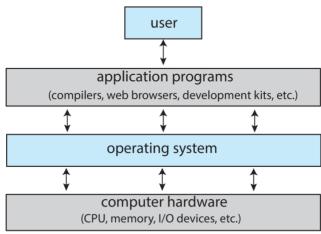
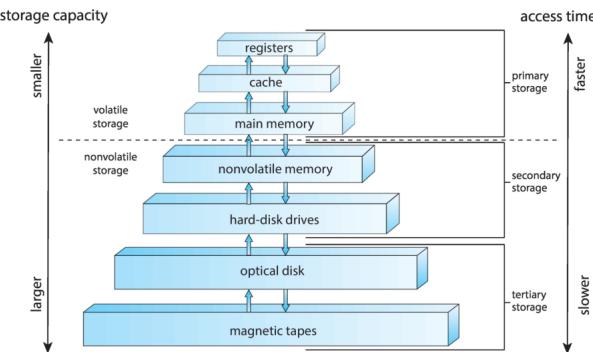
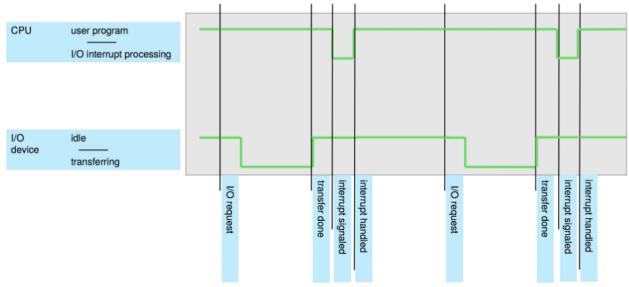


# 1 Operating System

OS = coordinates use of hardware among various applications and users.



I/O devices and CPU can execute concurrently. The devices communicate with the CPU through **interrupts**.



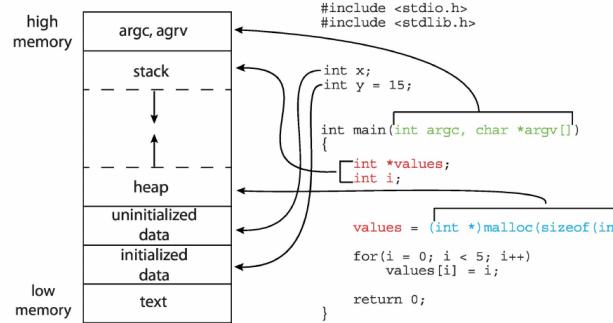
## 2 Processes

### 2.1 General

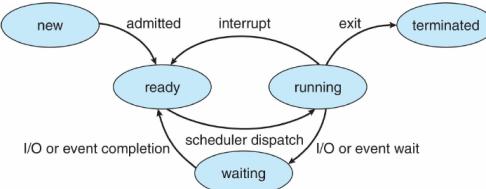
Process = program (executable / binary) in execution.  
Program = passive entity stored on disk; Process = active entity loaded in memory.

Parts of a process:

- Text section (program code)
- Current activity (program counter and process registers)
- Stack (function parameters, local vars, ret addresses)
- Data section (global variables)
- Heap (dynamically allocated memory)



Process states: New, Running, Waiting, Ready, Terminated.



### 2.2 PCB

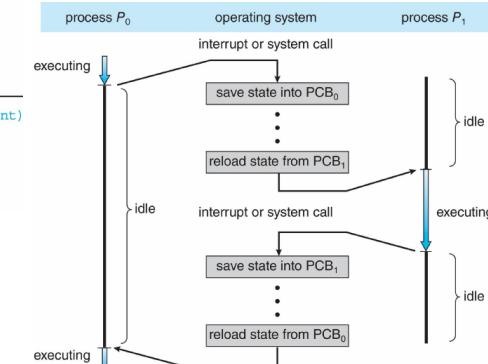
Information associated with each process (also called task control block)

PCB contents:

- Process state – running, waiting, etc.
- Program counter – location of instruction to next execute

- CPU registers – contents of all process-centric registers
- CPU scheduling information- priorities, scheduling queue pointers
- Memory-management information – memory allocated to the process
- Accounting information – CPU used, clock time elapsed since start, time limits
- I/O status information – I/O devices allocated to process, list of open files

When CPU switches context, the respective state stored in the PCB is loaded:



### 2.3 Process creation / termination

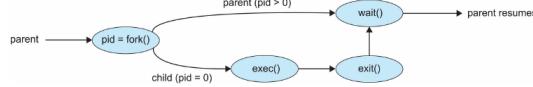
Parent process create children processes, which, in turn create other processes, forming a tree of processes.

Process is identified and managed via a process identifier (pid).

- fork() = syscall to create a new child process. Child's address space is the same as parent. Returns 0 in the child process and PID of the child in parent.
- exec() = replace the child's address space with another program.
- wait() = parent process calls wait() to wait for the child to terminate.

- `exit()` = process executes last statement and then asks the operating system to delete it.
- `abort()` = terminate the execution of children processes.
- `waitpid()` = waits for a specific child spawned by the process.

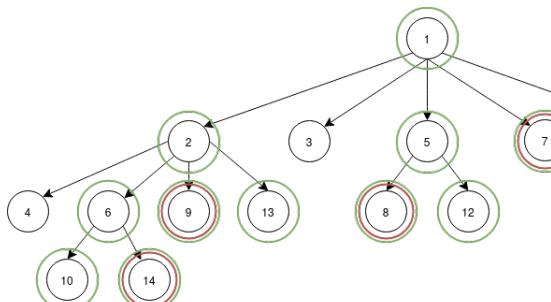
```
int main(int argc, char *argv[])
{
    pid_t pid = fork();
    if(pid < 0)
        return errno;
    else if(pid == 0)
    {
        //child
        char *argv[] = {"ls", NULL};
        execve("/bin/ls", argv, NULL);
        perror(NULL);
    }
    else
    {
        //parent
        wait(NULL);
        // child finished
    }
    return 0;
}
```



Exemplu arbore de procese: Câte procese și threaduri sunt la final? Desenați arborescența de procese și thread-urile aferente.

```
fork()
if (fork()) {
    fork()
    if (!fork())
        pthread_create()
    else
        fork()
        pthread_create()
}
```

Sunt 14 procese și 16 thread-uri. Fiecare cerc este un thread format (prima dată cele rosii, la linia 5, apoi cele verzi la linia 8).



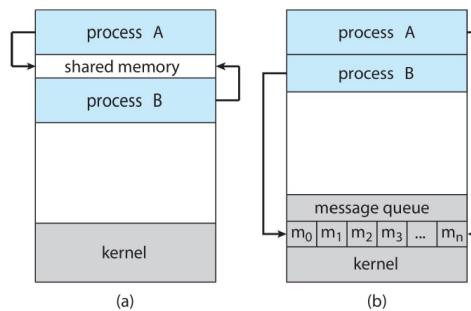
Zombie and Orphan processes:

- Zombie process = a process that has completed execution but still has an entry in the system process table. This happens because the parent didn't invoke `wait()`.
- Orphan process = a living child whose parent has died. Could be because parent exited prematurely or intended in the case of daemons. The process is adopted by process with PID=1.

## 2.4 Interprocess Communication

Processes within a system may be independent or cooperating. Cooperating processes can affect or be affected by other processes for: sharing data, computation speedup, modularity, convenience.

Two models of IPC: Shared memory and Message passing.



### 2.4.1 Shared memory

Requires careful synchronization.

Producer-Consumer problem: producer process produces information that is consumed by a consumer

process. Solved with shared memory by holding a buffer and in/out pointers.

- unbounded-buffer = Producer never waits; Consumer waits if there is no buffer to consume
- bounded-buffer = Producer must wait if all buffers are full; Consumer waits if there is no buffer to consume

Shared memory used in UNIX with `shm_open()` to create a shared memory segment and mapped it to a file descriptor via `mmap`.

### 2.4.2 Message passing

Processes communicate with each other without resorting to shared variables.

IPC facility provides two operations: `send(message)` and `receive(message)`

- Direct Communication = Processes must name each other explicitly: `send(P, message)` - send a message to process P, `receive(Q, message)` - receive a message from process Q
- Indirect Communication = Send and receive messages through mailbox: `send(A, message)` - send a message to mailbox A, `receive(A, message)` - receive a message from mailbox A

Message passing may be either blocking or non-blocking:

- Blocking (synchronous)
  - Blocking send = the sender is blocked until the message is received
  - Blocking receive = the receiver is blocked until a message is available
- Non-blocking (asynchronous)
  - Non-blocking send = the sender sends the message and continue
  - Non-blocking receive = the receiver receives a valid message / NULL

If both send and receive are blocking, we have a **rendezvous**.

As processes can not be synchronized perfectly, we make use of buffering (queue of messages attached to the link):

- Zero capacity: no messages are queued on a link. Sender must wait for receiver. (rendezvous)
- Bounded capacity: finite length of n messages. Sender must wait if link full.
- Unbounded capacity: infinite length. Sender never waits.

### 2.4.3 Signals

Signals can be sent to a process:

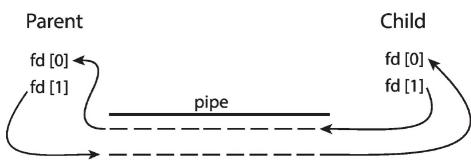
- SIGINT (ctrl+c) = kills the process
- SIGSTOP (ctrl+z) = stops the process, moves it to background
- SIGSEGV = invalid memory accessed
- etc.

### 2.4.4 Pipes

Acts as a conduit allowing two processes to communicate.

**Ordinary pipes (anonymous)** = cannot be accessed from outside the process that created it. Typically, a parent process creates a pipe and uses it to communicate with a child process that it created.

**Named pipes** = can be accessed without a parent-child relationship.



### 2.4.5 Sockets

A socket is defined as an endpoint for communication. Concatenation of **IP address and port** (a number included at start of message packet to differentiate network services on a host).

loopback (127.0.0.1) = system on which process is running

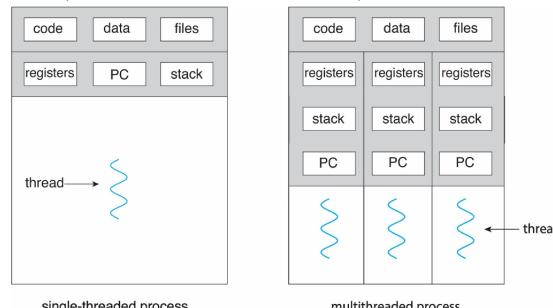
### 2.4.6 RPCs

RPCs = remote procedure calls. Abstracts procedure calls between processes on networked systems. Stubs = client-side proxy for the actual procedure on the server. The client-side stub locates the server and marshalls the parameters. The server-side stub receives this message, unpacks the marshalled parameters, and performs the procedure on the server.

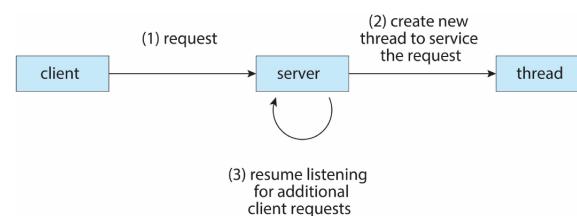
## 3 Threads

### General

A thread is the basic unit of CPU utilization. It is less costly than process, because each process can have multiple threads that share resources (data, code, files), having only independent registers, stack and PC. (the multithreaded model).



They can be used in the server model to process requests

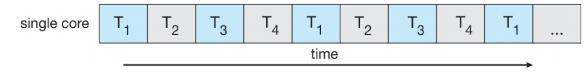


## Parallelism & concurrency

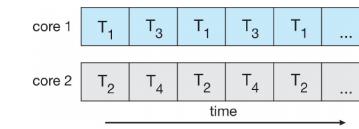
- **Parallelism** = a system can execute more than one task simultaneously.

- **Concurrency** = more than one task is making progress.

- Concurrent execution on single-core system:

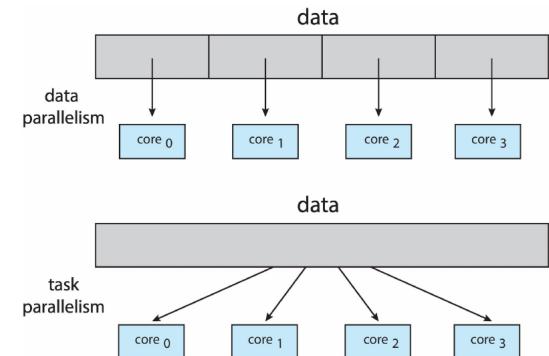


- Parallelism on a multi-core system:



- **data parallelism** = distribute subsets of same data across multiple cores, same operation

- **task parallelism** = distribute threads across multiple cores, each with unique operation



## Amdahl's law

This measures the performance gain from adding cores to an application that has both sequential and parallel components.

- $S$  - serial portion (fraction),  $1 - S$  - parallel portion
- $N$  - cores

$$\text{speedup} \leq \frac{1}{S + \frac{1-S}{N}}$$

Applied.  $S = 0.25$  (25% serial), moving from 1 to 2 cores  $N = 2$ .

$$s \leq \frac{1}{0.25 + \frac{0.75}{2}} = 1.6$$

Speedup of up to 1.6 times.

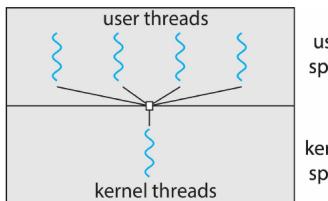
## User vs Kernel Threads

- **User thread** = managed by user level library (e.g. pthread)

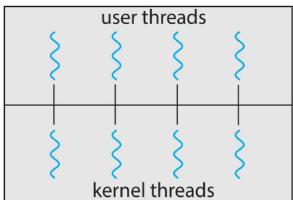
- **Kernel Thread** = supported by the Kernel

There are three models that map user threads to kernel threads.

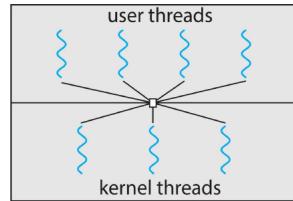
- **many-to-one**: many user threads mapped to 1 kernel thread. One thread blocking causes others to block.



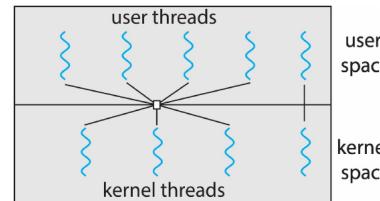
- **one-to-one**: 1 user threads mapped to 1 kernel thread. More concurrency than previous.



- **many-to-many**: many user threads mapped to many kernel threads. Allows OS to create sufficient number of kernel threads.



- **two level**: similar to M:M but allows one user thread to be bound to kernel thread.



## Other

Implicit threading represents the growing trend of having threads created and managed by compilers and run-time libraries, instead of creating them explicitly. Many methods.

- thread pools : create a pool of threads that await work
- fork-join parallelism: like divide et impera, but on threads

```
Task(problem)
    if problem is small enough
        solve the problem directly
    else
        subtask1 = fork(new Task(subset of problem))
        subtask2 = fork(new Task(subset of problem))

        result1 = join(subtask1)
        result2 = join(subtask2)

    return combined results
```

- OpenMP - set of compiler directives that identify parallel regions `#pragma omp parallel`
- there exists a complication on **fork** and **exec**. - there exists some versions of fork (one that forks all threads, one that forks only the thread that calls the fork) - exec is simpler and it replaces all the threads with the new code.

## Signal

Signals are used in UNIX systems to notify a process that something has happened.

A signal handler is used to process a signal. We have predefined and user defined handlers.

A signal can be delivered to all threads, to certain threads or the thread that the signal applies to.

- **thread cancellations** is the termination of a thread before it finishes. There are two approaches **asynchronous cancellation** - terminate immediately and

**deferred cancellation** allows the thread to check periodically if it should be cancelled.

Cancellation can be disabled by the thread.

- **Thread Local Storage** - each thread can have its own copy of data

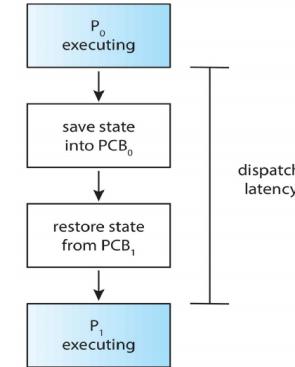
## 4 CPU Scheduling

How to schedule processes on the CPU efficiently? Usually, CPU is a sequence of CPU bursts and I/O bursts (waiting time for I/O). A CPU scheduler selects a process and allocates a core to it.

- **Preemptive** = can postpone processes (put process in ready state / back in running state)
- **Non-preemptive** = once process has CPU, the process keeps it until the end or by switching to waiting.

Dispatcher = gives control of the CPU to the process selected by the CPU scheduler: switching context, switching to user mode, jumping to proper location in the user program to restart it.

Dispatch latency = time it takes for the dispatcher to stop one process and start another running.



Scheduling criteria:

- CPU utilization – keep the CPU as busy as possible
- Throughput – # of processes that complete their execution per time unit

- Turnaround time – amount of time to execute a particular process
- Waiting time – amount of time a process has been waiting in the ready queue
- Response time – amount of time it takes from when a request was submitted until the first response is produced.

## 4.1 FCFS

FCFS = First-Come, First-Served Put the processes on the CPU the order in which they request it. (this is non-preemptive) Convoy effect - short process behind long process (this results in optimal average waiting time)

Example: For processes with burst times  $P_1 = 24$ ;  $P_2 = 3$ ;  $P_3 = 3$ ; This is the resulting Gantt Chart:



If the processes come in different order, it is better.



## 4.2 SJF

SJF = Shortest Job First Associate with each process the length of its next CPU burst. Use these lengths to schedule the process with the shortest time. Optimal average waiting time.

**Non-Preemptive** version: For processes with burst times  $P_1 = 6$ ;  $P_2 = 8$ ;  $P_3 = 7$ ;  $P_4 = 3$  This is the resulting Gantt Chart:



Determining the length of the next CPU-burst: ask the user to provide estimation / estimate ourselves.

**Exponential averaging** = Use length of previous CPU-burst and estimate the next one:

$t_n$  = length on n-th CPU burst

$$\begin{aligned}\tau_{n+1} &= \text{predicted next CPU burst} \\ \alpha, 0 \geq \alpha \leq 1. \text{ Commonly } \alpha &\leq \frac{1}{2} \\ \tau_{n+1} &= \alpha t_n + (1 - \alpha)\tau_n\end{aligned}$$

## 4.3 SRT

SRT = Shortest remaining time first

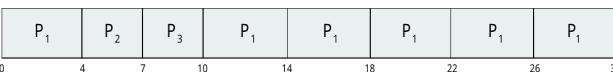
**Preemptive** version of SJF: For processes with arrival, burst times  $P_1 = 0 \ 8$ ;  $P_2 = 1 \ 4$ ;  $P_3 = 2 \ 9$ ;  $P_4 = 3 \ 5$  This is the resulting Gantt Chart:



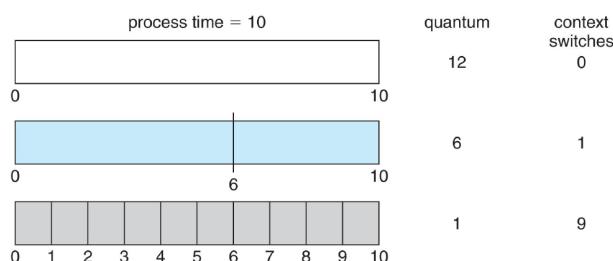
## 4.4 Round-Robin (RR)

Each process gets a small unit of CPU time (time quantum q). After this time has elapsed, the process is preempted and added to the end of the ready queue.

**Preemptive RR:** For processes with burst times:  $P_1 = 24$ ;  $P_2 = 3$ ;  $P_3 = 3$  and  $q = 4$ , the Gantt chart is:



Choose q carefully, take into account context switches, and waiting time of processes:



## 4.5 Priority Scheduling

A priority number (integer) is associated with each process. The CPU is allocated to the process with the highest priority (smallest integer = highest priority). SJF is priority scheduling.

**Starvation** = low priority processes may never execute. Can fix with **aging** = as time progresses increase the priority of the process.

## Non Preemptive Priority Scheduling:

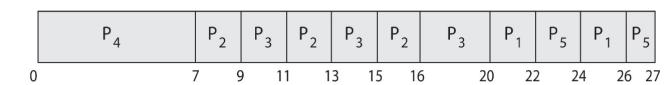
For processes with burst times and priority:  $P_1 = 10 \ 3$ ;  $P_2 = 1 \ 1$ ;  $P_3 = 2 \ 4$ ;  $P_4 = 1 \ 5$ ;  $P_5 = 5 \ 2$ , the Gantt chart is:



## 4.6 Priority scheduling with Round Robin

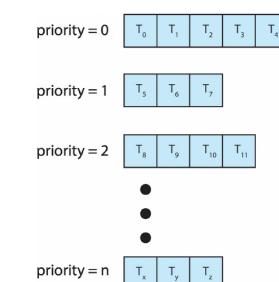
Run the process with the highest priority. Processes with the same priority run round-robin.

Example: For processes with burst and priority:  $P_1 = 4 \ 3$ ;  $P_2 = 5 \ 2$ ;  $P_3 = 8 \ 2$ ;  $P_4 = 7 \ 1$ ;  $P_5 = 3 \ 3$  and  $q = 2$



## 4.7 Multilevel Queue

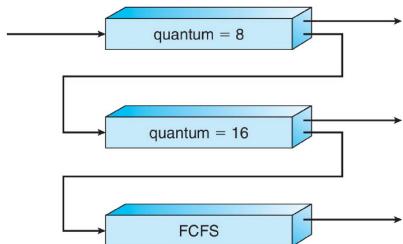
The ready queue consists of multiple queues. Each queue has its own scheduling algorithm + method to determine which queue a process goes to. Example, multilevel queue by priority:



**Multilevel Feedback Queue** = A process can move between the various queues + method to determine which queue a process goes to + method to determine when to upgrade/demote process.

Example (Three queues):

- $Q_0$  = RR with  $q = 8\text{ms}$
- $Q_1$  = RR with  $q = 16\text{ms}$
- $Q_2$  = FCFS



When a process gains CPU, the process receives 8 ms. If it does not finish in 8 milliseconds, the process is moved to  $Q_1$ . If the process doesn't finish in 16 ms, it goes to FCFS.

## 4.8 Thread scheduling

When threads are supported, threads are scheduled, not processes. Use the same algorithms.

**Process-contention scope (PCS)** = competition within the process. (on many-to-many / one-to-many threading models)

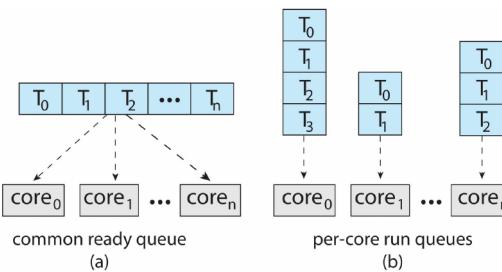
**System-contention scope (SCS)** = competition among all threads in system (on one-to-one models)

## 4.9 Scheduling on parallel systems

### 4.9.1 Multiple-Processor Scheduling

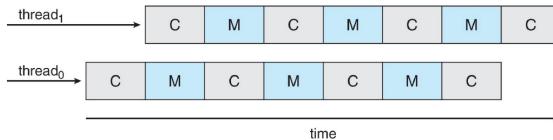
**Symmetric multiprocessing (SMP)** = each processor is self scheduling.

All threads may be in a common ready queue (a) or each processor may have its own private queue of threads (b).



### 4.9.2 Multithreaded Multicore systems

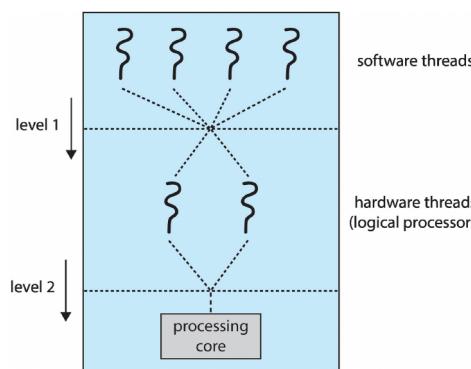
Each core has 1 hardware threads. Then if one thread stalls, switch to another one. If they end up interleaved we have a speedup.



This is called Chip-multithread (hyperthreading) when you have multiple hardware threads on multiple cores. The system sees each hw thread as a logical processor.

There are two levels of scheduling here:

- 1. The operating system deciding which software thread to run on a logical CPU
- 2. How each core decides which hardware thread to run on the physical core.



### 4.9.3 Load Balancing

: If the architecture is SMP, we need to keep all CPUs loaded for efficiency:

- **Load balancing** attempts to keep workload evenly distributed
- **Push migration** – periodic task checks load on each processor, and if found pushes task from overloaded CPU to other CPUs
- **Pull migration** – idle processors pull waiting task from busy processor

### 4.9.4 Processor Affinity

When a thread has been running on one processor, the cache contents of that processor stores the memory accesses by that thread. This is called **Affinity**.

Load balancing may affect affinity.

Solutions:

- Soft affinity – the operating system attempts to keep a thread running on the same processor, but no guarantees.
- Hard affinity – allows a process to specify a set of processors it may run on.

## 4.10 Real-time systems

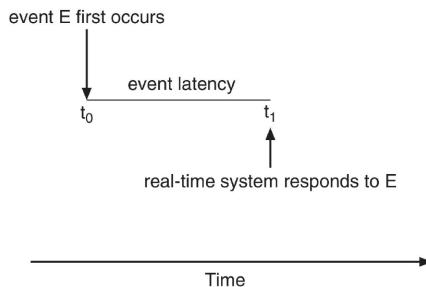
Soft real-time systems = Critical real-time tasks have the highest priority, but no guarantee as to when tasks will be scheduled

Hard real-time systems = task must be serviced by its deadline

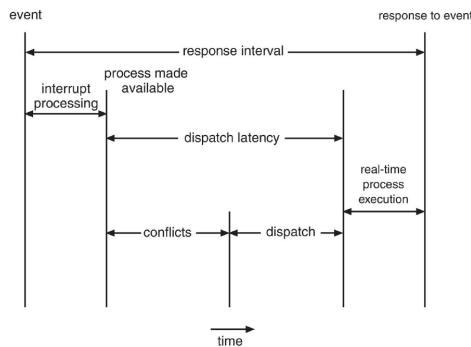
**Event latency** = the amount of time that elapses from when an event occurs to when it is serviced.

Two types of latencies affect performance:

- Interrupt latency = time from arrival of interrupt to start of routine that services interrupt.
- Dispatch latency – time for scheduler to take current process off CPU and switch to another



Interrupt latency consists of: 1) determining interrupt type and 2) switching the context.



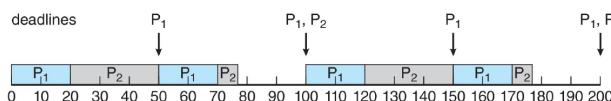
Conflict phase of dispatch latency is: 1) preemption of any process running in kernel mode and 2) release by low-priority process of resources needed by high-priority processes.

#### 4.10.1 Real-time Priority-based Scheduling

For real-time scheduling, scheduler must support preemptive, priority-based scheduling.

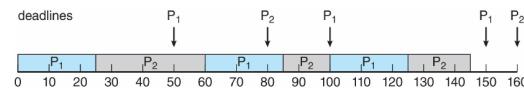
Process may be periodic, have a processing time  $t$ , deadline  $d$  and period  $p$ . Rate of periodic task is  $\frac{1}{p}$ .

A priority is assigned based on the inverse of its period.



#### 4.10.2 EDF

EDF = Earliest Deadline First Scheduling Priorities are assigned according to deadlines: The earlier the deadline, the higher the priority



#### 4.10.3 Proportional Share Scheduling

$T$  shares are allocated among all processes in the system

An application receives  $N$  shares where  $N \leq T$ . This ensures each application will receive  $\frac{N}{T}$  of the total processor time.

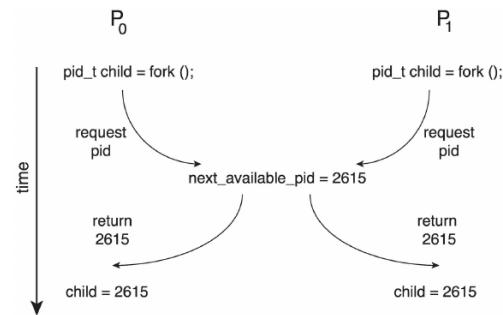
### 4.11 Little's formula

$n$  = average queue length  $W$  = average waiting time in queue  $\lambda$  = average arrival rate into queue  $n = \lambda \cdot W$ .

### 5 Synchronization

A **race condition** is when multiple threads/processes access and manipulate data concurrently, and the result depends on the **order** of the access.

Here, two process access the same next\_pid and create two different children with the same pid.



### 5.1 Critical section

A critical sections is a segment of instruction in which the process is accessing common variables, tables, writing to files etc. When one process is in a critical

section, no other process may be in their critical section.

Each process must ask permission to enter the critical section, then exit and continue.

```
while (true) {
    entry section
    critical section
    exit section
}
remainder section
}
```

#### 5.1.1 Solution criteria

- mutual exclusion - if a process is executing a critical section, no other process will
- progress - If no process is in its critical section and some processes wish to enter, then only those processes not in their remainder section can participate in the decision of which will enter next, and this selection cannot be postponed indefinitely.
- bounded waiting - There is a limit on the number of times other processes are allowed to enter their critical sections after a process has made a request to enter and before that request is granted. (This prevents starvation).

#### 5.1.2 Solutions

- disable interrupts on entry and enable on exit
  - risk of starvation, doesn't work with multiple cores
- assume load/store are atomic (cannot be interrupted)
  - two processes have a turn variable which shows whose turn it is to enter the critical section: doesn't meet progress and bounded waiting reqs.

```

while (true){
    while (turn == j);
    /* critical section */
    turn = j;
    /* remainder section */
}

```

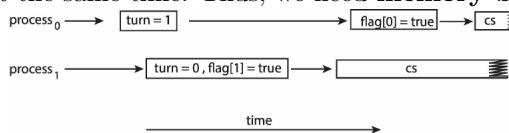
- **Peterson's solution** - use turn (shows whose turn is it) and a boolean flag (shows if process is ready to enter critical section). When process i is ready, it lets j execute if its ready, then it executes itself. It doesn't work on modern architectures because compilers may reorder operations that have no dependencies.

```

while (true){
    flag[i] = true;
    turn = j;
    while (flag[j] && turn == j);
    /* critical section */
    flag[i] = false;
    /* remainder section */
}

```

- If the turn and flag setting instructions are changed, we risk getting the processes into the critical section at the same time. Thus, we need **memory barriers**.



A **memory barrier** is an instruction that forces all changes in memory to be propagated to all processors.

Thread 1 now performs  
`while (!flag)  
 memory_barrier();  
print x`

Thread 2 now performs  
`x = 100;  
memory_barrier();  
flag = true`

For Thread 1 we are guaranteed that the value of flag is loaded before the value of x.

For Thread 2 we ensure that the assignment to x occurs before the assignment flag.

There exists hardware support for this  
- uniprocessors - disable interrupts  
- hardware instructions

- atomic variables

### 5.1.3 Hardware instructions

**test\_and\_set** - executed atomically, returns the original value of the passed parameter, sets the new value to true.

```

boolean test_and_set (boolean
*target)
{
    boolean rv = *target;
    *target = true;
    return rv;
}

```

We can implement a lock (shared variable lock) as such:

```

do {
    while (test_and_set(&lock))
        ; /* do nothing */

    /* critical section */

    lock = false;
    /* remainder section */
} while (true);

```

**compare\_and\_swap** - executed atomically, returns the value of original, sets the value = new\_value only if value was the expected value.

```

int compare_and_swap(int *value, int expected, int new_value
{
    int temp = *value;
    if (*value == expected)
        *value = new_value;
    return temp;
}

```

We can implement a memory barrier with a shared variable lock initialized to 0.

```

while (true){
    while (compare_and_swap(&lock, 0, 1) != 0)
        ; /* do nothing */

    /* critical section */

    lock = 0;
    /* remainder section */
}

```

Also, we can implement bounded waiting by giving the critical section access to the next waiting process, only unlocking if there is no such process.

```

while (true) {
    waiting[i] = true;
    key = i;
    while (waiting[i] && key == 1)
        key = compare_and_swap(&lock, 0, 1);
    waiting[i] = false;
    /* critical section */
    j = (i + 1) % n;
    while ((j != i) && !waiting[j])
        j = (j + 1) % n;
    if (j == i)
        lock = 0;
    else
        waiting[j] = false;
    /* remainder section */
}

```

### 5.1.4 Atomic variables

Variables of basic data types (int, bool) that have atomic operations on them. For example **sequence** atomic variable and **increment(&sequence)** atomic.

```

void increment(atomic_int *v)
{
    int temp;
    do {
        temp = *v;
    } while (temp != (compare_and_swap(v, temp, temp
+1)));
}

```

### 5.1.5 Mutex Lock

- boolean variable indicating if lock is available or not.
- protect by acquiring and releasing lock.
- requires busy waiting, it is named also **spinlock**

```

while (true) {
    acquire lock
    // critical section
    release lock
    // remainder section
}

```

### 5.1.6 Semaphore Lock

Semaphore S - integer variable indicating available resources.

- **wait()**/**P()** and **signal()**/**V()**, both need to be atomic

```

wait(S) {
    while (S <= 0)
        ; // busy wait
    S--;
}

```

```

    signal(S) {
        S++;
    }
}

```

A binary semaphore (values 0/1) is a **mutex**.

We can use a **semaphore** to guarantee that two statements  $S_1$  and  $S_2$  in two different processes happen in the correct order.

- Create a semaphore "synch" initialized to 0

```

P1:
    S1;
    signal(synch);
P2:
    wait(synch);
    S2;

```

**Busy waiting** is not a good solution as processes can spend much time in critical zone. We want to implement a waiting queue for ready processes.

We have **block** - place the invoking process in waiting queue, **wakeup** remove one of the processes from the waiting queue and add to ready queue.

```

typedef struct {
    int value; // value of the semaphore
    struct process *list; // associated queue of
                          // semaphore, as linked list
} semaphore;

```

The new wait and signal is

```

wait(semaphore *S) {
    S->value--;
    if (S->value < 0) {
        add this process to S->list;
        block();
    }
}
signal(semaphore *S) {
    S->value++;
    if (S->value <= 0) {
        remove a process P from S->list;
        wakeup(P);
    }
}

```

## 5.1.7 Monitor

- high level synchronization mechanism.
- internal variables accessible only to the code inside the monitor
- only one process may be active inside the monitor

Pseudocode:

```

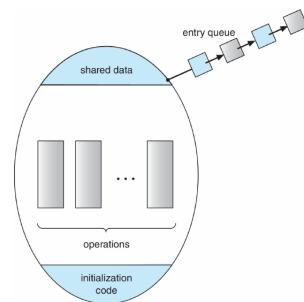
monitor monitor-name
{

```

```

// shared variable declarations
procedure P1 (...) { ... }
procedure P2 (...) { ... }
procedure Pn (...) { ... }
initialization code (...) { ... }
}

```



## 5.1.8 Conditional variables

To allow a process to wait within the monitor for a specific event (without busy waiting), we introduce the condition variable. A condition variable  $x$  acts as a queue of processes waiting for a specific condition to become true. It does not store a value (unlike a semaphore); it only facilitates waiting and signaling.

**Operations** The only operations allowed on a condition variable  $x$  are:

- **x.wait()** – The process invoking this is suspended and placed in the queue associated with  $x$ . Crucially, the process releases the monitor lock, allowing other processes to enter the monitor (potentially to change the condition).
- **x.signal()** – Resumes exactly one suspended process (if any) from  $x$ 's queue. If no process is waiting, this operation has **no effect** (unlike semaphores, where signal always increments state).

This is a monitor that enforces S1 to happen before S2 using 2 procedures and conditional variables

```

monitor SequenceEnforcer { boolean done; condition
                           x;
                           ...
procedure F1() {

```

```

S1;
done = true;
x.signal();
}

procedure F2() {
    if (!done)
        x.wait();
    S2;
}

initialization code() {
    done = false;
}

```

## Monitor with Semaphore

```

semaphore mutex; // (initially = 1)
semaphore next; // (initially = 0)
int next_count = 0; // number of processes
                    // waiting inside the monitor

// procedure P body
wait(mutex);

// body of P;

if (next_count > 0)
    signal(next) // let other process enter
else
    signal(mutex); // unlock

```

## Monitor - Conditional variables

```

mutex; // initially 1
// for each condition variable
semaphore x_sem; // (initially = 0)
int x_count = 0;

// wait
x_count++;
if (next_count > 0)
    signal(next); // get into the waiting
                  // queue and unlock the first waiting
                  // variable
else
    signal(mutex); // get access over
                  // resources
wait(x_sem);
x_count--;

// signal
if (x_count > 0) {
    next_count++;
    signal(x_sem);
    wait(next);
    next_count--;
}

```

We can add conditional waiting `x.wait(c)` where `c` is a priority and the process with lowest number (highest priority) will be accessed next.

### 5.1.9 Single Resource Allocator

Allocate a single resource among competing processes using priority numbers that specifies the maximum time a process plans to use the resource.

```
R.acquire(t); // t time
...
// access the resource;
...
R.release;
```

Which can be implemented as

```
monitor ResourceAllocator
{
    boolean busy;
    condition x;

    void acquire(int time) {
        if (busy)
            x.wait(time);
        busy = true;
    }

    void release() {
        busy = false;
        x.signal();
    }

    initialization code() {
        busy = false;
    }
}
```

## 5.2 Liveliness

Liveness refers to a set of properties that a system must satisfy to ensure processes make progress. Indefinite waiting - liveliness failure.

**Deadlock** – two or more processes are waiting indefinitely for an event that can be caused by only one of the waiting processes

Let `S` and `Q` be two semaphores initialized to 1

$P_0$ <code>wait(S);</code> <code>wait(Q);</code> <code>...</code> <code>signal(S);</code> <code>signal(Q);</code>	$P_1$ <code>wait(Q);</code> <code>wait(S);</code> <code>...</code> <code>signal(Q);</code> <code>signal(S);</code>
---	---

Consider if  $P_0$  executes `wait(S)` and  $P_1$  `wait(Q)`. When  $P_0$  executes `wait(Q)`, it must wait until  $P_1$  executes `signal(Q)`.

However,  $P_1$  is waiting until  $P_0$  execute `signal(S)`. Since these `signal()` operations will never be executed,  $P_0$  and  $P_1$  are deadlocked.

Other forms of **deadlock** :

- starvation - A process may never be removed from the semaphore queue in which it is suspended
- Priority inversion - Scheduling problem when lower-priority process holds a lock needed by higher-priority process

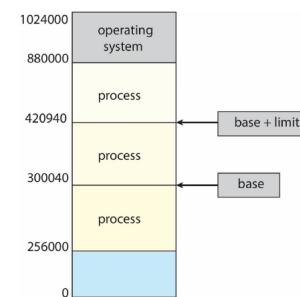
## 6 Main Memory

The CPU can directly access only **main memory** and **registers**. While register access occurs in one CPU clock cycle or less, main memory access can take many cycles, potentially causing a CPU **stall**. To bridge this speed gap, a **cache** is placed between the CPU and main memory.

### 6.1 Memory Protection

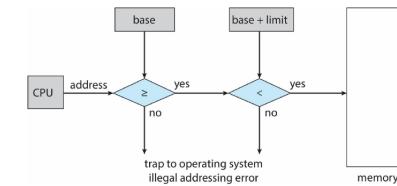
To ensure correct operation, we must protect the operating system from access by user processes and protect user processes from one another. This protection is provided by a pair of **base** and **limit registers**.

- Base register:** Holds the smallest legal physical memory address.
- Limit register:** Specifies the size of the range (logical address space).



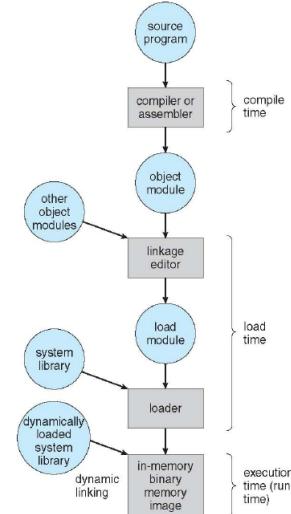
The hardware must check every memory access generated in user mode to ensure it is within the legal

range:  $base \leq address < base + limit$ . If it is outside this range, the hardware traps to the OS with an illegal addressing error.



## 6.2 Address Binding

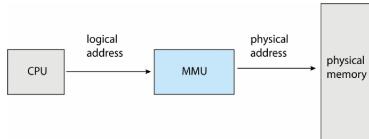
A user program goes through several steps before being executed. Addresses are represented in different ways: symbolic in source code, relocatable in compiled modules, and absolute after linking or loading .



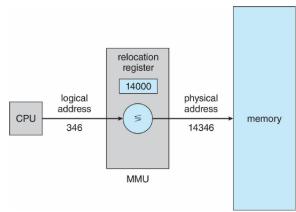
## 6.3 Logical vs. Physical Address Space

- Logical address:** Generated by the CPU; also referred to as a virtual address.
- Physical address:** The actual address seen by the memory unit.

The **Memory-Management Unit (MMU)** is the hardware device that maps virtual addresses to physical addresses at run time.



In a simple relocation-register scheme, the value in the **relocation register** (base) is added to every address generated by a user process. The user program never sees the real physical addresses.

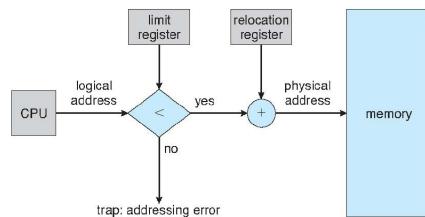


## 6.4 Dynamic Loading and Linking

- **Dynamic Loading:** A routine is not loaded until it is called. This provides better memory-space utilization as unused routines are never loaded.
- **Dynamic Linking:** Linking is postponed until execution time. A small piece of code called a **stub** is used to locate the appropriate library routine.

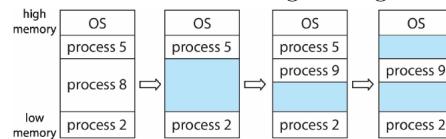
## 6.5 Contiguous Allocation

In contiguous allocation, each process is contained in a single contiguous section of memory. Memory is usually partitioned into two: one for the resident OS and one for user processes.



### 6.5.1 Variable Partitioning

The OS tracks which parts of memory are occupied and which are free (**holes**). When a process arrives, it is allocated a hole large enough to accommodate it.



### 6.5.2 Dynamic Storage-Allocation Problem

To satisfy a request of size  $n$ , three common strategies are used:

- **First-fit:** Allocate the first hole that is big enough.
- **Best-fit:** Allocate the smallest hole that is big enough (requires searching the whole list).
- **Worst-fit:** Allocate the largest hole.

First-fit and best-fit are generally better than worst-fit in speed and utilization. The **50-percent rule** suggests that for first-fit, 1/3 of memory may be unusable due to fragmentation.

### 6.5.3 Fragmentation

- **External Fragmentation:** Total memory exists for a request but is not contiguous. Can be reduced by **compaction**.
- **Internal Fragmentation:** Memory allocated to a process is slightly larger than requested; the difference is unused within the partition.

## 7 Paging

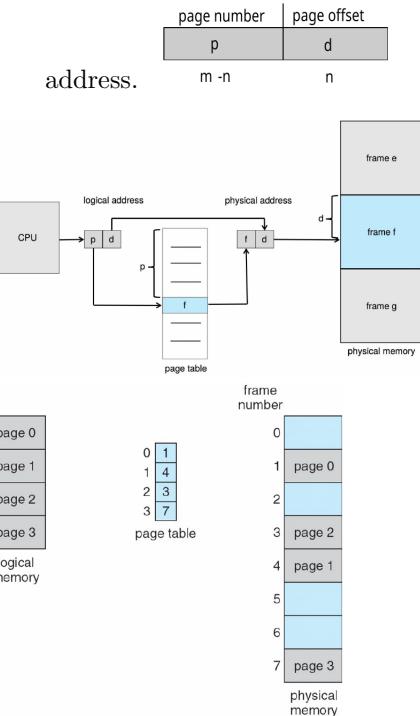
Paging allows the physical address space of a process to be noncontiguous, avoiding external fragmentation.

- **Frames:** Fixed-sized blocks of physical memory.
- **Pages:** Blocks of the same size in logical memory.
- **Frame Table:** A data structure used to keep track of all free and occupied frames.

## 7.1 Address Translation Scheme

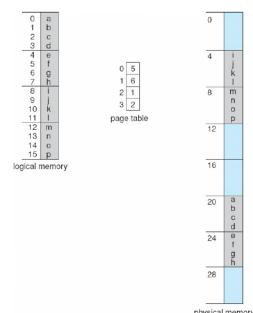
An address generated by the CPU is divided into:

- **Page number (p):** Used as an index into a **page table**.
- **Page offset (d):** Combined with the base address from the page table to define the physical



In the paging example, logical memory is mapped to physical memory via the page table entries.

Logical address:  $n = 2$  and  $m = 4$ . Using a page size of 4 bytes and a physical memory of 32 bytes (8 pages)

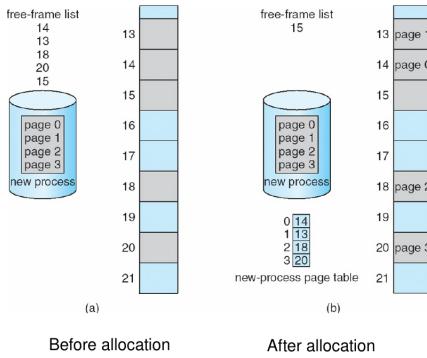


## 7.2 Calculating Internal Fragmentation

If the page size is 2,048 bytes and a process size is 72,766 bytes, it requires 35 full pages plus 1,086 bytes. The internal fragmentation is  $2,048 - 1,086 = 962$  bytes.

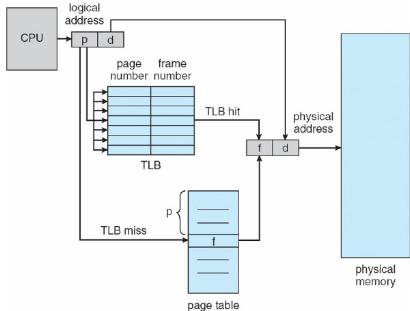
## 7.3 Free Frames

The OS maintains a free-frame list to allocate memory to new processes.



## 7.4 TLBs and Performance

Every data access requires two memory accesses: one for the page table and one for the data. This is solved by using a **Translation Look-aside Buffer (TLB)**, a fast-lookup hardware cache.

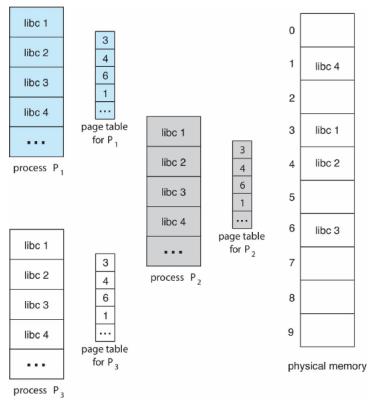


**Effective Access Time (EAT)** calculation example: If memory access is 10ns and hit ratio is 80%:  $EAT = 0.80 \times 10 + 0.20 \times 20 = 12$  ns (20% slowdown). With

99% hit ratio:  $EAT = 0.99 \times 10 + 0.01 \times 20 = 10.1$  ns (1% slowdown).

## 7.5 Shared Pages

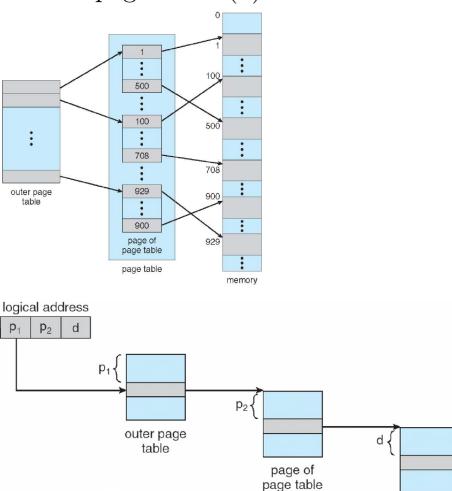
Read-only code (reentrant) can be shared among processes by mapping the same physical frames to different page tables.



## 8 Page Table Structures

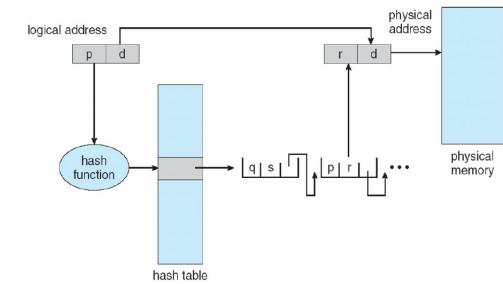
### 8.1 Hierarchical Page Table

For large address spaces, the page table itself is paged. A two-level scheme divides the logical address into an outer page index ( $p_1$ ), an inner page displacement ( $p_2$ ), and the page offset ( $d$ ).



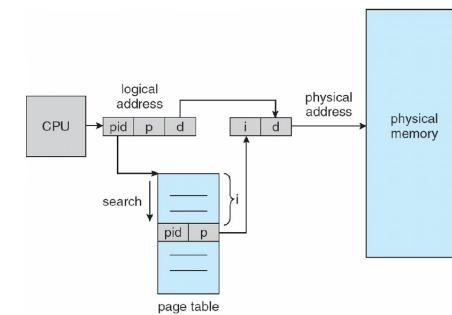
## 8.2 Hashed Page Table

Common for addresses  $\geq 32$  bits. The virtual page number is hashed into a table containing a chain of elements that hash to the same location.



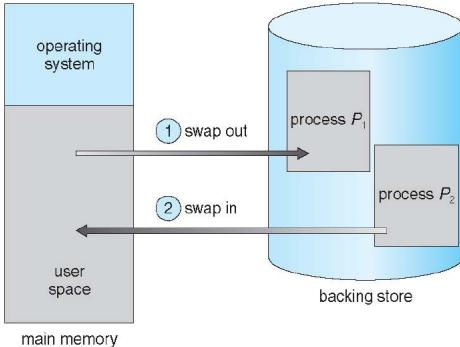
## 8.3 Inverted Page Table

Rather than one table per process, there is one entry for each real frame of memory. Each entry includes the address and the PID of the owning process.



## 9 Swapping

A process can be swapped out of memory to a **Backing Store** and later brought back. This allows the total physical memory space of processes to exceed actual physical memory.



## 10 File-System Interface

A file is a contiguous logical address space defined by its creator, containing data (numeric, character, binary) or programs .

### 10.1 File Attributes and Operations

**File Attributes** are stored in the directory structure on disk and vary by system :

- **Name:** Human-readable identifier.
- **Identifier:** Unique tag (number) within the file system.
- **Type:** Support for different formats (e.g., .exe, .txt).
- **Location:** Pointer to the device and location on that device.
- **Size:** Current file size.
- **Protection:** Controls for reading, writing, and executing.
- **Time, date, and user ID:** Data for security and usage monitoring.

#### 10.1.1 File Operations

The operating system provides several basic system calls to manage files :

- **Create / Delete / Truncate**

- **Read / Write:** Handled at specific pointer locations.
- **Seek:** Repositioning the pointer within the file.
- **Open( $F_i$ ):** Searches the directory for entry  $F_i$  and copies it to memory.
- **Close( $F_i$ ):** Moves memory content back to the directory structure.

#### 10.1.2 File Locking

Used to mediate access to a file, similar to reader-writer locks :

- **Shared Lock:** Multiple processes can acquire concurrently (reader lock).
- **Exclusive Lock:** Only one process can hold the lock (writer lock).
- **Advisory vs. Mandatory:** In advisory, processes check lock status; in mandatory, the OS enforces access denial.

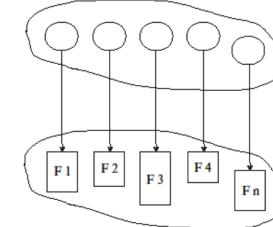
### 10.2 Open Files

To manage open files, the OS maintains an **open-file table** . Key data pieces include:

- **File Pointer:** Per-process tracking of the last read/write location.
- **File-open Count:** Tracks how many processes have the file open to determine when to remove it from the table.
- **Disk Location:** Cached information for fast data access.
- **Access Rights:** Mode information (read/write) for each process.

### 10.3 Directory Structure and Operations

The directory is a collection of nodes containing information about all files .



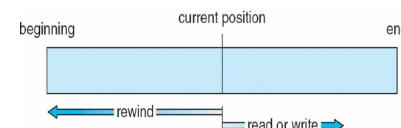
**Operations performed on directories:** Search, Create, Delete, List, Rename, and Traverse the system .

### 10.4 Access Methods

#### 10.4.1 Sequential Access

Information is processed in order, one record after the other .

- **Operations:** read next, write next, reset.



#### 10.4.2 Direct Access

Allows fixed-length logical records to be read or written in any order by referring to a **relative block number ( $n$ )** .

- **Operations:** read  $n$ , write  $n$ , position to  $n$ .

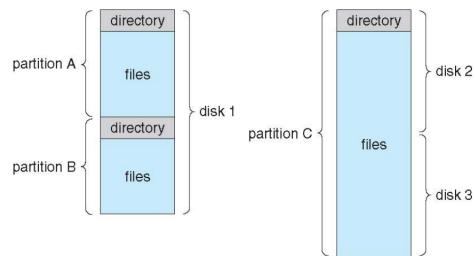
#### 10.4.3 Simulating Sequential on Direct Access

Sequential access can be simulated by maintaining a current position pointer ( $cp$ ) :

- **Reset:**  $cp = 0$ ;
- **Read Next:** read  $cp$ ;  $cp = cp + 1$ ;

## 10.5 Disk and File System Organization

Disks are subdivided into **partitions** (or slices) .

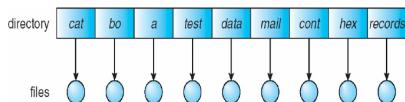


## 10.6 Directory Logical Structures

### 10.6.1 Single-Level Directory

All files are contained in the same directory for all users .

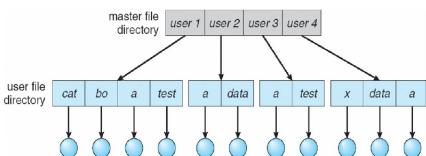
- **Pros:** Simple.
- **Cons:** Naming conflicts (two users can't use the same name) and no grouping.



### 10.6.2 Two-Level Directory

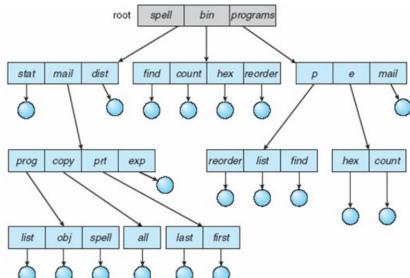
Each user has their own **user file directory** (UFD) under a **master file directory** (MFD) .

- **Pros:** Solves naming conflicts; efficient searching via path names.
- **Cons:** Still lacks sophisticated grouping capability.



### 10.6.3 Tree-Structured Directories

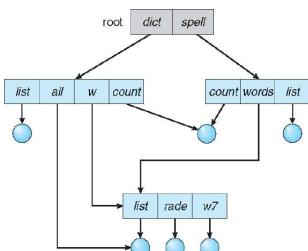
The most common structure, allowing users to create subdirectories and organize files arbitrarily .



### 10.6.4 Acyclic-Graph Directories

Allows shared subdirectories and files, meaning a file can exist in two directories simultaneously (aliasing) .

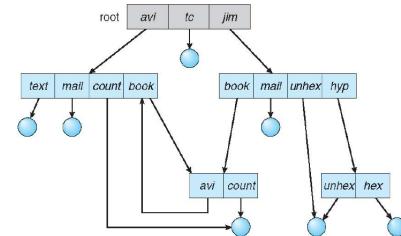
- **Implementation:** Uses **Links** (pointers to existing files).
- **Deletion:** Can lead to dangling pointers. Solutions include **backpointers** or **reference counts** (only delete file when count = 0).



### 10.6.5 General Graph Directory

Allows cycles within the directory structure .

- **Cycle Detection:** To avoid infinite loops during traversal, systems may use **garbage collection** or a **cycle detection algorithm** every time a link is added.



## 10.7 Protection

The file owner must control what can be done and by whom . **Access Types:** Read, Write, Execute, Append, Delete, List .

### 10.7.1 UNIX RWX Access

In UNIX/Linux, protection is handled via three classes of users with three bits (Read: first bit, Write: second bit, eXecute: third bit) :

1. **Owner:** (e.g., 7 → 111)
2. **Group:** (e.g., 6 → 110)
3. **Public:** (e.g., 1 → 001)

Commands like `chmod 761 game` define these permissions, while `chgrp` attaches a specific group to a file .

## 11 Storage Units and Powers of Two

Power of 2	Exact Value (Bytes)	Abbreviation	Terminology
$2^{10}$	1,024	KB	Kilobyte
$2^{20}$	1,048,576	MB	Megabyte
$2^{30}$	1,073,741,824	GB	Gigabyte
$2^{40}$	1,099,511,627,776	TB	Terabyte
$2^{50}$	1,125,899,906,842,624	PB	Petabyte