

## Part Three

# *Memory Management*

The main purpose of a computer system is to execute programs. These programs, together with the data they access, must be in main memory (at least partially) during execution.

To improve both the utilization of the CPU and the speed of its response to users, the computer must keep several processes in memory. Many memory-management schemes exist, reflecting various approaches, and the effectiveness of each algorithm depends on the situation. Selection of a memory-management scheme for a system depends on many factors, especially on the *hardware* design of the system. Each algorithm requires its own hardware support.



# Main Memory

In Chapter 5, we showed how the CPU can be shared by a set of processes. As a result of CPU scheduling, we can improve both the utilization of the CPU and the speed of the computer's response to its users. To realize this increase in performance, however, we must keep several processes in memory; that is, we must *share* memory.

In this chapter, we discuss various ways to manage memory. The memory-management algorithms vary from a primitive bare-machine approach to paging and segmentation strategies. Each approach has its own advantages and disadvantages. Selection of a memory-management method for a specific system depends on many factors, especially on the *hardware* design of the system. As we shall see, many algorithms require hardware support, although recent designs have closely integrated the hardware and operating system.

## CHAPTER OBJECTIVES

- To provide a detailed description of various ways of organizing memory hardware.
- To discuss various memory-management techniques, including paging and segmentation.
- To provide a detailed description of the Intel Pentium, which supports both pure segmentation and segmentation with paging.

### 8.1 Background

As we saw in Chapter 1, memory is central to the operation of a modern computer system. Memory consists of a large array of words or bytes, each with its own address. The CPU fetches instructions from memory according to the value of the program counter. These instructions may cause additional loading from and storing to specific memory addresses.

A typical instruction-execution cycle, for example, first fetches an instruction from memory. The instruction is then decoded and may cause operands to be fetched from memory. After the instruction has been executed on the

operands, results may be stored back in memory. The memory unit sees only a stream of memory addresses; it does not know how they are generated (by the instruction counter, indexing, indirection, literal addresses, and so on) or what they are for (instructions or data). Accordingly, we can ignore *how* a program generates a memory address. We are interested only in the sequence of memory addresses generated by the running program.

We begin our discussion by covering several issues that are pertinent to the various techniques for managing memory. This includes an overview of basic hardware issues, the binding of symbolic memory addresses to actual physical addresses, and distinguishing between logical and physical addresses. We conclude with a discussion of dynamically loading and linking code and shared libraries.

### 8.1.1 Basic Hardware

Main memory and the registers built into the processor itself are the only storage that the CPU can access directly. There are machine instructions that take memory addresses as arguments, but none that take disk addresses. Therefore, any instructions in execution, and any data being used by the instructions, must be in one of these direct-access storage devices. If the data are not in memory, they must be moved there before the CPU can operate on them.

Registers that are built into the CPU are generally accessible within one cycle of the CPU clock. Most CPUs can decode instructions and perform simple operations on register contents at the rate of one or more operations per clock tick. The same cannot be said of main memory, which is accessed via a transaction on the memory bus. Memory access may take many cycles of the CPU clock to complete, in which case the processor normally needs to stall, since it does not have the data required to complete the instruction that it is executing. This situation is intolerable because of the frequency of memory

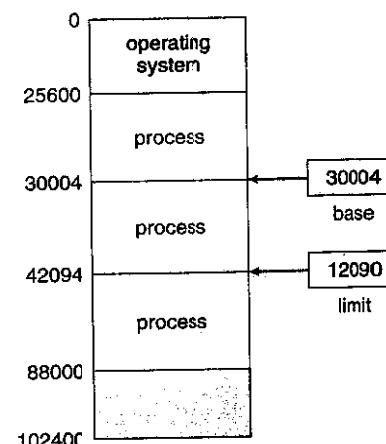


Figure 8.1 A base and a limit register define a logical address space.

accesses. The remedy is to add fast memory between the CPU and main memory. A memory buffer used to accommodate a speed differential, called a **cache**, is described in Section 1.8.3.

Not only are we concerned with the relative speed of accessing physical memory, but we also must ensure correct operation has to protect the operating system from access by user processes and, in addition, to protect user processes from one another. This protection must be provided by the hardware. It can be implemented in several ways, as we shall see throughout the chapter. In this section, we outline one possible implementation.

We first need to make sure that each process has a separate memory space. To do this, we need the ability to determine the range of legal addresses that the process may access and to ensure that the process can access only these legal addresses. We can provide this protection by using two registers, usually a base and a limit, as illustrated in Figure 8.1. The **base register** holds the smallest legal physical memory address; the **limit register** specifies the size of the range. For example, if the base register holds 300040 and limit register is 120900, then the program can legally access all addresses from 300040 through 420940 (inclusive).

Protection of memory space is accomplished by having the CPU hardware compare *every* address generated in user mode with the registers. Any attempt by a program executing in user mode to access operating-system memory or other users' memory results in a trap to the operating system, which treats the attempt as a fatal error (Figure 8.2). This scheme prevents a user program from (accidentally or deliberately) modifying the code or data structures of either the operating system or other users.

The base and limit registers can be loaded only by the operating system, which uses a special privileged instruction. Since privileged instructions can be executed only in kernel mode, and since only the operating system executes in kernel mode, only the operating system can load the base and limit registers. This scheme allows the operating system to change the value of the registers but prevents user programs from changing the registers' contents.

The operating system, executing in kernel mode, is given unrestricted access to both operating system and users' memory. This provision allows

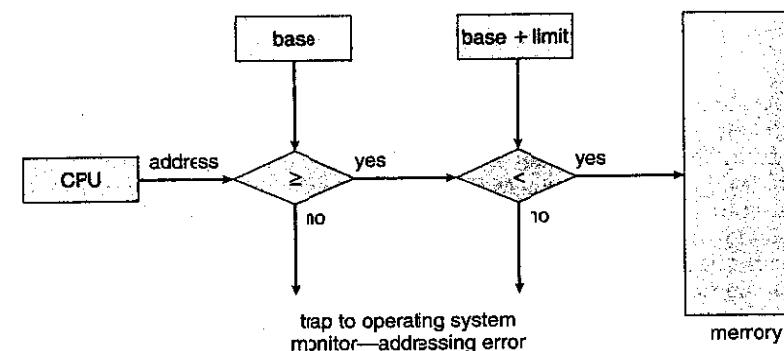


Figure 8.2 Hardware address protection with base and limit registers.

the operating system to load users' programs into users' memory, to dump out those programs in case of errors, to access and modify parameters of system calls, and so on.

### 8.1.2 Address Binding

Usually, a program resides on a disk as a binary executable file. To be executed, the program must be brought into memory and placed within a process. Depending on the memory management in use, the process may be moved between disk and memory during its execution. The processes on the disk that are waiting to be brought into memory for execution form the input queue.

The normal procedure is to select one of the processes in the input queue and to load that process into memory. As the process is executed, it accesses instructions and data from memory. Eventually, the process terminates, and its memory space is declared available.

Most systems allow a user process to reside in any part of the physical memory. Thus, although the address space of the computer starts at 00000, the first address of the user process need not be 00000. This approach affects the addresses that the user program can use. In most cases, a user program will go through several steps—some of which may be optional—before being executed (Figure 8.3). Addresses may be represented in different ways during these steps. Addresses in the source program are generally symbolic (such as *count*). A compiler will typically bind these symbolic addresses to relocatable addresses (such as “14 bytes from the beginning of this module”). The linkage editor or loader will in turn bind the relocatable addresses to absolute addresses (such as 74014). Each binding is a mapping from one address space to another.

Classically, the binding of instructions and data to memory addresses can be done at any step along the way:

- **Compile time.** If you know at compile time where the process will reside in memory, then **absolute code** can be generated. For example, if you know that a user process will reside starting at location *R*, then the generated compiler code will start at that location and extend up from there. If, at some later time, the starting location changes, then it will be necessary to recompile this code. The MS-DOS .COM-format programs are bound at compile time.
- **Load time.** If it is not known at compile time where the process will reside in memory, then the compiler must generate **relocatable code**. In this case, final binding is delayed until load time. If the starting address changes, we need only reload the user code to incorporate this changed value.
- **Execution time.** If the process can be moved during its execution from one memory segment to another, then binding must be delayed until run time. Special hardware must be available for this scheme to work, as will be discussed in Section 8.1.3. Most general-purpose operating systems use this method.

A major portion of this chapter is devoted to showing how these various bindings can be implemented effectively in a computer system and to discussing appropriate hardware support.

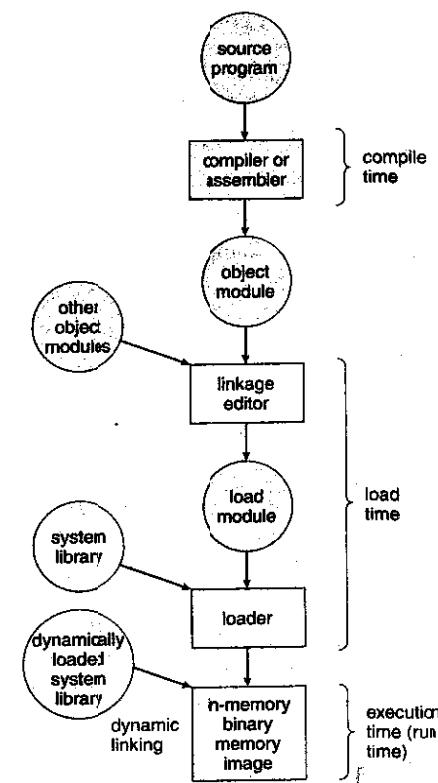


Figure 8.3 Multistep processing of a user program.

### 8.1.3 Logical Versus Physical Address Space

An address generated by the CPU is commonly referred to as a **logical address**, whereas an address seen by the memory unit—that is, the one loaded into the **memory-address register** of the memory—is commonly referred to as a **physical address**.

The compile-time and load-time address-binding methods generate identical logical and physical addresses. However, the execution-time address-binding scheme results in differing logical and physical addresses. In this case, we usually refer to the logical address as a **virtual address**. We use *logical address* and *virtual address* interchangeably in this text. The set of all logical addresses generated by a program is a **logical address space**; the set of all physical addresses corresponding to these logical addresses is a **physical address space**. Thus, in the execution-time address-binding scheme, the logical and physical address spaces differ.

The run-time mapping from virtual to physical addresses is done by a hardware device called the **memory-management unit (MMU)**. We can choose from many different methods to accomplish such mapping, as we discuss in

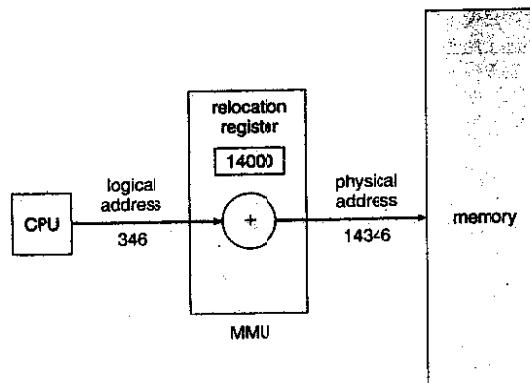


Figure 8.4 Dynamic relocation using a relocation register.

Sections 8.3 through 8.7. For the time being, we illustrate this mapping with a simple MMU scheme, which is a generalization of the base-register scheme described in Section 8.1.1. The base register is now called a **relocation register**. The value in the relocation register is *added* to every address generated by a user process at the time it is sent to memory (see Figure 8.4). For example, if the base is at 14000, then an attempt by the user to address location 0 is dynamically relocated to location 14000; an access to location 346 is mapped to location 14346. The MS-DOS operating system running on the Intel 80x86 family of processors uses four relocation registers when loading and running processes.

The user program never sees the *real* physical addresses. The program can create a pointer to location 346, store it in memory, manipulate it, and compare it with other addresses—all as the number 346. Only when it is used as a memory address (in an indirect load or store, perhaps) is it relocated relative to the base register. The user program deals with *logical addresses*. The memory-mapping hardware converts logical addresses into physical addresses. This form of execution-time binding was discussed in Section 8.1.2. The final location of a referenced memory address is not determined until the reference is made.

We now have two different types of addresses: logical addresses (in the range 0 to *max*) and physical addresses (in the range  $R + 0$  to  $R + \text{max}$  for a base value  $R$ ). The user generates only logical addresses and thinks that the process runs in locations 0 to *max*. The user program supplies logical addresses; these logical addresses must be mapped to physical addresses before they are used.

The concept of a *logical address space* that is bound to a separate *physical address space* is central to proper memory management.

#### 8.1.4 Dynamic Loading

In our discussion so far, the entire program and all data of a process must be in physical memory for the process to execute. The size of a process is thus limited to the size of physical memory. To obtain better memory-space utilization, we can use **dynamic loading**. With dynamic loading, a routine is not loaded until it is called. All routines are kept on disk in a relocatable load format. The main

program is loaded into memory and is executed. When a routine needs to call another routine, the calling routine first checks to see whether the other routine has been loaded. If not, the relocatable linking loader is called to load the desired routine into memory and to update the program's address tables to reflect this change. Then control is passed to the newly loaded routine.

The advantage of dynamic loading is that an unused routine is never loaded. This method is particularly useful when large amounts of code are needed to handle infrequently occurring cases, such as error routines. In this case, although the total program size may be large, the portion that is used (and hence loaded) may be much smaller.

Dynamic loading does not require special support from the operating system. It is the responsibility of the users to design their programs to take advantage of such a method. Operating systems may help the programmer, however, by providing library routines to implement dynamic loading.

#### 8.1.5 Dynamic Linking and Shared Libraries

Figure 8.3 also shows **dynamically linked libraries**. Some operating systems support only **static linking**, in which system language libraries are treated like any other object module and are combined by the loader into the binary program image. The concept of dynamic linking is similar to that of dynamic loading. Here, though, linking, rather than loading, is postponed until execution time. This feature is usually used with system libraries, such as language subroutine libraries. Without this facility, each program on a system must include a copy of its language library (or at least the routines referenced by the program) in the executable image. This requirement wastes both disk space and main memory.

With dynamic linking, a *stub* is included in the image for each library-routine reference. The stub is a small piece of code that indicates how to locate the appropriate memory-resident library routine or how to load the library if the routine is not already present. When the stub is executed, it checks to see whether the needed routine is already in memory. If not, the program loads the routine into memory. Either way, the stub replaces itself with the address of the routine and executes the routine. Thus, the next time that particular code segment is reached, the library routine is executed directly, incurring no cost for dynamic linking. Under this scheme, all processes that use a language library execute only one copy of the library code.

This feature can be extended to library updates (such as bug fixes). A library may be replaced by a new version, and all programs that reference the library will automatically use the new version. Without dynamic linking, all such programs would need to be relinked to gain access to the new library. So that programs will not accidentally execute new, incompatible versions of libraries, version information is included in both the program and the library. More than one version of a library may be loaded into memory, and each program uses its version information to decide which copy of the library to use. Minor changes retain the same version number, whereas major changes increment the version number. Thus, only programs that are compiled with the new library version are affected by the incompatible changes incorporated in it. Other programs linked before the new library was installed will continue using the older library. This system is also known as **shared libraries**.

Unlike dynamic loading, dynamic linking generally requires help from the operating system. If the processes in memory are protected from one another, then the operating system is the only entity that can check to see whether the needed routine is in another process's memory space or that can allow multiple processes to access the same memory addresses. We elaborate on this concept when we discuss paging in Section 8.4.4.

## 8.2 Swapping

A process must be in memory to be executed. A process, however, can be swapped temporarily out of memory to a backing store and then brought back into memory for continued execution. For example, assume a multiprogramming environment with a round-robin CPU-scheduling algorithm. When a quantum expires, the memory manager will start to swap out the process that just finished and to swap another process into the memory space that has been freed (Figure 8.5). In the meantime, the CPU scheduler will allocate a time slice to some other process in memory. When each process finishes its quantum, it will be swapped with another process. Ideally, the memory manager can swap processes fast enough that some processes will be in memory, ready to execute, when the CPU scheduler wants to reschedule the CPU. In addition, the quantum must be large enough to allow reasonable amounts of computing to be done between swaps.

A variant of this swapping policy is used for priority-based scheduling algorithms. If a higher-priority process arrives and wants service, the memory manager can swap out the lower-priority process and then load and execute the higher-priority process. When the higher-priority process finishes, the lower-priority process can be swapped back in and continued. This variant of swapping is sometimes called roll out, roll in.

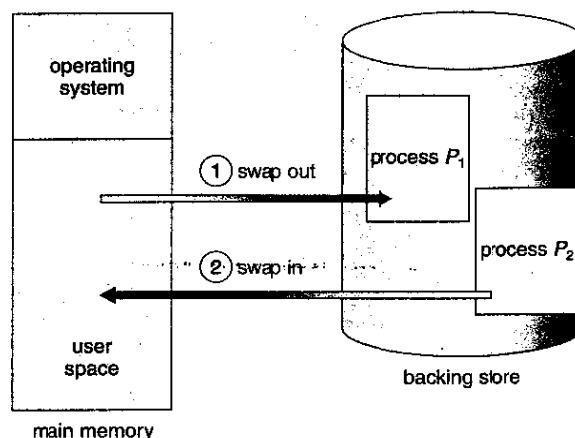


Figure 8.5 Swapping of two processes using a disk as a backing store.

Normally, a process that is swapped out will be swapped back into the same memory space it occupied previously. This restriction is dictated by the method of address binding. If binding is done at assembly or load time, then the process cannot be easily moved to a different location. If execution-time binding is being used, however, then a process can be swapped into a different memory space, because the physical addresses are computed during execution time.

Swapping requires a backing store. The backing store is commonly a fast disk. It must be large enough to accommodate copies of all memory images for all users, and it must provide direct access to these memory images. The system maintains a ready queue consisting of all processes whose memory images are on the backing store or in memory and are ready to run. Whenever the CPU scheduler decides to execute a process, it calls the dispatcher. The dispatcher checks to see whether the next process in the queue is in memory. If it is not, and if there is no free memory region, the dispatcher swaps out a process currently in memory and swaps in the desired process. It then reloads registers and transfers control to the selected process.

The context-switch time in such a swapping system is fairly high. To get an idea of the context-switch time, let us assume that the user process is 10 MB in size and the backing store is a standard hard disk with a transfer rate of 40 MB per second. The actual transfer of the 10-MB process to or from main memory takes

$$\begin{aligned} 10000 \text{ KB} / 40000 \text{ KB per second} &= 1/4 \text{ second} \\ &= 250 \text{ milliseconds.} \end{aligned}$$

Assuming that no head seeks are necessary, and assuming an average latency of 8 milliseconds, the swap time is 258 milliseconds. Since we must both swap out and swap in, the total swap time is about 516 milliseconds.

For efficient CPU utilization, we want the execution time for each process to be long relative to the swap time. Thus, in a round-robin CPU-scheduling algorithm, for example, the time quantum should be substantially larger than 0.516 seconds.

Notice that the major part of the swap time is transfer time. The total transfer time is directly proportional to the *amount* of memory swapped. If we have a computer system with 512 MB of main memory and a resident operating system taking 25 MB, the maximum size of the user process is 487 MB. However, many user processes may be much smaller than this—say, 10 MB. A 10-MB process could be swapped out in 258 milliseconds, compared with the 6.4 seconds required for swapping 256 MB. Clearly, it would be useful to know exactly how much memory a user process is using, not simply how much it *might* be using. Then we would need to swap only what is actually used, reducing swap time. For this method to be effective, the user must keep the system informed of any changes in memory requirements. Thus, a process with dynamic memory requirements will need to issue system calls (request memory and release memory) to inform the operating system of its changing memory needs.

Swapping is constrained by other factors as well. If we want to swap a process, we must be sure that it is completely idle. Of particular concern is any pending I/O. A process may be waiting for an I/O operation when

we want to swap that process to free up memory. However, if the I/O is asynchronously accessing the user memory for I/O buffers, then the process cannot be swapped. Assume that the I/O operation is queued because the device is busy. If we were to swap out process  $P_1$  and swap in process  $P_2$ , the I/O operation might then attempt to use memory that now belongs to process  $P_2$ . There are two main solutions to this problem: Never swap a process with pending I/O, or execute I/O operations only into operating-system buffers. Transfers between operating-system buffers and process memory then occur only when the process is swapped in.

The assumption, mentioned earlier, that swapping requires few, if any, head seeks needs further explanation. We postpone discussing this issue until Chapter 12, where secondary-storage structure is covered. Generally, swap space is allocated as a chunk of disk, separate from the file system, so that its use is as fast as possible.

Currently, standard swapping is used in few systems. It requires too much swapping time and provides too little execution time to be a reasonable memory-management solution. Modified versions of swapping, however, are found on many systems.

A modification of swapping is used in many versions of UNIX. Swapping is normally disabled but will start if many processes are running and are using a threshold amount of memory. Swapping is again halted when the load on the system is reduced. Memory management in UNIX is described fully in Sections 21.7 and A.6.

Early PCs—which lacked the sophistication to implement more advanced memory-management methods—ran multiple large processes by using a modified version of swapping. A prime example is the Microsoft Windows 3.1 operating system, which supports concurrent execution of processes in memory. If a new process is loaded and there is insufficient main memory, an old process is swapped to disk. This operating system, however, does not provide full swapping, because the user, rather than the scheduler, decides when it is time to preempt one process for another. Any swapped-out process remains swapped out (and not executing) until the user selects that process to run. Subsequent versions of Microsoft operating systems take advantage of the advanced MMU features now found in PCs. We explore such features in Section 8.4 and in Chapter 9, where we cover virtual memory.

### 8.3 Contiguous Memory Allocation

The main memory must accommodate both the operating system and the various user processes. We therefore need to allocate the parts of the main memory in the most efficient way possible. This section explains one common method, contiguous memory allocation.

The memory is usually divided into two partitions: one for the resident operating system and one for the user processes. We can place the operating system in either low memory or high memory. The major factor affecting this decision is the location of the interrupt vector. Since the interrupt vector is often in low memory, programmers usually place the operating system in low memory as well. Thus, in this text, we discuss only the situation where

the operating system resides in low memory. The development of the other situation is similar.

We usually want several user processes to reside in memory at the same time. We therefore need to consider how to allocate available memory to the processes that are in the input queue waiting to be brought into memory. In this **contiguous memory allocation**, each process is contained in a single contiguous section of memory.

#### 8.3.1 Memory Mapping and Protection

Before discussing memory allocation further, we must discuss the issue of memory mapping and protection. We can provide these features by using a relocation register, as discussed in Section 8.1.3, with a limit register, as discussed in Section 8.1.1. The relocation register contains the value of the smallest physical address; the limit register contains the range of logical addresses (for example, relocation = 100040 and limit = 74600). With relocation and limit registers, each logical address must be less than the limit register; the MMU maps the logical address *dynamically* by adding the value in the relocation register. This mapped address is sent to memory (Figure 8.6).

When the CPU scheduler selects a process for execution, the dispatcher loads the relocation and limit registers with the correct values as part of the context switch. Because every address generated by the CPU is checked against these registers, we can protect both the operating system and the other users' programs and data from being modified by this running process.

The relocation-register scheme provides an effective way to allow the operating-system size to change dynamically. This flexibility is desirable in many situations. For example, the operating system contains code and buffer space for device drivers. If a device driver (or other operating-system service) is not commonly used, we do not want to keep the code and data in memory, as we might be able to use that space for other purposes. Such code is sometimes called **transient operating-system code**; it comes and goes as needed. Thus, using this code changes the size of the operating system during program execution.

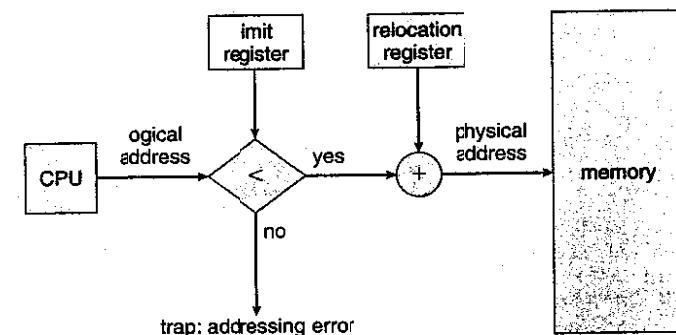


Figure 8.6 Hardware support for relocation and limit registers.

### 8.3.2 Memory Allocation

Now we are ready to turn to memory allocation. One of the simplest methods for allocating memory is to divide memory into several fixed-sized **partitions**. Each partition may contain exactly one process. Thus, the degree of multiprogramming is bound by the number of partitions. In this **multiple-partition method**, when a partition is free, a process is selected from the input queue and is loaded into the free partition. When the process terminates, the partition becomes available for another process. This method was originally used by the IBM OS/360 operating system (called MFT); it is no longer in use. The method described next is a generalization of the fixed-partition scheme (called MVT); it is used primarily in batch environments. Many of the ideas presented here are also applicable to a time-sharing environment in which pure segmentation is used for memory management (Section 8.6).

In the fixed-partition scheme, the operating system keeps a table indicating which parts of memory are available and which are occupied. Initially, all memory is available for user processes and is considered one large block of available memory, a **hole**. When a process arrives and needs memory, we search for a hole large enough for this process. If we find one, we allocate only as much memory as is needed, keeping the rest available to satisfy future requests.

As processes enter the system, they are put into an input queue. The operating system takes into account the memory requirements of each process and the amount of available memory space in determining which processes are allocated memory. When a process is allocated space, it is loaded into memory, and it can then compete for the CPU. When a process terminates, it releases its memory, which the operating system may then fill with another process from the input queue.

At any given time, we have a list of available block sizes and the input queue. The operating system can order the input queue according to a scheduling algorithm. Memory is allocated to processes until, finally, the memory requirements of the next process cannot be satisfied—that is, no available block of memory (or hole) is large enough to hold that process. The operating system can then wait until a large enough block is available, or it can skip down the input queue to see whether the smaller memory requirements of some other process can be met.

In general, at any given time we have a set of holes of various sizes scattered throughout memory. When a process arrives and needs memory, the system searches the set for a hole that is large enough for this process. If the hole is too large, it is split into two parts. One part is allocated to the arriving process; the other is returned to the set of holes. When a process terminates, it releases its block of memory, which is then placed back in the set of holes. If the new hole is adjacent to other holes, these adjacent holes are merged to form one larger hole. At this point, the system may need to check whether there are processes waiting for memory and whether this newly freed and recombined memory could satisfy the demands of any of these waiting processes.

This procedure is a particular instance of the general **dynamic storage-allocation problem**, which concerns how to satisfy a request of size  $n$  from a list of free holes. There are many solutions to this problem. The first-fit, best-fit, and worst-fit strategies are the ones most commonly used to select a free hole from the set of available holes.

- **First fit.** Allocate the *first* hole that is big enough. Searching can start either at the beginning of the set of holes or where the previous first-fit search ended. We can stop searching as soon as we find a free hole that is large enough.
- **Best fit.** Allocate the *smallest* hole that is big enough. We must search the entire list, unless the list is ordered by size. This strategy produces the smallest leftover hole.
- **Worst fit.** Allocate the *largest* hole. Again, we must search the entire list, unless it is sorted by size. This strategy produces the largest leftover hole, which may be more useful than the smaller leftover hole from a best-fit approach.

Simulations have shown that both first fit and best fit are better than worst fit in terms of decreasing time and storage utilization. Neither first fit nor best fit is clearly better than the other in terms of storage utilization, but first fit is generally faster.

### 8.3.3 Fragmentation

Both the first-fit and best-fit strategies for memory allocation suffer from **external fragmentation**. As processes are loaded and removed from memory, the free memory space is broken into little pieces. External fragmentation exists when there is enough total memory space to satisfy a request, but the available spaces are not contiguous; storage is fragmented into a large number of small holes. This fragmentation problem can be severe. In the worst case, we could have a block of free (or wasted) memory between every two processes. If all these small pieces of memory were in one big free block instead, we might be able to run several more processes.

Whether we are using the first-fit or best-fit strategy can affect the amount of fragmentation. (First fit is better for some systems, whereas best fit is better for others.) Another factor is which end of a free block is allocated. (Which is the leftover piece—the one on the top or the one on the bottom?) No matter which algorithm is used, external fragmentation will be a problem.

Depending on the total amount of memory storage and the average process size, external fragmentation may be a minor or a major problem. Statistical analysis of first fit, for instance, reveals that, even with some optimization, given  $N$  allocated blocks, another  $0.5 N$  blocks will be lost to fragmentation. That is, one-third of memory may be unusable! This property is known as the **50-percent rule**.

Memory fragmentation can be internal as well as external. Consider a multiple-partition allocation scheme with a hole of 18,464 bytes. Suppose that the next process requests 18,462 bytes. If we allocate exactly the requested block, we are left with a hole of 2 bytes. The overhead to keep track of this hole will be substantially larger than the hole itself. The general approach to avoiding this problem is to break the physical memory into fixed-sized blocks and allocate memory in units based on block size. With this approach, the memory allocated to a process may be slightly larger than the requested memory. The difference between these two numbers is **internal fragmentation**—memory that is internal to a partition but is not being used.

One solution to the problem of external fragmentation is **compaction**. The goal is to shuffle the memory contents so as to place all free memory together in one large block. Compaction is not always possible, however. If relocation is static and is done at assembly or load time, compaction cannot be done; compaction is possible *only* if relocation is dynamic and is done at execution time. If addresses are relocated dynamically, relocation requires only moving the program and data and then changing the base register to reflect the new base address. When compaction is possible, we must determine its cost. The simplest compaction algorithm is to move all processes toward one end of memory; all holes move in the other direction, producing one large hole of available memory. This scheme can be expensive.

Another possible solution to the external-fragmentation problem is to permit the logical address space of the processes to be noncontiguous, thus allowing a process to be allocated physical memory wherever the latter is available. Two complementary techniques achieve this solution: paging (Section 8.4) and segmentation (Section 8.6). These techniques can also be combined (Section 8.7).

## 8.4 Paging

Paging is a memory-management scheme that permits the physical address space of a process to be noncontiguous. Paging avoids the considerable problem of fitting memory chunks of varying sizes onto the backing store; most memory-management schemes used before the introduction of paging suffered from this problem. The problem arises because, when some code fragments or data residing in main memory need to be swapped out, space must be found

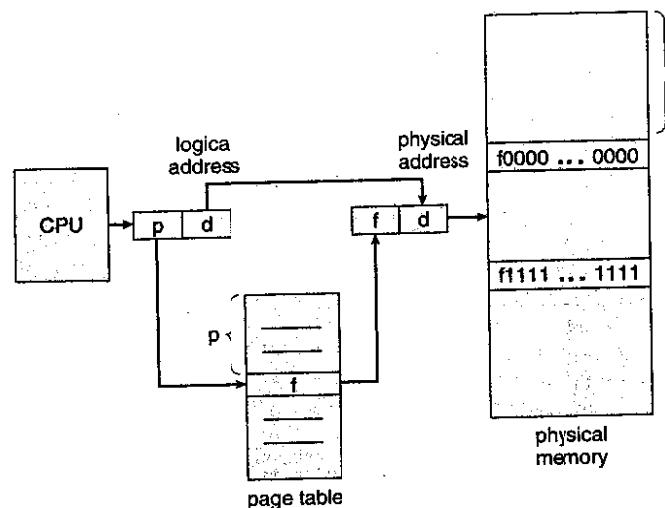


Figure 8.7 Paging hardware.

on the backing store. The backing store also has the fragmentation problems discussed in connection with main memory, except that access is much slower, so compaction is impossible. Because of its advantages over earlier methods, paging in its various forms is commonly used in most operating systems.

Traditionally, support for paging has been handled by hardware. However, recent designs have implemented paging by closely integrating the hardware and operating system, especially on 64-bit microprocessors.

### 8.4.1 Basic Method

The basic method for implementing paging involves breaking physical memory into fixed-sized blocks called **frames** and breaking logical memory into blocks of the same size called **pages**. When a process is to be executed, its pages are loaded into any available memory frames from the backing store. The backing store is divided into fixed-sized blocks that are of the same size as the memory frames.

The hardware support for paging is illustrated in Figure 8.7. Every address generated by the CPU is divided into two parts: a **page number (p)** and a **page offset (d)**. The page number is used as an index into a **page table**. The page table contains the base address of each page in physical memory. This base address is combined with the page offset to define the physical memory address that is sent to the memory unit. The paging model of memory is shown in Figure 8.8.

The page size (like the frame size) is defined by the hardware. The size of a page is typically a power of 2, varying between 512 bytes and 16 MB per page, depending on the computer architecture. The selection of a power of 2 as a page size makes the translation of a logical address into a page number

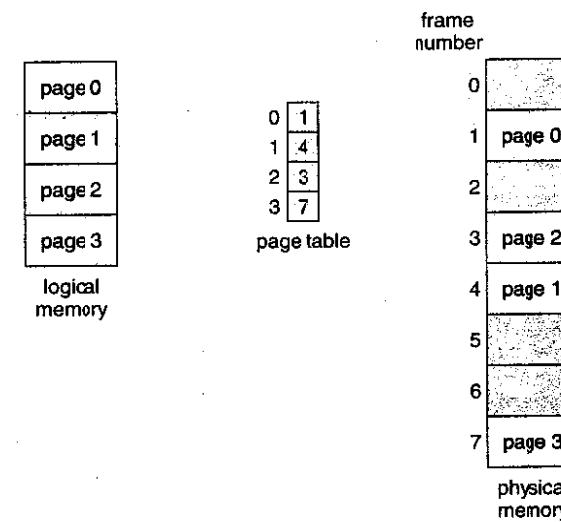


Figure 8.8 Paging model of logical and physical memory.

and page offset particularly easy. If the size of logical address space is  $2^m$ , and a page size is  $2^n$  addressing units (bytes or words), then the high-order  $m - n$  bits of a logical address designate the page number, and the  $n$  low-order bits designate the page offset. Thus, the logical address is as follows:



where  $p$  is an index into the page table and  $d$  is the displacement within the page.

As a concrete (although minuscule) example, consider the memory in Figure 8.9. Using a page size of 4 bytes and a physical memory of 32 bytes (8 pages), we show how the user's view of memory can be mapped into physical memory. Logical address 0 is page 0, offset 0. Indexing into the page table, we find that page 0 is in frame 5. Thus, logical address 0 maps to physical address 20 ( $= (5 \times 4) + 0$ ). Logical address 3 (page 0, offset 3) maps to physical address 23 ( $= (5 \times 4) + 3$ ). Logical address 4 is page 1, offset 0; according to the page table, page 1 is mapped to frame 6. Thus, logical address 4 maps to physical address 24 ( $= (6 \times 4) + 0$ ). Logical address 13 maps to physical address 9.

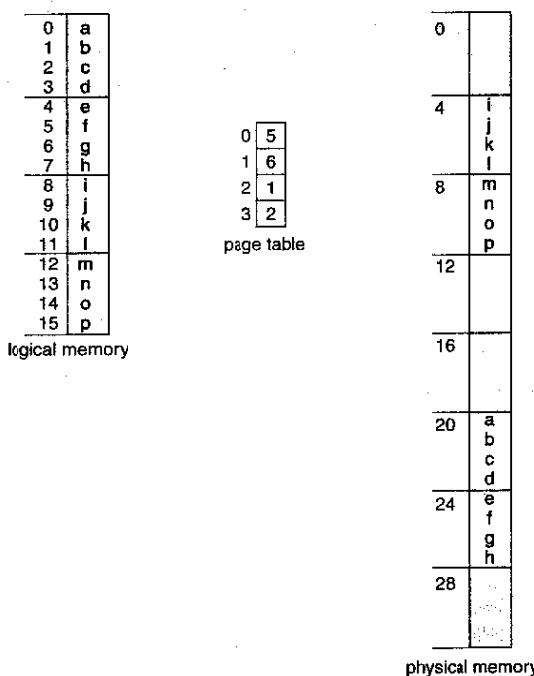


Figure 8.9 Paging example for a 32-byte memory with 4-byte pages.

You may have noticed that paging itself is a form of dynamic relocation. Every logical address is bound by the paging hardware to some physical address. Using paging is similar to using a table of base (or relocation) registers, one for each frame of memory.

When we use a paging scheme, we have no external fragmentation: Any free frame can be allocated to a process that needs it. However, we may have some internal fragmentation. Notice that frames are allocated as units. If the memory requirements of a process do not happen to coincide with page boundaries, the last frame allocated may not be completely full. For example, if page size is 2,048 bytes, a process of 72,766 bytes would need 35 pages plus 1,036 bytes. It would be allocated 36 frames, resulting in an internal fragmentation of 2,048 – 1,036 = 962 bytes. In the worst case, a process would need  $n$  pages plus 1 byte. It would be allocated  $n + 1$  frames, resulting in an internal fragmentation of almost an entire frame.

If process size is independent of page size, we expect internal fragmentation to average one-half page per process. This consideration suggests that small page sizes are desirable. However, overhead is involved in each page-table entry, and this overhead is reduced as the size of the pages increases. Also, disk I/O is more efficient when the number of data being transferred is larger (Chapter 12). Generally, page sizes have grown over time as processes, data sets, and main memory have become larger. Today, pages typically are between 4 KB and 8 KB in size, and some systems support even larger page sizes. Some CPUs and kernels even support multiple page sizes. For instance, Solaris uses page sizes of 3 KB and 4 MB, depending on the data stored by the pages. Researchers are now developing variable on-the-fly page-size support.

Usually, each page-table entry is 4 bytes long, but that size can vary as well. A 32-bit entry can point to one of  $2^{32}$  physical page frames. If frame size is 4 KB, then a system with 4-byte entries can address  $2^{14}$  bytes (or 16 TB) of physical memory.

When a process arrives in the system to be executed, its size, expressed in pages, is examined. Each page of the process needs one frame. Thus, if the process requires  $n$  pages, at least  $n$  frames must be available in memory. If  $n$  frames are available, they are allocated to this arriving process. The first page of the process is loaded into one of the allocated frames, and the frame number is put in the page table for this process. The next page is loaded into another frame, and its frame number is put into the page table, and so on (Figure 8.10).

An important aspect of paging is the clear separation between the user's view of memory and the actual physical memory. The user program views memory as one single space, containing only this one program. In fact the user program is scattered throughout physical memory, which also holds other programs. The difference between the user's view of memory and the actual physical memory is reconciled by the address-translation hardware. The logical addresses are translated into physical addresses. This mapping is hidden from the user and is controlled by the operating system. Notice that the user process by definition is unable to access memory it does not own. It has no way of addressing memory outside of its page table, and the table includes only those pages that the process owns.

Since the operating system is managing physical memory, it must be aware of the allocation details of physical memory—which frames are allocated, which frames are available, how many total frames there are, and so on. This

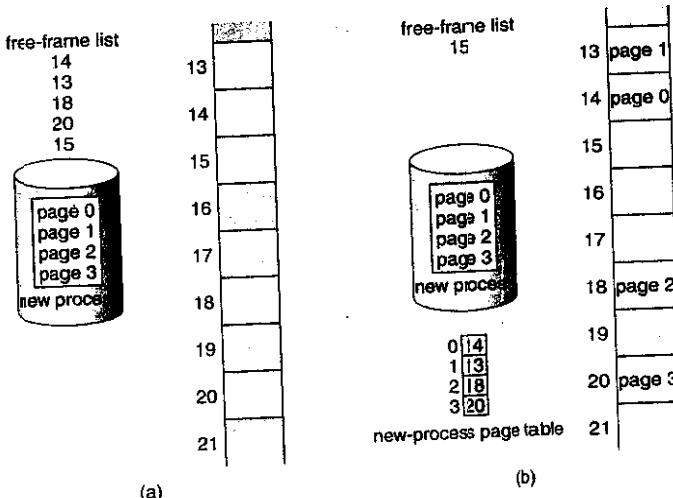


Figure 8.10 Free frames (a) before allocation and (b) after allocation.

information is generally kept in a data structure called a **frametable**. The frame table has one entry for each physical page frame, indicating whether the latter is free or allocated and, if it is allocated, to which page of which process or processes.

In addition, the operating system must be aware that user processes operate in user space, and all logical addresses must be mapped to produce physical addresses. If a user makes a system call (to do I/O, for example) and provides an address as a parameter (a buffer, for instance), that address must be mapped to produce the correct physical address. The operating system maintains a copy of the page table for each process, just as it maintains a copy of the instruction counter and register contents. This copy is used to translate logical addresses to physical addresses whenever the operating system must map a logical address to a physical address manually. It is also used by the CPU dispatcher to define the hardware page table when a process is to be allocated the CPU. Paging therefore increases the context-switch time.

#### 8.4.2 Hardware Support

Each operating system has its own methods for storing page tables. Most allocate a page table for each process. A pointer to the page table is stored with the other register values (like the instruction counter) in the process control block. When the dispatcher is told to start a process, it must reload the user registers and define the correct hardware page-table values from the stored user page table.

The hardware implementation of the page table can be done in several ways. In the simplest case, the page table is implemented as a set of dedicated registers. These registers should be built with very high-speed logic to make the paging-address translation efficient. Every access to memory must go through the paging map, so efficiency is a major consideration. The CPU dispatcher

reloads these registers, just as it reloads the other registers. Instructions to load or modify the page-table registers are, of course, privileged, so that only the operating system can change the memory map. The DEC PDP-11 is an example of such an architecture. The address consists of 16 bits, and the page size is 8 KB. The page table thus consists of eight entries that are kept in fast registers.

The use of registers for the page table is satisfactory if the page table is reasonably small (for example, 256 entries). Most contemporary computers, however, allow the page table to be very large (for example, 1 million entries). For these machines, the use of fast registers to implement the page table is not feasible. Rather, the page table is kept in main memory, and a **page-table base register (PTBR)** points to the page table. Changing page tables requires changing only this one register, substantially reducing context-switch time.

The problem with this approach is the time required to access a user memory location. If we want to access location  $i$ , we must first index into the page table, using the value in the PTBR offset by the page number for  $c8/8$ . This task requires a memory access. It provides us with the frame number, which is combined with the page offset to produce the actual address. We can then access the desired place in memory. With this scheme, two memory accesses are needed to access a byte (one for the page-table entry, one for the byte). Thus, memory access is slowed by a factor of 2. This delay would be intolerable under most circumstances. We might as well resort to swapping!

The standard solution to this problem is to use a special, small, fast-lookup hardware cache, called a **translation look-aside buffer (TLB)**. The TLB is associative, high-speed memory. Each entry in the TLB consists of two parts: a key (or tag) and a value. When the associative memory is presented with an item, the item is compared with all keys simultaneously. If the item is found, the corresponding value field is returned. The search is fast; the hardware, however, is expensive. Typically, the number of entries in a TLB is small, often numbering between 64 and 1,024.

The TLB is used with page tables in the following way. The TLB contains only a few of the page-table entries. When a logical address is generated by the CPU, its page number is presented to the TLB. If the page number is found, its frame number is immediately available and is used to access memory. The whole task may take less than 10 percent longer than it would if an unmapped memory reference were used.

If the page number is not in the TLB (known as a TLB miss), a memory reference to the page table must be made. When the frame number is obtained, we can use it to access memory (Figure 8.11). In addition, we add the page number and frame number to the TLB, so that they will be found quickly on the next reference. If the TLB is already full of entries, the operating system must select one for replacement. Replacement policies range from least recently used (LRU) to random. Furthermore, some TLBs allow entries to be **wired down**, meaning that they cannot be removed from the TLB. Typically, TLB entries for kernel code are wired down.

Some TLBs store **address-space identifiers (ASIDs)** in each TLB entry. An ASID uniquely identifies each process and is used to provide address-space protection for that process. When the TLB attempts to resolve virtual page numbers, it ensures that the ASID for the currently running process matches the ASID associated with the virtual page. If the ASIDs do not match, the attempt is treated as a TLB miss. In addition to providing address-space protection, an ASID

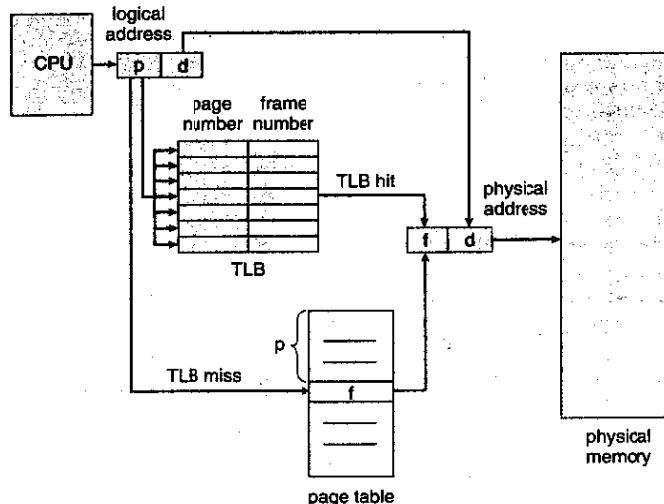


Figure 8.11 Paging hardware with TLB.

allows the TLB to contain entries for several different processes simultaneously. If the TLB does not support separate ASIDs, then every time a new page table is selected (for instance, with each context switch), the TLB must be flushed (or erased) to ensure that the next executing process does not use the wrong translation information. Otherwise, the TLB could include old entries that contain valid virtual addresses but have incorrect or invalid physical addresses left over from the previous process.

The percentage of times that a particular page number is found in the TLB is called the **hit ratio**. An 80-percent hit ratio means that we find the desired page number in the TLB 80 percent of the time. If it takes 20 nanoseconds to search the TLB and 100 nanoseconds to access memory, then a mapped-memory access takes 120 nanoseconds when the page number is in the TLB. If we fail to find the page number in the TLB (20 nanoseconds), then we must first access memory for the page table and frame number (100 nanoseconds) and then access the desired byte in memory (100 nanoseconds), for a total of 220 nanoseconds. To find the **effective memory-access time**, we weight each case by its probability:

$$\begin{aligned}\text{effective access time} &= 0.80 \times 120 + 0.20 \times 220 \\ &= 140 \text{ nanoseconds.}\end{aligned}$$

In this example, we suffer a 40-percent slowdown in memory-access time (from 100 to 140 nanoseconds).

For a 98-percent hit ratio, we have

$$\begin{aligned}\text{effective access time} &= 0.98 \times 120 + 0.02 \times 220 \\ &= 122 \text{ nanoseconds.}\end{aligned}$$

This increased hit rate produces only a 22 percent slowdown in access time. We will further explore the impact of the hit ratio on the TLB in Chapter 9.

### 8.4.3 Protection

Memory protection in a paged environment is accomplished by protection bits associated with each frame. Normally, these bits are kept in the page table.

One bit can define a page to be read-write or read-only. Every reference to memory goes through the page table to find the correct frame number. At the same time that the physical address is being computed, the protection bits can be checked to verify that no writes are being made to a read-only page. An attempt to write to a read-only page causes a hardware trap to the operating system (or memory-protection violation).

We can easily expand this approach to provide a finer level of protection. We can create hardware to provide read-only, read-write, or execute-only protection; or, by providing separate protection bits for each kind of access, we can allow any combination of these accesses. Illegal attempts will be trapped to the operating system.

One additional bit is generally attached to each entry in the page table: a **valid-invalid** bit. When this bit is set to "valid," the associated page is in the process's logical address space and is thus a legal (or valid) page. When the bit is set to "invalid," the page is not in the process's logical address space. Illegal addresses are trapped by use of the valid-invalid bit. The operating system sets this bit for each page to allow or disallow access to the page.

Suppose, for example, that in a system with a 14-bit address space (0 to 16383), we have a program that should use only addresses 0 to 10468. Given a page size of 2 KB, we get the situation shown in Figure 8.12. Addresses in pages

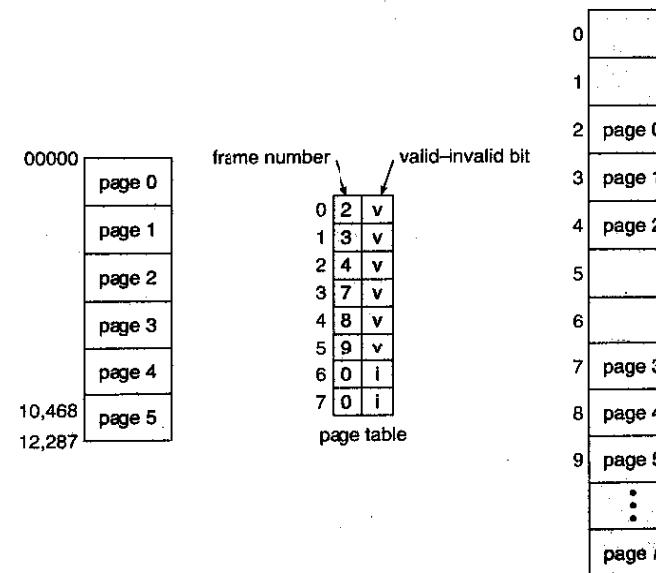


Figure 8.12 Valid (v) or invalid (i) bit in a page table.

0, 1, 2, 3, 4, and 5 are mapped normally through the page table. Any attempt to generate an address in pages 6 or 7, however, will find that the valid-invalid bit is set to invalid, and the computer will trap to the operating system (invalid page reference).

Notice that this scheme has created a problem. Because the program extends to only address 10468, any reference beyond that address is illegal. However, references to page 5 are classified as valid, so accesses to addresses up to 12287 are valid. Only the addresses from 12288 to 16383 are invalid. This problem is a result of the 2-KB page size and reflects the internal fragmentation of paging.

Rarely does a process use all its address range. In fact, many processes use only a small fraction of the address space available to them. It would be wasteful in these cases to create a page table with entries for every page in the address range. Most of this table would be unused but would take up valuable memory space. Some systems provide hardware, in the form of a **page-table length register (PTLR)**, to indicate the size of the page table. This value is checked against every logical address to verify that the address is in the valid range for the process. Failure of this test causes an error trap to the operating system.

#### 8.4.4 Shared Pages

An advantage of paging is the possibility of *sharing* common code. This consideration is particularly important in a time-sharing environment. Consider a system that supports 40 users, each of whom executes a text editor. If the text editor consists of 150 KB of code and 50 KB of data space, we need 8,000 KB to support the 40 users. If the code is **reentrant code** (or **pure code**), however, it can be shared, as shown in Figure 8.13. Here we see a three-page editor—each page 50 KB in size (the large page size is used to simplify the figure)—being shared among three processes. Each process has its own data page.

Reentrant code is non-self-modifying code; it never changes during execution. Thus, two or more processes can execute the same code at the same time. Each process has its own copy of registers and data storage to hold the data for the process's execution. The data for two different processes will, of course, be different.

Only one copy of the editor need be kept in physical memory. Each user's page table maps onto the same physical copy of the editor, but data pages are mapped onto different frames. Thus, to support 40 users, we need only one copy of the editor (150 KB), plus 40 copies of the 50 KB of data space per user. The total space required is now 2,150 KB instead of 8,000 KB—a significant savings.

Other heavily used programs can also be shared—compilers, window systems, run-time libraries, database systems, and so on. To be sharable, the code must be reentrant. The read-only nature of shared code should not be left to the correctness of the code; the operating system should enforce this property.

The sharing of memory among processes on a system is similar to the sharing of the address space of a task by threads, described in Chapter 4. Furthermore, recall that in Chapter 3 we described shared memory as a method

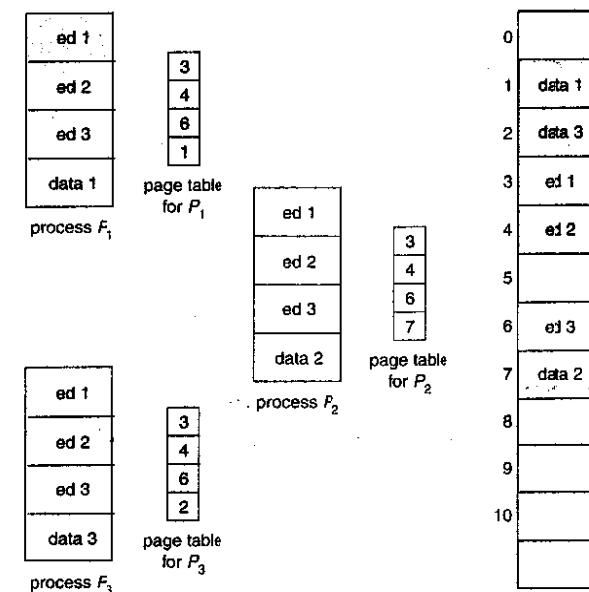


Figure 8.13 Sharing of code in a paging environment.

of interprocess communication. Some operating systems implement shared memory using shared pages.

Organizing memory according to pages provides numerous benefits in addition to allowing several processes to share the same physical pages. We will cover several other benefits in Chapter 9.

## 8.5 Structure of the Page Table

In this section, we explore some of the most common techniques for structuring the page table.

### 8.5.1 Hierarchical Paging

Most modern computer systems support a large logical address space ( $2^{32}$  to  $2^{64}$ ). In such an environment, the page table itself becomes excessively large. For example, consider a system with a 32-bit logical address space. If the page size in such a system is 4 KB ( $2^{12}$ ), then a page table may consist of up to 1 million entries ( $2^{32}/2^{12}$ ). Assuming that each entry consists of 4 bytes, each process may need up to 4 MB of physical address space for the page table alone. Clearly, we would not want to allocate the page table contiguously in main memory. One simple solution to this problem is to divide the page table into smaller pieces. We can accomplish this division in several ways.

One way is to use a two-level paging algorithm, in which the page table itself is also paged (Figure 8.14). Remember our example of a 32-bit machine

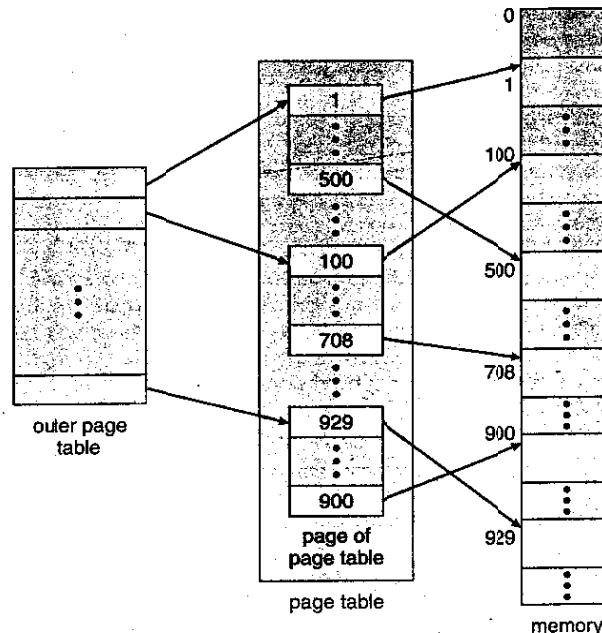


Figure 8.14 A two-level page-table scheme.

with a page size of 4 KB. A logical address is divided into a page number consisting of 20 bits and a page offset consisting of 12 bits. Because we page the page table, the page number is further divided into a 10-bit page number and a 10-bit page offset. Thus, a logical address is as follows:

page number	page offset	
$p_1$	$p_2$	$d$
10	10	12

where  $p_1$  is an index into the outer page table and  $p_2$  is the displacement within the page of the outer page table. The address-translation method for this architecture is shown in Figure 8.15. Because address translation works from the outer page table inward, this scheme is also known as a **forward-mapped page table**.

The VAX architecture also supports a variation of two-level paging. The VAX is a 32-bit machine with a page size of 512 bytes. The logical address space of a process is divided into four equal sections, each of which consists of  $2^{30}$  bytes. Each section represents a different part of the logical address space of a process. The first 2 high-order bits of the logical address designate the appropriate section. The next 21 bits represent the logical page number of that section, and the final 9 bits represent an offset in the desired page. By partitioning the page

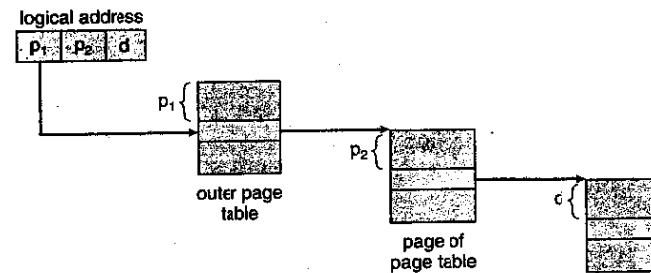


Figure 8.15 Address translation for a two-level 32-bit paging architecture.

table in this manner, the operating system can leave partitions unused until a process needs them. An address on the VAX architecture is as follows:

section	page	offset
$s$	$p$	$d$
2	21	9

where  $s$  designates the section number,  $p$  is an index into the page table, and  $d$  is the displacement within the page. Even when this scheme is used, the size of a one-level page table for a VAX process using one section is  $2^{21}$  bits \* 4 bytes per entry = 8 MB. So that main-memory use is reduced further, the VAX pages the user-process page tables.

For a system with a 64-bit logical-address space, a two-level paging scheme is no longer appropriate. To illustrate this point, let us suppose that the page size in such a system is 4 KB ( $2^{12}$ ). In this case, the page table consists of up to  $2^{52}$  entries. If we use a two-level paging scheme, then the inner page tables can conveniently be one page long, or contain  $2^{10}$  4-byte entries. The addresses look like this:

outer page	inner page	offset
$p_1$	$p_2$	$d$
42	10	12

The outer page table consists of  $2^{42}$  entries, or  $2^{14}$  bytes. The obvious way to avoid such a large table is to divide the outer page table into smaller pieces. This approach is also used on some 32-bit processors for added flexibility and efficiency.

We can divide the outer page table in various ways. We can page the outer page table, giving us a three-level paging scheme. Suppose that the outer page table is made up of standard-size pages ( $2^{10}$  entries, or  $2^{12}$  bytes); a 64-bit address space is still daunting:

2nd outer page	outer page	inner page	offset
$p_1$	$p_2$	$p_3$	$d$
32	10	10	12

The outer page table is still  $2^{34}$  bytes in size.

The next step would be a four-level paging scheme, where the second-level outer page table itself is also paged. The SPARC architecture (with 32-bit addressing) supports a three-level paging scheme, whereas the 32-bit Motorola 68030 architecture supports a four-level paging scheme.

For 64-bit architectures, hierarchical page tables are generally considered inappropriate. For example, the 64-bit UltraSPARC would require seven levels of paging—a prohibitive number of memory accesses—to translate each logical address.

### 8.5.2 Hashed Page Tables

A common approach for handling address spaces larger than 32 bits is to use a **hashed page table**, with the hash value being the virtual page number. Each entry in the hash table contains a linked list of elements that hash to the same location (to handle collisions). Each element consists of three fields: (1) the virtual page number, (2) the value of the mapped page frame, and (3) a pointer to the next element in the linked list.

The algorithm works as follows: The virtual page number in the virtual address is hashed into the hash table. The virtual page number is compared with field 1 in the first element in the linked list. If there is a match, the corresponding page frame (field 2) is used to form the desired physical address. If there is no match, subsequent entries in the linked list are searched for a matching virtual page number. This scheme is shown in Figure 8.16.

A variation of this scheme that is favorable for 64-bit address spaces has been proposed. This variation uses **clustered page tables**, which are similar to hashed page tables except that each entry in the hash table refers to several pages (such as 16) rather than a single page. Therefore, a single page-table page can store the mappings for multiple physical-page frames. Clustered page tables are particularly useful for sparse address spaces, where memory references are noncontiguous and scattered throughout the address space.

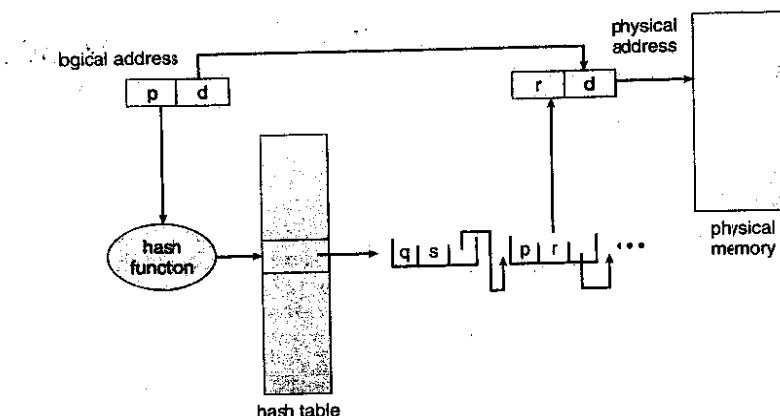


Figure 8.16 Hashed page table.

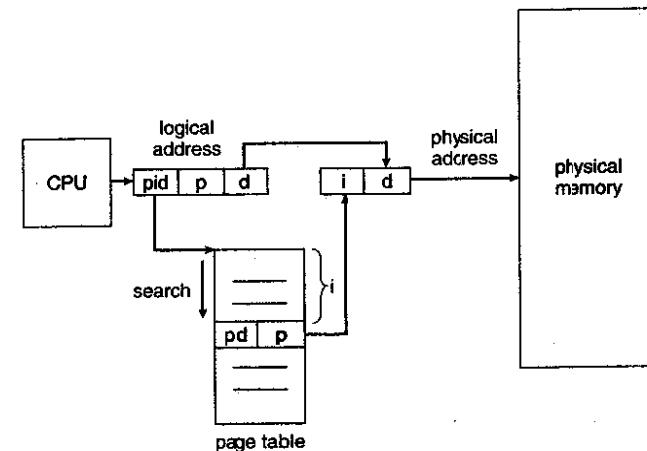


Figure 8.17 Inverted page table.

### 8.5.3 Inverted Page Tables

Usually, each process has an associated page table. The page table has one entry for each page that the process is using (or one slot for each virtual address, regardless of the latter's validity). This table representation is a natural one, since processes reference pages through the pages' virtual addresses. The operating system must then translate this reference into a physical memory address. Since the table is sorted by virtual address, the operating system is able to calculate where in the table the associated physical address entry is and to use that value directly. One of the drawbacks of this method is that each page table may consist of millions of entries. These tables may consume large amounts of physical memory just to keep track of how other physical memory is being used.

To solve this problem, we can use an **inverted page table**. An inverted page table has one entry for each real page (or frame) of memory. Each entry consists of the virtual address of the page stored in that real memory location, with information about the process that owns that page. Thus, only one page table is in the system, and it has only one entry for each page of physical memory. Figure 8.17 shows the operation of an inverted page table. Compare it with Figure 8.7, which depicts a standard page table in operation. Inverted page tables often require that an address-space identifier (Section 8.4.2) be stored in each entry of the page table, since the table usually contains several different address spaces mapping physical memory. Storing the address-space identifier ensures that a logical page for a particular process is mapped to the corresponding physical page frame. Examples of systems using inverted page tables include the 64-bit UltraSPARC and PowerPC.

To illustrate this method, we describe a simplified version of the inverted page table used in the IBM RT. Each virtual address in the system consists of a triple

$\langle \text{process-id}, \text{page-number}, \text{offset} \rangle$ .

Each inverted page-table entry is a pair <process-id, page-number> where the process-id assumes the role of the address-space identifier. When a memory reference occurs, part of the virtual address, consisting of <process-id, page-number>, is presented to the memory subsystem. The inverted page table is then searched for a match. If a match is found—say, at entry  $i$ —then the physical address  $\langle i, \text{offset} \rangle$  is generated. If no match is found, then an illegal address access has been attempted.

Although this scheme decreases the amount of memory needed to store each page table, it increases the amount of time needed to search the table when a page reference occurs. Because the inverted page table is sorted by physical address, but lookups occur on virtual addresses, the whole table might need to be searched for a match. This search would take far too long. To alleviate this problem, we use a hash table, as described in Section 8.5.2, to limit the search to one—or at most a few—page-table entries. Of course, each access to the hash table adds a memory reference to the procedure, so one virtual memory reference requires at least two real memory reads—one for the hash-table entry and one for the page table. To improve performance, recall that the TLB is searched first, before the hash table is consulted.

Systems that use inverted pagetables have difficulty implementing shared memory. Shared memory is usually implemented as multiple virtual addresses (one for each process sharing the memory) that are mapped to one physical address. This standard method cannot be used with inverted page tables; because there is only one virtual page entry for every physical page, one physical page cannot have two (or more) shared virtual addresses. A simple technique for addressing this issue is to allow the page table to contain only one mapping of a virtual address to the shared physical address. This means that references to virtual addresses that are not mapped result in page faults.

## 8.6 Segmentation

An important aspect of memory management that became unavoidable with paging is the separation of the user's view of memory and the actual physical memory. As we have already seen, the user's view of memory is not the same as the actual physical memory. The user's view is mapped onto physical memory. This mapping allows differentiation between logical memory and physical memory.

### 8.6.1 Basic Method

Do users think of memory as a linear array of bytes, some containing instructions and others containing data? Most people would say no. Rather, users prefer to view memory as a collection of variable-sized segments, with no necessary ordering among segments (Figure 8.18).

Consider how you think of a program when you are writing it. You think of it as a main program with a set of methods, procedures, or functions. It may also include various data structures: objects, arrays, stacks, variables, and so on. Each of these modules or data elements is referred to by name. You talk about “the stack,” “the math library,” “the main program,” without caring what addresses in memory these elements occupy. You are not concerned

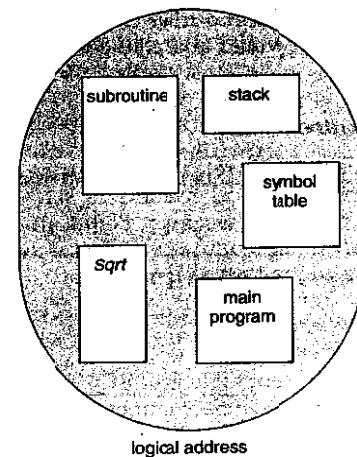


Figure 8.18 User's view of a program.

with whether the stack is stored before or after the `Sqrt()` function. Each of these segments is of variable length; the length is intrinsically defined by the purpose of the segment in the program. Elements within a segment are identified by their offset from the beginning of the segment: the first statement of the program, the seventh stack frame entry in the stack, the fifth instruction of the `Sqrt()`, and so on.

**Segmentation** is a memory-management scheme that supports this user view of memory. A logical address space is a collection of segments. Each segment has a name and a length. The addresses specify both the segment name and the offset within the segment. The user therefore specifies each address by two quantities: a segment name and an offset. (Contrast this scheme with the paging scheme, in which the user specifies only a single address, which is partitioned by the hardware into a page number and an offset, all invisible to the programmer.)

For simplicity of implementation, segments are numbered and are referred to by a segment number, rather than by a segment name. Thus, a logical address consists of a *two tuple*:

<segment-number, offset>.

Normally, the user program is compiled, and the compiler automatically constructs segments reflecting the input program.

A C compiler might create separate segments for the following:

1. The code
2. Global variables
3. The heap, from which memory is allocated
4. The stacks used by each thread
5. The standard C library

Libraries that are linked in during compile time might be assigned separate segments. The loader would take all these segments and assign them segment numbers.

### 8.6.2 Hardware

Although the user can now refer to objects in the program by a two-dimensional address, the actual physical memory is still, of course, a one-dimensional sequence of bytes. Thus, we must define an implementation to map two-dimensional user-defined addresses into one-dimensional physical addresses. This mapping is effected by a **segment table**. Each entry in the segment table has a **segment base** and a **segment limit**. The segment base contains the starting physical address where the segment resides in memory, whereas the segment limit specifies the length of the segment.

The use of a segment table is illustrated in Figure 8.19. A logical address consists of two parts: a segment number, *s*, and an offset into that segment, *d*. The segment number is used as an index to the segment table. The offset *d* of the logical address must be between 0 and the segment limit. If it is not, we trap to the operating system (logical addressing attempt beyond end of segment). When an offset is legal, it is added to the segment base to produce the address in physical memory of the desired byte. The segment table is thus essentially an array of base-limit register pairs.

As an example, consider the situation shown in Figure 8.20. We have five segments numbered from 0 through 4. The segments are stored in physical memory as shown. The segment table has a separate entry for each segment, giving the beginning address of the segment in physical memory (or base) and the length of that segment (or limit). For example, segment 2 is 400 bytes long and begins at location 4300. Thus, a reference to byte 53 of segment 2 is mapped

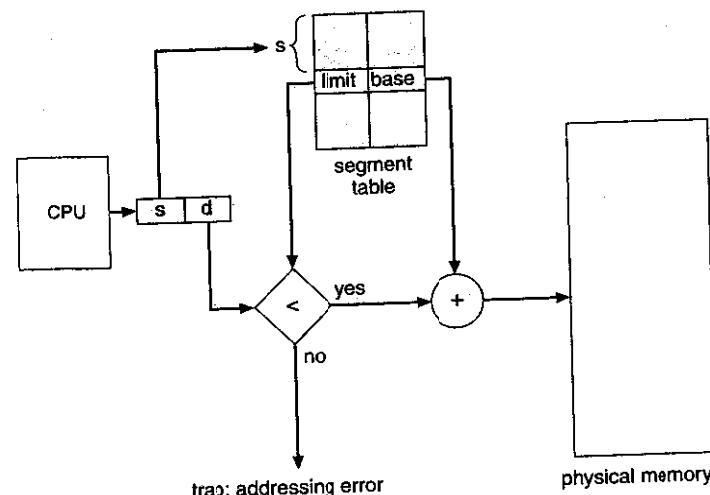


Figure 8.19 Segmentation hardware.

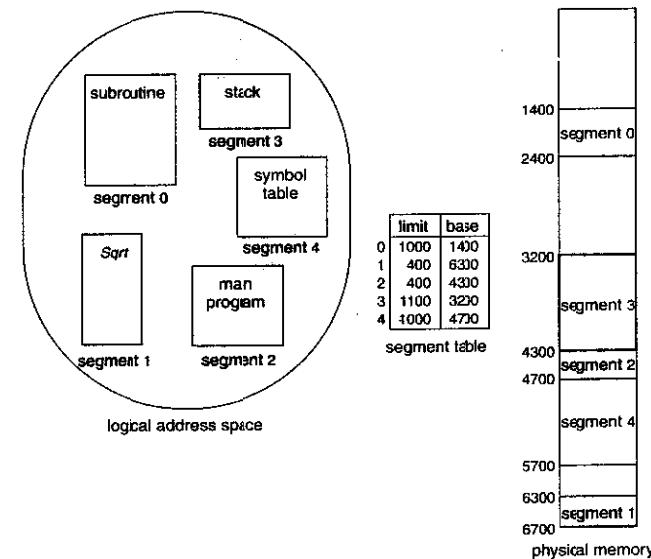


Figure 8.20 Example of segmentation.

onto location  $4300 + 53 = 4353$ . A reference to segment 3, byte 852, is mapped to 3200 (the base of segment 3) - 852 = 4052. A reference to byte 1222 of segment 0 would result in a trap to the operating system, as this segment is only 1,000 bytes long.

## 8.7 Example: The Intel Pentium

Both paging and segmentation have advantages and disadvantages. In fact, some architectures provide both. In this section, we discuss the Intel Pentium architecture, which supports both pure segmentation and segmentation with paging. We do not give a complete description of the memory-management structure of the Pentium in this text. Rather, we present the major ideas on which it is based. We conclude our discussion with an overview of Linux address translation on Pentium systems.

In Pentium systems, the CPU generates logical addresses, which are given to the segmentation unit. The segmentation unit produces a linear address for each logical address. The linear address is then given to the paging unit, which in turn generates the physical address in main memory. Thus, the segmentation and paging units form the equivalent of the memory-management unit (MMU). This scheme is shown in Figure 8.21.

### 8.7.1 Pentium Segmentation

The Pentium architecture allows a segment to be as large as 4 GB, and the maximum number of segments per process is 16 KB. The logical-address space



Figure 8.21 Logical to physical address translation in the Pentium.

of a process is divided into two partitions. The first partition consists of up to 8 KB segments that are private to that process. The second partition consists of up to 8 KB segments that are shared among all the processes. Information about the first partition is kept in the local descriptor table (LDT); information about the second partition is kept in the global descriptor table (GDT). Each entry in the LDT and GDT consists of an 8-byte segment descriptor with detailed information about a particular segment, including the base location and limit of that segment.

The logical address is a pair (selector, offset), where the selector is a 16-bit number:

s	g	p
13	1	2

in which s designates the segment number, g indicates whether the segment is in the GDT or LDT, and p deals with protection. The offset is a 32-bit number specifying the location of the byte (or word) within the segment in question.

The machine has six segment registers, allowing six segments to be addressed at any one time by a process. It also has six 8-byte microprogram registers to hold the corresponding descriptors from either the LDT or GDT. This cache lets the Pentium avoid having to read the descriptor from memory for every memory reference.

The linear address on the Pentium is 32 bits long and is formed as follows. The segment register points to the appropriate entry in the LDT or GDT. The base and limit information about the segment in question is used to generate a **linear address**. First, the limit is used to check for address validity. If the address is not valid, a memory fault is generated, resulting in a trap to the operating system. If it is valid, then the value of the offset is added to the value of the base, resulting in a 32-bit linear address. This is shown in Figure 8.22. In the following section, we discuss how the paging unit turns this linear address into a physical address.

### 8.7.2 Pentium Paging

The Pentium architecture allows a page size of either 4 KB or 4 ME. For 4-KB pages, the Pentium uses a two-level paging scheme in which the division of the 32-bit linear address is as follows:

page number	page offset
$p_1$	$p_2 \dots d$

10      10      12

The address-translation scheme for this architecture is similar to the scheme shown in Figure 8.15. The Intel Pentium address translation is shown in more

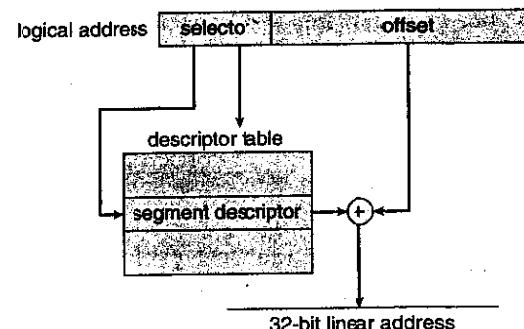


Figure 8.22 Intel Pentium segmentation.

detail in Figure 8.23. The ten high-order bits reference an entry in the outermost page table, which the Pentium terms the **page directory**. (The CR3 register points to the page directory for the current process.) The page directory entry points to an inner page table that is indexed by the contents of the innermost ten bits in the linear address. Finally, the low-order bits 0–11 refer to the offset in the 4-KB page pointed to in the page table.

One entry in the page directory is the **Page Size flag**, which—if set—indicates that the size of the page frame is 4 MB and not the standard 4 KB. If this flag is set, the page directory points directly to the 4-MB page frame, bypassing the inner page table; and the 22 low-order bits in the linear address refer to the offset in the 4-MB page frame.

To improve the efficiency of physical memory use, Intel Pentium page tables can be swapped to disk. In this case, an invalid bit is used in the page directory entry to indicate whether the table to which the entry is pointing is in memory or on disk. If the table is on disk, the operating system can use the other 31 bits to specify the disk location of the table; the table then can be brought into memory on demand.

### 8.7.3 Linux on Pentium Systems

As an illustration, consider the Linux operating system running on the Intel Pentium architecture. Because Linux is designed to run on a variety of processors—many of which may provide only limited support for segmentation—Linux does not rely on segmentation and uses it minimally. On the Pentium, Linux uses only six segments:

1. A segment for kernel code
2. A segment for kernel data
3. A segment for user code
4. A segment for user data
5. A task-state segment (TSS)
6. A default LDT segment

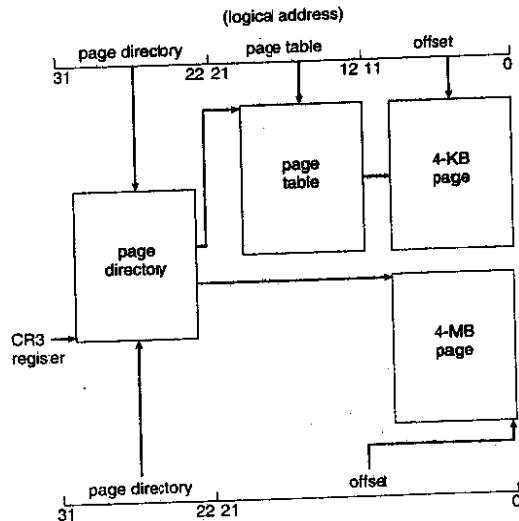


Figure 8.23 Paging in the Pentium architecture.

The segments for user code and user data are shared by all processes running in user mode. This is possible because all processes use the same logical address space and all segment descriptors are stored in the global descriptor table (GDT). Furthermore, each process has its own task-state segment (TSS). The TSS is used to store the hardware context of each process during context switches. The default LDT is normally shared by all processes and is usually not used. However, if a process requires its own LDT, it can create one and use that instead of the default LDT.

As noted, each segment selector includes a 2-bit field for protection. Thus, the Pentium allows four levels of protection. Of these four levels, Linux only recognizes two: user mode and kernel mode.

Although the Pentium uses a two-level paging model, Linux is designed to run on a variety of hardware platforms, many of which are 64-bit platforms where two-level paging is not plausible. Therefore, Linux has adopted a three-level paging strategy that works well for both 32-bit and 64-bit architectures.

The linear address in Linux is broken into the following four parts:

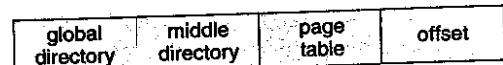


Figure 8.24 highlights the three-level paging model in Linux.

The number of bits in each part of the linear address varies according to architecture. However, as described earlier in this section, the Pentium architecture only uses a two-level paging model. How, then, does Linux apply its three-level model on the Pentium? In this situation, the size of the middle directory is zero bits, effectively bypassing the middle directory.

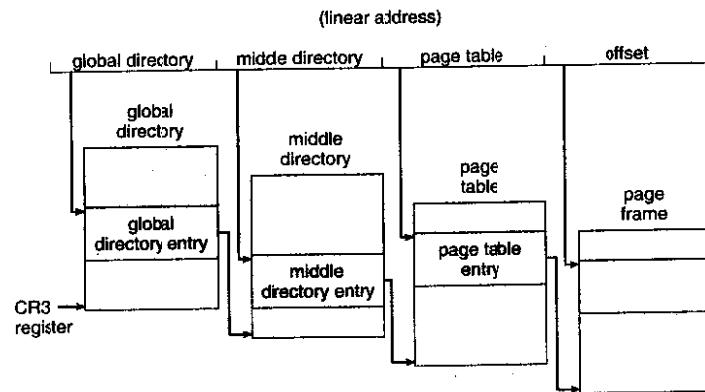


Figure 8.24 Three-level paging in Linux.

Each task in Linux has its own set of page tables and—just as in Figure 8.23—the CR3 register points to the global directory for the task currently executing. During a context switch, the value of the CR3 register is saved and restored in the TSS segments of the tasks involved in the context switch.

## 8.8 Summary

Memory-management algorithms for multiprogrammed operating systems range from the simple single-user system approach to paged segmentation. The most important determinant of the method used in a particular system is the hardware provided. Every memory address generated by the CPU must be checked for legality and possibly mapped to a physical address. The checking cannot be implemented (efficiently) in software. Hence, we are constrained by the hardware available.

The various memory-management algorithms (contiguous allocation, paging, segmentation, and combinations of paging and segmentation) differ in many aspects. In comparing different memory-management strategies, we use the following considerations:

- **Hardware support.** A simple base register or a base-limit register pair is sufficient for the single- and multiple-partition schemes, whereas paging and segmentation need mapping tables to define the address map.
- **Performance.** As the memory-management algorithm becomes more complex, the time required to map a logical address to a physical address increases. For the simple systems, we need only compare or add to the logical address—operations that are fast. Paging and segmentation can be as fast if the mapping table is implemented in fast registers. If the table is in memory, however, user memory accesses can be degraded substantially. A TLB can reduce the performance degradation to an acceptable level.

- **Fragmentation.** A multiprogrammed system will generally perform more efficiently if it has a higher level of multiprogramming. For a given set of processes, we can increase the multiprogramming level only by packing more processes into memory. To accomplish this task, we must reduce memory waste, or fragmentation. Systems with fixed-sized allocation units, such as the single-partition scheme and paging, suffer from internal fragmentation. Systems with variable-sized allocation units, such as the multiple-partition scheme and segmentation, suffer from external fragmentation.
- **Relocation.** One solution to the external-fragmentation problem is compaction. Compaction involves shifting a program in memory in such a way that the program does not notice the change. This consideration requires that logical addresses be relocated dynamically, at execution time. If addresses are relocated only at load time, we cannot compact storage.
- **Swapping.** Swapping can be added to any algorithm. At intervals determined by the operating system, usually dictated by CPU-scheduling policies, processes are copied from main memory to a backing store and later are copied back to main memory. This scheme allows more processes to be run than can be fit into memory at one time.
- **Sharing.** Another means of increasing the multiprogramming level is to share code and data among different users. Sharing generally requires that either paging or segmentation be used, to provide small packets of information (pages or segments) that can be shared. Sharing is a means of running many processes with a limited amount of memory, but shared programs and data must be designed carefully.
- **Protection.** If paging or segmentation is provided, different sections of a user program can be declared execute-only, read-only, or read-write. This restriction is necessary with shared code or data and is generally useful in any case to provide simple run-time checks for common programming errors.

## Exercises

- 8.1 Explain the difference between internal and external fragmentation.
- 8.2 Consider the following process for generating binaries. A compiler is used to generate the object code for individual modules, and a linkage editor is used to combine multiple object modules into a single program binary. How does the linkage editor change the binding of instructions and data to memory addresses? What information needs to be passed from the compiler to the linkage editor to facilitate the memory binding tasks of the linkage editor?
- 8.3 Given five memory partitions of 100 KB, 500 KB, 200 KB, 300 KB, and 600 KB (in order), how would each of the first-fit, best-fit, and worst-fit algorithms place processes of 212 KB, 417 KB, 112 KB, and 426 KB (in order)? Which algorithm makes the most efficient use of memory?

- 8.4 Most systems allow programs to allocate more memory to its address space during execution. Data allocated in the heap segments of programs is an example of such allocated memory. What is required to support dynamic memory allocation in the following schemes?
  - a. contiguous-memory allocation
  - b. pure segmentation
  - c. pure paging
- 8.5 Compare the main memory organization schemes of contiguous-memory allocation, pure segmentation, and pure paging with respect to the following issues:
  - a. external fragmentation
  - b. internal fragmentation
  - c. ability to share code across processes
- 8.6 On a system with paging, a process cannot access memory that it does not own. Why? How could the operating system allow access to other memory? Why should it or should it not?
- 8.7 Compare paging with segmentation with respect to the amount of memory required by the address translation structures in order to convert virtual addresses to physical addresses.
- 8.8 Program binaries in many systems are typically structured as follows. Code is stored starting with a small fixed virtual address such as 0. The code segment is followed by the data segment that is used for storing the program variables. When the program starts executing, the stack is allocated at the other end of the virtual address space and is allowed to grow towards lower virtual addresses. What is the significance of the above structure on the following schemes?
  - a. contiguous-memory allocation
  - b. pure segmentation
  - c. pure paging
- 8.9 Consider a paging system with the page table stored in memory.
  - a. If a memory reference takes 200 nanoseconds, how long does a paged memory reference take?
  - b. If we add TLBs, and 75 percent of all page-table references are found in the TLBs, what is the effective memory reference time? (Assume that finding a page-table entry in the TLBs takes zero time, if the entry is there.)
- 8.10 Why are segmentation and paging sometimes combined into one scheme?
- 8.11 Explain why sharing a reentrant module is easier when segmentation is used than when pure paging is used.

8.12 Consider the following segment table:

<u>Segment</u>	<u>Base</u>	<u>Length</u>
0	219	600
1	2300	14
2	90	100
3	1327	580
4	1952	96

What are the physical addresses for the following logical addresses?

- a. 0,430
- b. 1,10
- c. 2,500
- d. 3,400
- e. 4,112

8.13 What is the purpose of paging the page tables?

8.14 Consider the hierarchical paging scheme used by the VAX architecture. How many memory operations are performed when an user program executes a memory load operation?

8.15 Compare the segmented paging scheme with the hashed page tables scheme for handling large address spaces. Under what circumstances is one scheme preferable to the other?

8.16 Consider the Intel address-translation scheme shown in Figure 8.22.

- a. Describe all the steps taken by the Intel Pentium in translating a logical address into a physical address.
- b. What are the advantages to the operating system of hardware that provides such complicated memory translation?
- c. Are there any disadvantages to this address-translation system? If so, what are they? If not, why is it not used by every manufacturer?

Address translation in software is covered in Jacob and Mudge [1997].

Hennessy and Patterson [2002] discussed the hardware aspects of TLBs, caches, and MMUs. Talluri et al. [1995] discusses page tables for 64-bit address spaces. Alternative approaches to enforcing memory protection are proposed and studied in Wahbe et al. [1993a], Chase et al. [1994], Bershad et al. [1995a], and Thorn [1997]. Dougan et al. [1999] and Jacob and Mudge [2001] discuss techniques for managing the TLB. Fang et al. [2001] evaluate support for large pages.

Tanenbaum [2001] discusses Intel 80386 paging. Memory management for several architectures—such as the Pentium II, PowerPC, and UltraSPARC—was described by Jacob and Mudge [1998a]. Segmentation on Linux systems is presented in Bovet and Cesati [2002].

## Bibliographical Notes

Dynamic storage allocation was discussed by Knuth [1973] (Section 2.5), who found through simulation results that first fit is generally superior to best fit. Knuth [1973] discussed the 50-percent rule.

The concept of paging can be credited to the designers of the Atlas system, which has been described by Kilburn et al. [1961] and by Howarth et al. [1961]. The concept of segmentation was first discussed by Dennis [1965]. Paged segmentation was first supported in the GE 645, on which MULTICS was originally implemented (Organick [1972] and Daley and Dennis [1967]).

Inverted page tables were discussed in an article about the IBM RT storage manager by Chang and Mergen [1988].



# *Virtual Memory*

In Chapter 8, we discussed various memory-management strategies used in computer systems. All these strategies have the same goal: to keep many processes in memory simultaneously to allow multiprogramming. However, they tend to require that an entire process be in memory before it can execute.

Virtual memory is a technique that allows the execution of processes that are not completely in memory. One major advantage of this scheme is that programs can be larger than physical memory. Further, virtual memory abstracts main memory into an extremely large, uniform array of storage, separating logical memory as viewed by the user from physical memory. This technique frees programmers from the concerns of memory-storage limitations. Virtual memory also allows processes to share files easily and to implement shared memory. In addition, it provides an efficient mechanism for process creation. Virtual memory is not easy to implement, however, and may substantially decrease performance if it is used carelessly. In this chapter, we discuss virtual memory in the form of demand paging and examine its complexity and cost.

## **CHAPTER OBJECTIVES**

- To describe the benefits of a virtual memory system.
- To explain the concepts of demand paging, page-replacement algorithms, and allocation of page frames.
- To discuss the principles of the working-set model.

### **9.1 Background**

The memory-management algorithms outlined in Chapter 8 are necessary because of one basic requirement: The instructions being executed must be in physical memory. The first approach to meeting this requirement is to place the entire logical address space in physical memory. Dynamic loading can help to ease this restriction, but it generally requires special precautions and extra work by the programmer.

The requirement that instructions must be in physical memory to be executed seems both necessary and reasonable; but it is also unfortunate, since it limits the size of a program to the size of physical memory. In fact, an examination of real programs shows us that, in many cases, the entire program is not needed. For instance, consider the following:

- Programs often have code to handle unusual error conditions. Since these errors seldom, if ever, occur in practice, this code is almost never executed.
- Arrays, lists, and tables are often allocated more memory than they actually need. An array may be declared 100 by 100 elements, even though it is seldom larger than 10 by 10 elements. An assembler symbol table may have room for 3,000 symbols, although the average program has less than 200 symbols.
- Certain options and features of a program may be used rarely. For instance, the routines on U.S. government computers that balance the budget are only rarely used.

Even in those cases where the entire program is needed, it may not all be needed at the same time.

The ability to execute a program that is only partially in memory would confer many benefits:

- A program would no longer be constrained by the amount of physical memory that is available. Users would be able to write programs for an extremely large *virtual address space*, simplifying the programming task.

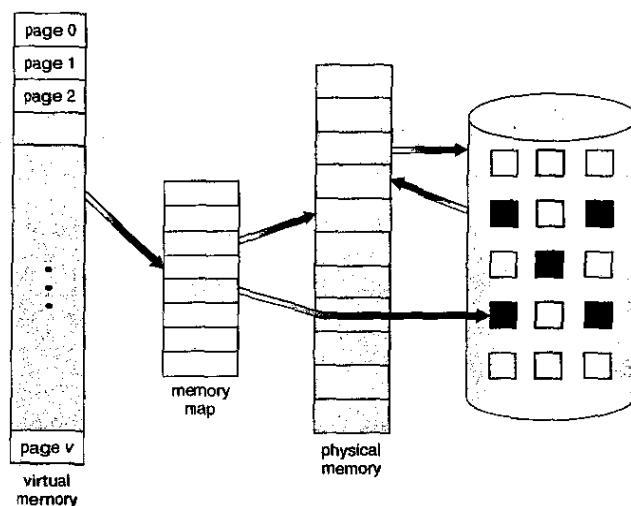


Figure 9.1 Diagram showing virtual memory that is larger than physical memory.

- Because each user program could take less physical memory, more programs could be run at the same time, with a corresponding increase in CPU utilization and throughput but with no increase in response time or turnaround time.
- Less I/O would be needed to load or swap each user program into memory, so each user program would run faster.

Thus, running a program that is not entirely in memory would benefit both the system and the user.

**Virtual memory** involves the separation of logical memory as perceived by users from physical memory. This separation allows an extremely large virtual memory to be provided for programmers when only a smaller physical memory is available (Figure 9.1). Virtual memory makes the task of programming much easier, because the programmer no longer needs to worry about the amount of physical memory available; she can concentrate instead on the problem to be programmed.

The **virtual address space** of a process refers to the logical (or virtual) view of how a process is stored in memory. Typically, this view is that a process begins at a certain logical address—say, address 0—and exists in contiguous memory, as shown in Figure 9.2. Recall from Chapter 8, though, that in fact physical memory may be organized in page frames and that the physical page frames assigned to a process may not be contiguous. It is up to the memory-management unit (MMU) to map logical pages to physical page frames in memory.

Note in Figure 9.2 that we allow for the heap to grow upward in memory as it is used for dynamic memory allocation. Similarly, we allow for the stack to grow downward in memory through successive function calls. The large blank space (or hole) between the heap and the stack is part of the virtual address

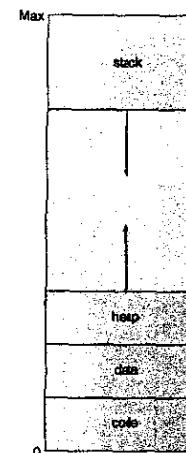


Figure 9.2 Virtual address space.

space but will require actual physical pages only if the heap or stack grows. Virtual address spaces that include holes are known as *sparse* address spaces. Using a sparse address space is beneficial because the holes can be filled as the stack or heap segments grow or if we wish to dynamically link libraries (or possibly other shared objects) during program execution.

In addition to separating logical memory from physical memory, virtual memory also allows files and memory to be shared by two or more processes through page sharing (Section 8.4.4). This leads to the following benefits:

- System libraries can be shared by several processes through mapping of the shared object into a virtual address space. Although each process considers the shared libraries to be part of its virtual address space, the actual pages where the libraries reside in physical memory are shared by all the processes (Figure 9.3). Typically, a library is mapped read-only into the space of each process that is linked with it.
- Similarly, virtual memory enables processes to share memory. Recall from Chapter 3 that two or more processes can communicate through the use of shared memory. Virtual memory allows one process to create a region of memory that it can share with another process. Processes sharing this region consider it part of their virtual address space, yet the actual physical pages of memory are shared, much as is illustrated in Figure 9.3.
- Virtual memory can allow pages to be shared during process creation with the `fork()` system call, thus speeding up process creation.

We will further explore these—and other—benefits of virtual memory later in this chapter. First, we begin with a discussion of implementing virtual memory through demand paging.

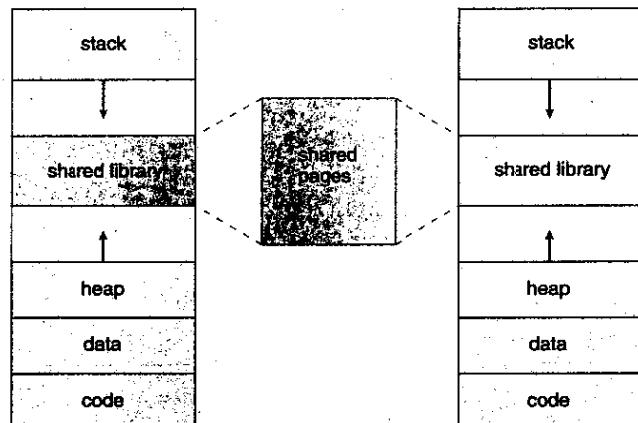


Figure 9.3 Shared library using virtual memory.

## 9.2 Demand Paging

Consider how an executable program might be loaded from disk into memory. One option is to load the entire program in physical memory at program execution time. However, a problem with this approach is that we may not initially *need* the entire program in memory. Consider a program that starts with a list of available options from which the user is to select. Loading the entire program into memory results in loading the executable code for *all* options, regardless of whether an option is ultimately selected by the user or not. An alternative strategy is to initially load pages only as they are needed. This technique is known as *demand paging* and is commonly used in virtual memory systems. With demand-paged virtual memory, pages are only loaded when they are demanded during program execution; pages that are never accessed are thus never loaded into physical memory.

A demand-paging system is similar to a paging system with swapping (Figure 9.4) where processes reside in secondary memory (usually a disk). When we want to execute a process, we swap it into memory. Rather than swapping the entire process into memory, however, we use a *lazy swapper*. A lazy swapper never swaps a page into memory unless that page will be needed. Since we are now viewing a process as a sequence of pages, rather than as one large contiguous address space, use of the term *swapper* is technically incorrect. A swapper manipulates entire processes, whereas a pager is concerned with the individual pages of a process. We thus use *pager*, rather than *swapper*, in connection with demand paging.

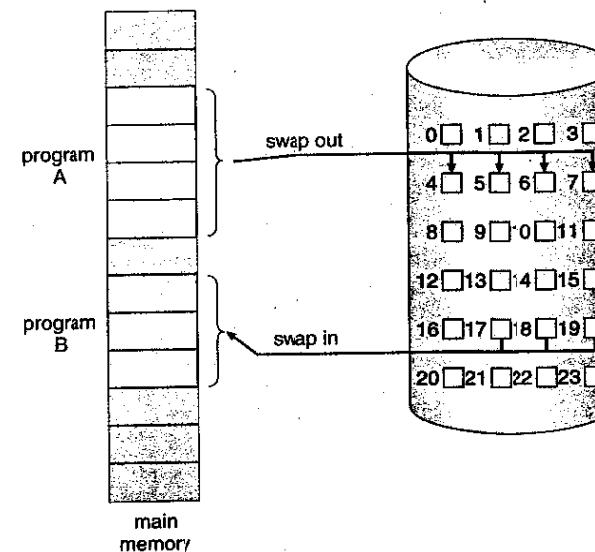


Figure 9.4 Transfer of a paged memory to contiguous disk space.

### 9.2.1 Basic Concepts

When a process is to be swapped in, the pager guesses which pages will be used before the process is swapped out again. Instead of swapping in a whole process, the pager brings only those necessary pages into memory. Thus, it avoids reading into memory pages that will not be used anyway, decreasing the swap time and the amount of physical memory needed.

With this scheme, we need some form of hardware support to distinguish between the pages that are in memory and the pages that are on the disk. The valid-invalid bit scheme described in Section 8.5 can be used for this purpose. This time, however, when this bit is set to "valid," the associated page is both legal and in memory. If the bit is set to "invalid," the page either is not valid (that is, not in the logical address space of the process) or is valid but is currently on the disk. The page-table entry for a page that is brought into memory is set as usual, but the page-table entry for a page that is not currently in memory is either simply marked invalid or contains the address of the page on disk. This situation is depicted in Figure 9.5.

Notice that marking a page invalid will have no effect if the process never attempts to access that page. Hence, if we guess right and page in all and only those pages that are actually needed, the process will run exactly as though we had brought in all pages. While the process executes and accesses pages that are **memory resident**, execution proceeds normally.

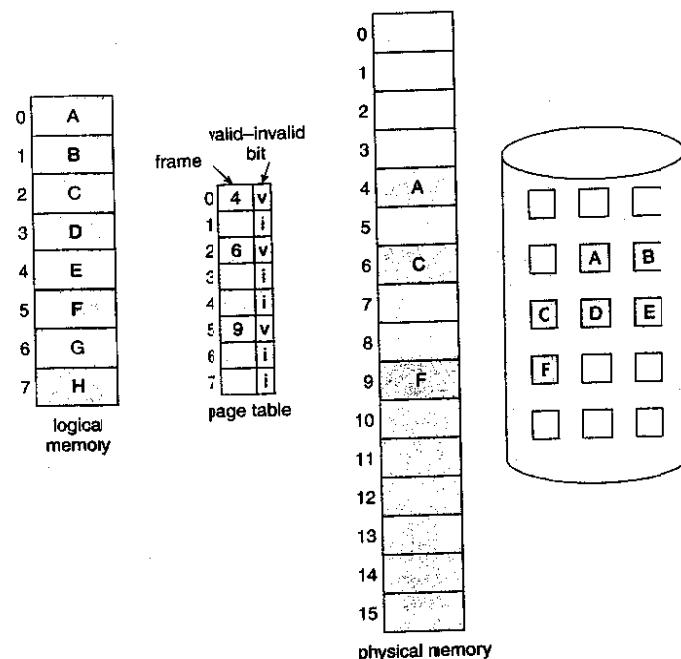


Figure 9.5 Page table when some pages are not in main memory

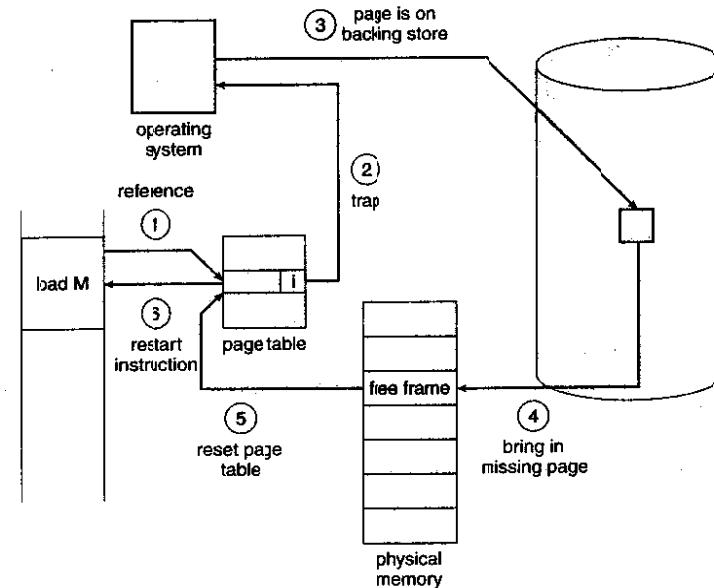


Figure 9.6 Steps in handling a page fault.

But what happens if the process tries to access a page that was not brought into memory? Access to a page marked invalid causes a **page-fault trap**. The paging hardware, in translating the address through the page table, will notice that the invalid bit is set, causing a trap to the operating system. This trap is the result of the operating system's failure to bring the desired page into memory. The procedure for handling this page fault is straightforward (Figure 9.5):

- We check an internal table (usually kept with the process control block) for this process to determine whether the reference was a valid or an invalid memory access.
- If the reference was invalid, we terminate the process. If it was valid, but we have not yet brought in that page, we now page it in.
- We find a free frame (by taking one from the free-frame list, for example).
- We schedule a disk operation to read the desired page into the newly allocated frame.
- When the disk read is complete, we modify the internal table kept with the process and the page table to indicate that the page is now in memory.
- We restart the instruction that was interrupted by the trap. The process can now access the page as though it had always been in memory.

In the extreme case, we can start executing a process with *no* pages in memory. When the operating system sets the instruction pointer to the first

instruction of the process, which is on a non-memory-resident page, the process immediately faults for the page. After this page is brought into memory, the process continues to execute, faulting as necessary until every page that it needs is in memory. At that point, it can execute with no more faults. This scheme is **pure demand paging**: Never bring a page into memory until it is required.

Theoretically, some programs could access several new pages of memory with each instruction execution (one page for the instruction and many for data), possibly causing multiple page faults per instruction. This situation would result in unacceptable system performance. Fortunately, analysis of running processes shows that this behavior is exceedingly unlikely. Programs tend to have **locality of reference**, described in Section 9.6.1, which results in reasonable performance from demand paging.

The hardware to support demand paging is the same as the hardware for paging and swapping:

- **Page table.** This table has the ability to mark an entry invalid through a valid–invalid bit or special value of protection bits.
- **Secondary memory.** This memory holds those pages that are not present in main memory. The secondary memory is usually a high-speed disk. It is known as the swap device, and the section of disk used for this purpose is known as **swap space**. Swap-space allocation is discussed in Chapter 12.

A crucial requirement for demand paging is the need to be able to restart any instruction after a page fault. Because we save the state (registers, condition code, instruction counter) of the interrupted process when the page fault occurs, we must be able to restart the process in *exactly* the same place and state, except that the desired page is now in memory and is accessible. In most cases, this requirement is easy to meet. A page fault may occur at any memory reference. If the page fault occurs on the instruction fetch, we can restart by fetching the instruction again. If a page fault occurs while we are fetching an operand, we must fetch and decode the instruction again and then fetch the operand.

As a worst-case example, consider a three-address instruction such as ADD the content of A to B, placing the result in C. These are the steps to execute this instruction:

1. Fetch and decode the instruction (ADD).
2. Fetch A.
3. Fetch B.
4. Add A and B.
5. Store the sum in C.

If we fault when we try to store in C (because C is in a page not currently in memory), we will have to get the desired page, bring it in, correct the page table, and restart the instruction. The restart will require fetching the instruction again, decoding it again, fetching the two operands again, and

then adding again. However, there is not much repeated work (less than one complete instruction), and the repetition is necessary only when a page fault occurs.

The major difficulty arises when one instruction may modify several different locations. For example, consider the IBM System 360/370 MVC (move character) instruction, which can move up to 256 bytes from one location to another (possibly overlapping) location. If either block (source or destination) straddles a page boundary, a page fault might occur after the move is partially done. In addition, if the source and destination blocks overlap, the source block may have been modified, in which case we cannot simply restart the instruction.

This problem can be solved in two different ways. In one solution, the microcode computes and attempts to access both ends of both blocks. If a page fault is going to occur, it will happen at this step, before anything is modified. The move can then take place; we know that no page fault can occur, since all the relevant pages are in memory. The other solution uses temporary registers to hold the values of overwritten locations. If there is a page fault, all the old values are written back into memory before the trap occurs. This action restores memory to its state before the instruction was started, so that the instruction can be repeated.

This is by no means the only architectural problem resulting from adding paging to an existing architecture to allow demand paging, but it illustrates some of the difficulties involved. Paging is added between the CPU and the memory in a computer system. It should be entirely transparent to the user process. Thus, people often assume that paging can be added to any system. Although this assumption is true for a non-demand-paging environment, where a page fault represents a fatal error, it is not true where a page fault means only that an additional page must be brought into memory and the process restarted.

### 9.2.2 Performance of Demand Paging

Demand paging can significantly affect the performance of a computer system. To see why, let's compute the **effective access time** for a demand-paged memory. For most computer systems, the memory-access time, denoted *ma*, ranges from 10 to 200 nanoseconds. As long as we have no page faults, the effective access time is equal to the memory access time. If, however, a page fault occurs, we must first read the relevant page from disk and then access the desired word.

Let *p* be the probability of a page fault ( $0 \leq p \leq 1$ ). We would expect *p* to be close to zero—that is, we would expect to have only a few page faults. The **effective access time** is then

$$\text{effective access time} = (1 - p) \times ma + p \times \text{page fault time}.$$

To compute the effective access time, we must know how much time is needed to service a page fault. A page fault causes the following sequence to occur:

1. Trap to the operating system.
2. Save the user registers and process state.

3. Determine that the interrupt was a page fault.
4. Check that the page reference was legal and determine the location of the page on the disk.
5. Issue a read from the disk to a free frame:
  - a. Wait in a queue for this device until the read request is serviced.
  - b. Wait for the device seek and/or latency time.
  - c. Begin the transfer of the page to a free frame.
6. While waiting, allocate the CPU to some other user (CPU scheduling, optional).
7. Receive an interrupt from the disk I/O subsystem (I/O completed).
8. Save the registers and process state for the other user (if step 6 is executed).
9. Determine that the interrupt was from the disk.
10. Correct the page table and other tables to show that the desired page is now in memory.
11. Wait for the CPU to be allocated to this process again.
12. Restore the user registers, process state, and new page table, and then resume the interrupted instruction.

Not all of these steps are necessary in every case. For example, we are assuming that, in step 6, the CPU is allocated to another process while the I/O occurs. This arrangement allows multiprogramming to maintain CPU utilization but requires additional time to resume the page-fault service routine when the I/O transfer is complete.

In any case, we are faced with three major components of the page-fault service time:

1. Service the page-fault interrupt.
2. Read in the page.
3. Restart the process.

The first and third tasks can be reduced, with careful coding, to several hundred instructions. These tasks may take from 1 to 100 microseconds each. The page-switch time, however, will probably be close to 8 milliseconds. A typical hard disk has an average latency of 3 milliseconds, a seek of 5 milliseconds, and a transfer time of 0.05 milliseconds. Thus, the total paging time is about 8 milliseconds, including hardware and software time. Remember also that we are looking at only the device-service time. If a queue of processes is waiting for the device (other processes that have caused page faults), we have to add device-queueing time as we wait for the paging device to be free to service our request, increasing even more the time to swap.

If we take an average page-fault service time of 8 milliseconds and a memory-access time of 200 nanoseconds, then the effective access time in nanoseconds is

$$\begin{aligned}\text{effective access time} &= (1 - p) \times (200) + p \times (8 \text{ milliseconds}) \\ &= (1 - p) \times 200 + p \times 8,000,000 \\ &= 200 + 7,999,800 \times p.\end{aligned}$$

We see, then, that the effective access time is directly proportional to the page-fault rate. If one access out of 1,000 causes a page fault, the effective access time is 8.2 microseconds. The computer will be slowed down by a factor of 40 because of demand paging! If we want performance degradation to be less than 10 percent, we need

$$\begin{aligned}220 &> 200 + 7,999,800 \times p, \\ 20 &> 7,999,800 \times p, \\ p &< 0.0000025.\end{aligned}$$

That is, to keep the slowdown due to paging at a reasonable level, we can allow fewer than one memory access out of 399,990 to page-fault. In sum, it is important to keep the page-fault rate low in a demand-paging system. Otherwise, the effective access time increases, slowing process execution dramatically.

An additional aspect of demand paging is the handling and overall use of swap space. Disk I/O to swap space is generally faster than that to the file system. It is faster because swap space is allocated in much larger blocks, and file lookups and indirect allocation methods are not used (Chapter 12). The system can therefore gain better paging throughput by copying an entire file image into the swap space at process startup and then performing demand paging from the swap space. Another option is to demand pages from the file system initially but to write the pages to swap space as they are replaced. This approach will ensure that only needed pages are read from the file system but that all subsequent paging is done from swap space.

Some systems attempt to limit the amount of swap space used through demand paging of binary files. Demand pages for such files are brought directly from the file system. However, when page replacement is called for, these frames can simply be overwritten (because they are never modified), and the pages can be read in from the file system again if needed. Using this approach, the file system itself serves as the backing store. However, swap space must still be used for pages not associated with a file; these pages include the stack and heap for a process. This method appears to be a good compromise and is used in several systems, including Solaris and BSD UNIX.

### 9.3 Copy-on-Write

In Section 9.2, we illustrated how a process can start quickly by merely demand-paging in the page containing the first instruction. However, process creation using the `fork()` system call may initially bypass the need for demand paging by using a technique similar to page sharing (covered in Section 8.4.4). This technique provides for rapid process creation and minimizes the number of new pages that must be allocated to the newly created process.

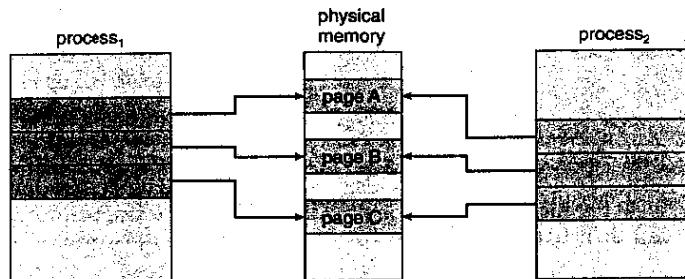


Figure 9.7 Before process 1 modifies page C.

Recall that the `fork()` system call creates a child process as a duplicate of its parent. Traditionally, `fork()` worked by creating a copy of the parent's address space for the child, duplicating the pages belonging to the parent. However, considering that many child processes invoke the `exec()` system call immediately after creation, the copying of the parent's address space may be unnecessary. Alternatively, we can use a technique known as **copy-on-write**, which works by allowing the parent and child processes initially to share the same pages. These shared pages are marked as copy-on-write pages, meaning that if either process writes to a shared page, a copy of the shared page is created. Copy-on-write is illustrated in Figures 9.7 and Figure 9.8, which show the contents of physical memory before and after process 1 modifies page C.

For example, assume that the child process attempts to modify a page containing portions of the stack, with the pages set to be copy-on-write. The operating system will then create a copy of this page, mapping it to the address space of the child process. The child process will then modify its copied page and not the page belonging to the parent process. Obviously, when the copy-on-write technique is used, only the pages that are modified by either process are copied; all unmodified pages can be shared by the parent and child processes.

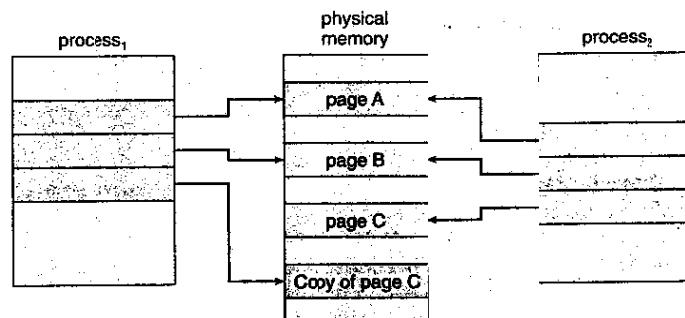


Figure 9.8 After process 1 modifies page C.

Note, too, that only pages that can be modified need be marked as copy-on-write. Pages that cannot be modified (pages containing executable code) can be shared by the parent and child. Copy-on-write is a common technique used by several operating systems, including Windows XP, Linux, and Solaris.

When it is determined that a page is going to be duplicated using copy-on-write, it is important to note the location from which the free page will be allocated. Many operating systems provide a pool of free pages for such requests. These free pages are typically allocated when the stack or heap for a process must expand or when there are copy-on-write pages to be managed. Operating systems typically allocate these pages using a technique known as **zero-fill-on-demand**. Zero-fill-on-demand pages have been zeroed-out before being allocated, thus erasing the previous contents.

Several versions of UNIX (including Solaris and Linux) also provide a variation of the `fork()` system call—`vfork()` (for virtual memory fork). `vfork()` operates differently from `fork()` with copy-on-write. With `vfork()`, the parent process is suspended, and the child process uses the address space of the parent. Because `vfork()` does not use copy-on-write, if the child process changes any pages of the parent's address space, the altered pages will be visible to the parent once it resumes. Therefore, `vfork()` must be used with caution to ensure that the child process does not modify the address space of the parent. `vfork()` is intended to be used when the child process calls `exec()` immediately after creation. Because no copying of pages takes place, `vfork()` is an extremely efficient method of process creation and is sometimes used to implement UNIX command-line shell interfaces.

## 9.4 Page Replacement

In our earlier discussion of the page-fault rate, we assumed that each page faults at most once, when it is first referenced. This representation is not strictly accurate, however. If a process of ten pages actually uses only half of them, then demand paging saves the I/O necessary to load the five pages that are never used. We could also increase our degree of multiprogramming by running twice as many processes. Thus, if we had forty frames, we could run eight processes, rather than the four that could run if each required ten frames (five of which were never used).

If we increase our degree of multiprogramming, we are **over-allocating** memory. If we run six processes, each of which is ten pages in size but actually uses only five pages, we have higher CPU utilization and throughput, with ten frames to spare. It is possible, however, that each of these processes, for a particular data set, may suddenly try to use all ten of its pages, resulting in a need for sixty frames when only forty are available.

Further, consider that system memory is not used only for holding program pages. Buffers for I/O also consume a significant amount of memory. This use can increase the strain on memory-placement algorithms. Deciding how much memory to allocate to I/O and how much to program pages is a significant challenge. Some systems allocate a fixed percentage of memory for I/O buffers, whereas others allow both user processes and the I/O subsystem to compete for all system memory.

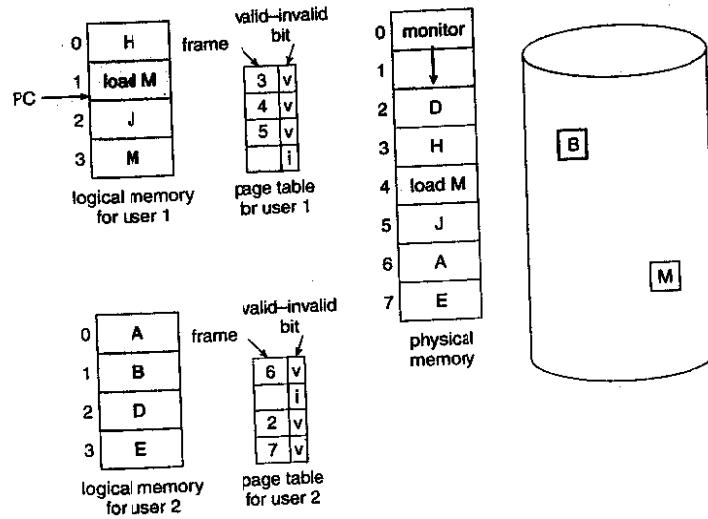


Figure 9.9 Need for page replacement.

Over-allocation of memory manifests itself as follows. While a user process is executing, a page fault occurs. The operating system determines where the desired page is residing on the disk but then finds that there are no free frames on the free-frame list; all memory is in use (Figure 9.9).

The operating system has several options at this point. It could terminate the user process. However, demand paging is the operating system's attempt to improve the computer system's utilization and throughput. Users should not be aware that their processes are running on a paged system—paging should be logically transparent to the user. So this option is not the best choice.

The operating system could instead swap out a process, freeing all its frames and reducing the level of multiprogramming. This option is a good one in certain circumstances, and we consider it further in Section 9.6. Here, we discuss the most common solution: page replacement.

#### 9.4.1 Basic Page Replacement

Page replacement takes the following approach. If no frame is free, we find one that is not currently being used and free it. We can free a frame by writing its contents to swap space and changing the page table (and all other tables) to indicate that the page is no longer in memory (Figure 9.10). We can now use the freed frame to hold the page for which the process faulted. We modify the page-fault service routine to include page replacement:

1. Find the location of the desired page on the disk.
2. Find a free frame:
  - a. If there is a free frame, use it.

- b. If there is no free frame, use a page-replacement algorithm to select a victim frame.
- c. Write the victim frame to the disk; change the page and frame tables accordingly.
3. Read the desired page into the newly freed frame; change the page and frame tables.
4. Restart the user process.

Notice that, if no frames are free, *two* page transfers (one out and one in) are required. This situation effectively doubles the page-fault service time and increases the effective access time accordingly.

We can reduce this overhead by using a **modify bit** (or **dirty bit**). When this scheme is used, each page or frame has a modify bit associated with it in the hardware. The modify bit for a page is set by the hardware whenever any word or byte in the page is written into, indicating that the page has been modified. When we select a page for replacement, we examine its modify bit. If the bit is set, we know that the page has been modified since it was read in from the disk. In this case, we must write that page to the disk. If the modify bit is not set, however, the page has *not* been modified since it was read into memory. Therefore, if the copy of the page on the disk has not been overwritten (by some other page, for example), then we need not write the memory page to the disk: It is already there. This technique also applies to read-only pages (for example, pages of binary code). Such pages cannot be modified; thus, they may be discarded when desired. This scheme can significantly reduce the time required to service a page fault, since it reduces I/O time by one-half if the page has not been modified.

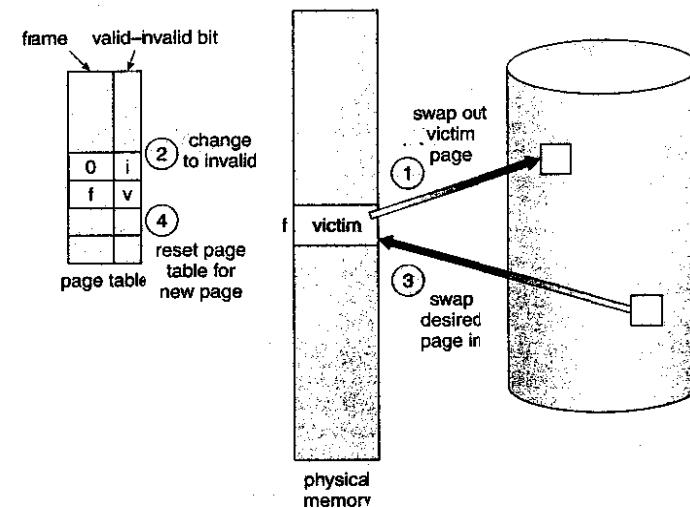


Figure 9.10 Page replacement.

Page replacement is basic to demand paging. It completes the separation between logical memory and physical memory. With this mechanism, an enormous virtual memory can be provided for programmers on a smaller physical memory. With no demand paging, user addresses are mapped into physical addresses, so the two sets of addresses can be different. All the pages of a process still must be in physical memory, however. With demand paging, the size of the logical address space is no longer constrained by physical memory. If we have a user process of twenty pages, we can execute it in ten frames simply by using demand paging and using a replacement algorithm to find a free frame whenever necessary. If a page that has been modified is to be replaced, its contents are copied to the disk. A later reference to that page will cause a page fault. At that time, the page will be brought back into memory, perhaps replacing some other page in the process.

We must solve two major problems to implement demand paging: We must develop a **frame-allocation algorithm** and a **page-replacement algorithm**. If we have multiple processes in memory, we must decide how many frames to allocate to each process. Further, when page replacement is required, we must select the frames that are to be replaced. Designing appropriate algorithms to solve these problems is an important task, because disk I/O is so expensive. Even slight improvements in demand-paging methods yield large gains in system performance.

There are many different page-replacement algorithms. Every operating system probably has its own replacement scheme. How do we select a particular replacement algorithm? In general, we want the one with the lowest page-fault rate.

We evaluate an algorithm by running it on a particular string of memory references and computing the number of page faults. The string of memory references is called a **reference string**. We can generate reference strings artificially (by using a random-number generator, for example), or we can trace a given system and record the address of each memory reference. The latter choice produces a large number of data (on the order of 1 million addresses per second). To reduce the number of data, we use two facts.

First, for a given page size (and the page size is generally fixed by the hardware or system), we need to consider only the page number, rather than the entire address. Second, if we have a reference to a page  $p$ , then any *immediately* following references to page  $p$  will never cause a page fault. Page  $p$  will be in memory after the first reference, so the immediately following references will not fault.

For example, if we trace a particular process, we might record the following address sequence:

0100, 0432, 0101, 0612, 0102, 0103, 0104, 0101, 0611, 0102, 0103,  
0104, 0101, 0610, 0102, 0103, 0104, 0101, 0609, 0102, 0105

At 100 bytes per page, this sequence is reduced to the following reference string:

1, 4, 1, 6, 1, 6, 1, 6, 1, 6, 1

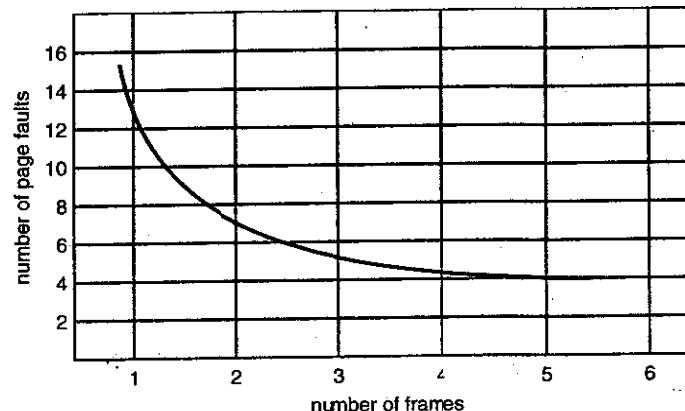


Figure 9.11 Graph of page faults versus number of frames.

To determine the number of page faults for a particular reference string and page-replacement algorithm, we also need to know the number of page frames available. Obviously, as the number of frames available increases, the number of page faults decreases. For the reference string considered previously, for example, if we had three or more frames, we would have only three faults—one fault for the first reference to each page. In contrast, with only one frame available, we would have a replacement with every reference, resulting in eleven faults. In general, we expect a curve such as that in Figure 9.11. As the number of frames increases, the number of page faults drops to some minimal level. Of course, adding physical memory increases the number of frames.

We next illustrate several page-replacement algorithms. In doing so, we use the reference string

7, 0, 1, 2, 0, 3, 0, 4, 2, 3, 0, 3, 2, 1, 2, 0, 1, 7, 0, 1

for a memory with three frames.

#### 9.4.2 FIFO Page Replacement

The simplest page-replacement algorithm is a first-in, first-out (FIFO) algorithm. A FIFO replacement algorithm associates with each page the time when that page was brought into memory. When a page must be replaced, the oldest page is chosen. Notice that it is not strictly necessary to record the time when a page is brought in. We can create a FIFO queue to hold all pages in memory. We replace the page at the head of the queue. When a page is brought into memory, we insert it at the tail of the queue.

For our example reference string, our three frames are initially empty. The first three references (7, 0, 1) cause page faults and are brought into these empty frames. The next reference (2) replaces page 7, because page 7 was brought in first. Since 0 is the next reference and 0 is already in memory, we have no fault for this reference. The first reference to 3 results in replacement of page 0, since

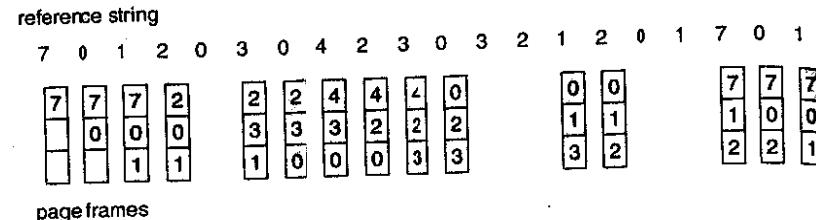


Figure 9.12 FIFO page-replacement algorithm.

it is now first in line. Because of this replacement, the next reference, to 0, will fault. Page 1 is then replaced by page 0. This process continues as shown in Figure 9.12. Every time a fault occurs, we show which pages are in our three frames. There are 15 faults altogether.

The FIFO page-replacement algorithm is easy to understand and program. However, its performance is not always good. On the one hand, the page replaced may be an initialization module that was used a long time ago and is no longer needed. On the other hand, it could contain a heavily used variable that was initialized early and is in constant use.

Notice that, even if we select for replacement a page that is in active use, everything still works correctly. After we replace an active page with a new one, a fault occurs almost immediately to retrieve the active page. Some other page will need to be replaced to bring the active page back into memory. Thus, a bad replacement choice increases the page-fault rate and slows process execution. It does not, however, cause incorrect execution.

To illustrate the problems that are possible with a FIFO page-replacement algorithm, we consider the following reference string:

1, 2, 3, 4, 1, 2, 5, 1, 2, 3, 4, 5

Figure 9.13 shows the curve of page faults for this reference string versus the number of available frames. Notice that the number of faults for four frames is greater than the number of faults for three frames (nine)! This most unexpected result is known as Belady's anomaly: For some page-replacement algorithms, the page-fault rate may increase as the number of allocated frames increases. We would expect that giving more memory to a process would improve its performance. In some early research, investigators noticed that this assumption was not always true. Belady's anomaly was discovered as a result.

#### 9.4.3 Optimal Page Replacement

One result of the discovery of Belady's anomaly was the search for an optimal page-replacement algorithm. An optimal page-replacement algorithm has the lowest page-fault rate of all algorithms and will never suffer from Belady's anomaly. Such an algorithm does exist and has been called OPT or MIN. It is simply this:

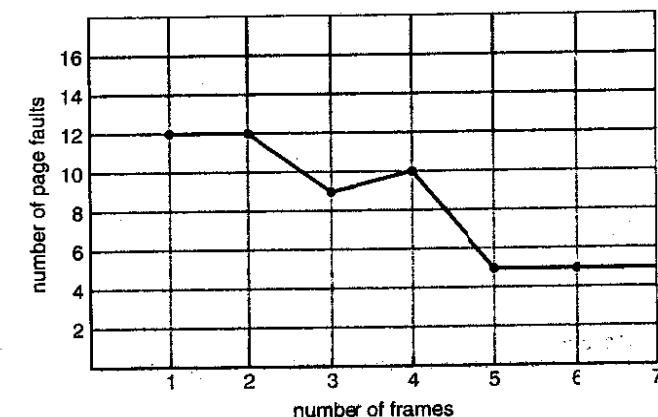


Figure 9.13 Page-fault curve for FIFO replacement on a reference string.

Replace the page that will not be used for the longest period of time.

Use of this page-replacement algorithm guarantees the lowest possible page-fault rate for a fixed number of frames.

For example, on our sample reference string, the optimal page-replacement algorithm would yield nine page faults, as shown in Figure 9.14. The first three references cause faults that fill the three empty frames. The reference to page 2 replaces page 7, because 7 will not be used until reference 18, whereas page 0 will be used at 5, and page 1 at 14. The reference to page 3 replaces page 1, as page 1 will be the last of the three pages in memory to be referenced again. With only nine page faults, optimal replacement is much better than a FIFO algorithm, which resulted in fifteen faults. (If we ignore the first three, which all algorithms must suffer, then optimal replacement is twice as good as FIFO replacement.) In fact, no replacement algorithm can process this reference string in three frames with fewer than nine faults.

Unfortunately, the optimal page-replacement algorithm is difficult to implement, because it requires future knowledge of the reference string. (We encountered a similar situation with the SJF CPU-scheduling algorithm in

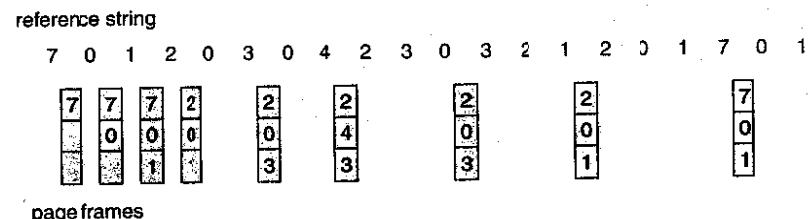


Figure 9.14 Optimal page-replacement algorithm

Section 5.3.2) As a result, the optimal algorithm is used mainly for comparison studies. For instance, it may be useful to know that, although a new algorithm is not optimal, it is within 12.3 percent of optimal at worst and within 4.7 percent on average.

#### 9.4.4 LRU Page Replacement

If the optimal algorithm is not feasible, perhaps an approximation of the optimal algorithm is possible. The key distinction between the FIFO and OPT algorithms (other than looking backward versus forward in time) is that the FIFO algorithm uses the time when a page was brought into memory, whereas the OPT algorithm uses the time when a page is to be *used*. If we use the recent past as an approximation of the near future, then we can replace the page that *has not been used* for the longest period of time (Figure 9.15). This approach is the **least-recently-used (LRU)** algorithm.

LRU replacement associates with each page the time of that page's last use. When a page must be replaced, LRU chooses the page that has not been used for the longest period of time. We can think of this strategy as the optimal page-replacement algorithm looking backward in time, rather than forward. (Strangely, if we let  $S^R$  be the reverse of a reference string  $S$ , then the page-fault rate for the OPT algorithm on  $S$  is the same as the page-fault rate for the OPT algorithm on  $S^R$ . Similarly, the page-fault rate for the LRU algorithm on  $S$  is the same as the page-fault rate for the LRU algorithm on  $S^R$ .)

The result of applying LRU replacement to our example reference string is shown in Figure 9.15. The LRU algorithm produces 12 faults. Notice that the first 5 faults are the same as those for optimal replacement. When the reference to page 4 occurs, however, LRU replacement sees that, of the three frames in memory, page 2 was used least recently. Thus, the LRU algorithm replaces page 2, not knowing that page 2 is about to be used. When it then faults for page 2, the LRU algorithm replaces page 3, since it is now the least recently used of the three pages in memory. Despite these problems, LRU replacement with 12 faults is much better than FIFO replacement with 15.

The LRU policy is often used as a page-replacement algorithm and is considered to be good. The major problem is *how* to implement LRU replacement. An LRU page-replacement algorithm may require substantial hardware assistance. The problem is to determine an order for the frames defined by the time of last use. Two implementations are feasible:

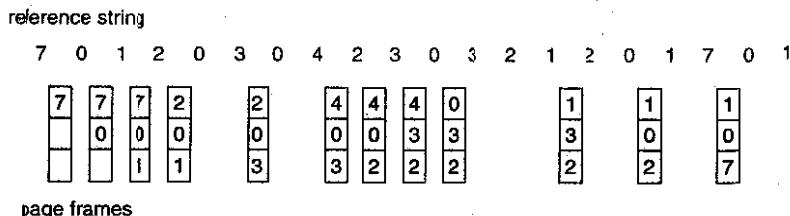


Figure 9.15 LRU page-replacement algorithm.

- **Counters.** In the simplest case, we associate with each page-table entry a time-of-use field and add to the CPU a logical clock or counter. The clock is incremented for every memory reference. Whenever a reference to a page is made, the contents of the clock register are copied to the time-of-use field in the page-table entry for that page. In this way we always have the “time” of the last reference to each page. We replace the page with the smallest time value. This scheme requires a search of the page table to find the LRU page and a write to memory (to the time-of-use field in the page table) for each memory access. The times must also be maintained when page tables are changed (due to CPU scheduling). Overflow of the clock must be considered.
- **Stack.** Another approach to implementing LRU replacement is to keep a stack of page numbers. Whenever a page is referenced, it is removed from the stack and put on the top. In this way, the most recently used page is always at the top of the stack and the least recently used page is always at the bottom (Figure 9.16). Because entries must be removed from the middle of the stack, it is best to implement this approach by using a doubly linked list with a head and tail pointer. Removing a page and putting it on the top of the stack then requires changing six pointers at worst. Each update is a little more expensive, but there is no search for a replacement; the tail pointer points to the bottom of the stack, which is the LRU page. This approach is particularly appropriate for software or microcode implementations of LRU replacement.

Like optimal replacement, LRU replacement does not suffer from Belady’s anomaly. Both belong to a class of page-replacement algorithms, called **stack algorithms**, that can never exhibit Belady’s anomaly. A stack algorithm is an algorithm for which it can be shown that the set of pages in memory for  $n$  frames is always a *subset* of the set of pages that would be in memory with  $n + 1$  frames. For LRU replacement, the set of pages in memory would be the  $n$  most recently referenced pages. If the number of frames is increased, these  $n$  pages will still be the most recently referenced and so will still be in memory.

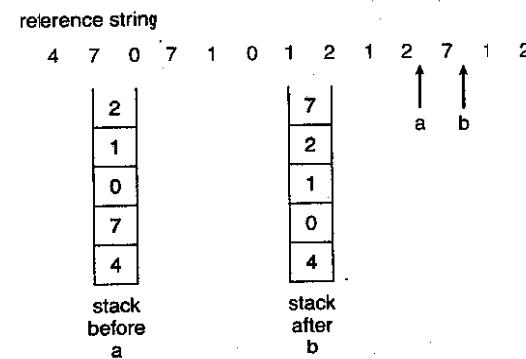


Figure 9.16 Use of a stack to record the most recent page references.

Note that neither implementation of LRU would be conceivable without hardware assistance beyond the standard TLB registers. The updating of the clock fields or stack must be done for *every* memory reference. If we were to use an interrupt for every reference to allow software to update such data structures, it would slow every memory reference by a factor of at least ten, hence slowing every user process by a factor of ten. Few systems could tolerate that level of overhead for memory management.

#### 9.4.5 LRU-Approximation Page Replacement

Few computer systems provide sufficient hardware support for true LRU page replacement. Some systems provide no hardware support, and other page-replacement algorithms (such as a FIFO algorithm) must be used. Many systems provide some help, however, in the form of a **reference bit**. The reference bit for a page is set by the hardware whenever that page is referenced (either a read or a write to any byte in the page). Reference bits are associated with each entry in the page table.

Initially, all bits are cleared (to 0) by the operating system. As a user process executes, the bit associated with each page referenced is set (to 1) by the hardware. After some time, we can determine which pages have been used and which have not been used by examining the reference bits, although we do not know the *order* of use. This information is the basis for many page-replacement algorithms that approximate LRU replacement.

##### 9.4.5.1 Additional-Reference-Bits Algorithm

We can gain additional ordering information by recording the reference bits at regular intervals. We can keep an 8-bit byte for each page in a table in memory. At regular intervals (say, every 100 milliseconds), a timer interrupt transfers control to the operating system. The operating system shifts the reference bit for each page into the high-order bit of its 8-bit byte, shifting the other bits right by 1 bit and discarding the low-order bit. These 8-bit shift registers contain history of page use for the last eight time periods. If the shift register contains a page that is used at least once in each period, its shift register value of 11111111. A page with a history register value of 11000100 has been used more recently than one with a value of 01101111. If we interpret these 8-bit bytes as unsigned integers, the page with the lowest number is the LRU page, and it can be replaced. Notice that the numbers are not guaranteed to be unique, however. We can either replace (swap out) all pages with the smallest value or use the FIFO method to choose among them.

The number of bits of history can be varied, of course, and is selected (depending on the hardware available) to make the updating as fast as possible. In the extreme case, the number can be reduced to zero, leaving only the reference bit itself. This algorithm is called the **second-chance page-replacement algorithm**.

##### 9.4.5.2 Second-Chance Algorithm

The basic algorithm of second-chance replacement is a FIFO replacement algorithm. When a page has been selected, however, we inspect its reference

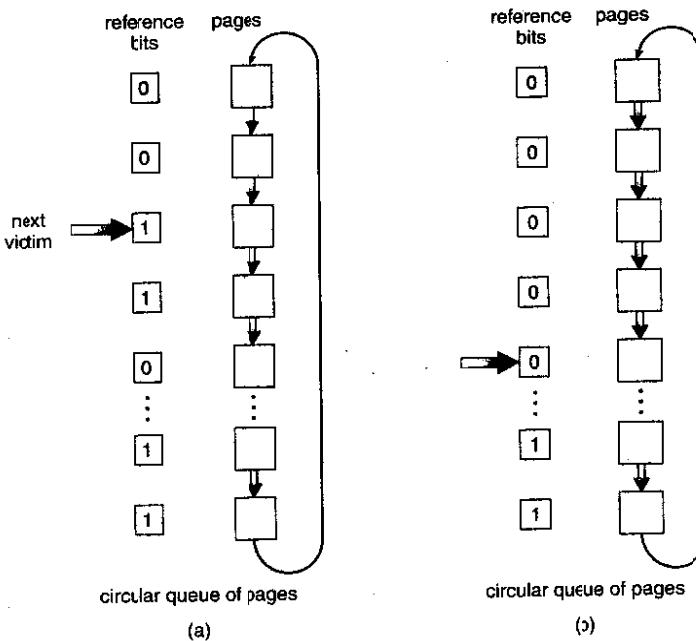


Figure 9.17 Second-chance (clock) page-replacement algorithm.

bit. If the value is 0, we proceed to replace this page; but if the reference bit is set to 1, we give the page a second chance and move on to select the next FIFO page. When a page gets a second chance, its reference bit is cleared, and its arrival time is reset to the current time. Thus, a page that is given a second chance will not be replaced until all other pages have been replaced (or given second chances). In addition, if a page is used often enough to keep its reference bit set, it will never be replaced.

One way to implement the second-chance algorithm (sometimes referred to as the *clock* algorithm) is as a circular queue. A pointer (that is, a hand on the clock) indicates which page is to be replaced next. When a frame is needed, the pointer advances until it finds a page with a 0 reference bit. As it advances, it clears the reference bits (Figure 9.17). Once a victim page is found, the page is replaced, and the new page is inserted in the circular queue in that position. Notice that, in the worst case, when all bits are set, the pointer cycles through the whole queue, giving each page a second chance. It clears all the reference bits before selecting the next page for replacement. Second-chance replacement degenerates to FIFO replacement if all bits are set.

##### 9.4.5.3 Enhanced Second-Chance Algorithm

We can enhance the second-chance algorithm by considering the reference bit and the modify bit (described in Section 9.4.1) as an ordered pair. With these two bits, we have the following four possible classes:

1. (0, 0) neither recently used nor modified—best page to replace
2. (0, 1) not recently used but modified—not quite as good, because the page will need to be written out before replacement
3. (1, 0) recently used but clean—probably will be used again soon
4. (1, 1) recently used and modified—probably will be used again soon, and the page will be need to be written out to disk before it can be replaced

Each page is in one of these four classes. When page replacement is called for, we use the same scheme as in the clock algorithm; but instead of examining whether the page to which we are pointing has the reference bit set to 1, we examine the class to which that page belongs. We replace the first page encountered in the lowest nonempty class. Notice that we may have to scan the circular queue several times before we find a page to be replaced.

The major difference between this algorithm and the simpler clock algorithm is that here we give preference to those pages that have been modified to reduce the number of I/Os required.

#### 9.4.6 Counting-Based Page Replacement

There are many other algorithms that can be used for page replacement. For example, we can keep a counter of the number of references that have been made to each page and develop the following two schemes.

- The **least frequently used (LFU)** page-replacement algorithm requires that the page with the smallest count be replaced. The reason for this selection is that an actively used page should have a large reference count. A problem arises, however, when a page is used heavily during the initial phase of a process but then is never used again. Since it was used heavily, it has a large count and remains in memory even though it is no longer needed. One solution is to shift the counts right by 1 bit at regular intervals, forming an exponentially decaying average usage count.
- The **most frequently used (MFU)** page-replacement algorithm is based on the argument that the page with the smallest count was probably just brought in and has yet to be used.

As you might expect, neither MFU nor LFU replacement is common. The implementation of these algorithms is expensive, and they do not approximate OPT replacement well.

#### 9.4.7 Page-Buffering Algorithms

Other procedures are often used in addition to a specific page-replacement algorithm. For example, systems commonly keep a pool of free frames. When a page fault occurs, a victim frame is chosen as before. However, the desired page is read into a free frame from the pool before the victim is written out. This procedure allows the process to restart as soon as possible, without waiting

for the victim page to be written out. When the victim is later written out, its frame is added to the free-frame pool.

An expansion of this idea is to maintain a list of modified pages. Whenever the paging device is idle, a modified page is selected and is written to the disk. Its modify bit is then reset. This scheme increases the probability that a page will be clean when it is selected for replacement and will not need to be written out.

Another modification is to keep a pool of free frames but to remember which page was in each frame. Since the frame contents are not modified when a frame is written to the disk, the old page can be reused directly from the free-frame pool if it is needed before that frame is reused. No I/O is needed in this case. When a page fault occurs, we first check whether the desired page is in the free-frame pool. If it is not, we must select a free frame and read into it.

This technique is used in the VAX/VMS system along with a FIFO replacement algorithm. When the FIFO replacement algorithm mistakenly replaces a page that is still in active use, that page is quickly retrieved from the free-frame pool, and no I/O is necessary. The free-frame buffer provides protection against the relatively poor, but simple, FIFO replacement algorithm. This method is necessary because the early versions of VAX did not implement the reference bit correctly.

Some versions of the UNIX system use this method in conjunction with the second-chance algorithm. It can be a useful augmentation to any page-replacement algorithm, to reduce the penalty incurred if the wrong victim page is selected.

#### 9.4.8 Applications and Page Replacement

In certain cases, applications accessing data through the operating system's virtual memory perform worse than if the operating system provided no buffering at all. A typical example is a database, which provides its own memory management and I/O buffering. Applications like this understand their memory use and disk use better than does an operating system that is implementing algorithms for general-purpose use. If the operating system is buffering I/O, and the application is doing so as well, then twice the memory is being used for a set of I/O.

In another example, data warehouses frequently perform massive sequential disk reads, followed by computations and writes. The LRU algorithm would be removing old pages and preserving new ones, while the application would more likely be reading older pages than newer ones (as it starts its sequential reads again). Here, MFU would actually be more efficient than LRU.

Because of such problems, some operating systems give special programs the ability to use a disk partition as a large sequential array of logical blocks, without any file-system data structures. This array is sometimes called the raw disk, and I/O to this array is termed raw I/O. Raw I/O bypasses all the file-system services, such as file I/O demand paging, file locking, prefetching, space allocation, file names, and directories. Note that although certain applications are more efficient when implementing their own special-purpose storage services on a raw partition, most applications perform better when they use the regular file-system services.

## 9.5 Allocation of Frames

We turn next to the issue of allocation. How do we allocate the fixed amount of free memory among the various processes? If we have 93 free frames and two processes, how many frames does each process get?

The simplest case is the single-user system. Consider a single-user system with 128 KB of memory composed of pages 1 KB in size. This system has 128 frames. The operating system may take 35 KB, leaving 93 frames for the user process. Under pure demand paging, all 93 frames would initially be put on the free-frame list. When a user process started execution, it would generate a sequence of page faults. The first 93 page faults would all get free frames from the free-frame list. When the free-frame list was exhausted, a page-replacement algorithm would be used to select one of the 93 in-memory pages to be replaced with the 94th, and so on. When the process terminated, the 93 frames would once again be placed on the free-frame list.

There are many variations on this simple strategy. We can require that the operating system allocate all its buffer and table space from the free-frame list. When this space is not in use by the operating system, it can be used to support user paging. We can try to keep three free frames reserved on the free-frame list at all times. Thus, when a page fault occurs, there is a free frame available to page into. While the page swap is taking place, a replacement can be selected, which is then written to the disk as the user process continues to execute. Other variants are also possible, but the basic strategy is clear: The user process is allocated any free frame.

### 9.5.1 Minimum Number of Frames

Our strategies for the allocation of frames are constrained in various ways. We cannot, for example, allocate more than the total number of available frames (unless there is page sharing). We must also allocate at least a minimum number of frames. Here, we look more closely at the latter requirement.

One reason for allocating at least a minimum number of frames involves performance. Obviously, as the number of frames allocated to each process decreases, the page-fault rate increases, slowing process execution. In addition, remember that, when a page fault occurs before an executing instruction is complete, the instruction must be restarted. Consequently, we must have enough frames to hold all the different pages that any single instruction can reference.

For example, consider a machine in which all memory-reference instructions have only one memory address. In this case, we need at least one frame for the instruction and one frame for the memory reference. In addition, if one-level indirect addressing is allowed (for example, a load instruction on page 16 can refer to an address on page 0, which is an indirect reference to page 23), then paging requires at least three frames per process. Think about what might happen if a process had only two frames.

The minimum number of frames is defined by the computer architecture. For example, the move instruction for the PDP-11 includes more than one word for some addressing modes, and thus the instruction itself may straddle two pages. In addition, each of its two operands may be indirect references, for a total of six frames. Another example is the IBM 370 MVC instruction. Since the

instruction is from storage location to storage location, it takes 6 bytes and can straddle two pages. The block of characters to move and the area to which it is to be moved can each also straddle two pages. This situation would require six frames. The worst case occurs when the MVC instruction is the operand of an EXECUTE instruction that straddles a page boundary; in this case, we need eight frames.

The worst-case scenario occurs in computer architectures that allow multiple levels of indirection (for example, each 16-bit word could contain a 15-bit address plus a 1-bit indirect indicator). Theoretically, a simple load instruction could reference an indirect address that could reference an indirect address (on another page) that could also reference an indirect address (on yet another page), and so on, until every page in virtual memory had been touched. Thus, in the worst case, the entire virtual memory must be in physical memory. To overcome this difficulty, we must place a limit on the levels of indirection (for example, limit an instruction to at most 16 levels of indirection). When the first indirection occurs, a counter is set to 16; the counter is then decremented for each successive indirection for this instruction. If the counter is decremented to 0, a trap occurs (excessive indirection). This limitation reduces the maximum number of memory references per instruction to 17, requiring the same number of frames.

Whereas the minimum number of frames per process is defined by the architecture, the maximum number is defined by the amount of available physical memory. In between, we are still left with significant choice in frame allocation.

### 9.5.2 Allocation Algorithms

The easiest way to split  $m$  frames among  $n$  processes is to give everyone an equal share,  $m/n$  frames. For instance, if there are 93 frames and five processes, each process will get 18 frames. The leftover three frames can be used as a free-frame buffer pool. This scheme is called **equal allocation**.

An alternative is to recognize that various processes will need differing amounts of memory. Consider a system with a 1-KB frame size. If a small student process of 10 KB and an interactive database of 127 KB are the only two processes running in a system with 62 free frames, it does not make much sense to give each process 31 frames. The student process does not need more than 10 frames, so the other 21 are, strictly speaking, wasted.

To solve this problem, we can use **proportional allocation**, in which we allocate available memory to each process according to its size. Let the size of the virtual memory for process  $p_i$  be  $s_i$ , and define

$$S = \sum s_i.$$

Then, if the total number of available frames is  $m$ , we allocate  $a_i$  frames to process  $p_i$ , where  $a_i$  is approximately

$$a_i = s_i / S \times m.$$

Of course, we must adjust each  $a_i$  to be an integer that is greater than the minimum number of frames required by the instruction set, with a sum not exceeding  $m$ .

For proportional allocation, we would split 62 frames between two processes, one of 10 pages and one of 127 pages, by allocating 4 frames and 57 frames, respectively, since

$$\begin{aligned}10/137 \times 62 &\approx 4, \text{ and} \\127/137 \times 62 &\approx 57.\end{aligned}$$

In this way, both processes share the available frames according to their "needs," rather than equally.

In both equal and proportional allocation, of course, the allocation may vary according to the multiprogramming level. If the multiprogramming level is increased, each process will lose some frames to provide the memory needed for the new process. Conversely, if the multiprogramming level decreases, the frames that were allocated to the departed process can be spread over the remaining processes.

Notice that, with either equal or proportional allocation, a high-priority process is treated the same as a low-priority process. By its definition, however, we may want to give the high-priority process more memory to speed its execution, to the detriment of low-priority processes. One solution is to use a proportional allocation scheme wherein the ratio of frames depends not on the relative sizes of processes but rather on the priorities of processes or on a combination of size and priority.

### 9.5.3 Global versus Local Allocation

Another important factor in the way frames are allocated to the various processes is page replacement. With multiple processes competing for frames, we can classify page-replacement algorithms into two broad categories: **global replacement** and **local replacement**. Global replacement allows a process to select a replacement frame from the set of all frames, even if that frame is currently allocated to some other process; that is, one process can take a frame from another. Local replacement requires that each process select from only its own set of allocated frames.

For example, consider an allocation scheme where we allow high-priority processes to select frames from low-priority processes for replacement. A process can select a replacement from among its own frames or the frames of any lower-priority process. This approach allows a high-priority process to increase its frame allocation at the expense of a low-priority process.

With a local replacement strategy, the number of frames allocated to a process does not change. With global replacement, a process may happen to select only frames allocated to other processes, thus increasing the number of frames allocated to it (assuming that other processes do not choose its frames for replacement).

One problem with a global replacement algorithm is that a process cannot control its own page-fault rate. The set of pages in memory for a process depends not only on the paging behavior of that process but also on the paging behavior of other processes. Therefore, the same process may perform quite

differently (for example, taking 0.5 seconds for one execution and 10.3 seconds for the next execution) because of totally external circumstances. Such is not the case with a local replacement algorithm. Under local replacement, the set of pages in memory for a process is affected by the paging behavior of only that process. Local replacement might hinder a process, however, by not making available to it other, less used pages of memory. Thus, global replacement generally results in greater system throughput and is therefore the more common method.

## 9.6 Thrashing

If the number of frames allocated to a low-priority process falls below the minimum number required by the computer architecture, we must suspend that process's execution. We should then page out its remaining pages, freeing all its allocated frames. This provision introduces a swap-in, swap-out level of intermediate CPU scheduling.

In fact, look at any process that does not have "enough" frames. If the process does not have the number of frames it needs to support pages in active use, it will quickly page-fault. At this point, it must replace some page. However, since all its pages are in active use, it must replace a page that will be needed again right away. Consequently, it quickly faults again, and again, and again, replacing pages that it must bring back in immediately.

This high paging activity is called **thrashing**. A process is thrashing if it is spending more time paging than executing.

### 9.6.1 Cause of Thrashing

Thrashing results in severe performance problems. Consider the following scenario, which is based on the actual behavior of early paging systems.

The operating system monitors CPU utilization. If CPU utilization is too low, we increase the degree of multiprogramming by introducing a new process to the system. A global page-replacement algorithm is used; it replaces pages without regard to the process to which they belong. Now suppose that a process enters a new phase in its execution and needs more frames. It starts faulting and taking frames away from other processes. These processes need those pages, however, and so they also fault, taking frames from other processes. These faulting processes must use the paging device to swap pages in and out. As they queue up for the paging device, the ready queue empties. As processes wait for the paging device, CPU utilization decreases.

The CPU scheduler sees the decreasing CPU utilization and *increases* the degree of multiprogramming as a result. The new process tries to get started by taking frames from running processes, causing more page faults and a longer queue for the paging device. As a result, CPU utilization drops even further, and the CPU scheduler tries to increase the degree of multiprogramming even more. Thrashing has occurred, and system throughput plunges. The page-fault rate increases tremendously. As a result, the effective memory-access time increases. No work is getting done, because the processes are spending all their time paging.

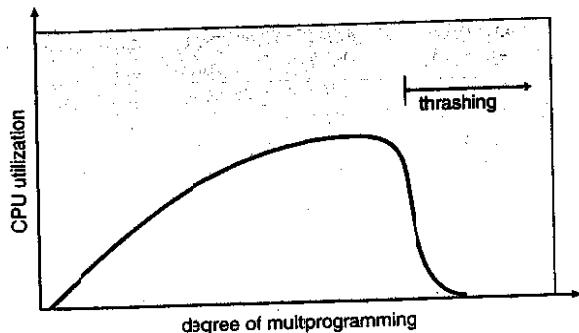


Figure 9.18 Thrashing.

This phenomenon is illustrated in Figure 9.18, in which CPU utilization is plotted against the degree of multiprogramming. As the degree of multiprogramming increases, CPU utilization also increases, although more slowly, until a maximum is reached. If the degree of multiprogramming is increased even further, thrashing sets in, and CPU utilization drops sharply. At this point, to increase CPU utilization and stop thrashing, we must *decrease* the degree of multiprogramming.

We can limit the effects of thrashing by using a **local replacement algorithm** (or **priority replacement algorithm**). With local replacement, if one process starts thrashing, it cannot steal frames from another process and cause the latter to thrash as well. However, the problem is not entirely solved. If processes are thrashing, they will be in the queue for the paging device most of the time. The average service time for a page fault will increase because of the longer average queue for the paging device. Thus, the effective access time will increase even for a process that is not thrashing.

To prevent thrashing, we must provide a process with as many frames as it needs. But how do we know how many frames it "needs"? There are several techniques. The working-set strategy (Section 9.6.2) starts by looking at how many frames a process is actually using. This approach defines the locality model of process execution.

The locality model states that, as a process executes, it moves from locality to locality. A locality is a set of pages that are actively used together (Figure 9.19). A program is generally composed of several different localities, which may overlap.

For example, when a function is called, it defines a new locality. In this locality, memory references are made to the instructions of the function call, its local variables, and a subset of the global variables. When we exit the function, the process leaves this locality, since the local variables and instructions of the function are no longer in active use. We may return to this locality later.

Thus, we see that localities are defined by the program structure and its data structures. The locality model states that all programs will exhibit this basic memory reference structure. Note that the locality model is the unstated principle behind the caching discussions so far in this book. If accesses to any types of data were random rather than patterned, caching would be useless.

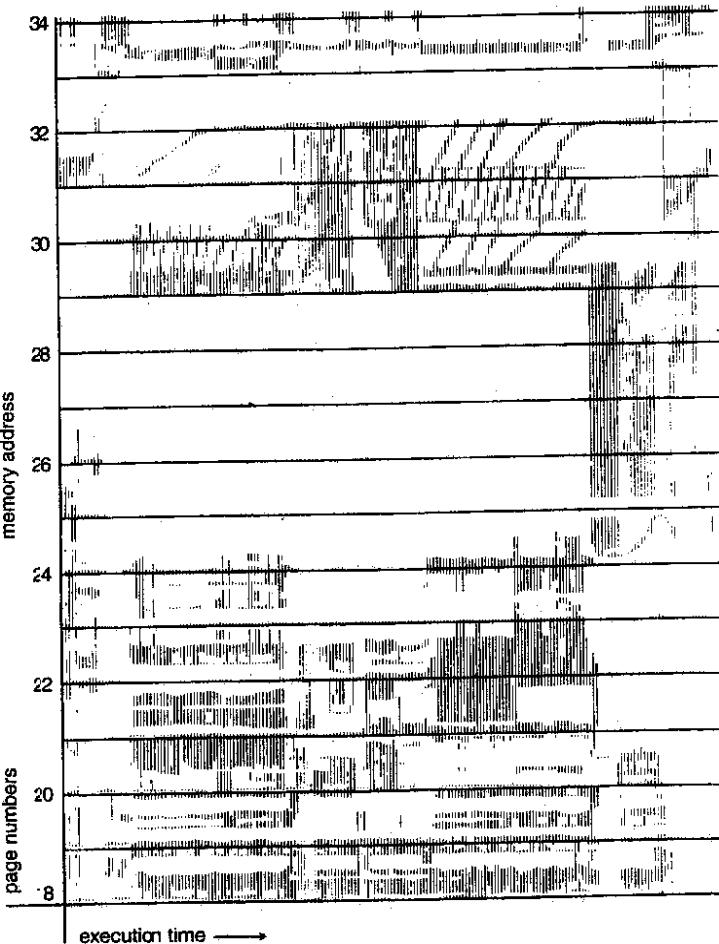


Figure 9.19 Locality in a memory-reference pattern

Suppose we allocate enough frames to a process to accommodate its current locality. It will fault for the pages in its locality until all these pages are in memory; then, it will not fault again until it changes localities. If we allocate fewer frames than the size of the current locality, the process will thrash, since it cannot keep in memory all the pages that it is actively using.

### 9.6.2 Working-Set Model

As mentioned, the **working-set model** is based on the assumption of locality. This model uses a parameter,  $\Delta$ , to define the **working-set window**. The idea is to examine the most recent  $\Delta$  page references. The set of pages in the most

recent  $\Delta$  page references is the **working set** (Figure 9.20). If a page is in active use, it will be in the working set. If it is no longer being used, it will drop from the working set  $\Delta$  time units after its last reference. Thus, the working set is an approximation of the program's locality.

For example, given the sequence of memory references shown in Figure 9.20, if  $\Delta = 10$  memory references, then the working set at time  $t_1$  is  $\{1, 2, 5, 6, 7\}$ . By time  $t_2$ , the working set has changed to  $\{3, 4\}$ .

The accuracy of the working set depends on the selection of  $\Delta$ . If  $\Delta$  is too small, it will not encompass the entire locality; if  $\Delta$  is too large, it may overlap several localities. In the extreme, if  $\Delta$  is infinite, the working set is the set of pages touched during the process execution.

The most important property of the working set, then, is its size. If we compute the working-set size,  $WSS_i$ , for each process in the system, we can then consider that

$$D = \sum WSS_i,$$

where  $D$  is the total demand for frames. Each process is actively using the pages in its working set. Thus, process  $i$  needs  $WSS_i$  frames. If the total demand is greater than the total number of available frames ( $D > m$ ), thrashing will occur, because some processes will not have enough frames.

Once  $\Delta$  has been selected, use of the working-set model is simple. The operating system monitors the working set of each process and allocates to that working set enough frames to provide it with its working-set size. If there are enough extra frames, another process can be initiated. If the sum of the working-set sizes increases, exceeding the total number of available frames, the operating system selects a process to suspend. The process's pages are written out (swapped), and its frames are reallocated to other processes. The suspended process can be restarted later.

This working-set strategy prevents thrashing while keeping the degree of multiprogramming as high as possible. Thus, it optimizes CPU utilization.

The difficulty with the working-set model is keeping track of the working set. The working-set window is a moving window. At each memory reference, a new reference appears at one end and the oldest reference drops off the other end. A page is in the working set if it is referenced anywhere in the working-set window.

We can approximate the working-set model with a fixed-interval timer interrupt and a reference bit. For example, assume that  $\Delta$  equals 10,000 references and that we can cause a timer interrupt every 5,000 references. When we get a timer interrupt, we copy and clear the reference-bit values for

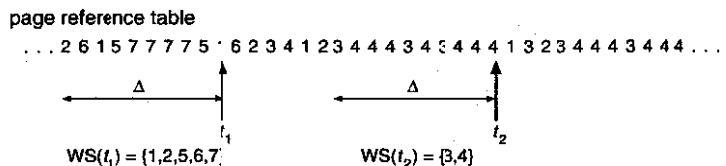


Figure 9.20 Working-set model.

each page. Thus, if a page fault occurs, we can examine the current reference bit and two in-memory bits to determine whether a page was used within the last 10,000 to 15,000 references. If it was used, at least one of these bits will be on. If it has not been used, these bits will be off. Those pages with at least one bit on will be considered to be in the working set. Note that this arrangement is not entirely accurate, because we cannot tell where, within an interval of 5,000, a reference occurred. We can reduce the uncertainty by increasing the number of history bits and the frequency of interrupts (for example, 10 bits and interrupt every 1,000 references). However, the cost to service these more frequent interrupts will be correspondingly higher.

### 9.6.3 Page-Fault Frequency

The working-set model is successful, and knowledge of the working set can be useful for prepping (Section 9.9.1), but it seems a clumsy way to control thrashing. A strategy that uses the **page-fault frequency (PFF)** takes a more direct approach.

The specific problem is how to prevent thrashing. Thrashing has a high page-fault rate. Thus, we want to control the page-fault rate. When it is too high, we know that the process needs more frames. Conversely, if the page-fault rate is too low, then the process may have too many frames. We can establish upper and lower bounds on the desired page-fault rate (Figure 9.21). If the actual page-fault rate exceeds the upper limit, we allocate the process another frame; if the page-fault rate falls below the lower limit, we remove a frame from the process. Thus, we can directly measure and control the page-fault rate to prevent thrashing.

As with the working-set strategy, we may have to suspend a process. If the page-fault rate increases and no free frames are available, we must select some process and suspend it. The freed frames are then distributed to processes with high page-fault rates.

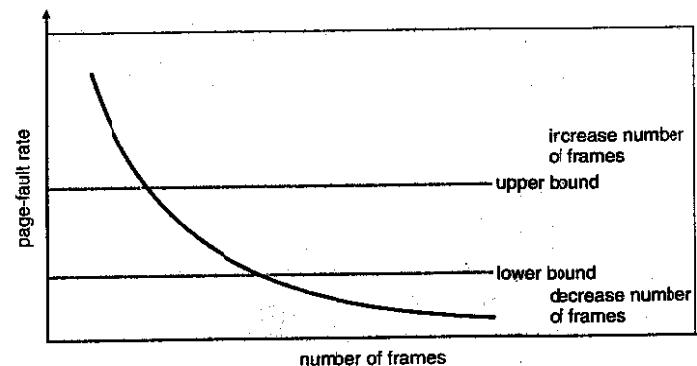


Figure 9.21 Page-fault frequency.

**WORKING SETS AND PAGE FAULT RATES**

There is a direct relationship between the working set of a process and its page-fault rate. As shown in Figure 9.20, typically, the working set of a process changes over time as references to data and code sections move from one locality to another. Assuming there is sufficient memory to store the working set of a process (that is, the process is not thrashing), the page-fault rate of the process will transition between peaks and valleys over time. This general behavior is shown in Figure 9.22.

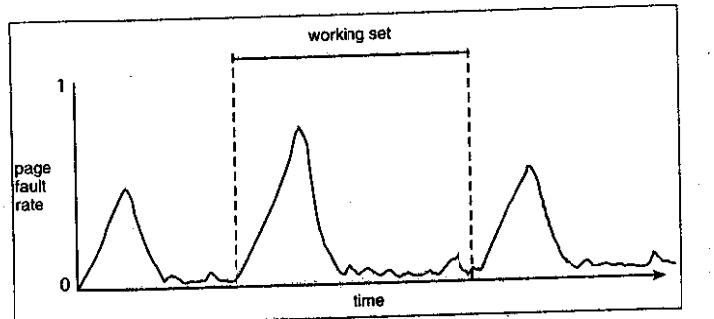


Figure 9.22 Page fault rate over time.

A peak in the page-fault rate occurs when we begin demand-paging a new locality. However, once the working set of this new locality is in memory, the page-fault rate falls. When the process moves to a new working set, the page-fault rate rises towards a peak once again, returning to a lower rate once the new working set is loaded into memory. The span of time between the start of one peak and the start of the next peak illustrates the transition from one working set to another.

## 9.7 Memory-Mapped Files

Consider a sequential read of a file on disk using the standard system calls `open()`, `read()`, and `write()`. Each file access requires a system call and disk access. Alternatively, we can use the virtual memory techniques discussed so far to treat file I/O as routine memory accesses. This approach, known as **memory mapping** a file, allows a part of the virtual address space to be logically associated with the file.

### 9.7.1 Basic Mechanism

Memory mapping a file is accomplished by mapping a disk block to a page (or pages) in memory. Initial access to the file proceeds through ordinary demand paging, resulting in a page fault. However, a page-sized portion of the file is read from the file system into a physical page (some systems may opt

to read in more than a page-sized chunk of memory at a time). Subsequent reads and writes to the file are handled as routine memory accesses, thereby simplifying file access and usage by allowing the system to manipulate files through memory rather than incurring the overhead of using the `read()` and `write()` system calls.

Note that writes to the file mapped in memory are not necessarily immediate (synchronous) writes to the file on disk. Some systems may choose to update the physical file when the operating system periodically checks whether the page in memory has been modified. When the file is closed, all the memory-mapped data are written back to disk and removed from the virtual memory of the process.

Some operating systems provide memory mapping only through a specific system call and use the standard system calls to perform all other file I/O. However, some systems choose to memory-map a file regardless of whether the file was specified as memory-mapped. Let's take Solaris as an example. If a file is specified as memory-mapped (using the `mmap()` system call), Solaris maps the file into the address space of the process. If a file is opened and accessed using ordinary system calls, such as `open()`, `read()`, and `write()`, Solaris still memory-maps the file; however, the file is mapped to the kernel address space. Regardless of how the file is opened, then, Solaris treats all file I/O as memory-mapped, allowing file access to take place via the efficient memory subsystem.

Multiple processes may be allowed to map the same file concurrently, to allow sharing of data. Writes by any of the processes modify the data in virtual memory and can be seen by all others that map the same section of

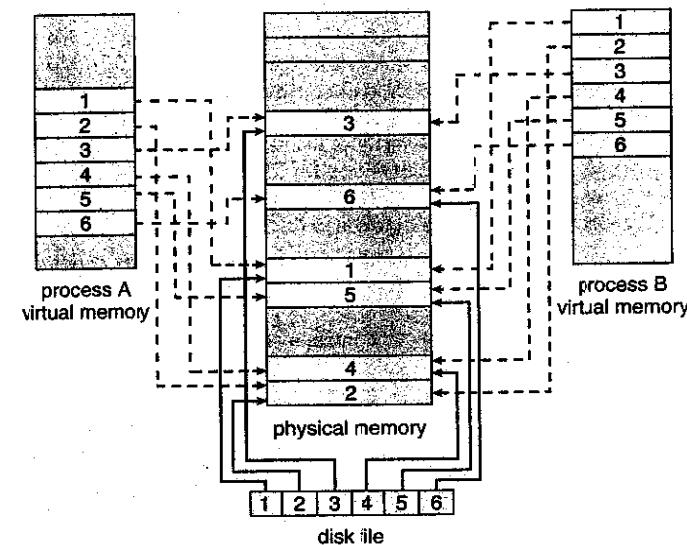


Figure 9.23 Memory-mapped files.

the file. Given our earlier discussions of virtual memory, it should be clear how the sharing of memory-mapped sections of memory is implemented: The virtual memory map of each sharing process points to the same page of physical memory—the page that holds a copy of the disk block. This memory sharing is illustrated in Figure 9.23. The memory-mapping system calls can also support copy-on-write functionality, allowing processes to share a file in read-only mode but to have their own copies of any data they modify. So that access to the shared data is coordinated, the processes involved might use one of the mechanisms for achieving mutual exclusion described in Chapter 6.

In many ways, the sharing of memory-mapped files is similar to shared memory as described in Section 3.4.1. Not all systems use the same mechanism for both; on UNIX and Linux systems, for example, memory mapping is accomplished with the `mmap()` system call, whereas shared memory is achieved with the POSIX-compliant `shmget()` and `shmat()` system calls (Section 3.5.1). On Windows NT, 2000, and XP systems, however, shared memory is accomplished by memory mapping files. On these systems, processes can communicate using shared memory by having the communicating processes memory-map the same file into their virtual address spaces. The memory-mapped file serves as the region of shared memory between the communicating processes (Figure 9.24). In the following section, we illustrate support in the Win32 API for shared memory using memory-mapped files.

### 9.7.2 Shared Memory in the Win32 API

The general outline for creating a region of shared memory using memory-mapped files in the Win32 API involves first creating a **file mapping** for the file to be mapped and then establishing a *view* of the mapped file in a process's virtual address space. A second process can then open and create a view of the mapped file in its virtual address space. The mapped file represents the shared-memory object that will enable communication to take place between the processes.

We next illustrate these steps in more detail. In this example, a producer process first creates a shared-memory object using the memory-mapping features available in the Win32 API. The producer then writes a message

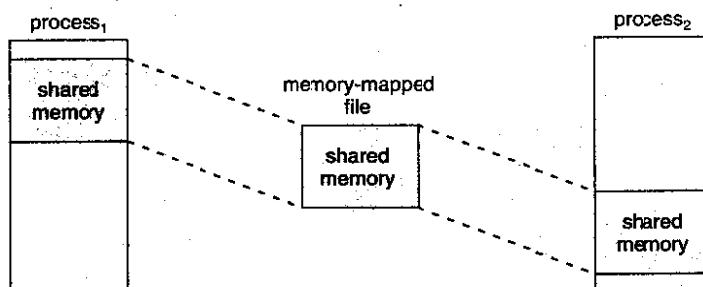


Figure 9.24 Shared memory in Windows using memory-mapped I/O.

to shared memory. After that, a consumer process opens a mapping to the shared-memory object and reads the message written by the consumer.

To establish a memory-mapped file, a process first opens the file to be mapped with the `CreateFile()` function, which returns a HANDLE to the opened file. The process then creates a mapping of this file HANDLE using the `CreateFileMapping()` function. Once the file mapping is established, the process then establishes a view of the mapped file in its virtual address space with the `MapViewOfFile()` function. The view of the mapped file represents the portion of the file being mapped in the virtual address space of the process—the entire file or only a portion of it may be mapped. We illustrate this

```
#include <windows.h>
#include <stdio.h>

int main(int argc, char *argv[])
{
    HANDLE hFile, hMapFile;
    LPVOID lpMapAddress;

    hFile = CreateFile("temp.txt", // file name
                      GENERIC_READ | GENERIC_WRITE, // read/write access
                      0, // no sharing of the file
                      NULL, // default security
                      OPEN_ALWAYS, // open new or existing file
                      FILE_ATTRIBUTE_NORMAL, // routine file attributes
                      NULL); // no file template

    hMapFile = CreateFileMapping(hFile, // file handle
                                NULL, // default security
                                PAGE_READWRITE, // read/write access to mapped pages
                                0, // map entire file
                                0,
                                TEXT("SharedObject")); // named shared memory object

    lpMapAddress = MapViewOfFile(hMapFile, // mapped object handle
                                FILE_MAP_ALL_ACCESS, // read/write access
                                0, // mapped view of entire file
                                0,
                                0);

    // write to shared memory
    sprintf(lpMapAddress, "Shared memory message");

    UnmapViewOfFile(lpMapAddress);
    CloseHandle(hFile);
    CloseHandle(hMapFile);
```

Figure 9.25 Producer writing to shared memory using the Win32 API.

sequence in the program shown in Figure 9.25. (We eliminate much of the error checking for code brevity.)

The call to `CreateFileMapping()` creates a named shared-memory object called `SharedObject`. The consumer process will communicate using this shared-memory segment by creating a mapping to the same named object. The producer then creates a view of the memory-mapped file in its virtual address space. By passing the last three parameters the value 0, it indicates that the mapped view is the entire file. It could instead have passed values specifying an offset and size, thus creating a view containing only a subsection of the file. (It is important to note that the entire mapping may not be loaded into memory when the mapping is established. Rather, the mapped file may be demand-paged, thus bringing pages into memory only as they are accessed.) The `MapViewOfFile()` function returns a pointer to the shared-memory object; any accesses to this memory location are thus accesses to the memory-mapped file. In this instance, the producer process writes the message “Shared memory message” to shared memory.

A program illustrating how the consumer process establishes a view of the named shared-memory object is shown in Figure 9.26. This program is somewhat simpler than the one shown in Figure 9.25, as all that is necessary is for the process to create a mapping to the existing named shared-memory object. The consumer process must also create a view of the mapped file, just as the producer process did in the program in Figure 9.25. The consumer then

```
#include <windows.h>
#include <stdio.h>

int main(int argc, char *argv[])
{
    HANDLE hMapFile;
    LPVOID lpMapAddress;

    hMapFile = OpenFileMapping(FILE_MAP_ALL_ACCESS, // R/W access
        FALSE, // no inheritance
        TEXT("SharedObject")); // name of mapped file object

    lpMapAddress = MapViewOfFile(hMapFile, // mapped object handle
        FILE_MAP_ALL_ACCESS, // read/write access
        0, // mapped view of entire file
        0,
        0);

    // read from shared memory
    printf("Read message %s", lpMapAddress);

    UnmapViewOfFile(lpMapAddress);
    CloseHandle(hMapFile);
}
```

Figure 9.26 Consumer reading from shared memory using the Win32 API.

reads from shared memory the message “Shared memory message” that was written by the producer process.

Finally, both processes remove the view of the mapped file with a call to `UnmapViewOfFile()`. We provide a programming exercise at the end of this chapter using shared memory with memory mapping in the Win32 API.

### 9.7.3 Memory-Mapped I/O

In the case of I/O, as mentioned in Section 1.2.1, each I/O controller includes registers to hold commands and the data being transferred. Usually, specific I/O instructions allow data transfers between these registers and system memory. To allow more convenient access to I/O devices, many computer architectures provide memory-mapped I/O. In this case, ranges of memory addresses are set aside and are mapped to the device registers. Reads and writes to these memory addresses cause the data to be transferred to and from the device registers. This method is appropriate for devices that have fast response times, such as video controllers. In the IBM PC, each location on the screen is mapped to a memory location. Displaying text on the screen is almost as easy as writing the text into the appropriate memory-mapped locations.

Memory-mapped I/O is also convenient for other devices, such as the serial and parallel ports used to connect modems and printers to a computer. The CPU transfers data through these kinds of devices by reading and writing a few device registers, called an I/O port. To send out a long string of bytes through a memory-mapped serial port, the CPU writes one data byte to the data register and sets a bit in the control register to signal that the byte is available. The device takes the data byte and then clears the bit in the control register to signal that it is ready for the next byte. Then the CPU can transfer the next byte. If the CPU uses polling to watch the control bit, constantly looping to see whether the device is ready, this method of operation is called programmed I/O (PIO). If the CPU does not poll the control bit, but instead receives an interrupt when the device is ready for the next byte, the data transfer is said to be interrupt driven.

## 9.8 Allocating Kernel Memory

When a process running in user mode requests additional memory, pages are allocated from the list of free page frames maintained by the kernel. This list is typically populated using a page-replacement algorithm such as those discussed in Section 9.4 and most likely contains free pages scattered throughout physical memory, as explained earlier. Remember, too, that if a user process requests a single byte of memory, internal fragmentation will result, as the process will be granted an entire page frame.

Kernel memory, however, is often allocated from a free-memory pool different from the list used to satisfy ordinary user-mode processes. There are two primary reasons for this:

1. The kernel requests memory for data structures of varying sizes, some of which are less than a page in size. As a result, the kernel must use memory conservatively and attempt to minimize waste due to fragmentation. This

is especially important because many operating systems do not subject kernel code or data to the paging system.

- Pages allocated to user-mode processes do not necessarily have to be in contiguous physical memory. However, certain hardware devices interact directly with physical memory—without the benefit of a virtual memory interface—and consequently may require memory residing in physically contiguous pages.

In the following sections, we examine two strategies for managing free memory that is assigned to kernel processes.

### 9.8.1 Buddy System

The “buddy system” allocates memory from a fixed-size segment consisting of physically contiguous pages. Memory is allocated from this segment using a **power-of-2 allocator**, which satisfies requests in units sized as a power of 2 (4 KB, 8 KB, 16 KB, and so forth). A request in units not appropriately sized is rounded up to the next highest power of 2. For example, if a request for 11 KB is made, it is satisfied with a 16-KB segment. Next, we explain the operation of the buddy system with a simple example.

Let’s assume the size of a memory segment is initially 256 KB and the kernel requests 21 KB of memory. The segment is initially divided into two *buddies*—which we will call  $A_L$  and  $A_R$ —each 128 KB in size. One of these buddies is further divided into two 64-KB buddies— $B_L$  and  $B_R$ . However, the next-highest power of 2 from 21 KB is 32 KB so either  $B_L$  or  $B_R$  is again divided into two 32-KB buddies,  $C_L$  and  $C_R$ . One of these buddies is used to satisfy the 21-KB request. This scheme is illustrated in Figure 9.27, where  $C_L$  is the segment allocated to the 21 KB request.

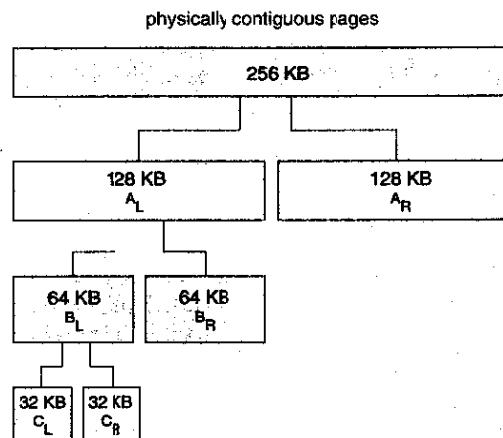


Figure 9.27 Buddy system allocation.

An advantage of the buddy system is how quickly adjacent buddies can be combined to form larger segments using a technique known as **coalescing**. In Figure 9.27, for example, when the kernel releases the  $C_L$  unit it was allocated, the system can coalesce  $C_L$  and  $C_R$  into a 64-KB segment. This segment,  $B_L$ , can in turn be coalesced with its buddy  $B_R$  to form a 128-KB segment. Ultimately, we can end up with the original 256-KB segment.

The obvious drawback to the buddy system is that rounding up to the next highest power of 2 is very likely to cause fragmentation within allocated segments. For example, a 33-KB request can only be satisfied with a 64-KB segment. In fact, we cannot guarantee that less than 50 percent of the allocated unit will be wasted due to internal fragmentation. In the following section, we explore a memory allocation scheme where no space is lost due to fragmentation.

### 9.8.2 Slab Allocation

A second strategy for allocating kernel memory is known as **slab allocation**. A **slab** is made up of one or more physically contiguous pages. A **cache** consists of one or more slabs. There is a single cache for each unique kernel data structure—for example, a separate cache for the data structure representing process descriptors, a separate cache for file objects, a separate cache for semaphores, and so forth. Each cache is populated with objects that are instantiations of the kernel data structure the cache represents. For example, the cache representing semaphores stores instances of semaphore objects, the cache representing process descriptors stores instances of process descriptor objects, etc. The relationship between slabs, caches, and objects is shown in Figure 9.28. The figure shows two kernel objects 3 KB in size and three objects 7 KB in size. These objects are stored in their respective caches.

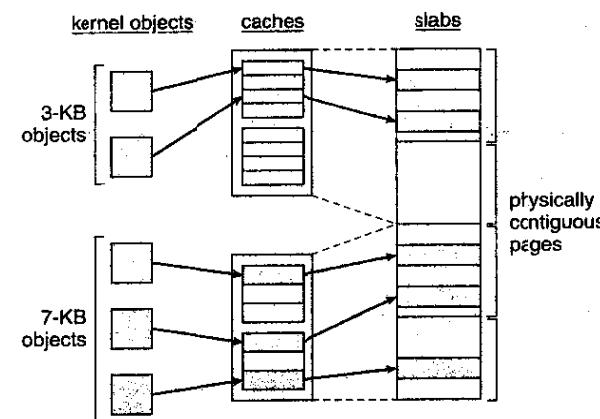


Figure 9.28 Slab allocation.

The slab-allocation algorithm uses caches to store kernel objects. When a cache is created, a number of objects—which are initially marked as *free*—are allocated to the cache. The number of objects in the cache depends on the size of the associated slab. For example, a 12-KB slab (comprised of three contiguous 4-KB pages) could store six 2-KB objects. Initially, all objects in the cache are marked as free. When a new object for a kernel data structure is needed, the allocator can assign any free object from the cache to satisfy the request. The object assigned from the cache is marked as *used*.

Let's consider a scenario in which the kernel requests memory from the slab allocator for an object representing a process descriptor. In Linux systems, a process descriptor is of the type `struct task_struct`, which requires approximately 1.7 KB of memory. When the Linux kernel creates a new task, it requests the necessary memory for the `struct task_struct` object from its cache. The cache will fulfill the request using a `struct task_struct` object that has already been allocated in a slab and is marked as free.

In Linux, a slab may be in one of three possible states:

1. **Full.** All objects in the slab are marked as used.
2. **Empty.** All objects in the slab are marked as free.
3. **Partial.** The slab consists of both used and free objects.

The slab allocator first attempts to satisfy the request with a free object in a partial slab. If none exist, a free object is assigned from an empty slab. If no empty slabs are available, a new slab is allocated from contiguous physical pages and assigned to a cache; memory for the object is allocated from this slab.

The slab allocator provides two main benefits:

1. No memory is wasted due to fragmentation. Fragmentation is not an issue because each unique kernel data structure has an associated cache, and each cache is comprised of one or more slabs that are divided into chunks the size of the objects being represented. Thus, when the kernel requests memory for an object, the slab allocator returns the exact amount of memory required to represent the object.
2. Memory requests can be satisfied quickly. The slab allocation scheme is thus particularly effective for managing memory where objects are frequently allocated and deallocated, as is often the case with requests from the kernel. The act of allocating—and releasing—memory can be a time-consuming process. However, objects are created in advance and thus can be quickly allocated from the cache. Furthermore, when the kernel has finished with an object and releases it, it is marked as free and returned to its cache, thus making it immediately available for subsequent requests from the kernel.

The slab allocator first appeared in the Solaris 2.4 kernel. Because of its general-purpose nature, this allocator is now also used for certain user-mode memory requests in Solaris. Linux originally used the buddy system; however, beginning with version 2.2, the Linux kernel adopted the slab allocator.

## 9.9 Other Considerations

The major decisions that we make for a paging system are the selectors of a replacement algorithm and an allocation policy, which we discussed earlier in this chapter. There are many other considerations as well, and we discuss several of them here.

### 9.9.1 Prepaging

An obvious property of pure demand paging is the large number of page faults that occur when a process is started. This situation results from trying to get the initial locality into memory. The same situation may arise at other times. For instance, when a swapped-out process is restarted, all its pages are on the disk, and each must be brought in by its own page fault. **Prepaging** is an attempt to prevent this high level of initial paging. The strategy is to bring into memory at one time all the pages that will be needed. Some operating systems—notably Solaris—prep the page frames for small files.

In a system using the working-set model, for example, we keep with each process a list of the pages in its working set. If we must suspend a process (due to an I/O wait or a lack of free frames), we remember the working set for that process. When the process is to be resumed (because I/O has finished or enough free frames have become available), we automatically bring back into memory its entire working set before restarting the process.

Prepaging may offer an advantage in some cases. The question is simply whether the cost of using prepaging is less than the cost of servicing the corresponding page faults. It may well be the case that many of the pages brought back into memory by prepaging will not be used.

Assume that  $s$  pages are prepaged and a fraction  $\alpha$  of these  $s$  pages is actually used ( $0 \leq \alpha \leq 1$ ). The question is whether the cost of the  $s * \alpha$  saved page faults is greater or less than the cost of prepaging  $s * (1 - \alpha)$  unnecessary pages. If  $\alpha$  is close to 0, prepaging loses; if  $\alpha$  is close to 1, prepaging wins.

### 9.9.2 Page Size

The designers of an operating system for an existing machine seldom have a choice concerning the page size. However, when new machines are being designed, a decision regarding the best page size must be made. As you might expect, there is no single best page size. Rather, there is a set of factors that support various sizes. Page sizes are invariably powers of 2, generally ranging from 4,096 ( $2^{12}$ ) to 4,194,304 ( $2^{22}$ ) bytes.

How do we select a page size? One concern is the size of the page table. For a given virtual memory space, decreasing the page size increases the number of pages and hence the size of the page table. For a virtual memory of 4 MB ( $2^{22}$ ), for example, there would be 4,096 pages of 1,024 bytes but only 512 pages of 8,192 bytes. Because each active process must have its own copy of the page table, a large page size is desirable.

Memory is better utilized with smaller pages, however. If a process is allocated memory starting at location 00000 and continuing until it has as much as it needs, it probably will not end exactly on a page boundary. Thus, a part of the final page must be allocated (because pages are the units of allocation) but will be unused (creating internal fragmentation). Assuming independence

of process size and page size, we can expect that, on the average, half of the final page of each process will be wasted. This loss is only 256 bytes for a page of 512 bytes but is 4,096 bytes for a page of 8,192 bytes. To minimize internal fragmentation, then, we need a small page size.

Another problem is the time required to read or write a page. I/O time is composed of seek, latency, and transfer times. Transfer time is proportional to the amount transferred (that is, the page size)—a fact that would seem to argue for a small page size. However, as we shall see in Section 12.1.1, latency and seek time normally dwarf transfer time. At a transfer rate of 2 MB per second, it takes only 0.2 milliseconds to transfer 512 bytes. Latency time, though, is perhaps 8 milliseconds and seek time 20 milliseconds. Of the total I/O time (28.2 milliseconds), therefore, only 1 percent is attributable to the actual transfer. Doubling the page size increases I/O time to only 28.4 milliseconds. It takes 28.4 milliseconds to read a single page of 1,024 bytes but 56.4 milliseconds to read the same amount as two pages of 512 bytes each. Thus, a desire to minimize I/O time argues for a larger page size.

With a smaller page size, though, total I/O should be reduced, since locality will be improved. A smaller page size allows each page to match program locality more accurately. For example, consider a process 200 KB in size, of which only half (100 KB) is actually used in an execution. If we have only one large page, we must bring in the entire page, a total of 200 KB transferred and allocated. If instead we had pages of only 1 byte, then we could bring in only the 100 KB that are actually used, resulting in only 100 KB transferred and allocated. With a smaller page size, we have better **resolution**, allowing us to isolate only the memory that is actually needed. With a larger page size, we must allocate and transfer not only what is needed but also anything else that happens to be in the page, whether it is needed or not. Thus, a smaller page size should result in less I/O and less total allocated memory.

But did you notice that with a page size of 1 byte, we would have a page fault for *each* byte? A process of 200 KB that used only half of that memory would generate only one page fault with a page size of 200 KB but 102,400 page faults with a page size of 1 byte. Each page fault generates the large amount of overhead needed for processing the interrupt, saving registers, replacing a page, queuing for the paging device, and updating tables. To minimize the number of page faults, we need to have a large page size.

Other factors must be considered as well (such as the relationship between page size and sector size on the paging device). The problem has no best answer. As we have seen, some factors (internal fragmentation, locality) argue for a small page size, whereas others (table size, I/O time) argue for a large page size. However, the historical trend is toward larger page sizes. Indeed, the first edition of *Operating Systems Concepts* (1983) used 4,096 bytes as the upper bound on page sizes, and this value was the most common page size in 1990. However, modern systems may now use much larger page sizes, as we will see in the following section.

### 9.9.3 TLB Reach

In Chapter 8, we introduced the **hit ratio** of the TLB. Recall that the hit ratio for the TLB refers to the percentage of virtual address translations that are resolved in the TLB rather than the page table. Clearly the hit ratio is related

to the number of entries in the TLB, and the way to increase the hit ratio is by increasing the number of entries in the TLB. This, however, does not come cheaply, as the associative memory used to construct the TLB is both expensive and power hungry.

Related to the hit ratio is a similar metric: the **TLB reach**. The TLB reach refers to the amount of memory accessible from the TLB and is simply the number of entries multiplied by the page size. Ideally, the working set for a process is stored in the TLB. If not, the process will spend a considerable amount of time resolving memory references in the page table rather than the TLB. If we double the number of entries in the TLB, we double the TLB reach. However, for some memory-intensive applications, this may still prove insufficient for storing the working set.

Another approach for increasing the TLB reach is to either increase the size of the page or provide multiple page sizes. If we increase the page size—say, from 8 KB to 32 KB—we quadruple the TLB reach. However, this may lead to an increase in fragmentation for some applications that do not require such a large page size as 32 KB. Alternatively, an operating system may provide several different page sizes. For example, the UltraSPARC supports page sizes of 8 KB, 64 KB, 512 KB, and 4 MB. Of these available page sizes, Solaris uses both 8-KB and 4-MB page sizes. And with a 64-entry TLB, the TLB reach for Solaris ranges from 512 KB with 8-KB pages to 256 MB with 4-MB pages. For the majority of applications, the 8-KB page size is sufficient, although Solaris maps the first 4 MB of kernel code and data with two 4-MB pages. Solaris also allows applications—such as databases—to take advantage of the large 4-MB page size.

Providing support for multiple pages requires the operating system—not hardware—to manage the TLB. For example, one of the fields in a TLB entry must indicate the size of the page frame corresponding to the TLB entry. Managing the TLB in software and not hardware comes at a cost in performance. However, the increased hit ratio and TLB reach offset the performance costs. Indeed, recent trends indicate a move toward software-managed TLBs and operating-system support for multiple page sizes. The UltraSPARC, MIPS, and Alpha architectures employ software-managed TLBs. The PowerPC and Pentium manage the TLB in hardware.

### 9.9.4 Inverted Page Tables

Section 8.5.3 introduced the concept of the inverted page table. The purpose of this form of page management is to reduce the amount of physical memory needed to track virtual-to-physical address translations. We accomplish this savings by creating a table that has one entry per page of physical memory, indexed by the pair <process-id, page-number>.

Because they keep information about which virtual memory page is stored in each physical frame, inverted page tables reduce the amount of physical memory needed to store this information. However, the inverted page table no longer contains complete information about the logical address space of a process, and that information is required if a referenced page is not currently in memory. Demand paging requires this information to process page faults. For the information to be available, an external page table (one per process)

must be kept. Each such table looks like the traditional per-process page table and contains information on where each virtual page is located.

But do external page tables negate the utility of inverted page tables? Since these tables are referenced only when a page fault occurs, they do not need to be available quickly. Instead, they are themselves paged in and out of memory as necessary. Unfortunately, a page fault may now cause the virtual memory manager to generate another page fault as it pages in the external page table it needs to locate the virtual page on the backing store. This special case requires careful handling in the kernel and a delay in the page-lookup processing.

### 9.9.5 Program Structure

Demand paging is designed to be transparent to the user program. In many cases, the user is completely unaware of the paged nature of memory. In other cases, however, system performance can be improved if the user (or compiler) has an awareness of the underlying demand paging.

Let's look at a contrived but informative example. Assume that pages are 128 words in size. Consider a C program whose function is to initialize to 0 each element of a 128-by-128 array. The following code is typical:

```
int i, j;
int[128][128] data;

for (j = 0; j < 128; j++)
    for (i = 0; i < 128; i++)
        data[i][j] = 0;
```

Notice that the array is stored row major; that is, the array is stored  $\text{data}[0][0], \text{data}[0][1], \dots, \text{data}[0][127], \text{data}[1][0], \text{data}[1][1], \dots, \text{data}[127][127]$ . For pages of 128 words, each row takes one page. Thus, the preceding code zeros one word in each page, then another word in each page, and so on. If the operating system allocates fewer than 128 frames to the entire program, then its execution will result in  $128 \times 128 = 16,384$  page faults. In contrast, changing the code to

```
int i, j;
int[128][128] data;

for (i = 0; i < 128; i++)
    for (j = 0; j < 128; j++)
        data[i][j] = 0;
```

zeros all the words on one page before starting the next page, reducing the number of page faults to 128.

Careful selection of data structures and programming structures can increase locality and hence lower the page-fault rate and the number of pages in the working set. For example, a stack has good locality, since access is always made to the top. A hash table, in contrast, is designed to scatter references, producing bad locality. Of course, locality of reference is just one measure of the efficiency of the use of a data structure. Other heavily weighted factors

include search speed, total number of memory references, and total number of pages touched.

At a later stage, the compiler and loader can have a significant effect on paging. Separating code and data and generating reentrant code means that code pages can be read-only and hence will never be modified. Clean pages do not have to be paged out to be replaced. The loader can avoid placing routines across page boundaries, keeping each routine completely in one page. Routines that call each other many times can be packed into the same page. This packaging is a variant of the bin-packing problem of operations research: Try to pack the variable-sized load segments into the fixed-sized pages so that interpage references are minimized. Such an approach is particularly useful for large page sizes.

The choice of programming language can affect paging as well. For example, C and C++ use pointers frequently, and pointers tend to randomize access to memory, thereby potentially diminishing a process's locality. Some studies have shown that object-oriented programs also tend to have a poor locality of reference.

### 9.9.6 I/O Interlock

When demand paging is used, we sometimes need to allow some of the pages to be locked in memory. One such situation occurs when I/O is done to or from user (virtual) memory. I/O is often implemented by a separate I/O processor. For example, a controller for a USB storage device is generally given the number of bytes to transfer and a memory address for the buffer (Figure 9.29). When the transfer is complete, the CPU is interrupted.

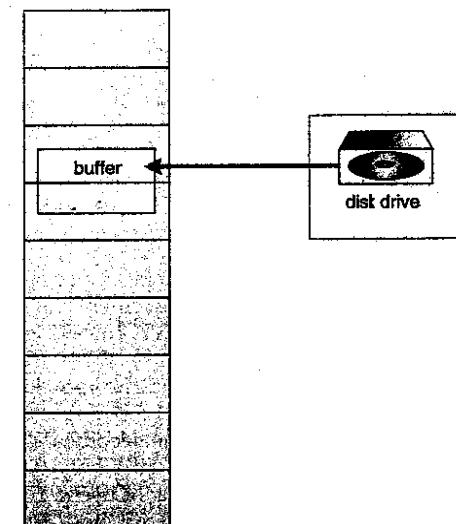


Figure 9.29 The reason why frames used for I/O must be in memory.

We must be sure the following sequence of events does not occur: A process issues an I/O request and is put in a queue for that I/O device. Meanwhile, the CPU is given to other processes. These processes cause page faults; and one of them, using a global replacement algorithm, replaces the page containing the memory buffer for the waiting process. The pages are paged out. Some time later, when the I/O request advances to the head of the device queue, the I/O occurs to the specified address. However, this frame is now being used for a different page belonging to another process.

There are two common solutions to this problem. One solution is never to execute I/O to user memory. Instead, data are always copied between system memory and user memory. I/O takes place only between system memory and the I/O device. To write a block on tape, we first copy the block to system memory and then write it to tape. This extra copying may result in unacceptably high overhead.

Another solution is to allow pages to be locked into memory. Here, a lock bit is associated with every frame. If the frame is locked, it cannot be selected for replacement. Under this approach, to write a block on tape, we lock into memory the pages containing the block. The system can then continue as usual. Locked pages cannot be replaced. When the I/O is complete, the pages are unlocked.

Lock bits are used in various situations. Frequently, some or all of the operating-system kernel is locked into memory, as many operating systems cannot tolerate a page fault caused by the kernel.

Another use for a lock bit involves normal page replacement. Consider the following sequence of events: A low-priority process faults. Selecting a replacement frame, the paging system reads the necessary page into memory. Ready to continue, the low-priority process enters the ready queue and waits for the CPU. Since it is a low-priority process, it may not be selected by the CPU scheduler for a time. While the low-priority process waits, a high-priority process faults. Looking for a replacement, the paging system sees a page that is in memory but has not been referenced or modified: It is the page that the low-priority process just brought in. This page looks like a perfect replacement: It is clean and will not need to be written out, and it apparently has not been used for a long time.

Whether the high-priority process should be able to replace the low-priority process is a policy decision. After all, we are simply delaying the low-priority process for the benefit of the high-priority process. However, we are wasting the effort spent to bring in the page for the low-priority process. If we decide to prevent replacement of a newly brought-in page until it can be used at least once, then we can use the lock bit to implement this mechanism. When a page is selected for replacement, its lock bit is turned on; it remains on until the faulting process is again dispatched.

Using a lock bit can be dangerous: The lock bit may get turned on but never turned off. Should this situation occur (because of a bug in the operating system, for example), the locked frame becomes unusable. On a single-user system, the overuse of locking would hurt only the user doing the locking. Multiuser systems must be less trusting of users. For instance, Solaris allows locking “hints,” but it is free to disregard these hints if the free-frame pool becomes too small or if an individual process requests that too many pages be locked in memory.

## 9.10 Operating-System Examples

In this section, we describe how Windows XP and Solaris implement virtual memory.

### 9.10.1 Windows XP

Windows XP implements virtual memory using demand paging with clustering. Clustering handles page faults by bringing in not only the faulting page but also several pages following the faulting page. When a process is first created, it is assigned a working-set minimum and maximum. The **working-set minimum** is the minimum number of pages the process is guaranteed to have in memory. If sufficient memory is available, a process may be assigned as many pages as its **working-set maximum**. For most applications, the value of working-set minimum and working-set maximum is 50 and 345 pages, respectively. (In some circumstances, a process may be allowed to exceed its working-set maximum.) The virtual memory manager maintains a list of free page frames. Associated with this list is a threshold value that is used to indicate whether sufficient free memory is available. If a page fault occurs for a process that is below its working-set maximum, the virtual memory manager allocates a page from this list of free pages. If a process is at its working-set maximum and it incurs a page fault, it must select a page for replacement using a local page-replacement policy.

When the amount of free memory falls below the threshold, the virtual memory manager uses a tactic known as **automatic working-set trimming** to restore the value above the threshold. Automatic working-set trimming works by evaluating the number of pages allocated to processes. If a process has been allocated more pages than its working-set minimum, the virtual memory manager removes pages until the process reaches its working-set minimum. A process that is at its working-set minimum may be allocated pages from the free-page frame list once sufficient free memory is available.

The algorithm used to determine which page to remove from a working set depends on the type of processor. On single-processor 80x86 systems, Windows XP uses a variation of the *clock* algorithm discussed in Section 9.4.5.2. On Alpha and multiprocessor x86 systems, clearing the reference bit may require invalidating the entry in the translation look-aside buffer on other processors. Rather than incurring this overhead, Windows XP uses a variation on the FIFO algorithm discussed in Section 9.4.2.

### 9.10.2 Solaris

In Solaris, when a thread incurs a page fault, the kernel assigns a page to the faulting thread from the list of free pages it maintains. Therefore, it is imperative that the kernel keep a sufficient amount of free memory available. Associated with this list of free pages is a parameter—*lotsfree*—that represents a threshold to begin paging. The *lotsfree* parameter is typically set to 1/64 the size of the physical memory. Four times per second, the kernel checks whether the amount of free memory is less than *lotsfree*. If the number of free pages falls below *lotsfree*, a process known as the *pageout* starts up. The *pageout* process is similar to the second-chance algorithm described in Section 9.4.5.2, except that it uses two hands while scanning pages, rather than one as described in Section

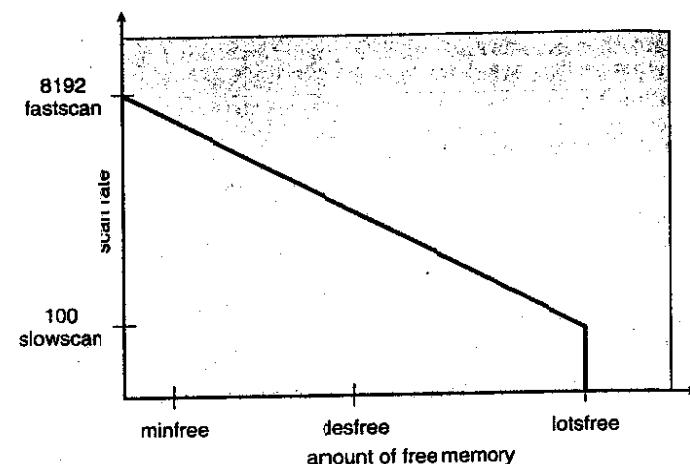


Figure 9.30 Solaris page scanner.

9.45.2. The pageout process works as follows: The front hand of the clock scans all pages in memory, setting the reference bit to 0. Later, the back hand of the clock examines the reference bit for the pages in memory, appending those pages whose bit is still set to 0 to the free list and writing to disk their contents if modified. Solaris maintains a cache list of pages that have been “freed” but have not yet been overwritten. The free list contains frames that have invalid contents. Pages can be reclaimed from the cache list if they are accessed before being moved to the free list.

The pageout algorithm uses several parameters to control the rate at which pages are scanned (known as the *scanrate*). The scanrate is expressed in pages per second and ranges from *slowscan* to *fastscan*. When free memory falls below *lotsfree*, scanning occurs at *slowscan* pages per second and progresses to *fastscan*, depending on the amount of free memory available. The default value of *slowscan* is 100 pages per second; *fastscan* is typically set to the value  $(\text{total physical pages})/2$  pages per second, with a maximum of 8,192 pages per second. This is shown in Figure 9.30 (with *fastscan* set to the maximum).

The distance (in pages) between the hands of the clock is determined by a system parameter, *handspread*. The amount of time between the front hand’s clearing a bit and the back hand’s investigating its value depends on the *scanrate* and the *handspread*. If *scanrate* is 100 pages per second and *handspread* is 1,024 pages, 10 seconds can pass between the time a bit is set by the front hand and the time it is checked by the back hand. However, because of the demands placed on the memory system, a *scanrate* of several thousand is not uncommon. This means that the amount of time between clearing and investigating a bit is often a few seconds.

As mentioned above, the pageout process checks memory four times per second. However, if free memory falls below *desfree* (Figure 9.30), pageout will run 100 times per second with the intention of keeping at least *desfree* free memory available. If the pageout process is unable to keep the amount

of free memory at *desfree* for a 30-second average, the kernel begins swapping processes, thereby freeing all pages allocated to swapped processes. In general, the kernel looks for processes that have been idle for long periods of time. If the system is unable to maintain the amount of free memory at *minfree*, the pageout process is called for every request for a new page.

Recent releases of the Solaris kernel have provided enhancements of the paging algorithm. One such enhancement involves recognizing pages from shared libraries. Pages belonging to libraries that are being shared by several processes—even if they are eligible to be claimed by the scanner—are skipped during the page-scanning process. Another enhancement concerns distinguishing pages that have been allocated to processes from pages allocated to regular files. This is known as **priority paging** and is covered in Section 11.6.2.

## 9.11 Summary

It is desirable to be able to execute a process whose logical address space is larger than the available physical address space. Virtual memory is a technique that enables us to map a large logical address space onto a smaller physical memory. Virtual memory allows us to run extremely large processes and to raise the degree of multiprogramming, increasing CPU utilization. Further, it frees application programmers from worrying about memory availability. In addition, with virtual memory, several processes can share system libraries and memory. Virtual memory also enables us to use an efficient type of process creation known as copy-on-write, wherein parent and child processes share actual pages of memory.

Virtual memory is commonly implemented by demand paging. Pure demand paging never brings in a page until that page is referenced. The first reference causes a page fault to the operating system. The operating-system kernel consults an internal table to determine where the page is located on the backing store. It then finds a free frame and reads the page in from the backing store. The page table is updated to reflect this change, and the instruction that caused the page fault is restarted. This approach allows a process to run even though its entire memory image is not in main memory at once. As long as the page-fault rate is reasonably low, performance is acceptable.

We can use demand paging to reduce the number of frames allocated to a process. This arrangement can increase the degree of multiprogramming (allowing more processes to be available for execution at one time) and—in theory, at least—the CPU utilization of the system. It also allows processes to be run even though their memory requirements exceed the total available physical memory. Such processes run in virtual memory.

If total memory requirements exceed the physical memory, then it may be necessary to replace pages from memory to free frames for new pages. Various page-replacement algorithms are used. FIFO page replacement is easy to program but suffers from Belady’s anomaly. Optimal page replacement requires future knowledge. LRU replacement is an approximation of optimal page replacement, but even it may be difficult to implement. Most page-replacement algorithms, such as the second-chance algorithm, are approximations of LRU replacement.

In addition to a page-replacement algorithm, a frame-allocation policy is needed. Allocation can be fixed, suggesting local page replacement, or dynamic, suggesting global replacement. The working-set model assumes that processes execute in localities. The working set is the set of pages in the current locality. Accordingly, each process should be allocated enough frames for its current working set. If a process does not have enough memory for its working set, it will thrash. Providing enough frames to each process to avoid thrashing may require process swapping and scheduling.

Most operating systems provide features for memory mapping files, thus allowing file I/O to be treated as routine memory access. The Win32 API implements shared memory through memory mapping files.

Kernel processes typically require memory to be allocated using pages that are physically contiguous. The buddy system allocates memory to kernel processes in units sized according to a power of 2, which often results in fragmentation. Slab allocators assign kernel data structures to caches associated with slabs, which are made up of one or more physically contiguous pages. With slab allocation, no memory is wasted due to fragmentation, and memory requests can be satisfied quickly.

In addition to requiring that we solve the major problems of page replacement and frame allocation, the proper design of a paging system requires that we consider page size, I/O, locking, prepaging, process creation, program structure, and other issues.

## Exercises

- 9.1 Give an example that illustrates the problem with restarting the block move instruction (MVC) on the IBM 360/370 when the source and destination regions are overlapping.
- 9.2 Discuss the hardware support required to support demand paging.
- 9.3 What is the copy-on-write feature and under what circumstances is it beneficial to use this feature? What is the hardware support required to implement this feature?
- 9.4 A certain computer provides its users with a virtual-memory space of  $2^{32}$  bytes. The computer has  $2^{18}$  bytes of physical memory. The virtual memory is implemented by paging, and the page size is 4,096 bytes. A user process generates the virtual address 11123456. Explain how the system establishes the corresponding physical location. Distinguish between software and hardware operations.
- 9.5 Assume that we have a demand-paged memory. The page table is held in registers. It takes 8 milliseconds to service a page fault if an empty frame is available or if the replaced page is not modified and 20 milliseconds if the replaced page is modified. Memory-access time is 100 nanoseconds. Assume that the page to be replaced is modified 70 percent of the time. What is the maximum acceptable page-fault rate for an effective access time of no more than 200 nanoseconds?

9.6 Assume that you are monitoring the rate at which the pointer in the clock algorithm (which indicates the candidate page for replacement) moves. What can you say about the system if you notice the following behavior:

- a. pointer is moving fast
- b. pointer is moving slow

9.7 Discuss situations under which the least frequently used page-replacement algorithm generates fewer page faults than the least recently used page-replacement algorithm. Also discuss under what circumstance the opposite holds.

9.8 Discuss situations under which the most frequently used page-replacement algorithm generates fewer page faults than the least recently used page-replacement algorithm. Also discuss under what circumstance the opposite holds.

9.9 The VAX/VMS system uses a FIFO replacement algorithm for resident pages and a free-frame pool of recently used pages. Assume that the free-frame pool is managed using the least recently used replacement policy. Answer the following questions:

- a. If a page fault occurs and if the page does not exist in the free-frame pool, how is free space generated for the newly requested page?
- b. If a page fault occurs and if the page exists in the free-frame pool, how is the resident page set and the free-frame pool managed to make space for the requested page?
- c. What does the system degenerate to if the number of resident pages is set to one?
- d. What does the system degenerate to if the number of pages in the free-frame pool is zero?

9.10 Consider a demand-paging system with the following time-measured utilizations:

CPU utilization	20%
Paging disk	97.7%
Other I/O devices	5%

For each of the following, say whether it will (or is likely to) improve CPU utilization. Explain your answers.

- a. Install a faster CPU.
- b. Install a bigger paging disk.
- c. Increase the degree of multiprogramming.
- d. Decrease the degree of multiprogramming.
- e. Install more main memory.

- f. Install a faster hard disk or multiple controllers with multiple hard disks.
- g. Add prepaging to the page-fetch algorithms.
- h. Increase the page size.
- 9.11 Suppose that a machine provides instructions that can access memory locations using the one-level indirect addressing scheme. What is the sequence of page faults incurred when all of the pages of a program are currently non-resident and the first instruction of the program is an indirect memory load operation? What happens when the operating system is using a per-process frame allocation technique and only two pages are allocated to this process?
- 9.12 Suppose that your replacement policy (in a paged system) is to examine each page regularly and to discard that page if it has not been used since the last examination. What would you gain and what would you lose by using this policy rather than LRU or second-chance replacement?
- 9.13 A page-replacement algorithm should minimize the number of page faults. We can achieve this minimization by distributing heavily used pages evenly over all of memory, rather than having them compete for a small number of page frames. We can associate with each page frame a counter of the number of pages associated with that frame. Then, to replace a page, we can search for the page frame with the smallest counter.
- Define a page-replacement algorithm using this basic idea. Specifically address these problems:
    - What the initial value of the counters is
    - When counters are increased
    - When counters are decreased
    - How the page to be replaced is selected
  - How many page faults occur for your algorithm for the following reference string, with four page frames?  
1, 2, 3, 4, 5, 3, 4, 1, 6, 7, 8, 7, 8, 9, 7, 8, 9, 5, 4, 5, 4, 2.
  - What is the minimum number of page faults for an optimal page-replacement strategy for the reference string in part b with four page frames?
- 9.14 Consider a demand-paging system with a paging disk that has an average access and transfer time of 20 milliseconds. Addresses are translated through a page table in main memory, with an access time of 1 microsecond per memory access. Thus, each memory reference through the page table takes two accesses. To improve this time, we have added an associative memory that reduces access time to one memory reference if the page-table entry is in the associative memory.  
Assume that 80 percent of the accesses are in the associative memory and that, of those remaining, 10 percent (or 2 percent of the total) cause page faults. What is the effective memory access time?
- 9.15 What is the cause of thrashing? How does the system detect thrashing? Once it detects thrashing, what can the system do to eliminate this problem?
- 9.16 Is it possible for a process to have two working sets, one representing data and another representing code? Explain.
- 9.17 Consider the parameter  $\Delta$  used to define the working-set window in the working-set model. What is the effect of setting  $\Delta$  to a small value on the page fault frequency and the number of active (non-suspended) processes currently executing in the system? What is the effect when  $\Delta$  is set to a very high value?
- 9.18 Assume there is an initial 1024 KB segment where memory is allocated using the buddy system. Using Figure 9.27 as a guide, draw the tree illustrating how the following memory requests are allocated:
- request 240 bytes
  - request 120 bytes
  - request 60 bytes
  - request 130 bytes
- Next, modify the tree for the following releases of memory. Perform coalescing whenever possible:
- release 250 bytes
  - release 60 bytes
  - release 120 bytes
- 9.19 The slab-allocation algorithm uses a separate cache for each different object type. Assuming there is one cache per object type, explain why this doesn't scale well with multiple CPUs. What could be done to address this scalability issue?
- 9.20 Consider a system that allocates pages of different sizes to its processes. What are the advantages of such a paging scheme? What modifications to the virtual memory system provide this functionality?
- 9.21 Write a program that implements the FIFO and LRU page-replacement algorithms presented in this chapter. First, generate a random page-reference string where page numbers range from 0 to 9. Apply the random page-reference string to each algorithm, and record the number of page faults incurred by each algorithm. Implement the replacement algorithms so that the number of page frames can vary from 1 to 7. Assume that demand paging is used.
- 9.22 The Catalan numbers are an integer sequence  $C_n$  that appear in tree-enumeration problems. The first Catalan numbers for  $n = 1, 2, 3, \dots$  are 1, 2, 5, 14, 42, 132, .... A formula generating  $C_n$  is

$$C_n = \frac{1}{(n+1)} \binom{2n}{n} = \frac{(2n)!}{(n+1)n!}$$

Design two programs that communicate with shared memory using the Win32 API as outlined in Section 9.7.2. The producer process will generate the Catalan sequence and write it to a shared memory object. The consumer process will then read and output the sequence from shared memory.

In this instance, the producer process will be passed an integer parameter on the command line specifying the number of Catalan numbers to produce; i.e., providing 5 on the command line means the producer process will generate the first 5 Catalan numbers.

### Bibliographical Notes

Demand paging was first used in the Atlas system, implemented on the Manchester University MUSE computer around 1960 (Kilburn et al. [1961]). Another early demand paging system was MULTICS, implemented on the GE 645 system (Organick [1972]).

Belady et al. [1969] were the first researchers to observe that the FIFO replacement strategy may produce the anomaly that bears Belady's name. Mattson et al. [1970] demonstrated that stack algorithms are not subject to Belady's anomaly.

The optimal replacement algorithm was presented by Belady [1966]. It was proved to be optimal by Mattson et al. [1970]. Belady's optimal algorithm is for a fixed allocation; Prieve and Fabry [1976] presented an optimal algorithm for situations in which the allocation can vary.

The enhanced clock algorithm was discussed by Carr and Hennessy [1981].

The working-set model was developed by Denning [1968]. Discussions concerning the working-set model were presented by Denning [1980].

The scheme for monitoring the page-fault rate was developed by Wulf [1969], who successfully applied this technique to the Burroughs B5500 computer system.

Wilson et al. [1995] presented several algorithms for dynamic memory allocation. Johnstone and Wilson [1998] described various memory-fragmentation issues. Buddy system memory allocators were described in Knowlton [1965], Peterson and Norman [1977], and Purdom, Jr. and Stigler [1970]. Bonwick [1994] discussed the slab allocator, and Bonwick and Adams [2001] extended the discussion to multiple processors. Other memory-fitting algorithms can be found in Stephenson [1983], Bays [1977], and Brent [1989]. A survey of memory-allocation strategies can be found in Wilson et al. [1995].

Solomon and Russirovich [2000] described how Windows 2000 implements virtual memory. Mauro and McDougall [2001] discussed virtual memory in Solaris. Virtual memory techniques in Linux and BSD were described by Bovet and Cesati [2002] and McKusick et al. [1996], respectively. Ganapathy and Schimmel [1998] and Navarro et al. [2002] discussed operating system support for multiple page sizes. Oriz [2001] described virtual memory used in a real-time embedded operating system.

Jacob and Mudge [1998b] compared implementations of virtual memory in the MIPS, PowerPC, and Pentium architectures. A companion article (Jacob and Mudge [1998a]) described the hardware support necessary for implementation of virtual memory in six different architectures, including the UltrasPARC.

## Part Four

# Storage Management

Since main memory is usually too small to accommodate all the data and programs permanently, the computer system must provide secondary storage to back up main memory. Modern computer systems use disks as the primary on-line storage medium for information (both programs and data). The file system provides the mechanism for on-line storage of and access to both data and programs residing on the disks. A file is a collection of related information defined by its creator. The files are mapped by the operating system onto physical devices. Files are normally organized into directories for ease of use.

The devices that attach to a computer vary in many aspects. Some devices transfer a character or a block of characters at a time. Some can be accessed only sequentially, others randomly. Some transfer data synchronously, others asynchronously. Some are dedicated, some shared. They can be read-only or read-write. They vary greatly in speed. In many ways, they are also the slowest major component of the computer.

Because of all this device variation, the operating system needs to provide a wide range of functionality to applications, to allow them to control all aspects of the devices. One key goal of an operating system's I/O subsystem is to provide the simplest interface possible to the rest of the system. Because devices are a performance bottleneck, another key is to optimize I/O for maximum concurrency.