	:	•	:
m	$\lfloor a_{m1} \rfloor$	a_{m2}		a_{mn}

Tensor





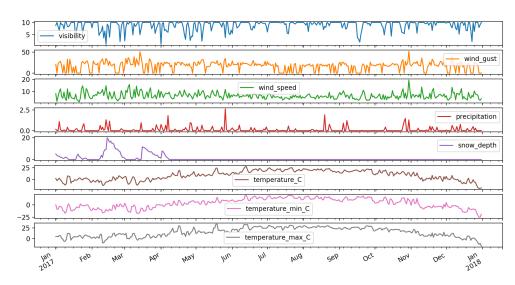
- Typically serialized as restricted ASCII text file (TSV, CSV, etc.)
- Matrix/tensor as binary too
- Can layer on Relations too!

Data as File: Structured

Structured Data: A form of data with regular substructure

Sequence (Includes Time-series)

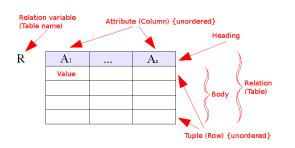
GAT AAAT CT GGTCT TATT TCC



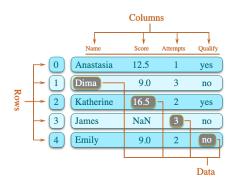
- Can layer on Relations, Matrices, or DataFrames, or be treated as first-class data model
- Inherits flexibility in file formats (text, binary, etc.)

Comparing Struct. Data Models

Q: What is the difference between Relation, Matrix, and DataFrame?



	1	2		n _
1	a_{11}	a_{12}		a_{1n}
2	a_{21}	a_{22}		a_{2n}
3	a_{31}	a_{32}		a_{3n}
:	:	:	:	:
m	a_{m1}	a_{m2}		a_{mn}



- Ordering: Matrix and DataFrame have row/col numbers; Relation is orderless on both axes!
- Schema Flexibility: Matrix cells are numbers. Relation tuples conform to pre-defined schema. DataFrame has no pre-defined schema but all rows/cols can have names; col cells can be mixed types!
- Transpose: Supported by Matrix & DataFrame, not Relation

Data as File: Semistructured

Semistructured Data: A form of data with less regular / more flexible substructure than structured data

{itemId: 7, qty: 22, price: 9.1}

Tree-Structured

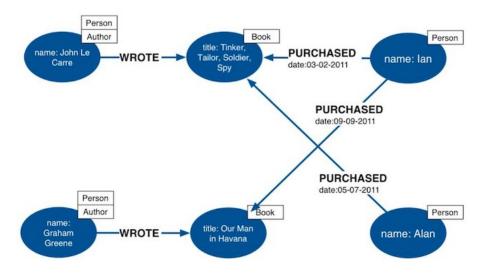
```
orderId: 1.
<?xml version="1.0" encoding="UTF-8"?>
                                                     date: '1/1/2014',
<customers>
                                                     orderItems: [
    <customer>
                                                              {itemId: 1, qty: 3, price: 23.4},
        <customer id>1</customer id>
                                                              {itemId: 23, qty: 2, price: 3.3},
        <first name>John</first name>
                                                              {itemId: 7, qty: 5, price: 5.3}
        <last name>Doe</last name>
        <email>john.doe@example.com</email>
    </customer>
    <customer>
                                                     orderId: 2,
        <customer id>2</customer id>
                                                     date: '1/2/2014',
        <first name>Sam</first name>
                                                     orderItems: [
        <last name>Smith</last name>
                                                          {itemId: 31, qty: 7, price: 3.8},
        <email>sam.smith@example.com</email>
                                                          {itemId: 17, qty: 4, price: 9.2}
    </customer>
    <customer>
                                                 },
        <customer id>3</customer id>
        <first name>Jane</first name>
                                                     orderId: 3,
        <last name>Doe</last name>
                                                     date: '1/5/2014',
        <email>jane.doe@example.com</email>
                                                     orderItems: [
    </customer>
                                                          {itemId: 11, qty: 9, price: 13.3},
</customers>
                                                          {itemId: 27, qty: 2, price: 19.2},
                                                          {itemId: 6, qty: 19, price: 3.6},
```

- Typically serialized as restricted ASCII text file (extensions XML, JSON, YML, etc.)
- Some data systems also offer binary file formats
 - Can layer on Relations too

Data as File: Semistructured

Semistructured Data: A form of data with less regular / more flexible substructure than structured data

Graph-Structured



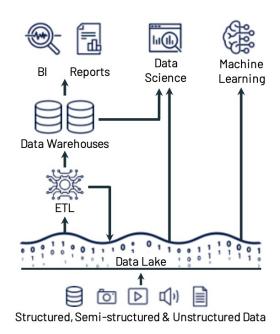
- Typically serialized with JSON or similar textual formats
- Some data systems also offer binary file formats
- Again, can layer on Relations too

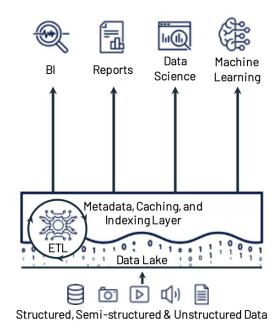
Ad: Take DSC 104 for more on semistructured data

Data Files on Data "Lakes"

- Data "Lake": Loose coupling of data file format for storage and data/query processing stack (vs RDBMS's tight coupling)
 - JSON for raw data; Parquet processed is common







(a) First-generation platforms.

(b) Current two-tier architectures.

(c) Lakehouse platforms.

Data Lake File Format Tradeoffs

- Pros and cons of Parquet vs text-based files (CSV, JSON, etc.):
 - Less storage: Parquet stores in compressed form; can be much smaller (even 10x); less I/O to read
 - Column pruning: Enables app to read only columns needed to DRAM; even less I/O now!
 - Schema on file: Rich metadata, stats inside format itself
 - Complex types: Can store them in a column
 - Human-readability: Cannot open with text apps directly
 - Mutability: Parquet is immutable/read-only; no in-place edits
 - Decompression/Deserialization overhead: Depends on application tool; can go either way
 - Adoption in practice: CSV/JSON support more pervasive but Parquet is catching up

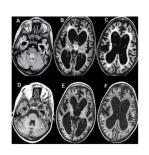
Data Lake File Format Tradeoffs

Dataset	Size on Amazon S3	Query Run Time	Data Scanned	Cost
Data stored as CSV files	1TB	236 seconds	1.15 TB	\$5.75
Data stored in Apache Parquet Format	130 GB	6.78 seconds	2.51 GB	\$0.01
Savings	87% less when using Parquet	34x faster	99% less data scanned	99.7% savings

Data as File: Other Common Formats

- Machine Perception data layer on tensors and/or time-series
- Myriad binary formats, typically with (lossy) compression, e.g., WAV for audio, MP4 for video, etc.











- Text File (aka plaintext): Human-readable ASCII characters
- Docs/Multimodal File: Myriad app-specific rich binary formats







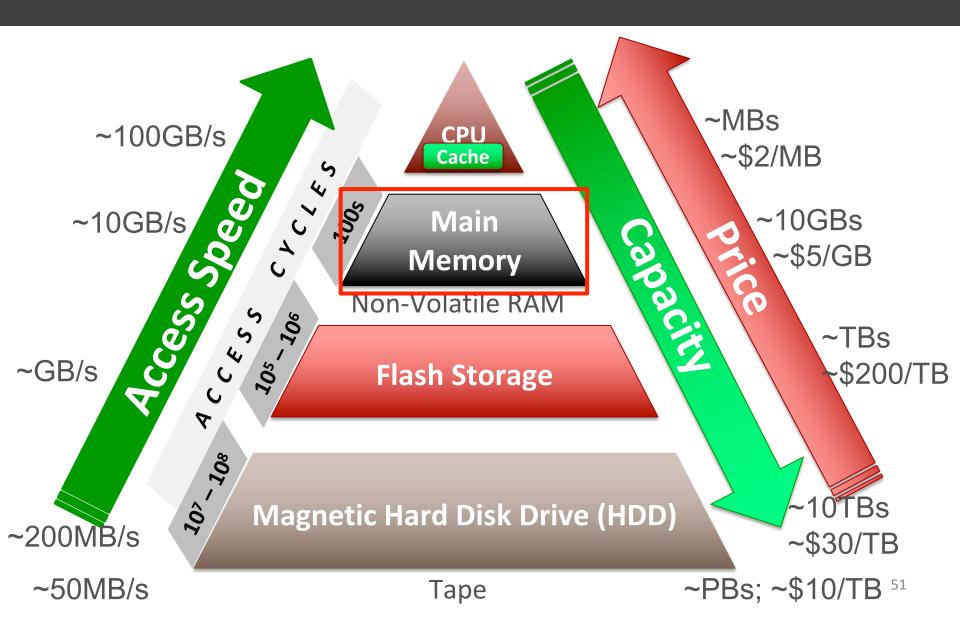
Peer Instruction Activity

(Switch slides)

Outline

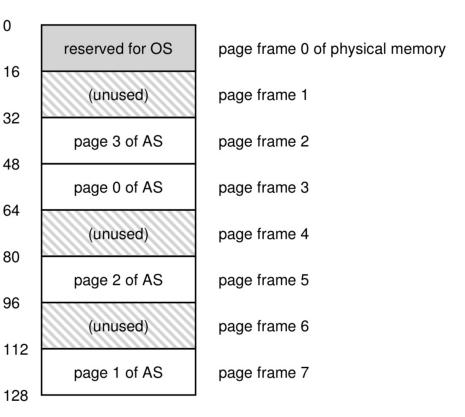
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Memory/Storage Hierarchy



Virtualization of DRAM with Pages

- Page: An abstraction of fixed size chunks of memory/storage
 - Makes it easier to virtualize and manage DRAM
- Page Frame: Virtual slot in DRAM to hold a page's content
- Page size is usually an OS configuration parameter
 - ❖ E.g., 4KB to 16KB
- OS Memory Management has 48 mechanisms to:
 - Identify pages uniquely
 - Read/write page from/to disk when requested by a process



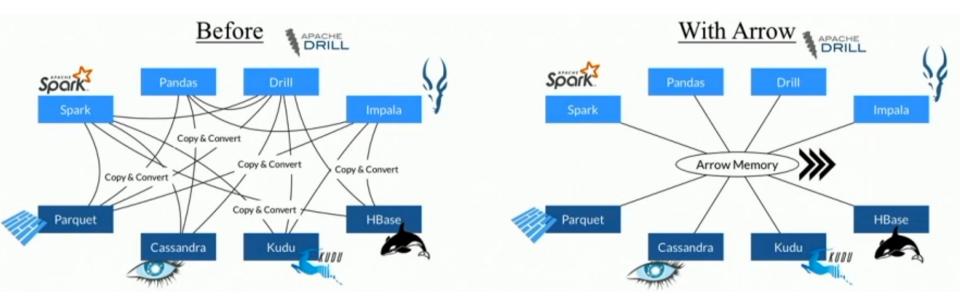
Apportioning of DRAM

- A process' Address Space:
 - Slice of virtualize DRAM assigned to it alone!
 - OS "translates" DRAM vs disk address
- Page Replacement Policy:
 - When DRAM fills up, which cached page to evict?
 - Many policies in OS literature
- Memory Leaks:
 - Process forgot to "free" pages used a while ago
 - Wastes DRAM and slows down system
- Garbage Collection:
 - Some PL impl. can auto-reclaim some wasted memory

Ad: Take CSE 120 or 132C for more on memory management 53

Storing Data In Memory

- Any data structure in memory is overlaid on pages
- Process can ask OS for more memory in System Call API
 - If OS denies, process may crash; your PA0 Dask crashes?
- Apache Arrow:
 - Emerging standard for columnar in-memory data layout
 - Compatible with Pandas, (Py)Spark, Parquet, etc.



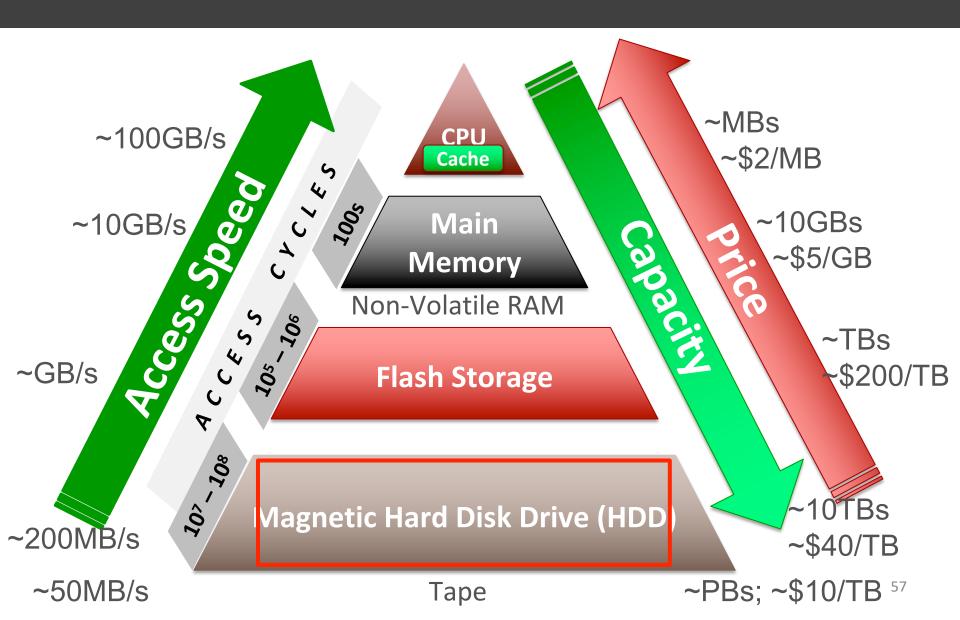
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Persistent Data Storage

- Persistence: Program state/data is available intact even after process finishes
- Volatile Memory: A data storage device that needs power/electricity to store bits; e.g., DRAM, CPU caches (SRAM)
- Non-Volatile or Persistent mem./storage: A data storage device that retains bits intact after power cycling
 - E.g., all levels below DRAM in memory hierarchy
 - "Persistent Memory (PMEM)": Marketing term for large DRAM that is backed up by battery power!
 - Non-Volatile RAM (NVRAM): Popular term for DRAM-like device that is genuinely non-volatile (no battery)

Memory/Storage Hierarchy



Disks

- Aka secondary storage; likely holds the vast majority of the world's day-to-day business-critical data!
- Data storage/retrieval units: disk blocks or pages
- Unlike RAM, different disk pages have different retrieval times based on location:
 - Need to optimize data layout on disk pages
 - Orders of magnitude performance gaps possible

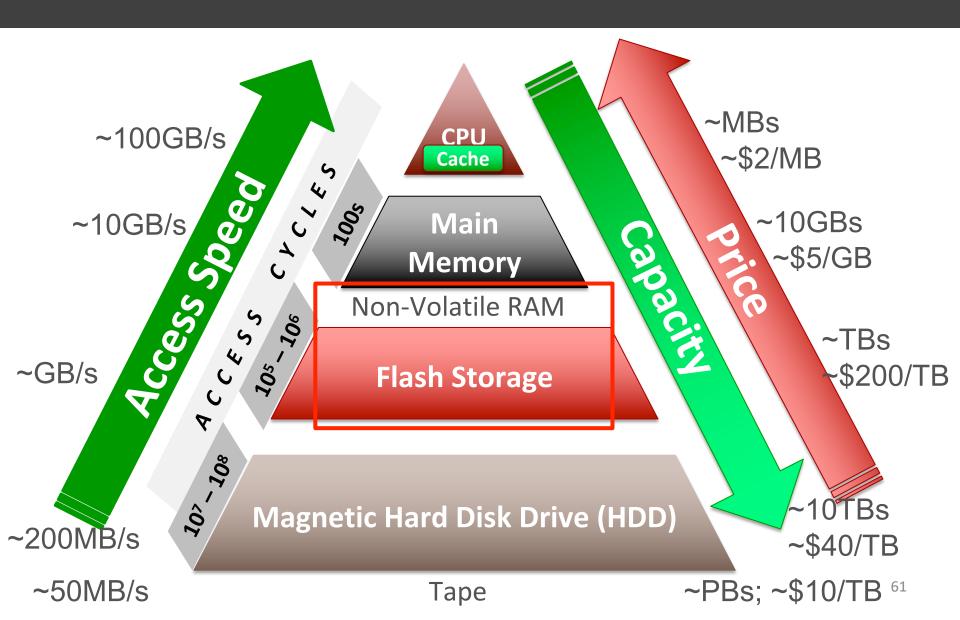
Data Organization on Disk

- Disk space is organized into files
- Files are made up of disk pages aka blocks
- Typical disk block/page size: 4KB or 8KB
 - Basic unit of reads/writes for a disk
 - OS/RAM page is not the same as disk page!
 - Typically, OS/RAM page size = disk page size but not always; disk page can be a multiple, e.g., 1MB
- File data (de-)allocated in increments of disk pages

Magnetic Disk Quirks

- Key Principle: Sequential v Random Access Dichotomy
- Accessing disk pages in sequential order gives higher throughput
 - Random reads/writes are OOM slower!
- Need to carefully lay out data pages on disk
- Abstracted away by data systems: Dask, Spark, RDBMSs, etc.

Memory/Storage Hierarchy



Flash SSD vs Magnetic Hard Disks

Roughly speaking, flash combines the speed benefits of DRAM with persistence of disks

- Random reads/writes are not much worse
 - Different locality of reference for data/file layout
 - But still block-addressable like HDDs
- Data access latency: 100x faster!
- Data transfer throughput: Also 10-100x higher
- Parallel read/writes more feasible
- Cost per GB is 5-15x higher!
- Read-write impact asymmetry; much lower lifetimes

NVRAM vs Magnetic Hard Disks

Roughly speaking, NVRAM is like a non-volatile form of DRAM, but with similar capacity as SSDs

- Random R/W with less to no SSD-style wear and tear
 - Byte-addressability (not blocks like SSDs/HDDs)
 - Spatial locality of reference like DRAM; radical change!
- Latency, throughput, parallelism, etc. similar to DRAM
- Alas, yet to see light of day in production settings
- Cost per GB: No one knows for sure yet!

Review Questions

- How is a database different from a file?
- What are the 2 levels of a database? Why the dichotomy?
- What type of data modality is JSON meant to capture?
- Explain 2 differences between a relation and a DataFrame.
- Can you store a relation as a DataFrame? Vice versa?
- Can you store a tensor as a relation? Vice versa?
- What is the address space of a process? What is a memory leak?
- What is Parquet? Explain 3 pros of Parquet over CSVs.
- What is Arrow? How is it different from Parquet?
- Which storage device has random-sequential access dichotomy?

Peer Instruction Activity

(Switch slides)

Outline

- Basics of Computer Organization
 - Digital Representation of Data
 - Processors and Memory Hierarchy
- Basics of Operating Systems (OS)
 - Process Management: Virtualization; Concurrency
 - Filesystem and Data Files
 - Main Memory Management
- Persistent Data Storage