# **Operating Systems**

Timo Hönig Bochum Operating Systems and System Software (BOSS) Ruhr University Bochum (RUB)

VI. Memory Management May 17, 2023 (Summer Term 2023)



**RUHR BOCHUM** 



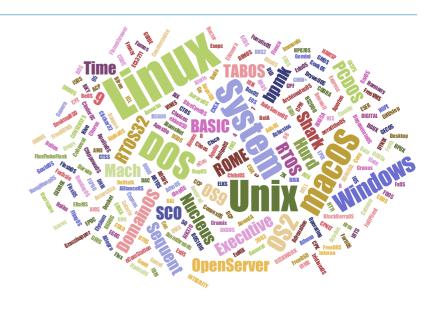






#### Agenda

- Recap
- Organizational Matters
- Principles of Memory Management
  - Motivation
  - Requirements
  - Strategies
- Memory Allocation Schemes
- Memory Management for Multi-Program Operation
  - Segmentation
  - Paging
- Summary and Outlook



#### **Literature References**

Silberschatz, Chapter 9

Tanenbaum, Chapter 3

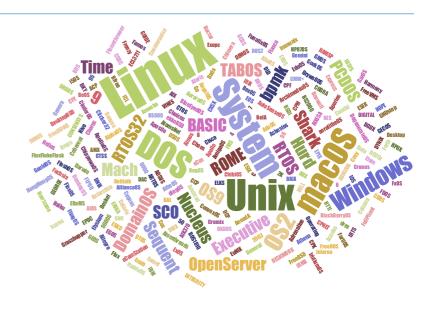








- process deadlocks
  - mutual blocking of concurrent but independent processes
- variants and necessary conditions
  - deadly embrace: deadlocks and livelocks
  - four deadlock conditions
- deadlock handling and countermeasures
  - dining philosophers
  - prevention, avoidance, detection and recovery



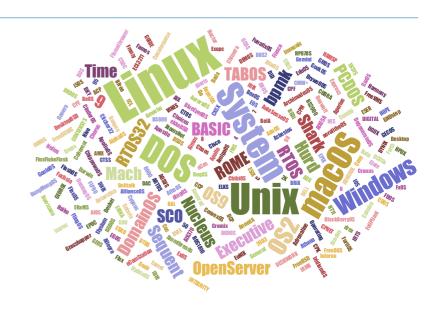






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#### Organizational Matters

- lecture
  - Wednesday, 10:15 11:45
  - format: synchronous, hybrid
    - → in presence (Room HID, Building ID)
    - → online lecture (Zoom)
  - exam: August 7, 2023 (first appointment)
     September 25, 2023 (retest appointment)
- exercises: group allocation almost complete
  - make use of group work for your own benefit!
- manage course material, asynchronous communication: Moodle
- https://moodle.ruhr-uni-bochum.de/course/view.php?id=50698



Update

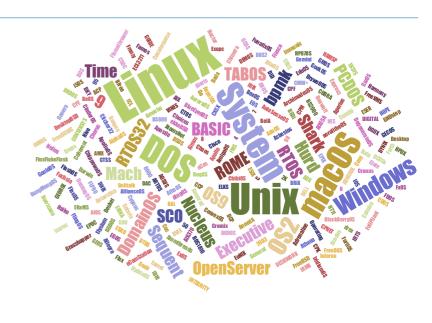






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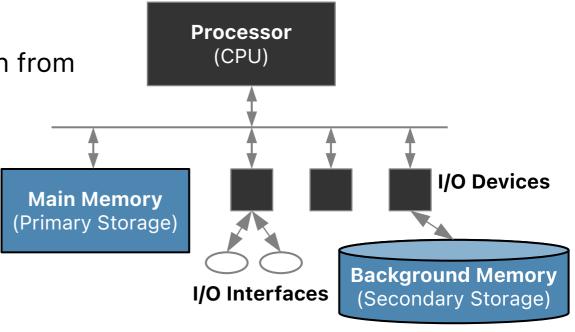






## Operating Resources (Recap)

- the operating system has the following responsibilities:
  - management of the computers' operating resources
  - creation of abstractions that allow applications to handle operating resources (more) easily and efficiently
- up to now: processes
  - concept for abstraction from the real CPU
- now: memory
  - management of main and background memory



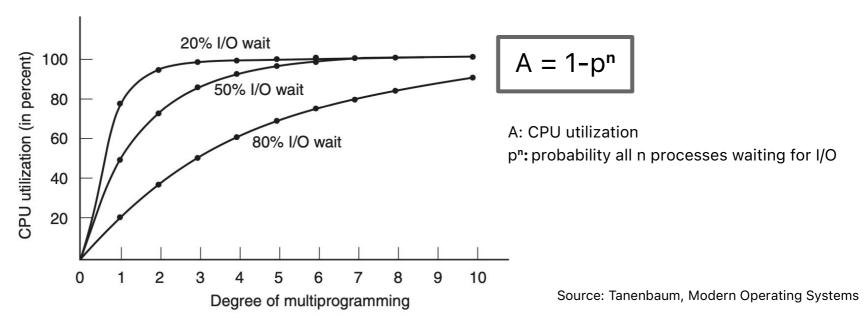






#### Motivation: Memory for Multi-Program Operation

CPU utilisation assuming a certain I/O wait probability:



- → multi-program operation is essential for a high utilisation of the CPU
- upon starting and terminating the processes, memory must be dynamically allocated or deallocated!

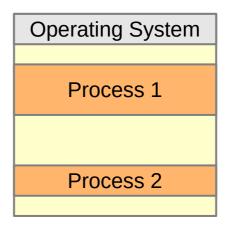






### Requirements for Memory Management

- multiple processes require main memory
  - processes are located at different places in the main memory
  - need for protection of the operating system and the processes among each other
  - memory may not be sufficient not enough for all processes



- → know, manage and allocate free memory areas
- → swap-in and swap-out of processes
- → relocation of program code
- → exploit hardware support (i.e., memory management unit)



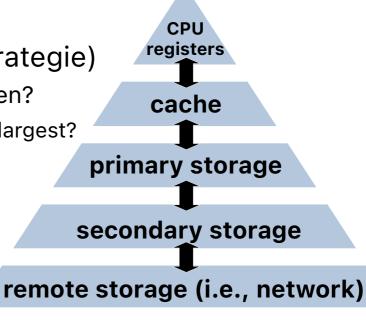




## Strategies for Memory Management

Fundamental strategies at each level of the memory hierarchy:

- placement strategy (dt. Platzierungsstrategie)
  - from where should required memory be taken?
    - → where is leftover (dt. Verschnitt) the smallest/largest?
    - do not care (leftover is of secondary interest)
- fetch strategy (dt. Ladestrategie)
  - when should data be loaded to memory?
    - → on demand
    - → anticipatory (i.e., in advance)
- replacement strategy (dt. Ersetzungsstrategie)
  - which memory contents are to be replaced, if any, if the memory is running low?
    - the oldest, most rarely used memory
    - the longest unused memory



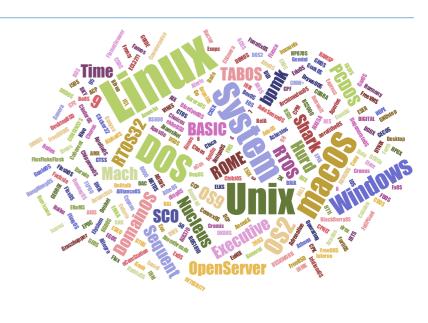






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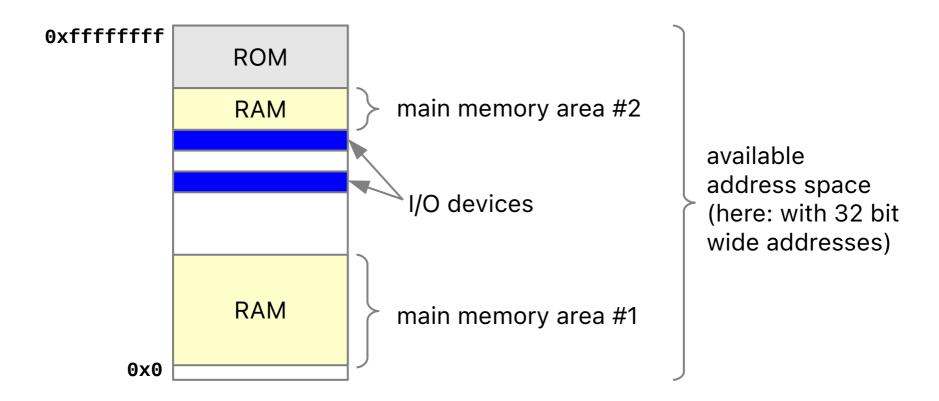






### Memory Allocation - Problem Statement

available memory is non-contiguous and has holes



memory map of a (hypothetical) 32 bit system



### Static Memory Allocation

fixed memory areas for operating system and user programs

#### problems

- degree of multiprogram operation limited
- limitation of other resources (e.g., bandwidth for input/output due to too small buffers)
- unused memory of the operating system cannot be used by application programs and vice versa

#### → <u>dynamic</u> memory management is mandatory







#### **Dynamic Memory Allocation**

- segments
  - contiguous memory area (i.e., memory range with consecutive addresses)
  - variable size
- allocation (dt. Belegung) und deallocation (dt. Freigabe) of memory segments
- an application program usually has the following segments:
  - text segment
  - data segment
  - stack segment (local variables, parameters, return addresses, ...)
- search for suitable memory areas for allocation
  - especially at program start
- → placement strategies are necessary necessary
  - especially important:
     efficient free-space management (dt. Freispeicherverwaltung)

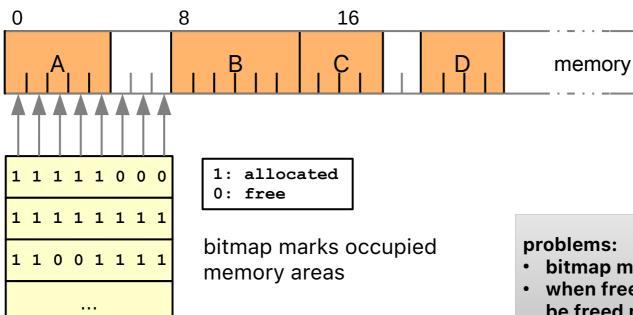






### Free-Space Management – Bitmap

- free (possibly also allocated) segments of the memory must be represented
- bitmap (or bit vector)



memory units of the same size (e.g., 1 byte, 64 bytes, 1024 bytes)

- bitmap may cost a lot of memory
- when freeing, size of the memory to be freed must be known/specified
- linear search necessary (→ runtime overhead)
- handling of high memory pressure

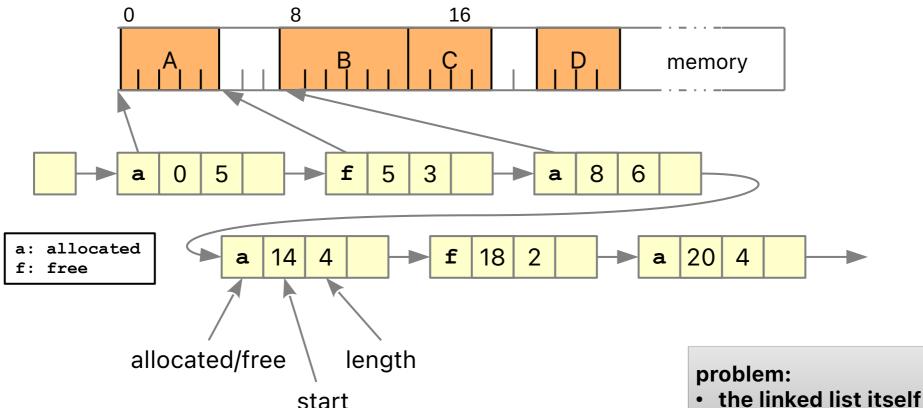






### Free-Space Management – Linked List (V1)

#### linked list



representation of allocated (used) and free (unused) segments

 the linked list itself requires (dynamically

allocated) memory

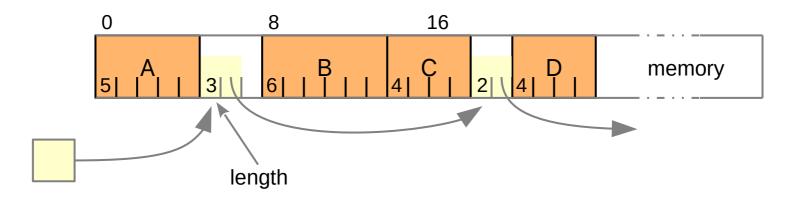






## Free-Space Management – Linked List (V2)

keep linked list in unused (i.e., free) memory



minimum hole size must be guaranteed

- backward linking may be necessary to increase efficiency
- representation ultimately also dependent on the allocation strategy

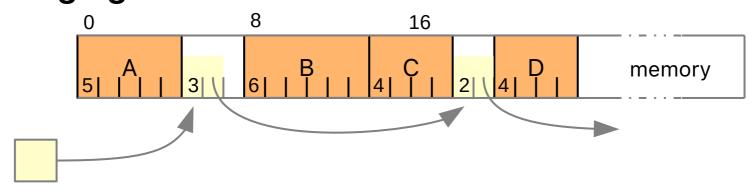




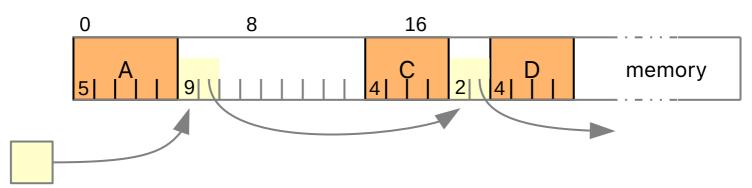


## Free-Space Management - Freeing Memory

#### merging leftover holes



#### after freeing of B









### Placement Strategies – List-based Strategies

depending on the individual strategy, hole lists are sorted differently:

- First Fit (sorting: by memory address)
  - linear search, first matching hole is used
- Rotating First Fit / Next Fit (sorting: by memory address)
  - like First Fit, but start at the last assigned hole
  - avoids many small holes at the beginning of the list (like First Fit)
- Best Fit (sorting: by hole size smallest hole first)
  - linear search, smallest matching hole is searched
- Worst Fit (sorting: by hole size largest hole first)
  - largest matching hole is searched
- common problem:
  - when holes are too small → memory fragmentation







- memory allocation algorithm: buddy system
- operating principle
  - allocation: split available memory into partitions of size 2<sup>n</sup> bytes
  - try to fit memory request:
    - splitting memory into halves
    - → best fit
  - free: recursively merge any free buddy partitions
- practical importance
  - Linux (Buddy System variant which addresses external fragmentation)
  - FreeBSD (jemalloc, which implements the Buddy System)

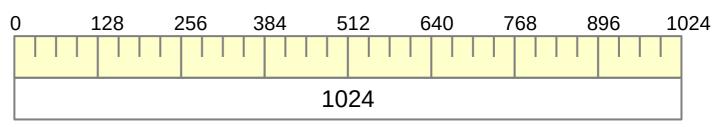






the buddy system partitions memory into dynamic areas of

size 2<sup>n</sup>



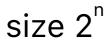
- A: request 70
- B: request 35
- C: request 80
  - release A
- D: request 60
  - release B
  - release D
  - release C

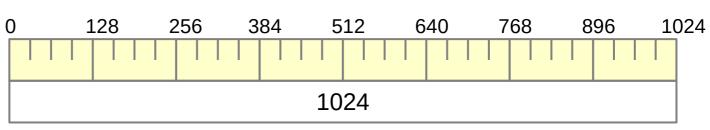






the buddy system partitions memory into dynamic areas of





A: → request 70

bucket size free list

allocated list

B: request 35

C: request 80

512 (2^9)

release A

256 (2^8)

D: request 60

128 (2^7)

release B

64 (2^6)

release D

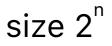
release C

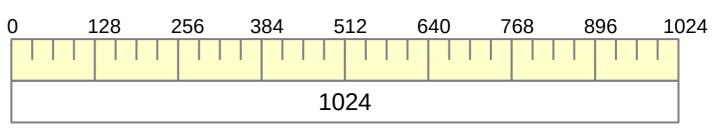






the **buddy system** partitions memory into dynamic areas of





A: → request 70

bucket size free list

<u>allocated list</u>

request 35

1024 (2^10)

request 80

512  $(2^{9})$ 0, 512

release A

256  $(2^{8})$ 

D: request 60 128  $(2^{7})$ 

release B

 $(2^{6})$ 64

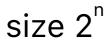
release D

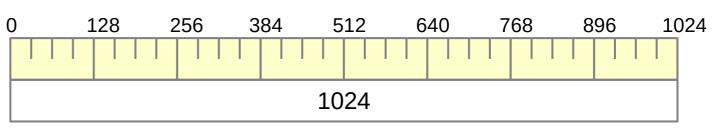






the buddy system partitions memory into dynamic areas of





A: → request 70

<u>bucket size</u> <u>free list</u>

<u>allocated list</u>

B: request 35

1024 (2^10)

C: request 80

512 (2^9) 512

release A

256 (2^8)

0, 256

D: request 60

128 (2^7)

release B

64 (2^6)

release D

release C





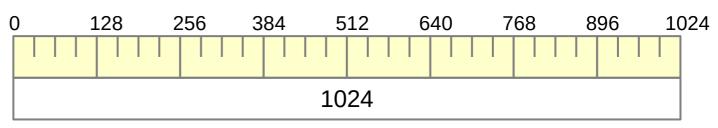


the buddy system partitions memory into dynamic areas of



release D

release C



<b>A</b> : →	request 70	<u>bucket size</u>	<u>e free list</u>	<u>allocated list</u>
B:	request 35	1024 (2^10)	)	
C:	request 80	512 (2^9)	512	
	release A	256 (2^8)	256	
D:	request 60	128 (2^7)	0, 128	$_{ ightarrow}$ allocate A at 0
	release B	64 (2^6)		

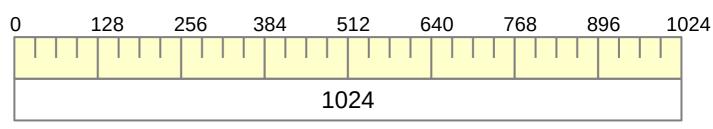






the buddy system partitions memory into dynamic areas of





<b>A</b> : →	reque	st 70
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B: request 35

request 80

release A

D: request 60

release B

release D

release C

<u>buck</u>	<u>et size</u>	free list
1024	(2^10)	addres
<b>E1</b> 2	(200)	E12

512 (2^9) 512

256 (2^8) 256

128 (2^7) 128

64 (2^6)

allocated list s

A: 0 (128)

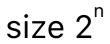
size

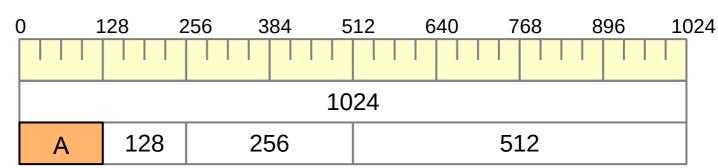






the buddy system partitions memory into dynamic areas of





A: request 70

B: → request 35

C: request 80

release A

D: request 60

release B

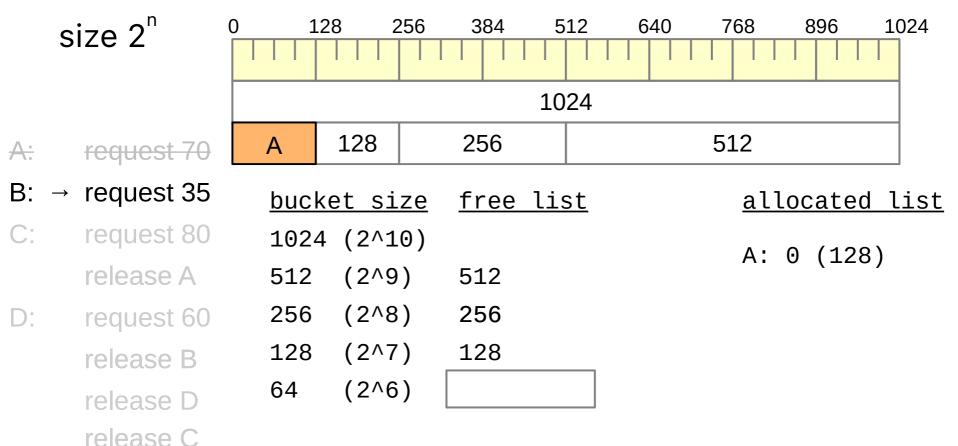
release D

release C





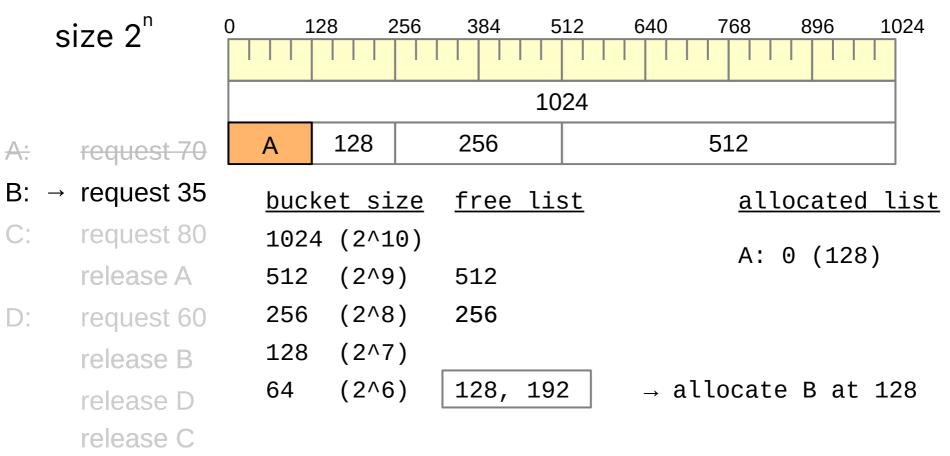








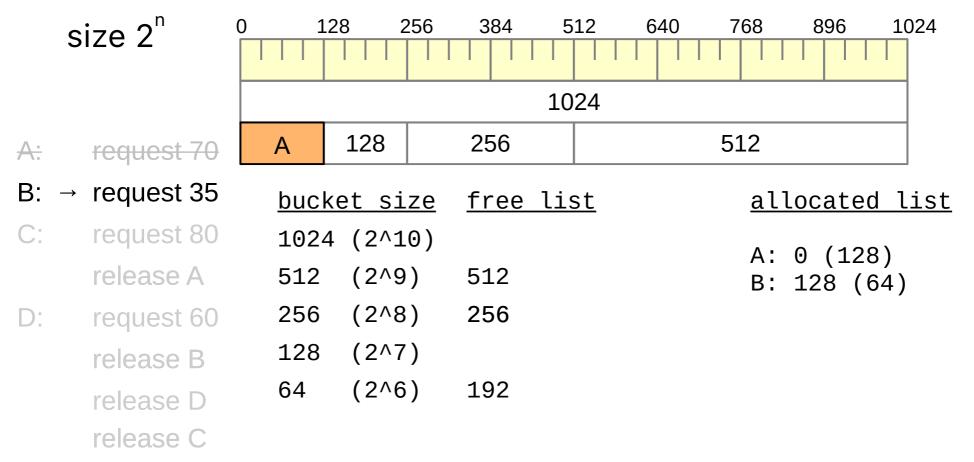












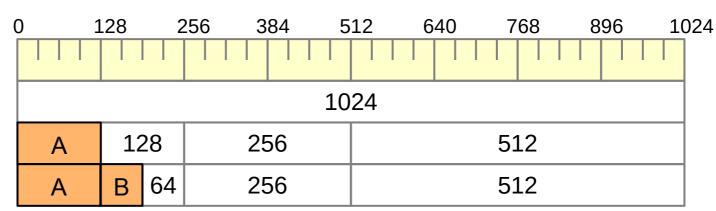






the buddy system partitions memory into dynamic areas of

size 2<sup>n</sup>



A: request 70

B: request 35

C: → request 80

release A

D: request 60

release B

release D

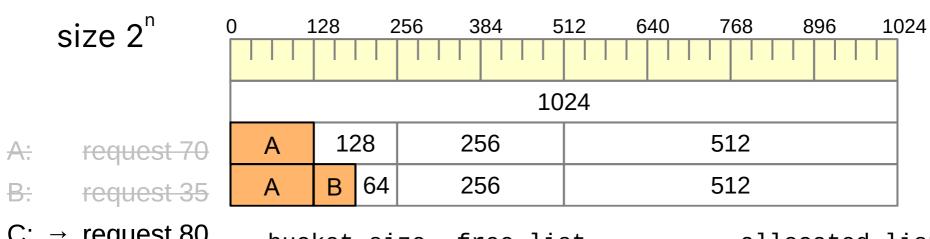
release C







the buddy system partitions memory into dynamic areas of



<b>O</b> .	request oo	bucke	et size	rree	<u>tist</u>
	release A	1024	(2^10)		
D:	request 60	512	(2^9)	512	
	release B	256	(2^8)	256	
	release D	128	(2^7)		
	release C	64	(2^6)	192	

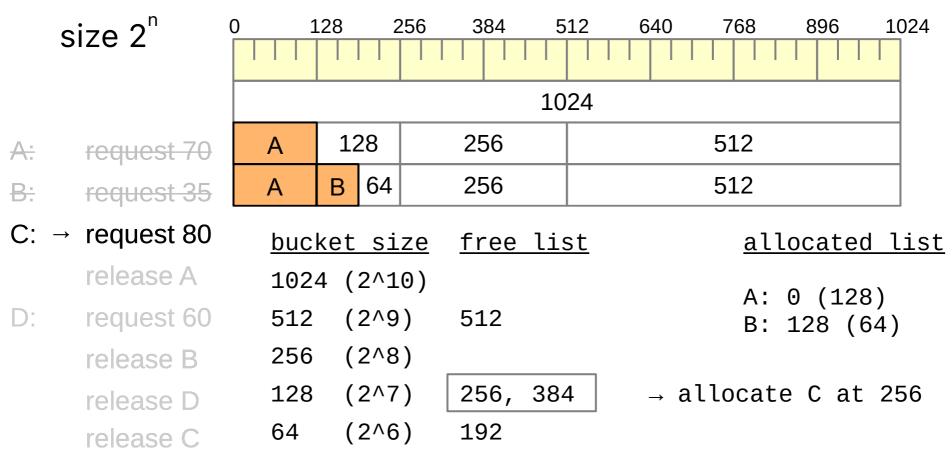
allocated list

A: 0 (128) B: 128 (64)







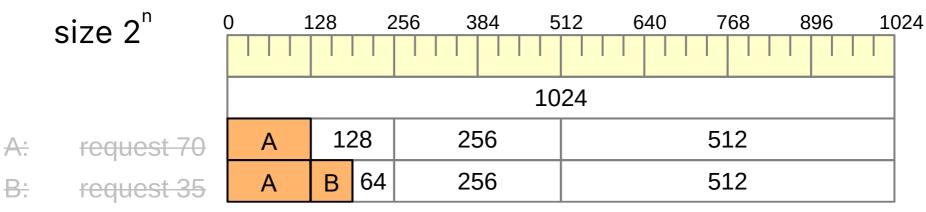








the buddy system partitions memory into dynamic areas of



<del>B.</del>	request 35	$\wedge$	<b>U</b> 0 T	200	
C: →	request 80	buck	et size	free lis	<u>st</u>
	release A	1024	(2^10)		
D:	request 60	512	(2^9)	512	
	release B	256	(2^8)		
	release D	128	(2^7)	384	
	release C	64	(2^6)	192	

#### allocated list

A: 0 (128) B: 128 (64) C: 256 (128)

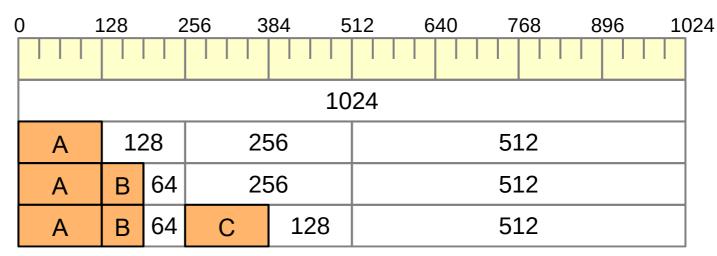






the buddy system partitions memory into dynamic areas of

size 2<sup>n</sup>

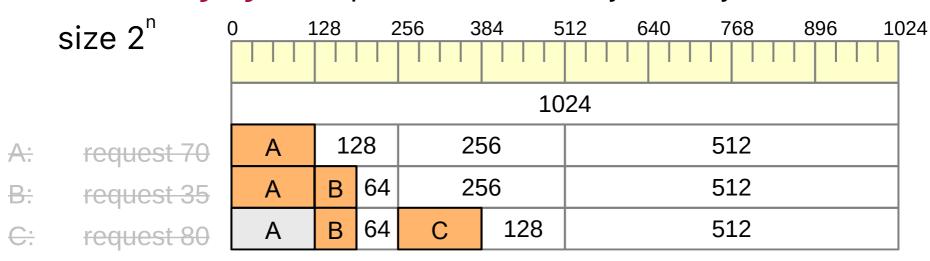


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- C: request 80
  - → release A
- D: request 60
  - release B
  - release D
  - release C









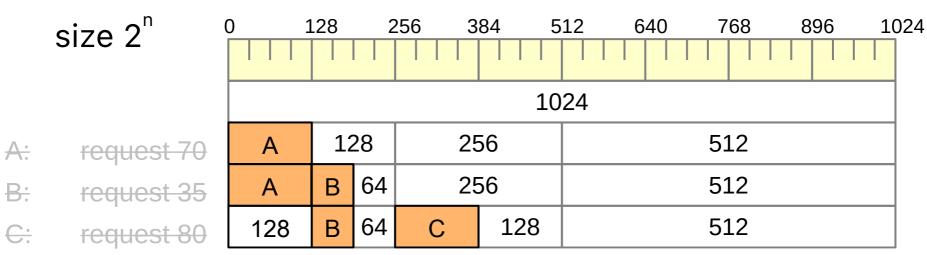
_	→ release A	<u>buck</u>	<u>et size</u>	<u>free list</u>	<u>allocated list</u>
D:	request 60	1024	(2^10)		A: 0 (128)
	release B	512	(2^9)	512	B: 128 (64)
	release D	256	(2^8)		C: 256 (128)
	release C	128	(2^7)	384	
		64	(2^6)	192	







the buddy system partitions memory into dynamic areas of



→ release A	<u>bucket size</u>	<u>free list</u>	<u>allocated list</u>
D: request 60	1024 (2^10)		A: 0 (128)
release B	512 (2^9)	512	B: 128 (64)
release D	256 (2^8)		C: 256 (128)
release C	128 (2^7)	0, 384	
	64 (2^6)	192	

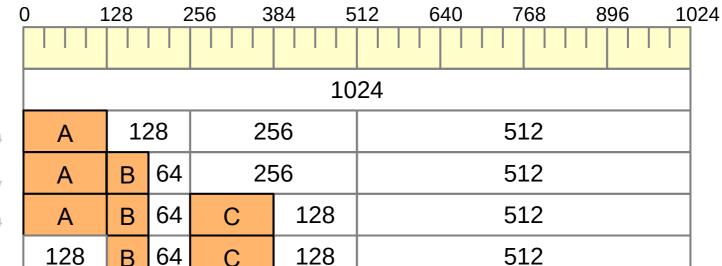






the buddy system partitions memory into dynamic areas of

size 2<sup>n</sup>



A: request 70

B: request 35

C: request 80

release A

D: → request 60

release B

release D

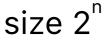
release C







the buddy system partitions memory into dynamic areas of





release A

(	)	128	2	256	384 5	612	40 768	896 1	024
	1024								
	Α	12	28	2	56	512			
	Α	В	64	2	256		512		
	Α	В	64	C	128		512		
	128	В	64	С	128		512		

release D

release C

bucke	<u>et size</u>	<u>free list</u>
1024	(2^10)	
512	(2^9)	512
256	(2^8)	
128	(2^7)	0, 384
64	(2^6)	192

allocated list

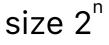
→ allocate D at 192







the buddy system partitions memory into dynamic areas of





#### allocated list

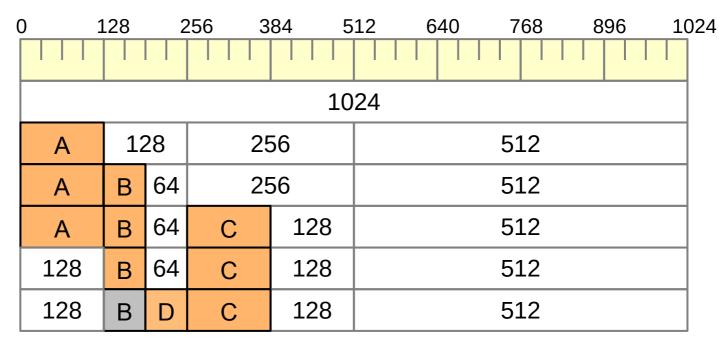






the buddy system partitions memory into dynamic areas of

size 2<sup>n</sup>



- A: request 70
- B: request 35
- C: request 80

release A

D: request 60

→ release B

release D

release C

- freeing the memory allocated for request B
- buddy (D) remains allocated
- no merging of leftover holes

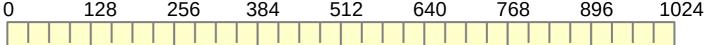






the **buddy system** partitions memory into dynamic areas of

size 2<sup>n</sup>



<del>\</del> :	request 70
B:	request 35
	request 80



request 60

→ release B

release D release C

			<u> </u>		0 10	100	000	
1024								
12	28	2!	56			512		
В	64	2!	56			512		
В	64	С	128			512		
В	64	С	128			512		
В	D	С	128			512		
64	D	С	128			512		
	B B B	128 B 64 B 64 B 64 B D	128 25 B 64 C B 64 C B 64 C	10 128 256 B 64 C 128 B 64 C 128 B D C 128	1024  128 256  B 64 256  B 64 C 128  B 64 C 128  B D C 128	1024  128 256  B 64 C 128  B 64 C 128  B D C 128	1024         128       256       512         B       64       256       512         B       64       C       128       512         B       64       C       128       512         B       D       C       128       512	1024         128       256       512         B 64       256       512         B 64       C 128       512         B 64       C 128       512         B D C 128       512

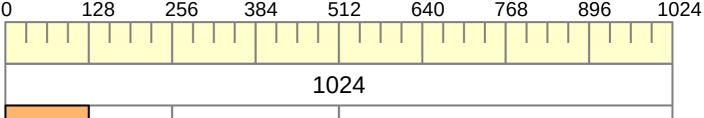






the **buddy system** partitions memory into dynamic areas of

size 2<sup>n</sup>



A: request 70

request 35

<del>C:</del> request 80

release A

<del>D:</del> request 60

release B

$\rightarrow$	release	D
	release	C

- 128 256 512 Α 64 256 512 В Α 128 512 64 В C Α 128 128 512 B 64 128 128 512 В 128 64 128 512
  - freeing the memory allocated for request D
  - no buddy allocation present
  - merge leftover holes, recursively (2 times)



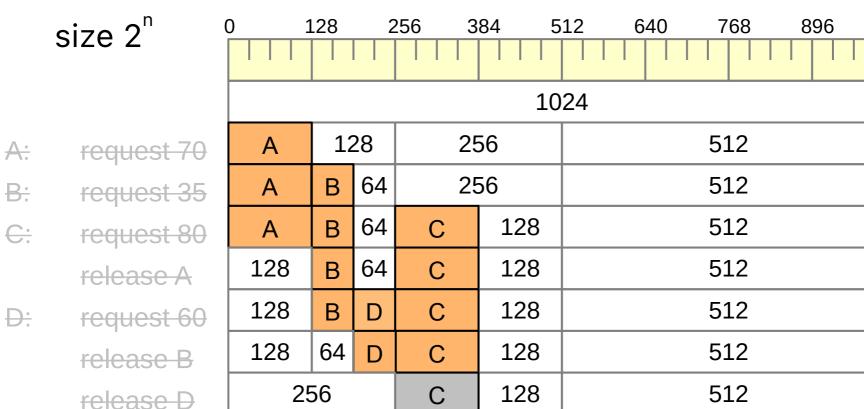




1024

### Placement Strategies – Buddy System

the buddy system partitions memory into dynamic areas of



→ release C

- freeing the memory allocated for request C
- no buddy allocation present
- merge leftover holes, recursively (3 times)







the buddy system partitions memory into dynamic areas of

size 2<sup>n</sup>

request 70

B: request 35

C: request 80

release A

D: request 60

release B

release D

release C

0 1	L28	2	256 3	84 5	12	640	768	896	1024
	1024								
Α	12	28	2!	56	512				
Α	В	64	2!	56			512		
Α	В	64	С	128			512		
128	В	64	С	128			512		
128	В	D	С	128			512		
128	64	D	С	128			512		
256 C 128		128	512						
	1024								





#### Discussion – Fragmentation

#### external fragmentation

- outside the allocated memory area, memory fragments are created that can no longer be used
- occurs when using list-based strategies such as (first fit, best fit, etc.) and also buddy system when merge of buddies is not possible
- countermeasures: merge leftover holes, relocate memory areas

#### internal fragmentation

- there is unused memory within the allocated memory areas
- occurs when using the Buddy system, for example, as the requirements are rounded up to the next larger power of two
- undiscoverable, invalid pointers accessing fragmented areas
- countermeasures: difficult to address; alter granularity of memory allocation or different memory allocation scheme that better fits to the observed memory allocation patterns







#### Active Use of the Discussed Methods

- use in the operating system
  - management of the system memory
  - allocation of memory to processes and the operating system
- use within a process
  - management of the heap memory
  - allows dynamic allocation of memory areas processes (malloc and free)
- use for secondary storage
  - management of specific sections of secondary storage, for example, memory areas for process swap data (swap space)

Buddy allocator in Linux

typically listbased

often with implemented with bitmaps

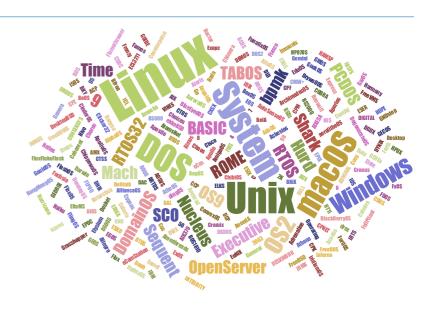






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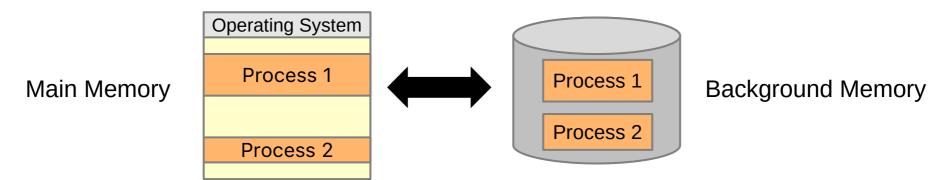






### Memory Management - Swapping

- segments of a process are swapped out to background memory and then freed in main memory
  - for example, to bridge waiting times for I/O
- swapping-in of the segments to the main memory at the end of the waiting time



- considerations: <u>start/stop</u> programs, <u>swap-in/out</u> processes
  - when (aligned to scheduling policy, consider overheads)?
  - where to place processes in main memory?







### Memory Management - Swapping

- addresses in the processes are usually statically bound
  - can only be loaded to the same place in the main memory
  - collisions with segments that may be new in the main memory
- possible solution 1: static partitioning of the main memory
  - only one process is running in each partition
  - swapped in processes are placed again into the same partition
  - memory can not be used optimally
- possible solution 2: program relocation
  - at load time (static linking)
  - during execution time (dynamic linking)

→ focus: dynamic memory allocation with hardware support

**Operating System** 

Partition 1

Partition 2

Partition 3

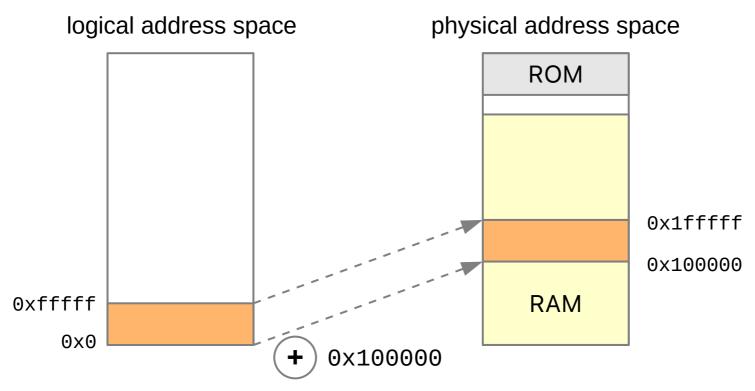
Partition 4







map logical to physical addresses with hardware support



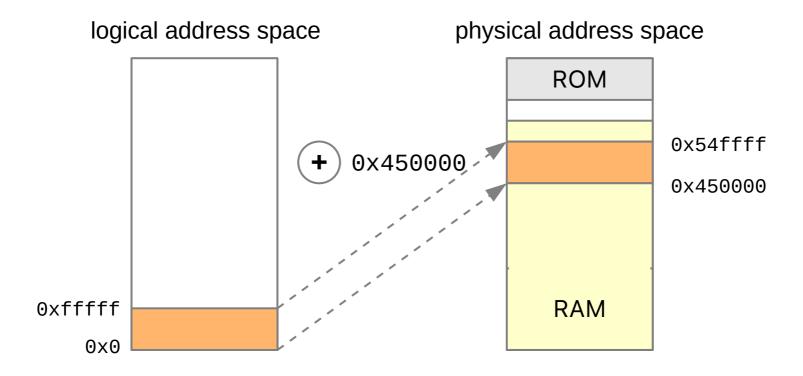
- a segment of the logical address space can be located at any position in the physical address space
- size of segments is variable
- OS determines where a segment should actually be located in the physical address space







map logical to physical addresses with hardware support



- a segment of the logical address space can be located at any position in the physical address space
- size of segments is variable
- OS determines where a segment should actually be located in the physical address space







realisation with translation table (per process)

seg	gment	table	base	reg	jister

#### segment table

	base	bound
00		
01		
02		

02 00 4a02

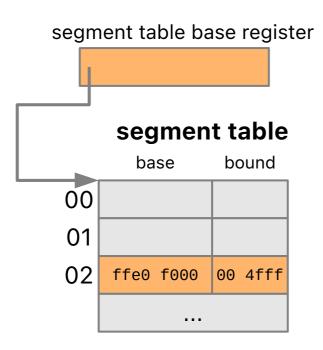
logical address







realisation with translation table (per process)



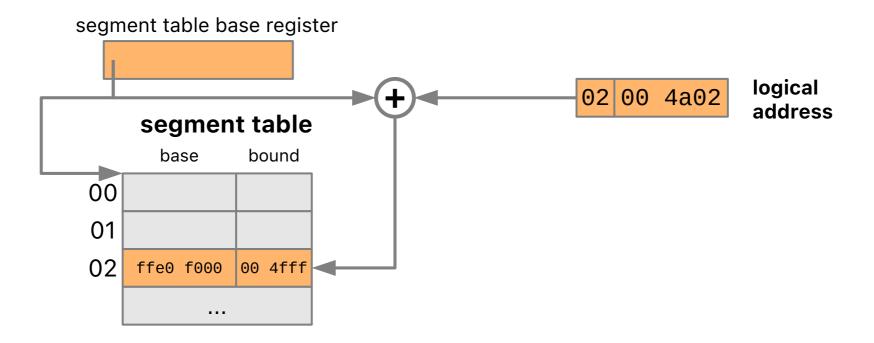
02 00 4a02 logical address







realisation with translation table (per process)

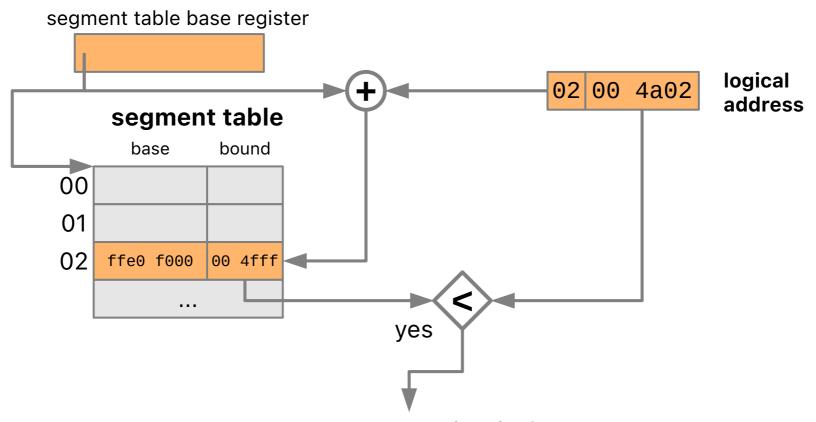








realisation with translation table (per process)



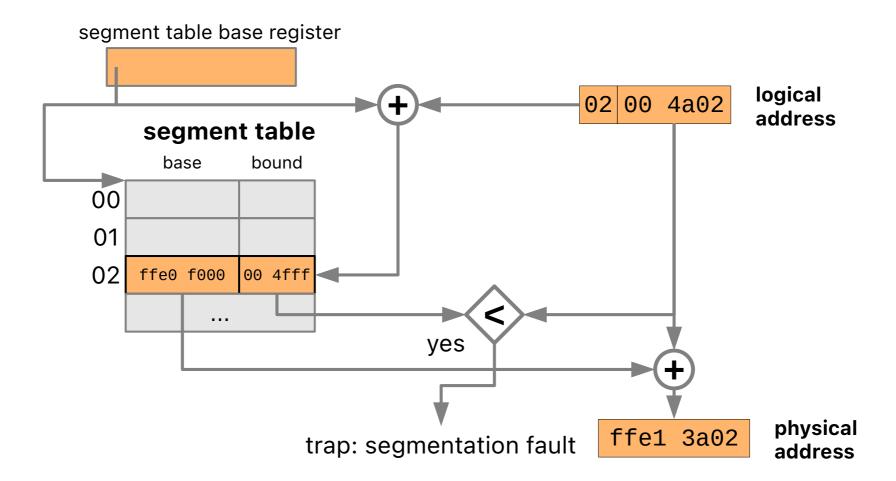
trap: segmentation fault







realisation with translation table (per process)









- hardware support is provided and implemented by the memory management unit (MMU)
- the MMU provides protection for segmentation violations
  - verification of access rights to read, write and execute commands depending on segments
  - traps indicate segmentation violations (→ segmentation fault)
  - programs and operating system are protected from each other
- replacing the segment base on each context switch
  - processes have their own translation table (→ stored in its PCB)
- simplification of swapping
  - after swapping-in only the segment table must be adjusted
- shared segments for text (program code) and data (shared memory) are possible







#### Segmentation – Problems

- memory fragmentation due to frequent swapping-in/out (or start/termination) of processes
  - small, unusable holes occur (external fragmentation)
- solution: compacting
  - segments are moved to close holes
  - segment table needs to be adjusted and updated
  - performance penalty
- issue: long I/O time overhead due to swapping-in/out
  - not all parts of a segment are used equally often

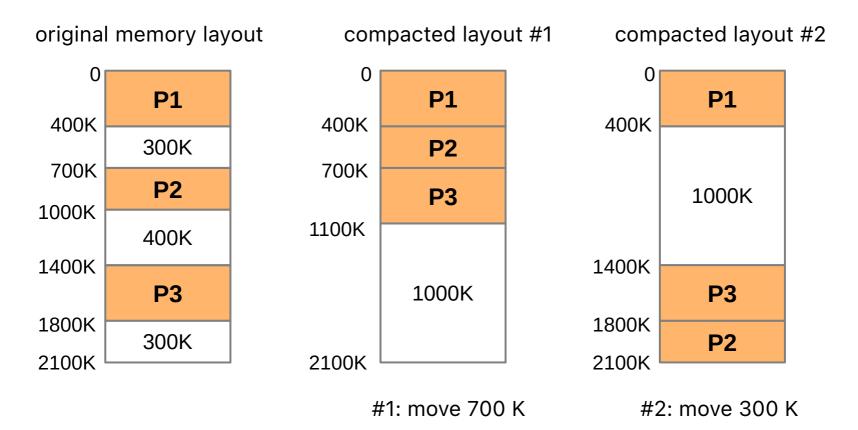






### Segmentation - Compacting

- move segments to defragment memory
  - creating fewer but larger gaps to reduce fragmentation
  - complex operation, depending on the size of the segments



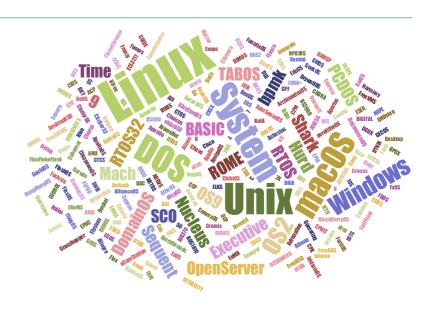






#### Agenda

- Recap
- Organizational Matters
- Principles of Memory Management
  - Motivation
  - Requirements
  - Strategies
- Memory Allocation Schemes
- Memory Management for Multi-Program Operation
  - Segmentation
  - Paging
- Summary and Outlook



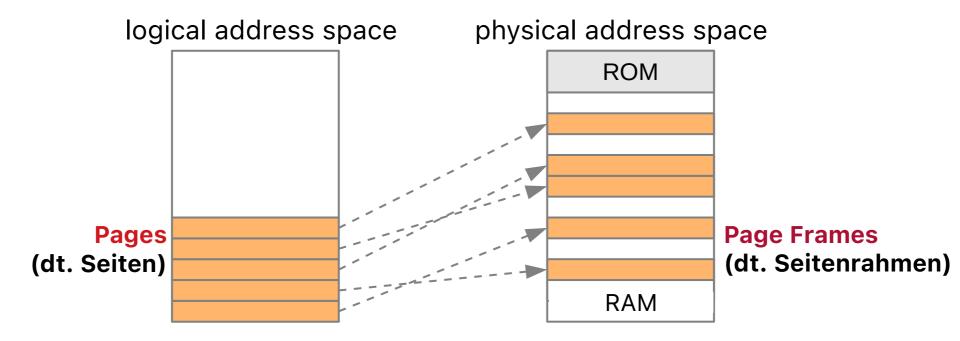






### Memory Management – Paging

- paging (dt. Seitenadressierung): organisation of the logical address space in pages of equal, fixed size (e.g., 4 K, 8 K)
- pages can be located at any position in the physical address space
  - solves the fragmentation problem
  - no more compacting necessary
  - simplifies memory allocation and swapping in/out



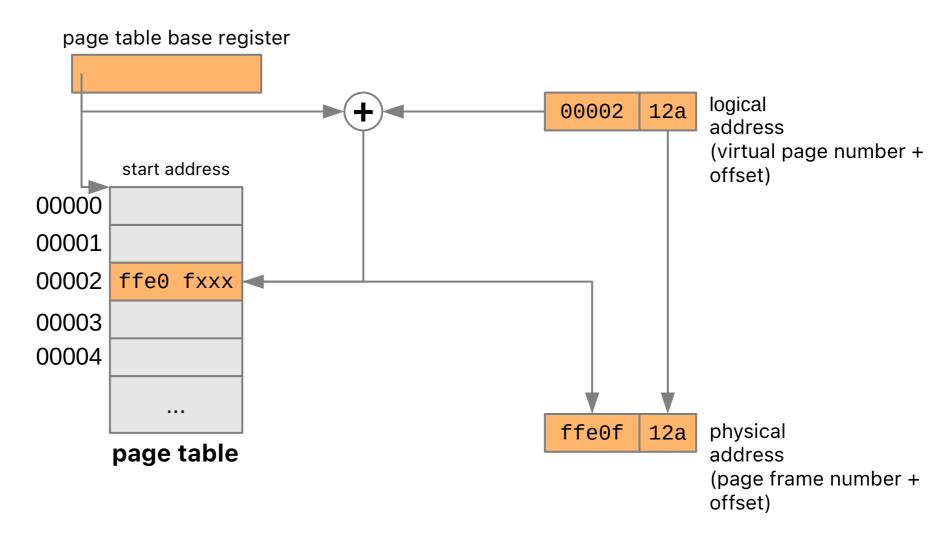






### Memory Management - Paging

MMU translates logical (virtual page) to physical addresses (page frame)









### Paging – Problems

- paging leads to internal fragmentation
  - last page may not be used completely
- page size
  - small pages reduce internal fragmentation, but increase size of page table (and vice versa)
  - common sizes: 512 bytes to 8192 bytes
- large table that must be kept in memory
- many implicit memory accesses necessary

advanced paging: segmented paging, paged segmentation, inverted page tables

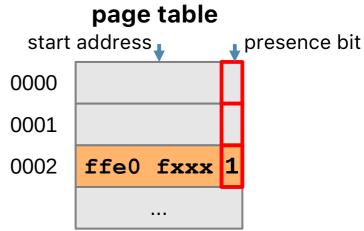






# Paging – Swapping In/Out of Pages

- it is no longer necessary to swap-in/out an entire segment
  - pages can be swapped in and out individually
- page faults, hardware support
  - if the presence bit is set, everything remains as before
  - if the presence bit is cleared, a trap is triggered (page fault)
  - trap handling can now be used for loading the page from the background memory and repeat the memory access afterwards (requires hardware support in the CPU)









### Paging – Discussion on Operational Costs

- page faults may occur very frequently
  - depends on program and its I/O activity pattern(s)
  - Linux: ps -eo min\_flt,maj\_flt,cmd
- page translations (virtual to physical addresses) are expensive
  - example: memory reference
  - movl 0x14711222, %eax
    - 1. lookup page table base register (PTBR)
    - 2. extract virtual page number (VPN), here: 0x14711
    - 3. read page table entry, here: PTBR + 0x14711 \* 8
    - 4. extract page frame number (PFN), here: 0x222
    - 5. read the memory at location PFN << 12 + 0x222
- translation lookaside buffer (TLB): hardware cache, stores recent translations of virtual memory to physical memory addresses

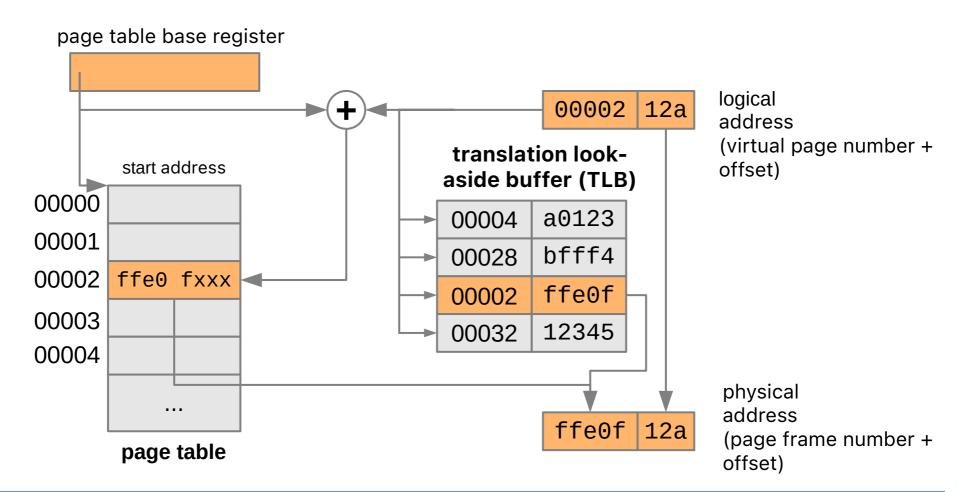






# Paging – Translation Lookaside Buffer (TLB)

fast register set is consulted before accessing the page table:









### Paging – Translation Lookaside Buffer (TLB)

- fast access to pages if information is in TLB's memory
  - fully associative cache
  - TLB hit: no implicit memory accesses necessary
- TLB content must be replaced for context changes (TLB flush)
- when accessing a page not included in the TLB, the corresponding access information is entered into the TLB
  - an old entry must be selected for replacement
- typical TLB sizes
  - Intel Core i7: 512 entries, page size 4K
  - UltraSPARC T2: data TLB = 128, code TLB = 64, page size 8K
  - larger TLBs not possible at the usual clock rates at present

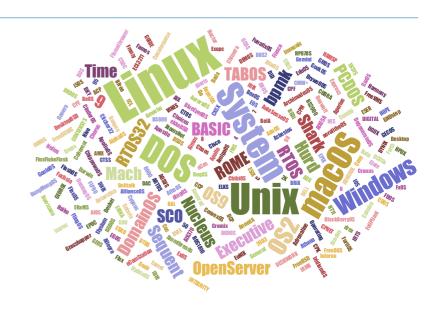






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# Summary and Outlook

#### summary

- operating systems work closely with the hardware in terms of memory management
  - segmentation and/or paging
  - due to implicit indirection in memory access, programs and data can be moved arbitrarily during runtime under the control of the OS
- in addition, various strategic decisions are made
  - → placement strategy (first fit, best fit, buddy, ...)
  - → differences with regard to fragmentation as well as allocation and relocation costs
  - strategy selection depends on the usage pattern

#### outlook: virtual memory

- methods and strategies how/when segments or pages should be swapped in/out
- fetch strategies, replacement strategies







#### References and Acknowledgments

#### Lecture

- Systemnahe Programmierung in C (SPiC), Betriebssysteme (Jürgen Kleinöder, Wolfgang Schröder-Preikschat)
- Betriebssysteme und Rechnernetze (Olaf Spinczyk, Embedded Software Systems Group, Universität Osnabrück)

#### **Teaching Books and Reference Book**

- [1] Avi Silberschatz, Peter Baer Galvin, Greg Gagne: *Operating System Concepts*, John Wiley & Sons, 2018.
- [2] Andrew Tanenbaum, Herbert Bos: Modern Operating Systems, Pearson, 2015.
- [3] Wolfgang Schröder-Preikschat: *Grundlage von Betriebssystemen Sachwortverzeichnis*, 2023.

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