hUniversity of California, Berkeley College of Engineering Computer Science Division — EECS

Fall 2006 John Kubiatowicz

Midterm I SOLUTIONS October 11th, 2006

CS162: Operating Systems and Systems Programming

Your Name:	
SID Number:	
Discussion Section:	

General Information:

This is a **closed book** exam. You are allowed 1 page of **hand-written** notes (both sides). You have 3 hours to complete as much of the exam as possible. Make sure to read all of the questions first, as some of the questions are substantially more time consuming.

Write all of your answers directly on this paper. *Make your answers as concise as possible*. On programming questions, we will be looking for performance as well as correctness, so think through your answers carefully. If there is something about the questions that you believe is open to interpretation, please ask us about it!

Problem	Possible	Score
1	20	
2	24	
3	19	
4	20	
5	17	
Total	100	

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3.141592653589793238462643383279502884197169399375105820974944

Problem 1: Short Answer [20pts]

Problem 1a[2pts]: What is a virtual machine?

A virtual machine is a software emulation of an abstract machine. It can be used to present an idealized execution environment to software, prevent malicious software from compromising the underlying operating system, and permit multiple operating systems to run on a single hardware base simultaneously.

Problem 1b[2pts]: Does a cyclic dependency always lead to deadlock? Why or why not?

No. If there are multiple equivalent resources, then a cycle could exist that wasn't a deadlock: The reason is that some thread that wasn't a part of the cycle could release a resource needed by a thread in the cycle, thereby breaking the cycle.

Problem 1c[2pts]: What are exceptions? Name two different types of exceptions and give an example of each type:

Exceptions are events that stop normal execution, switch the execution mode into kernel mode, and begin execution at special locations within the kernel. Exceptions can be either synchronous or asynchronous. Examples of synchronous exceptions are system calls, divide by zero errors, illegal instructions, and page faults. Asynchronous exceptions are also called interrupts, such as timer interrupts, network interrupts, and disk interrupts.

Problem 1d[2pts]: List two reasons why overuse of threads is bad (i.e. using too many threads for different tasks). Be explicit in your answers.

Here are a few:

- Can significantly decrease throughput as the number of context switches increases.
- Significant space overhead from TCBs and other thread-related data structures.
- Dividing a problem into an increasing number of threads is very difficult and can introduce significant synchronization overhead.
- Getting synchronization correct can become difficult leading to incorrect behavior or deadlock.

Problem 1e[3pts]: For each of the following thread state transitions, say whether the transition is legal *and* how the transition occurs or why it cannot. Assume Mesa-style monitors.

1). Change from thread state BLOCKED to thread state RUNNING

NOT legal in most operating systems: running threads must be selected from the list of ready (or runnable) threads. If Hoare-style monitors are used, however, threads blocked on a lock can transition directly to RUNNING.

2). Change from thread state RUNNING to thread state BLOCKED

Legal: a running thread can become blocked when it requests a resource (disk I/O, a lock, etc), synchronizes with a join() operation, etc

3). Change from thread state RUNNABLE to thread state BLOCKED

NOT legal: a thread can only transition to BLOCKED from RUNNING. It must execute some action that causes it to block, and it cannot do this unless it is RUNNING.

Problem 1f[4pts]: Consider the Dining Lawyers problem, in which a set of lawyers sit around a table with one chopstick between each of them. Let the lawyers be numbered from 0 to n-1 and be represented by separate threads. Each lawyer executes Dine(i), where "i" is the lawyer's number. Assume that there is an array of semaphores, Chop[i] that represents the chopstick to the left of lawyer i. These semaphores are initialized to 1.

This solution can deadlock. Assume that it does. List the four conditions of deadlock and explain why each of them is satisfied during the deadlock:

- mutual exclusion semaphores are initialized to 1; consequently, each chopstick can only be held by one thread at a time.
- no preemption the chopsticks cannot be taken away from a task without violating the semantics of semaphores and hence the assumptions of the code.
- hold and wait during a deadlock, the second P() call above causes the thread to wait while it is holding another chopstick (first P() call).
- circular wait Lawyer i grabs Chop[i] and waits for lawyer (i+1)%n to release Chop[(i+1)%n]. This is a cycle since lawyer n-1 completes the cycle by grabbing Chop[n-1] and waiting for lawyer 0 to release Chop[0].

Problem 1g[3pt]: Pick one of the above four conditions and rewrite the code to eliminate it. Identify the condition you chose carefully and explain why your code doesn't deadlock:

Circular wait: Several options here

• Always request the resources in increasing order. There can never be a circular wait – such a cycle would imply that someone requested a high chopstick first, then a low one.

• Odd diners request left chopstick first while even diners request right chopstick first. Any deadlock would involve all lawyers holding one chopstick but waiting on another. This cannot happen because pairs of an odd lawyer and following even lawyers (say 1 and 2) would be waiting for each other in order to get the chopstick between them. But at least one of them would actually get the chopstick and be able to eat.

• Use a lock to guard the two picks. Consequently, no more than one lawyer can be stuck in the critical section waiting for chopsticks. The remaining lawyers will either have two chopsticks (and can proceed) or have no chopsticks and will be waiting on the lock holder. This resulting wait graph is acyclic (has no cycles).

Hold and wait: Remove this condition by never holding resources and waiting.

```
//global variables shared by all threads
Lock lock;
Boolean[n] inUse;
void Dine(int i) {
   Boolean success = false;
   while (!success) {
      lock.Acquire();
      if (!inUse[i] && !inUse[(i+1)%n]) { /* Can get both! */
         Chop[i].P();
         Chop[(i+1) %n].P();
         inUse[i] = true;
         inUse[(i+1)%n] = true;
        success=true;
      } else {
                         /* Cannot get both - wait */
        Yield();
      Lock.Release();
   EatAsMuchAsYouCan();
   Chop[i].V();
   Chop[(i+1)%n].V();
   inUse[i] = false;
   inUse[[(i+1)%n] = false;
```

Mutual exclusion and/or No Preemption:

Cannot be prevented because of semaphore semantics.

Problem 1h[2pts]: The Banker's algorithm is said to keep the system in a "safe" state. Describe what a "safe" state is and explain how the Banker's algorithm keeps the system in a safe state. Keep your answer *short*.

In a safe state, there is some ordering of the threads in the system such that threads can complete, one after another without deadlocking and without requiring threads to give up resources that they already have. On every request for resources, the Banker's algorithm simulates granting those resources and determines whether or not the simulated state is safe. The resources are granted only if the simulated state is safe.

EXTRA CREDIT

Problem 1i[2pts]: Describe what "core" memory is and how it looks.

Core memory is a technology in which each bit of memory was stored as a magnetic field in a round iron ring. A core memory looked like a large woven tapestry made from these rings. Each core had had horizontal and vertical wires running through it for read and writing.

Problem 2: Synchronization [24pts]

Assume that you are programming a multiprocessor system using threads. In class, we talked about two different synchronization primitives: Semaphores and Monitors.

The interface for a Semaphore is as follows:

```
public class Semaphore {
    public Semaphore(int initialValue) {
        /* Create and return a semaphore with initial value: initialValue */
        ...
    }
    public P() {
        /* Call P() on the semaphore */
        ...
    }
    public V() {
        /* Call V() on the semaphore */
    }
}
```

As we mentioned in class, a Monitor consists of a Lock and one or more Condition Variables. The interfaces for these two types of objects are as follows:

```
c class Lock { public class CondVar { public Lock() { public CondVar(Lock lock) { /* Create new Lock */ /* Creates a condition volume of the condition of the c
public class Lock {
                public Lock() {
                                                                                                                                                                                                                            /* Creates a condition variable
                                                                                                                                                                                                                                               associated with Lock lock. */
                 }
                                                                                                                                                                                                          }
               public void Acquire() {
                                                                                                                                                                                                          public void Wait() {
                                /* Acquire Lock */
                                                                                                                                                                                                                            /* Block on condition variable *'/
                 }
                                                                                                                                                                                                          }
                public void Release() {
   /* Release Lock */
                                                                                                                                                                                                   public void Signal() {
                                                                                                                                                                                                          /* Wake one thread (if it exists) */
                 }
                                                                                                                                                                                                            }
}
                                                                                                                                                                                                           public void Broadcast() {
                                                                                                                                                                                                                              /* Wake up all threads waiting on cv*/
                                                                                                                                                                                                             }
```

Monitors and Semaphores can be used for a variety of things. In fact, each can be implemented with the other. In this problem, we will show their equivalence.

Problem 2a[2pts]: What is the difference between Mesa and Hoare scheduling for monitors?

Mesa: signaler keeps lock and processor; waiter placed on ready queue and does not run immediately

Hoare: signal gives lock and CPU to waiter; waiter runs immediately; waiter gives lock and processor back to signaler when it exits critical section or waits again.

Problem 2b[5pts]: Show how to implement the Semaphore class using Monitors (i.e. the Lock and CondVar classes). Make sure to implement all three methods, Semaphore(), P(), and V(). None of the methods should require more than five lines. Assume that Monitors are Mesa scheduled.

```
public class Semaphore {
   Lock lock;
                           // Every Monitor has a lock and CondVar
   CondVar c;
   Int value;
                           // Semaphores have an integer value
  public Semaphore(int initialValue) {
      value = initialValue;
      lock = new Lock();
      c = new CondVar(lock);
   }
  public P() {
      lock.Acquire();
      while (value == 0)
        c.Wait();
      value--;
      lock.Release();
   public V() {
      lock.Acquire();
      value++;
      c.Signal();
      lock.Release();
   }
```

Problem 2c[3pts]: Show how to implement the Lock class using Semaphores. Make sure to implement the Lock(), Acquire(), and Release() methods. None of the methods should require more than five lines.

```
public class Lock {
    Semaphore s;

public Lock() {
    s = new Semaphore(1);

}
    public void Acquire() {
        s.P();

}
    public void Release() {
        s.V();

}
```

Problem 2d[2pts]: Explain the difference in behavior between Semaphore.V() and CondVar.Signal() when no threads are waiting in the corresponding semaphore or condition variable:

Semaphore. V() increments the Semaphore value, while CondVar. Signal() does nothing.

Problem 2e[12pts]: Show how to implement the Condition Variable class using Semaphores (and your Lock class from 2c). Assume that you are providing Mesa scheduling. Be very careful to consider the semantics of CondVar.Signal() as discussed in (2d). *Hint: the Semaphore interface does not allow querying of the size of its waiting queue; you may need to track this yourself.* None of the methods should require more than five lines.

```
// Note that this solution only works with Mesa scheduling. See book for Hoare version
// (much more complex!)
public class CondVar {
      Lock lock;
      Semaphore s;
      int queueLength;
   public CondVar(Lock lock) {
      s = new Semaphore(0);
      this.lock = lock;
      queueLength = 0;
   public void Wait() {
      // IMPORTANT: WE ARE IN THE CRITICAL SECTION (LOCK IS ACQUIRED)
      // Before releasing lock, make sure to increment queueLength.
      // This is important for the Signal() method.
      queueLength++;
      lock.Release();
      s.P();
      lock.Acquire();
   public void Signal() {
      // Note that we are in the critical section.
      if (queueLength > 0) {
         s.V();
         queueLength--;
      }
   public void Broadcast() {
      // Note that we are in the critical section.
      while (queueLength > 0) {
         s.V();
         queueLength--;
      }
   }
```

Problem 3: Critical Sections [19 pts]

For each of the following techniques for synchronization, assume that there are two threads competing to execute a critical section. Further, assume that:

- 1. A critical section is "protected" if only one thread can enter the critical section at a time.
- 2. The synchronization is "fair" if, when each thread attempts to acquire the critical section repeatedly, then each thread will enter the critical section about the same number of times.

Note: Assume that all flags start out "false". Also assume that store is atomic.

Synchronization technique #1: Suppose each thread does the following:

```
    while (flag == true)
    do nothing;
    flag = true;
    Execute Critical Section;
    flag = false;
```

Problem 3a[2pts]: Will this protect the critical section? If "yes", explain why. If "no", give an example interleaving that will fail to protect the critical section.

No. Thread A runs line 1, determines flag is false, and is context-switched. Then, thread B runs line 1 and also determines flag is false. Now threads A and B can both access critical section.

Problem 3b[2pts]: Assume this code protects the critical section. Is this code "fair"? Explain.

Yes. This code is symmetric so will each thread has an equal chance.

Synchronization technique #2: Suppose we have different code for each thread:

```
THREAD A

Al. flag_A = true;

Bl. flag_B = true;

A2. while (flag_B == true)

B2. if (flag_A == false)

B3. Execute Critical Section;

A4. Execute Critical Section;

B4. flag_B = false;
```

Problem 3c[2pts]: Will this protect the critical section? If "yes", explain why. If "no", give an example interleaving that will fail to protect the critical section.

Yes, thread A only enters the critical section when flag_B is false (this is satisfied only while thread B is executing before B1 or after B4). Thread B only enters the critical section when flag A is false (this is satisfied only while thread A is executing before A1 or after A5).

Problem 3d[2pts]: Assume this code protects the critical section. Is this code "fair"? Explain.

No. Thread A always gets a chance to run the critical section during an execution of A1-A5. On the other hand, Thread B will be prevented from running the critical section whenever Thread A is in that region. If A and B are running in a tight loop, Thread B only gets to run the critical section if it is lucky enough to execute B2 between the execution of A5 and the next execution of A1.

Synchronization technique #3: Suppose each thread does the following:

```
    while (TestAndSet(flag) == false)
    do nothing;
    Execute Critical Section;
    flag = false;
```

Problem 3e[3pts]: Will this protect the critical section? If "yes", explain why. If "no", explain and explain how to fix it.

No. Since TestAndSet sets a memory location to 1 (true), the locked condition is indicated by the value of flag == true. Hence, the above code doesn't wait when the lock is already taken. Hence, it doesn't protect the critical section. To fix the code, replace TestAndSet(flag) == false with TestAndSet(flag) == true.

Problem 3f[2pts]: Assume the above code (or your fixed version). Will this code be "fair"? Explain.

Yes. This code is symmetric so will each thread has an equal chance.

Synchronization technique #4: Suppose we have different code for each thread:

```
THREAD A

A1. flag_A = true;

B1. flag_B = true;

A2. while (flag_B == true)

B2. while (flag_A == true)

B3. do nothing;

B4. Execute Critical Section;

B5. flag_A = false;

B6. THREAD B

flag_B = true;

B7. do nothing;

B8. Execute Critical Section;

B8. flag_B = false;
```

Problem 3g[3pts]: Will this *protect* the critical section? If "yes", explain why. If "no", explain and explain how to fix it. Note that this question is only about protecting the critical section!

Yes, thread A only enters the critical section when flag_B is false (this is satisfied only while thread B is executing before B1 or after B5). Thread B only enters the critical section when flag_A is false (this is satisfied only while thread A is executing before A1 or after A5).

Problem 3h[3pts]: Explain why this code (or your fixed version) would not be a particularly good mechanism for synchronizing threads A and B. (hint: imagine that threads A and B repeatedly try to acquire the critical section). After describing the problem, explain how to fix the problem by replacing the "do nothing" with no more than three lines inside each while loop above.

This is not a good mechanism, since there is a chance of deadlock occurring. Imagine that Thread A executes A1 (setting flag_A \rightarrow true), just before system context-switches to Thread B. Then, Thread B executes B1 (setting flag_B \rightarrow true). Now system is deadlocked.

For Thread A replace "do nothing" with "flag_A=false; yield(); flag_A=true" and for Thread B replace "do nothing" with "flag_B=false; yield(); flag_B=true". This will prevent deadlock while retaining the critical section protection.

Problem 4: Scheduling [20pts]

Problem 4a[2pts]:

Describe one way to predict the burst runtime (time between I/O operations) for a thread.

By predicting the future burst runtimes based on a set of past runtimes. The simplest version is to use a exponential averaging with a single sample point: each new estimate is computed as a linear combination of the previous estimate and the most recent actual burst time:

 $Estimate[t] = \alpha \, Estimate[t-1] + (1-\alpha) \, Burst[t-1]$

Problem 4b[3pts]:

What is priority inversion? Explain how a priority scheduler could be modified to avoid priority inversion.

Priority inversion is a situation in which a high priority thread is waiting on a low priority thread (e.g. waiting for a lock or some resource held by the low priority thread), and there is a medium priority thread on the ready queue. In this situation, the high priority thread is always waiting, and the medium priority thread is running.

Can be fixed with priority donation – the low priority thread is granted priority by the high priority thread.

Problem 4c[3pts]:

Explain what a multi-level feedback scheduler is and why it approximates SRTF.

A multi-level feedback scheduler is a scheduler with multiple queues, each with a different priority and its own scheduling algorithm.

If the time quantum expires, drop the thread one queue level, else push the thread up one queue level. Using this algorithm, short-running CPU jobs stay near the top, and CPU-bound jobs drop toward the bottom. Assuming that the high queue levels are given more priority than the lower ones, this tends to approximate SRTF because it gives more CPU cycles to jobs with short bursts.

Problem 4d[2pts]: Explain how to fool the multi-level feedback scheduler's heuristics into giving a long-running task more CPU cycles.

Place unnecessary I/O calls in code to keep burst time shorter than time quantum.

Problem 4e[5pts]:

Here is a table of processes and their associated arrival and running times.

Process ID	Arrival Time	CPU Running Time
Process 1	0	2
Process 2	1	6
Process 3	4	1
Process 4	7	4
Process 5	8	3

Show the scheduling order for these processes under 3 policies: First Come First Serve (FCFS), Shortest-Remaining-Time-First (SRTF), Round-Robin (RR) with timeslice quantum = 1. Assume that context switch overhead is 0 and that new processes are added to the **head** of the queue except for FCFS, where they are added to the tail.

Time Slot	FCFS	SRTF	RR
0	1	1	1
1	1	1	2
2	2	2	1
3	2	2	2
4	2	3	3
5	2	2	2
6	2	2	2
7	2	2	4
8	3	2	5
9	4	5	2
10	4	5	4
11	4	5	5
12	4	4	2
13	5	4	4
14	5	4	5
15	5	4	4

Problem 4f[3pts]:

For each process in each schedule above, indicate the queue wait time and completion time (otherwise known as turnaround time, TRT). Note that wait time is the total time spend waiting in queue (all the time in which the task is not running), while TRT is the total time from when the process arrives in the queue until it is completed.

Scheduler	Process 1	Process 2	Process 3	Process 4	Process 5
FCFS wait	0	1	4	2	5
FCFS TRT	2	7	5	6	8
SRTF wait	0	2	0	5	1
SRTF TRT	2	8	1	9	4
RR wait	1	6	0	5	4
RR TRT	3	12	1	9	7

Problem 4g[2pts]:

Assume that we could have an oracle perform the best possible scheduling to reduce average wait time. What would be the optimal average wait time, and which of the above three schedulers would come closest to optimal? Explain.

Since SRTF is optimal, we just look at the average wait time from the above table in the SRTF line: Optimal average wait time is 1.6.

Problem 5: Address Translation [17 pts]

Problem 5a[2 pts]:

Explain how Address Translation can protect processes from one another.

When setting up the address mappings for each process, the kernel can make sure that the same physical page is never available to two different processes. As a result, it is impossible for any process to access the physical memory of another process or to interfere with another process in this way. Since only the kernel can reconfigure the mapping from virtual addresses to physical addresses, translation protects processes from one another.

Problem 5b[3pts]:

Suppose we have a memory system with 32-bit virtual addresses and 4 KB pages. If the page table is full (with 2²⁰ pages), show that a 20-level page table consumes approximately twice the space of a single level page table. *Hint: try drawing it out and summing a series*.

A 4KB page \Rightarrow 12 bits of offset. So, there are 20 bits to address pages. We have a full page table, so that we know that there must be 2^{20} pages and that the table has 2^{20} pages.

Since there are only 20 bits to address pages, we know that, a 20-level page table would mean that each level is addressed with only 1 bit. This means that each single level has only 2 entries. To support all 2^{20} pages, we need to build a complete 20-level binary tree. This tree would have $2 + 4 + ... + 2^{20} = 2(2^{20} - 1)$ entries, approximately twice that of the single-level page table.

Problem 5c[2pts]:

Problem (5b) showed that, in a full page table, increasing the number of levels of indirection increases the page table size. Show that this is not necessarily true for a sparse page table (*i.e.* one in which not all entries are in use).

Consider a process currently using only one page at the top of the address range.

The single-level page table still has 2^{20} entries for every possible virtual address.

The 20-level page table now only needs one page table (each with two entries) in each level giving a total of only 40 entries.

Consider a multi-level memory management scheme using the following format for virtual addresses:

Virtual seg #	Virtual Page #	Offset
(4 bits)	(8 bits)	(8 bits)

Virtual addresses are translated into physical addresses of the following form:

Physical Page #	Offset
(8 bits)	(8 bits)

Problem 5d[4pts]: For the following Virtual Addresses, translate them into Physical Addresses. Use the Segment Table and Physical Memory table given on the next page. Segment entries point to page tables in memory. A page table consists of a series of *16 bit* page table entries (PTEs). The format of a PTE is given on the next page. Briefly, the first byte of the PTE is an 8-bit physical page #, and the second byte is an 8-bit flags field with one of the following values:

0x00 (Invalid), 0x06 (Valid, RO), 0x07 (Valid, R/W).

If there is an error during translation, make sure to say what the error is. Errors can be "bad segment error" (undefined or invalid segment), "segment overflow error" (address outside range of segment), or "access violation error" (page invalid, or attempt to write a read only (RO) page). Two answers are given:

Virtual Addr	Physical Addr	
0x10123	0x4123	
0x33423	Segment overflow	
0x20456	Bad Segment	

Virtual Addr	Physical Addr
0x31056	0x2356
0x10400	0x0000
0x00278	0x1278

Problem 5e[6pts]: Consider the same multi-level memory management scheme. Please return the results from the following load/store instructions. Addresses are virtual. The return value for load is an 8-bit data value or an error, while the return value for a store is either "**ok**" or an error. For errors, please specify which type of error (from the above set). Two answers are given:

Instruction	Result
Load [0x30115]	0x57
Store [0x30116]	Access violation
Load [0x51015]	Bad Segment
Load [0x00115]	Access Violation

Instruction	Result
Store [0x00310]	Ok
Load [0x31202]	0x10
Store [0x10231]	Access Violation
Load [0x12345]	Segment Overflow

Virtual Address Format

Virtual seg #	Virtual Page #	Offset
(4 bits)	(8 bits)	(8 bits)

Segment Table (Max Segment=3)

2 9 (2 9 2)										
	Page Table	Max Page	Segment							
Seg#	Base	Entries	State							
0	0x2030	0x20	Valid							
1	0x1020	0x10	Valid							
2	0x3110	0x40	Invalid							
3	0x4000	0x20	Valid							

Page Table Entry

	•
First Byte	Second Byte
Physical Page Number	0x00 = Invalid 0x06 = Valid, RO 0x07 = Valid, R/W

Physical Memory

Address	+0	+1	+2	+3	+4	+5	+6	+7	+8	+9	+A	+B	+C	+D	+E	+F
0x0000	0E	0F	10	11	12	13	14	15	16	17	18	19	1A	1B	1C	1D
0x0010	1E	1F	20	21	22	23	24	25	26	27	28	29	2A	2B	2C	2D
••••																
0x1010	40	41	42	43	44	45	46	47	48	49	4A	4B	4C	4D	4E	4F
0x1020	40	07	41	06	30	06	31	07	00	07	00	00	00	00	00	00
• • • •																
0x2000	02	20	03	30	04	40	05	50	06	60	07	70	08	80	09	90
0x2010	0A	A0	0B	B0	0C	C 0	0D	D0	0E	E0	0F	F0	10	01	11	11
0x2020	12	21	13	31	14	41	15	51	16	61	17	71	18	81	19	91
0x2030	10	06	11	00	12	07	40	07	41	07	00	00	00	00	00	00
• • • •																
0x30F0	00	11	22	33	44	55	66	77	88	99	AA	BB	CC	DD	EE	FF
0x3100	01	12	23	34	45	56	67	78	89	9A	AB	BC	CD	DE	EF	00
0x3110	02	13	24	35	46	57	68	79	8A	9B	AC	BD	CE	DF	F0	01
0x3120	03	06	25	36	47	58	69	7A	8B	9C	AD	BE	CF	E0	F1	02
0x3130	04	15	26	37	48	59	70	7B	8C	9D	AE	BF	D0	E1	F2	03
••••																
0x4000	30	00	31	06	32	07	33	07	34	06	35	00	43	38	32	79
0x4010	50	28	84	19	71	69	39	93	75	10	58	20	97	49	44	59
0x4020	23	07	20	07	00	06	62	08	99	86	28	03	48	25	34	21

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