Operating Systems Principles

cosc1112/cosc1114 School of Science Semester 2, 2017

Lecture 01 - Introduction

Dr. Ke Deng

ke.deng@rmit.edu.au



Course Organization - Instructor Team

Lecturer: Dr. Ke Deng (<u>ke.deng@rmit.edu.au</u>)

Office Room: 14-9-12

Office Phone: 99253202

Tutor & Lab Assistants

Ke Deng ke.deng@rmit.edu.au

Paul Miller <paul.miller@rmit.edu.au>

Michael Swiatkiwsky <s3494334@student.rmit.edu.au>

Minh Viet LE <minhvietle@gmail.com>

Xiang LI <xiang.li2@rmit.edu.au>

Robert MCQUILLAN <robert.mcquillan@rmit.edu.au>

Consultation Time:

12:00-13:00, Thursday, Week 1-12, Location 14-9-12

Course Learning Outcomes

On completion of this course, you should be able to:

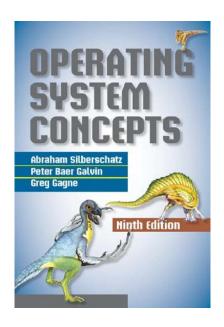
- Explain the objective and functionality of modern operating systems.
- Analyze the tradeoffs inherent in operating system design.
- Describe how computing resources are used by application software and managed by system software.
- Contrast kernel and user mode in an operating system.
- Summarize techniques for achieving synchronization in an operation system.
- Compare and contrast the common algorithms used for both preemptive and non-preemptive scheduling of tasks in operating systems, such a priority, performance comparison, and fair-share schemes.
- Explain the memory hierarchy and associated cost-performance tradeoffs.
- Summarize the full range of considerations in the design of file systems.

Course Pre-requisite

Required Prior Study:

COSC1076/2207 Advanced Programming Techniques

Course Textbook



A. Silberschatz, P. B. Galvin, G. Gagne. Operating system concepts.
 John Wiley & Sons, Hoboken, 9th Edition, 2012, ISBN: 978-1-118-06333-0.

You can find it at the RMIT bookstore or online. An online search, sorted by cost can be found at: http://booko.com.au/9781118063330/Operating-System-Concepts

Course Additional Readings

- A. S. Tanenbaum. Modern Operating Systems. Pearson, Boston, 3rd Edition, 2008.
- W. Stallings. Operating Systems: Internals and design principles.
 Pearson, Boston, 7th Edition, 2012.
- J. H. Saltzer and M. F. Kaashoek. Principles of computer system design. Morgan Kaufmann, Burlington, MA, 2009.
- R. Love. Linux kernel development. Pearson, Boston, 3rd Edition, 2010.
- D. R. Butenhof. Programming with POSIX threads. Addison-Wesley Professional Computing Series, Boston, 1997.
- B. Kernighan and D. Ritchie. C programming language. Prentice Hall, New York, 2nd Edition, 1988.

Course Content

Lecture Topic		Reading Material (9th Edition)
01	Introduction	chapter 1, 2
02	Process	chapter 3
03	Threads	chapter 4
04	CPU scheduling	chapter 6
05	Process synchronization	chapter 5
06	Deadlocks	chapter 7
07	Main and Virtual Memory	chapter 8, 9
08	Mass storage Structure	chapter 10
09	File system	chapter 11, 12
10	I/O Systems	chapter 13
11	Protection	chapter 14
12	Course revision	

Course Assessment

Assignments (50 marks):

Assignment 1 (25 marks)

Assignment 2 (25 marks)

- Final Exam (50 marks):
 - This course has no hurdle requirements

Academic Integrity

- Please read the University Plagiarism Statement in the course guide very carefully.
- In short, cheating, whether by fabrication, falsification of data, or representing the work of someone else as your own is an offense subject to University disciplinary procedures.
- Plagiarism may result in charges of academic misconduct which carry a range of penalties including cancellation of results and exclusion from the course.
- Exact penalties are decided in formal plagiarism hearings.
- We will notice if you do not do your own work.

Operating System Overview

Computer System Structure

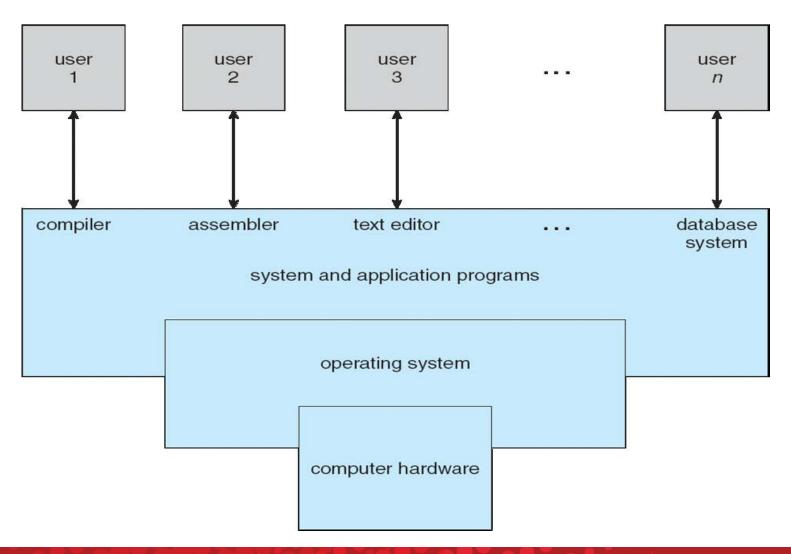
- Computer system can be divided into four components:
 - Hardware provides basic computing resources
 CPU, memory, I/O devices
 - Operating system

Controls and coordinates use of hardware among various applications and users

- Application programs define the ways in which the system resources are used to solve the computing problems of the users Word processors, compilers, web browsers, database systems, video games
- Users

People, machines, other computers

Four Components of a Computer System



What is an Operating System?

- A program that acts as an intermediary between a user of a computer and the computer hardware
- Operating system goals:
 - Execute user programs and make solving user problems easier
 - Make the computer system convenient to use
 - Use the computer hardware in an efficient manner

What Operating Systems Do

- Depends on the point of view
- Users want convenience, ease of use and good performance
 - Don't care about resource utilization
- But shared computer such as mainframe or minicomputer must keep all users happy
- Users of dedicate systems such as workstations have dedicated resources but frequently use shared resources from servers
- Handheld computers are resource poor, optimized for usability and battery life
- Some computers have little or no user interface, such as embedded computers in devices and automobiles

Operating System Definition

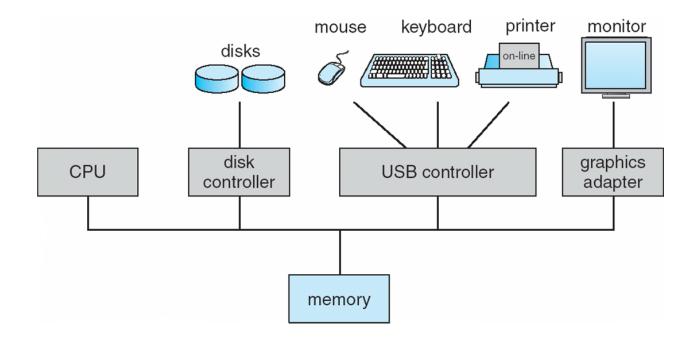
- OS is a resource allocator
 - Manages all resources
 - Decides between conflicting requests for efficient and fair resource use
- OS is a control program
 - Controls execution of programs to prevent errors and improper use of the computer

Operating System Definition (Cont.)

- No universally accepted definition
- "Everything a vendor ships when you order an operating system" is a good approximation
 - But varies wildly
- "The one program running at all times on the computer" is the kernel.
- Everything else is either
 - a system program (ships with the operating system) , or
 - an application program.

Computer System Organization

- Computer-system operation
 - One or more CPUs, device controllers connect through common bus providing access to shared memory
 - Concurrent execution of CPUs and devices competing for memory cycles



Computer Startup

- bootstrap program is loaded at power-up or reboot
 - Typically stored in ROM or EPROM, generally known as firmware
 - Initializes all aspects of system
 - Loads operating system kernel and starts execution

System Boot

- When power initialized on system, execution starts at a fixed memory location
 - Firmware ROM used to hold initial boot code
- Operating system must be made available to hardware so hardware can start it
 - Small piece of code bootstrap loader, stored in ROM or EEPROM locates the kernel, loads it into memory, and starts it
 - Sometimes two-step process where boot block at fixed location loaded by ROM code, which loads bootstrap loader from disk
- Common bootstrap loader, GRUB, allows selection of kernel from multiple disks, versions, kernel options
- Kernel loads and system is then running

Computer-System Operation

- I/O devices and the CPU can execute concurrently
- Each device controller is in charge of a particular device type
- Each device controller has a local buffer
- CPU moves data from/to main memory to/from local buffers
- I/O is from the device to local buffer of controller
- Device controller informs CPU that it has finished its operation by causing an interrupt

Operating-System Operations

- Interrupt driven (hardware and software)
 - Hardware interrupt by one of the devices
 - Software interrupt (exception or trap):

Software error (e.g., division by zero)

Request for operating system service

Other process problems include infinite loop, processes modifying each other or the operating system

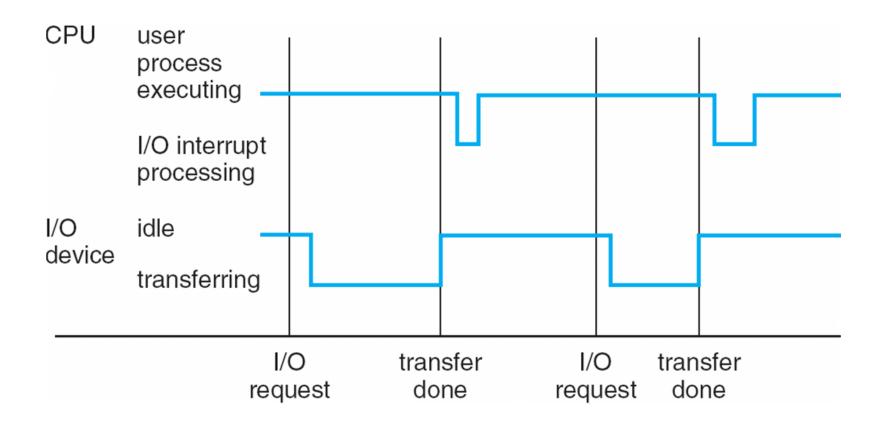
Common Functions of Interrupts

- Interrupt transfers control to the interrupt service routine generally, through the interrupt vector, which contains the addresses of all the service routines
- Interrupt architecture must save the address of the interrupted instruction
- A trap or exception is a software-generated interrupt caused either by an error or a user request
- An operating system is interrupt driven

Interrupt Handling

- The operating system preserves the state of the CPU by storing registers and the program counter
- Determines which type of interrupt has occurred:
 - polling
 - vectored interrupt system
- Separate segments of code determine what action should be taken for each type of interrupt

Interrupt Timeline



I/O Structure

- After I/O starts, control returns to user program only upon I/O completion
 - Wait instruction idles the CPU until the next interrupt
 - Wait loop (contention for memory access)
 - At most one I/O request is outstanding at a time, no simultaneous I/O processing
- After I/O starts, control returns to user program without waiting for I/O completion
 - System call request to the OS to allow user to wait for I/O completion
 - Device-status table contains entry for each I/O device indicating its type, address, and state
 - OS indexes into I/O device table to determine device status and to modify table entry to include interrupt

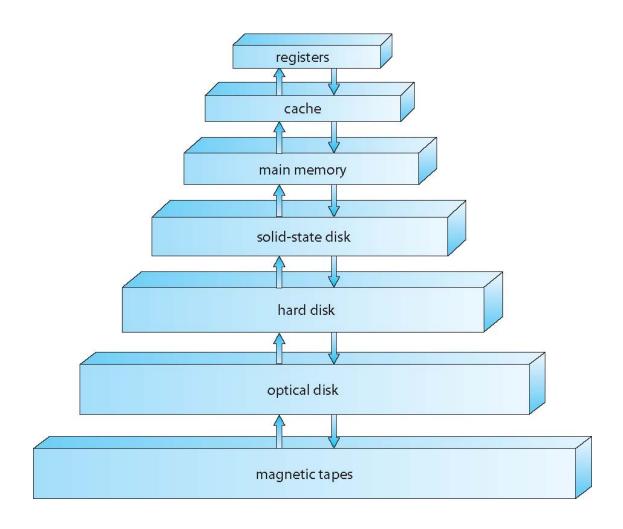
Storage Structure

- Main memory only large storage media that the CPU can access directly
 - Random access
 - Typically volatile
- Secondary storage extension of main memory that provides large nonvolatile storage capacity
- Hard disks rigid metal or glass platters covered with magnetic recording material
 - Disk surface is logically divided into tracks, which are subdivided into sectors
 - The disk controller determines the logical interaction between the device and the computer
- Solid-state disks faster than hard disks, nonvolatile
 - Various technologies
 - Becoming more popular

Storage Hierarchy

- Storage systems organized in hierarchy
 - Speed
 - Cost
 - Volatility
- Caching copying information into faster storage system; main memory can be viewed as a cache for secondary storage
- Device Driver for each device controller to manage I/O
 - Provides uniform interface between controller and kernel

Storage-Device Hierarchy



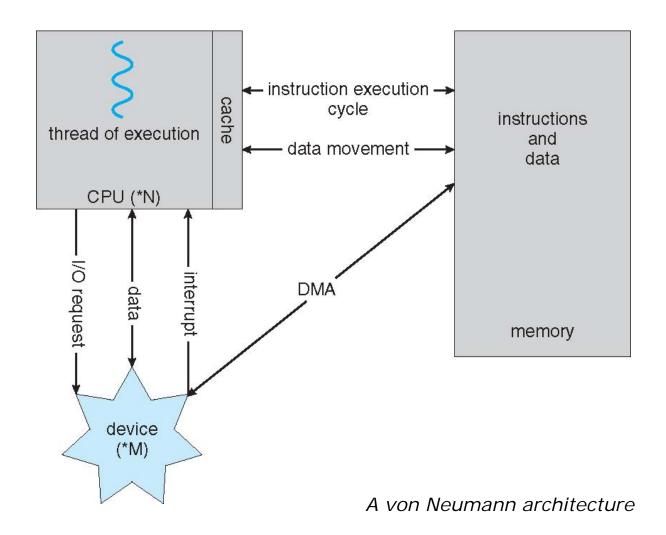
Storage Structure - Caching

- Important principle, performed at many levels in a computer (in hardware, operating system, software)
- Information in use copied from slower to faster storage temporarily
- Faster storage (cache) checked first to determine if information is there
 - If it is, information used directly from the cache (fast)
 - If not, data copied to cache and used there
- Cache smaller than storage being cached
 - Cache management important design problem
 - Cache size and replacement policy

Memory Management - Direct Memory Access Structure

- Used for high-speed I/O devices able to transmit information at close to memory speeds
- Device controller transfers blocks of data from buffer storage directly to main memory without CPU intervention
- Only one interrupt is generated per block, rather than the one interrupt per byte

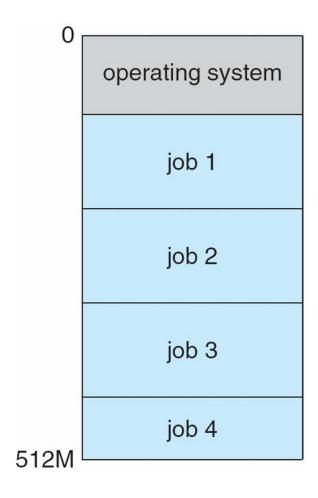
Memory Management - Direct Memory Access Structure (Cont.)



Operating System Structure

- Multiprogramming (Batch system) needed for efficiency
 - Single user cannot keep CPU and I/O devices busy at all times
 - Multiprogramming organizes jobs (code and data) so CPU always has one to execute
 - A subset of total jobs in system is kept in memory
 - One job selected and run via job scheduling
 - When it has to wait (for I/O for example), OS switches to another job
- Timesharing (multitasking) is logical extension in which CPU switches jobs so frequently that users can interact with each job while it is running, creating interactive computing
 - Response time should be < 1 second</p>
 - Each user has at least one program executing in memory ⇒ process
 - If several jobs ready to run at the same time ⇒ CPU scheduling
 - If processes don't fit in memory, swapping moves them in and out to run
 - Virtual memory allows execution of processes not completely in memory

Memory Layout for Multiprogrammed System



Operating-System Operations (cont.)

- Dual-mode operation allows OS to protect itself and other system components
 - User mode and kernel mode
 - Mode bit provided by hardware

Provides ability to distinguish when system is running user code or kernel code

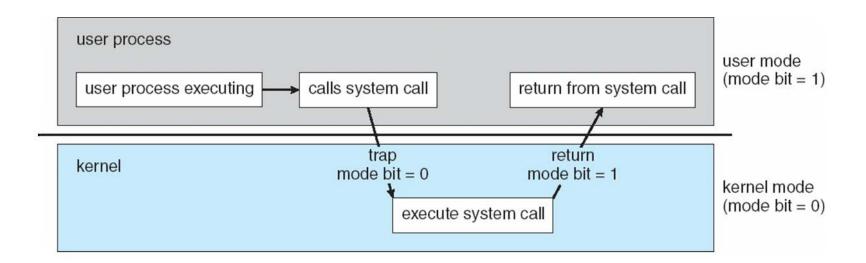
Some instructions designated as **privileged**, only executable in kernel mode

System call changes mode to kernel, return from call resets it to user

- Increasingly CPUs support multi-mode operations
 - i.e. virtual machine manager (VMM) mode for guest VMs

Transition from User to Kernel Mode

- Timer to prevent infinite loop / process hogging resources
 - Timer is set to interrupt the computer after some time period
 - Keep a counter that is decremented by the physical clock.
 - Operating system set the counter (privileged instruction)
 - When counter zero generate an interrupt
 - Set up before scheduling process to regain control or terminate program that exceeds allotted time



Operating System Services

- Operating systems provide an environment for execution of programs and services to programs and users
- One set of operating-system services provides functions that are helpful to the user:
 - User interface Almost all operating systems have a user interface (UI).
 - Varies between Command-Line (CLI), Graphics User Interface (GUI), Batch
 - Program execution The system must be able to load a program into memory and to run that program, end execution, either normally or abnormally (indicating error)
 - I/O operations A running program may require I/O, which may involve a file or an I/O device

Operating System Services (Cont.)

- One set of operating-system services provides functions that are helpful to the user (Cont.):
 - File-system manipulation The file system is of particular interest.
 Programs need to read and write files and directories, create and delete them, search them, list file Information, permission management.
 - Communications Processes may exchange information, on the same computer or between computers over a network
 Communications may be via shared memory or through message passing (packets moved by the OS)
 - Error detection OS needs to be constantly aware of possible errors
 May occur in the CPU and memory hardware, in I/O devices, in user program
 For each type of error, OS should take the appropriate action to ensure correct and consistent computing
 - Debugging facilities can greatly enhance the user's and programmer's abilities to efficiently use the system

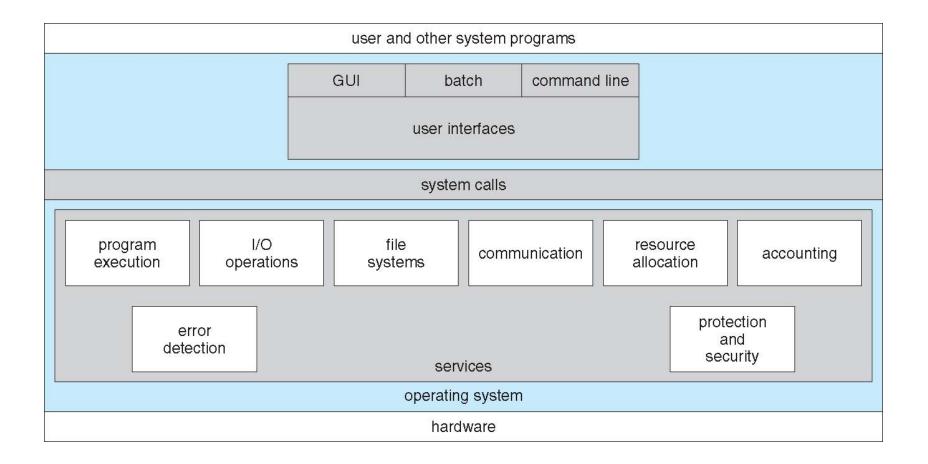
Operating System Services (Cont.)

- Another set of OS functions exists for ensuring the efficient operation of the system itself via resource sharing
 - Resource allocation When multiple users or multiple jobs running concurrently, resources must be allocated to each of them Many types of resources - CPU cycles, main memory, file storage, I/O devices.
 - Accounting To keep track of which users use how much and what kinds of computer resources
 - Protection and security The owners of information stored in a multiuser or networked computer system may want to control use of that information, concurrent processes should not interfere with each other

Protection involves ensuring that all access to system resources is controlled

Security of the system from outsiders requires user authentication, extends to defending external I/O devices from invalid access attempts

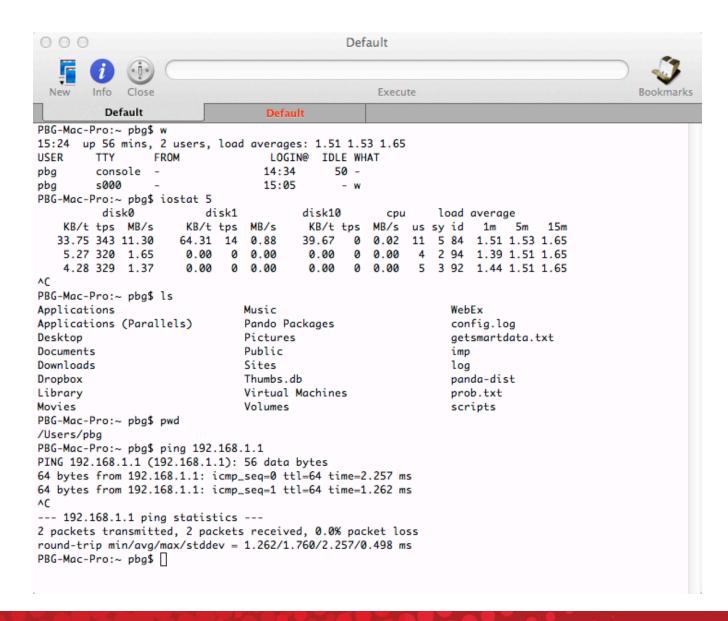
A View of Operating System Services



User Operating System Interface - CLI

- CLI or command interpreter allows direct command entry
 - Sometimes implemented in kernel, sometimes by systems program
 - Sometimes multiple flavors implemented shells
 - Primarily fetches a command from user and executes it
 - Sometimes commands built-in, sometimes just names of programs
 - If the latter, adding new features doesn't require shell modification

Bourne Shell Command Interpreter



User Operating System Interface - GUI

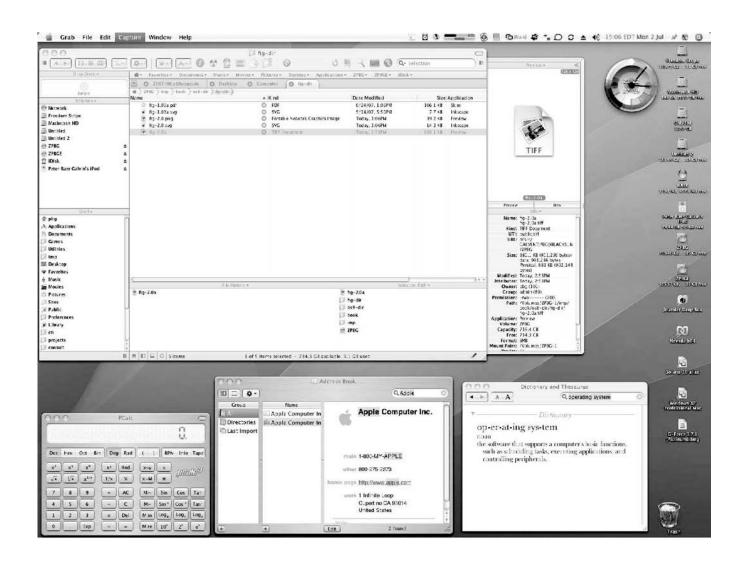
- User-friendly desktop metaphor interface
 - Usually mouse, keyboard, and monitor
 - Icons represent files, programs, actions, etc
 - Various mouse buttons over objects in the interface cause various actions (provide information, options, execute function, open directory (known as a folder)
 - Invented at Xerox PARC
- Many systems now include both CLI and GUI interfaces
 - Microsoft Windows is GUI with CLI "command" shell
 - Apple Mac OS X is "Aqua" GUI interface with UNIX kernel underneath and shells available
 - Unix and Linux have CLI with optional GUI interfaces (CDE, KDE, GNOME)

Touchscreen Interfaces

- Touchscreen devices require new interfaces
 - Mouse not possible or not desired
 - Actions and selection based on gestures
 - Virtual keyboard for text entry
- Voice commands.



The Mac OS X GUI

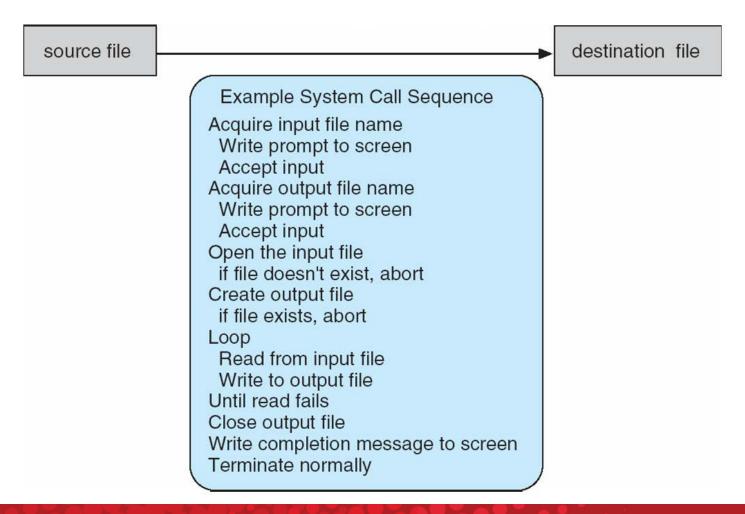


System Calls

- Programming interface to the services provided by the OS
- Typically written in a high-level language (C or C++)
- Mostly accessed by programs via a high-level Application Programming Interface (API) rather than direct system call use
- Three most common APIs are Win32 API for Windows, POSIX API for POSIX-based systems (including virtually all versions of UNIX, Linux, and Mac OS X), and Java API for the Java virtual machine (JVM)

Example of System Calls

 System call sequence to copy the contents of one file to another file



Example of Standard API

EXAMPLE OF STANDARD API

As an example of a standard API, consider the read() function that is available in UNIX and Linux systems. The API for this function is obtained from the man page by invoking the command

man read

on the command line. A description of this API appears below:

```
#include <unistd.h>
ssize_t read(int fd, void *buf, size_t count)

return function parameters
value name
```

A program that uses the read() function must include the unistd.h header file, as this file defines the ssize_t and size_t data types (among other things). The parameters passed to read() are as follows:

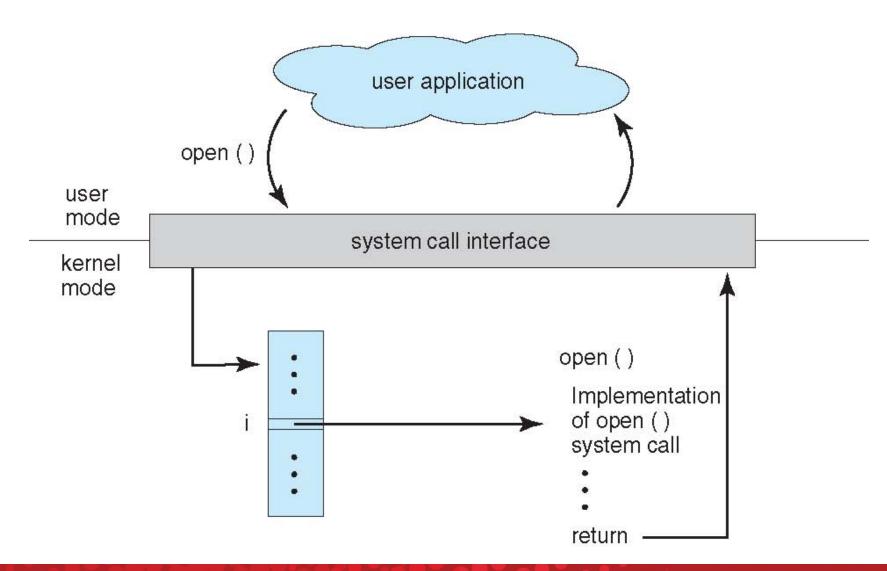
- int fd—the file descriptor to be read
- void *buf —a buffer where the data will be read into
- size_t count—the maximum number of bytes to be read into the buffer

On a successful read, the number of bytes read is returned. A return value of 0 indicates end of file. If an error occurs, read() returns -1.

System Call Implementation

- Typically, a number associated with each system call
 - System-call interface maintains a table indexed according to these numbers
- The system call interface invokes the intended system call in OS kernel and returns status of the system call and any return values
- The caller need know nothing about how the system call is implemented
 - Just needs to obey API and understand what OS will do as a result call
 - Most details of OS interface hidden from programmer by API
 Managed by run-time support library (set of functions built into libraries included with compiler)

API – System Call – OS Relationship



Types of System Calls

Process control

- create process, terminate process
- end, abort
- load, execute
- get process attributes, set process attributes
- wait for time
- wait event, signal event
- allocate and free memory
- Dump memory if error
- Debugger for determining bugs, single step execution
- Locks for managing access to shared data between processes

Types of System Calls (Cont.)

File management

- create file, delete file
- open, close file
- read, write, reposition
- get and set file attributes

Device management

- request device, release device
- read, write, reposition
- get device attributes, set device attributes
- logically attach or detach devices

Types of System Calls (Cont.)

Information maintenance

- get time or date, set time or date
- get system data, set system data
- get and set process, file, or device attributes

Communications

- create, delete communication connection
- send, receive messages if message passing model to host name or process name
 - From client to server
- Shared-memory model create and gain access to memory regions
- transfer status information
- attach and detach remote devices

Types of System Calls (Cont.)

Protection

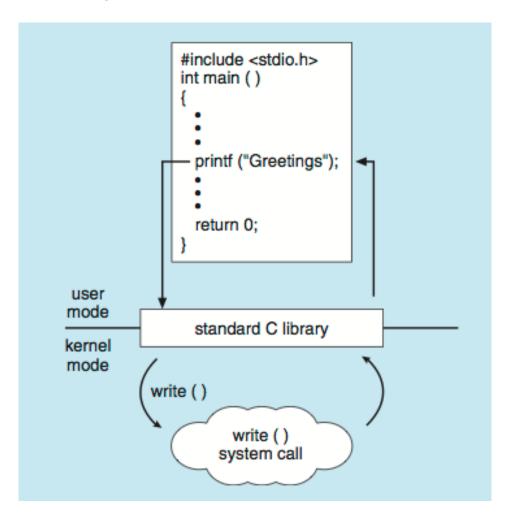
- Control access to resources
- Get and set permissions
- Allow and deny user access

Examples of Windows and Unix System Calls

	Windows	Unix
Process Control	<pre>CreateProcess() ExitProcess() WaitForSingleObject()</pre>	<pre>fork() exit() wait()</pre>
File Manipulation	<pre>CreateFile() ReadFile() WriteFile() CloseHandle()</pre>	<pre>open() read() write() close()</pre>
Device Manipulation	SetConsoleMode() ReadConsole() WriteConsole()	<pre>ioctl() read() write()</pre>
Information Maintenance	<pre>GetCurrentProcessID() SetTimer() Sleep()</pre>	<pre>getpid() alarm() sleep()</pre>
Communication	<pre>CreatePipe() CreateFileMapping() MapViewOfFile()</pre>	<pre>pipe() shmget() mmap()</pre>
Protection	<pre>SetFileSecurity() InitlializeSecurityDescriptor() SetSecurityDescriptorGroup()</pre>	chmod() umask() chown()

Standard C Library Example

C program invoking printf() library call, which calls write() system call



System Programs

- System programs provide a convenient environment for program development and execution. They can be divided into:
 - File manipulation
 - Status information sometimes stored in a File modification
 - Programming language support
 - Program loading and execution
 - Communications
 - Background services
 - Application programs
- Most users' view of the operation system is defined by system programs, not the actual system calls

System Programs (Cont.)

- Provide a convenient environment for program development and execution
 - Some of them are simply user interfaces to system calls; others are considerably more complex
- File management Create, delete, copy, rename, print, dump, list, and generally manipulate files and directories

Status information

- Some ask the system for info date, time, amount of available memory, disk space, number of users
- Others provide detailed performance, logging, and debugging information
- Typically, these programs format and print the output to the terminal or other output devices
- Some systems implement a registry used to store and retrieve configuration information

System Programs (Cont.)

File modification

- Text editors to create and modify files
- Special commands to search contents of files or perform transformations of the text

Programming-language support

Compilers, assemblers, debuggers and interpreters sometimes provided

Program loading and execution

Absolute loaders, relocatable loaders, linkage editors, and overlay-loaders, debugging systems for higher-level and machine language

Communications

Provide the mechanism for creating virtual connections among processes, users, and computer systems

 Allow users to send messages to one another's screens, browse web pages, send electronic-mail messages, log in remotely, transfer files from one machine to another

System Programs (Cont.)

Background Services

- Launch at boot time
 Some for system startup, then terminate
 Some from system boot to shutdown
- Provide facilities like disk checking, process scheduling, error logging, printing
- Run in user context not kernel context
- Known as services, subsystems, daemons

Application programs

- Don't pertain to system
- Run by users
- Not typically considered part of OS
- Launched by command line, mouse click, finger poke

Operating System Design and Implementation

- Design and Implementation of OS not "solvable", but some approaches have proven successful
- Internal structure of different Operating Systems can vary widely
- Start the design by defining goals and specifications
- Affected by choice of hardware, type of system
- User goals and System goals
 - User goals operating system should be convenient to use, easy to learn, reliable, safe, and fast
 - System goals operating system should be easy to design, implement, and maintain, as well as flexible, reliable, error-free, and efficient

Operating System Design and Implementation (Cont.)

Important principle to separate

Policy: What will be done?
Mechanism: How to do it?

- Mechanisms determine how to do something, policies decide what will be done
- The separation of policy from mechanism is a very important principle, it allows maximum flexibility if policy decisions are to be changed later (example – timer)
- Specifying and designing an OS is highly creative task of software engineering

Operating System Design and Implementation (Cont.)

- Much variation
 - Early OSes in assembly language
 - Then system programming languages like Algol, PL/1
 - Now C, C++
- Actually usually a mix of languages
 - Lowest levels in assembly
 - Main body in C
 - Systems programs in C, C++, scripting languages like PERL, Python, shell scripts
- More high-level language easier to port to other hardware
 - But slower
- Emulation can allow an OS to run on non-native hardware

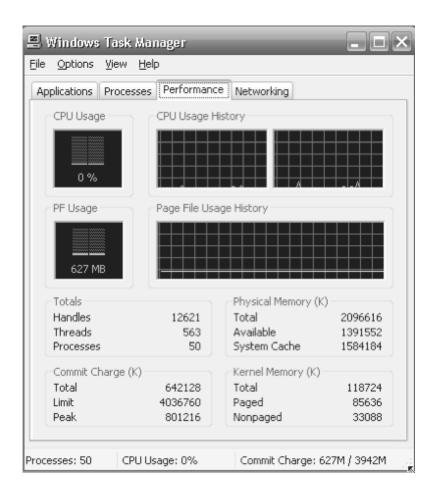
Operating-System Debugging

- Debugging is finding and fixing errors, or bugs
- OS generate log files containing error information
- Failure of an application can generate core dump file capturing memory of the process
- Operating system failure can generate crash dump file containing kernel memory
- Beyond crashes, performance tuning can optimize system performance
 - Sometimes using trace listings of activities, recorded for analysis
 - Profiling is periodic sampling of instruction pointer to look for statistical trends

Kernighan's Law: "Debugging is twice as hard as writing the code in the first place. Therefore, if you write the code as cleverly as possible, you are, by definition, not smart enough to debug it."

Performance Tuning

- Improve performance by removing bottlenecks
- OS must provide means of computing and displaying measures of system behavior
- For example, "top" program or Windows Task Manager



DTrace

- DTrace tool in Solaris, FreeBSD, Mac OS X allows live instrumentation on production systems
- Probes fire when code is executed within a provider, capturing state data and sending it to consumers of those probes
- Example of following
 XEventsQueued system call move
 from libc library to kernel and back

```
# ./all.d 'pgrep xclock' XEventsQueued
dtrace: script './all.d' matched 52377 probes
CPU FUNCTION
  0 -> XEventsQueued
                                         U
      -> XEventsQueued
                                         U
        -> X11TransBytesReadable
                                         U
        <- X11TransBytesReadable
  0
                                         IJ
           X11TransSocketBytesReadable U
           X11TransSocketBytesreadable U
        -> ioctl
                                         U
          -> ioctl
                                          Κ
            -> getf
              -> set active fd
              <- set active fd
                                          Κ
            <- getf
            -> get udatamodel
                                          Κ
            <- get udatamodel
            -> releasef
                                          K
              -> clear active fd
              <- clear active fd
              -> cv broadcast
              <- cv broadcast
                                          Κ
            <- releasef
                                          Κ
          <- ioctl
                                          Κ
        <- ioctl
      <- XEventsQueued
                                         U
  0 <- XEventsQueued
                                         IJ
```

Dtrace (Cont.)

 DTrace code to record amount of time ea process with UserID 101 is in running mc (on CPU) in nanoseconds

```
sched:::on-cpu
uid == 101
{
    self->ts = timestamp;
}
sched:::off-cpu
self->ts
{
    @time[execname] = sum(timestamp - self->ts);
    self->ts = 0;
}
```

```
# dtrace -s sched.d.
dtrace: script 'sched.d' matched 6 probes
^C
   gnome-settings-d
                                 142354
   gnome-vfs-daemon
                                 158243
   dsdm
                                 189804
                                 200030
   wnck-applet
   gnome-panel
                                 277864
   clock-applet
                                 374916
   mapping-daemon
                                 385475
                                 514177
   xscreensaver
                                 539281
   metacity
   Xorg
                                2579646
                                5007269
   gnome-terminal
   mixer_applet2
                                7388447
                               10769137
   java
```

Figure 2.21 Output of the D code.

Operating System Generation

- Operating systems are designed to run on any of a class of machines; the system must be configured for each specific computer site
- SYSGEN program obtains information concerning the specific configuration of the hardware system
 - Used to build system-specific compiled kernel or systemtuned
 - Can general more efficient code than one general kernel

Operating System Structure

- General-purpose OS is very large program
- Various ways to structure ones
 - Simple structure MS-DOS
 - More complex -- UNIX
 - Layered an abstraction
 - Microkernel -Mach

Next Week
Lecture 2 – Process
Tutorial 1