


TCSS 422: OPERATING SYSTEMS

The Process API & Limited Direct Execution



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OBJECTIVES – 4/8

- **Questions from 4/6**
- C Review Survey – Closes Friday Apr 9
- Assignment 0
- Chapter 5: Process API
 - fork(), wait(), exec()
- Chapter 6: Limited Direct Execution
 - Direct execution
 - Limited direct execution
 - CPU modes
 - System calls and traps
 - Cooperative multi-tasking
 - Context switching and preemptive multi-tasking

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TEXT BOOK COUPON

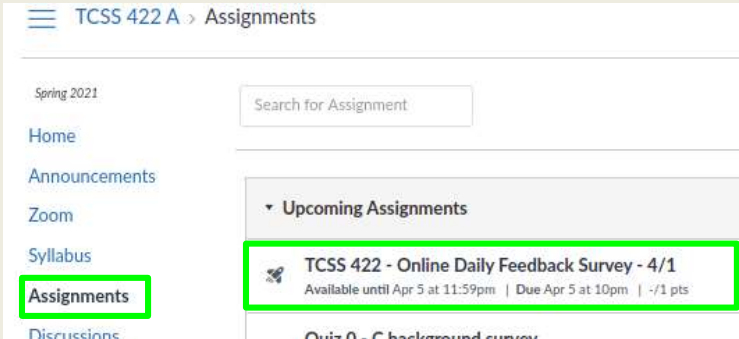
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ONLINE DAILY FEEDBACK SURVEY

- Daily Feedback Quiz in Canvas – Available After Each Class
- Extra credit available for completing surveys **ON TIME**
- Tuesday surveys: due by ~ Wed @ 11:59p
- Thursday surveys: due ~ Mon @ 11:59p



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TCSS 422 - Online Daily Feedback Survey - 4/1

Quiz Instructions

Question 1 0.5 pts

On a scale of 1 to 10, please classify your perspective on material covered in today's class:

1	2	3	4	5	6	7	8	9	10
Mostly Review To Me				Equal New and Review					Mostly New to Me

Question 2 0.5 pts

Please rate the pace of today's class:

1	2	3	4	5	6	7	8	9	10
Slow				Just Right					Fast

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MATERIAL / PACE

- Please classify your perspective on material covered in today's class (50 respondents):
 - 1-mostly review, 5-equal new/review, 10-mostly new
 - **Average - 6.91 (↓ - previous 6.92)**
- Please rate the pace of today's class:
 - 1-slow, 5-just right, 10-fast
 - **Average - 5.67 (↑ - previous 5.57)**

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FEEDBACK

- Can we say the number of tasks is the number of processes?
 - YES
 - Processes are identified as “tasks” in top
- How are memory leaks taken care of when we close a program?
 - When a program is closed, all memory is freed
- Does the OS keep track of what parts of memory were being used by a program even if the program itself dereferences it?
 - Unlike Java, C does not have automatic garbage collection
 - A programmer releases malloc'd memory using the free() function
 - The OS tracks the location of the heap. The data may still reside on the heap but it is no longer referenced. Allocating new variables on the heap may result in finding the old data. The values can be seen if the new variables are not initialized.

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FEEDBACK - 2

- I'm confused about the differences between the READY and BLOCKED process states
- **BLOCKED:** can not run, waiting on I/O to finish
- **READY:** is able to run, but not yet scheduled on the CPU

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FEEDBACK - 3

- Can you fork a process multiple times?
 - Yes
- Can a parent have more than one child?
 - Yes
- Can a child have a child and become a parent?
 - Yes
- I saw in a diagram on pg 8 of the lecture 3 slides that you can keep forking but if the child process's PID is 0 then how can you make a new child with a process PID 0 and then differentiate which is the parent?
 - The child can call getPID() to discover its true PID
 - When the child calls fork, it will also receive back its PID

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FEEDBACK - 4

- How is prioritization between the parent and child processes done after the call to fork() ?
 - The operating system schedules which process goes next
 - If the computer has multiple cores, they may be scheduled to run at the same time
 - The programmer can enforce execution ordering by using the wait() API
- Is there a similar command to fork() that can create a child process without also copying memory, registers, and the program counter?
 - Yes, these are threads, and the API is pthread_create()

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FEEDBACK - 5

- **What is overhead?**
 - *Question for the class...*
- **(Assignment questions with example)**
As I researched and understood, we have several command options to find the number of processes (question #1 ex: "ps" or "top").
- **Is it okay to use any commands from these options, or do you expect specific commands which were mentioned from the lecture?**
 - Any command can be used

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OBJECTIVES – 4/8

- Questions from 4/6
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CHAPTER 5: C PROCESS API



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fork()

- Creates a new process - think of “a fork in the road”
- “Parent” process is the original
- Creates “child” process of the program from the current execution point
- Book says “pretty odd”
- Creates a **duplicate** program instance (these are processes!)
- **Copy of**
 - Address space (memory)
 - Register
 - Program Counter (PC)
- Fork returns
 - child PID to parent
 - 0 to child



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FORK EXAMPLE

- **p1.c**

```
#include <stdio.h>
#include <stdlib.h>
#include <unistd.h>

int main(int argc, char *argv[]){
    printf("hello world (pid:%d)\n", (int) getpid());
    int rc = fork();
    if (rc < 0) { // fork failed; exit
        fprintf(stderr, "fork failed\n");
        exit(1);
    } else if (rc == 0) { // child (new process)
        printf("hello, I am child (pid:%d)\n", (int) getpid());
    } else { // parent goes down this path (main)
        printf("hello, I am parent of %d (pid:%d)\n",
            rc, (int) getpid());
    }
    return 0;
}
```

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FORK EXAMPLE - 2

- **Non deterministic ordering of execution**

```
prompt> ./p1
hello world (pid:29146)
hello, I am parent of 29147 (pid:29146)
hello, I am child (pid:29147)
prompt>
```

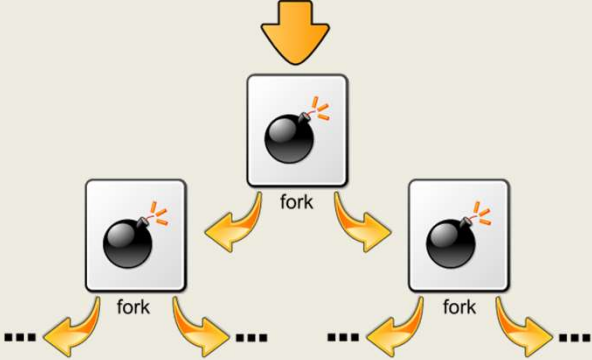
or

```
prompt> ./p1
hello world (pid:29146)
hello, I am child (pid:29147)
hello, I am parent of 29147 (pid:29146)
prompt>
```

- **CPU scheduler determines which to run first**

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:(){ :|: & }::



The diagram illustrates the process of forking. It starts with a single parent process (represented by a bomb icon) at the top. An orange arrow points down to the parent process. From the parent process, two orange arrows labeled 'fork' point to two child processes (also represented by bomb icons). From each child process, two more orange arrows labeled 'fork' point to four grandchild processes, indicated by ellipses (...).

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wait()

- wait(), waitpid()
- Called by parent process
- Waits for a child process to finish executing
- Not a sleep() function
- Provides some ordering to multi-process execution



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FORK WITH WAIT

```
#include <stdio.h>
#include <stdlib.h>
#include <unistd.h>
#include <sys/wait.h>

int main(int argc, char *argv[]){
    printf("hello world (pid:%d)\n", (int) getpid());
    int rc = fork();
    if (rc < 0) { // fork failed; exit
        fprintf(stderr, "fork failed\n");
        exit(1);
    } else if (rc == 0) { // child (new process)
        printf("hello, I am child (pid:%d)\n", (int) getpid());
    } else { // parent goes down this path (main)
        int wc = wait(NULL);
        printf("hello, I am parent of %d (wc:%d) (pid:%d)\n",
            rc, wc, (int) getpid());
    }
    return 0;
}
```

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L4.22

FORK WITH WAIT - 2

- **Deterministic ordering of execution**

```
prompt> ./p2  
hello world (pid:29266)  
hello, I am child (pid:29267)  
hello, I am parent of 29267 (wc:29267) (pid:29266)  
prompt>
```

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FORK EXAMPLE

- **Linux example**

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L4.24

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exec()

- Supports running an external program by “transferring control”
- 6 types: execl(), execlp(), execl(), execv(), execvp(), execvpe()
- execl(), execlp(), execl(): const char *arg **(example: execl.c)**
Provide cmd and args as individual params to the function
Each arg is a pointer to a null-terminated string
ODD: pass a variable number of args: (arg0, arg1, .. argn)
- Execv(), execvp(), execvpe() **(example: exec.c)**
Provide cmd and args as an Array of pointers to strings
Strings are null-terminated
First argument is name of command being executed
Fixed number of args passed in

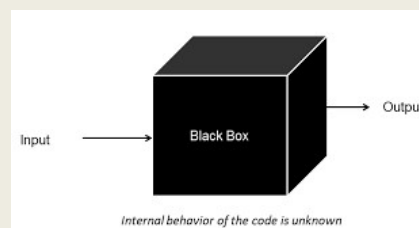
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EXEC() - 2

- Common use case:
- Write a new program which wraps a legacy one
- Provide a new interface to an old system: Web services
- Legacy program thought of as a “black box”
- We don't want to know what is inside... 😊



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L4.27

EXEC EXAMPLE

```
#include <stdio.h>
#include <stdlib.h>
#include <unistd.h>
#include <string.h>
#include <sys/wait.h>

int main(int argc, char *argv[]){
    printf("hello world (pid:%d)\n", (int) getpid());
    int rc = fork();
    if (rc < 0) {
        // fork failed; exit
        fprintf(stderr, "fork failed\n");
        exit(1);
    } else if (rc == 0) {
        // child (new process)
        printf("hello, I am child (pid:%d)\n", (int) getpid());
        char *myargs[3];
        myargs[0] = strdup("wc");
        myargs[1] = strdup("p3.c");
        myargs[2] = NULL;
        ...
    }
```



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EXEC EXAMPLE - 2

```
...  
➔ execvp(myargs[0], myargs); // runs word count  
printf("this shouldn't print out");  
} else { // parent goes down this path (main)  
int wc = wait(NULL);  
printf("hello, I am parent of %d (wc:%d) (pid:%d)\n",  
rc, wc, (int) getpid());  
}  
return 0;  
}
```

```
prompt> ./p3  
hello world (pid:29383)  
hello, I am child (pid:29384)  
29 107 1030 p3.c  
hello, I am parent of 29384 (wc:29384) (pid:29383)  
prompt>
```

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L4.29

EXEC WITH FILE REDIRECTION (OUTPUT)


```
#include <stdio.h>  
#include <stdlib.h>  
#include <unistd.h>  
#include <string.h>  
#include <fcntl.h>  
#include <sys/wait.h>  
  
int  
main(int argc, char *argv[]){  
int rc = fork();  
if (rc < 0) { // fork failed; exit  
fprintf(stderr, "fork failed\n");  
exit(1);  
} else if (rc == 0) { // child: redirect standard output to a file  
➔ close(STDOUT_FILENO);  
open("./p4.output", O_CREAT|O_WRONLY|O_TRUNC, S_IRWXU);  
...  
}
```

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L4.30

FILE MODE BITS




```
S_IRWXU
read, write, execute/search by owner
S_IRUSR
read permission, owner
S_IWUSR
write permission, owner
S_IXUSR
execute/search permission, owner
S_IRWXG
read, write, execute/search by group
S_IRGRP
read permission, group
S_IWGRP
write permission, group
S_IXGRP
execute/search permission, group
S_IRWXO
read, write, execute/search by others
S_IROTH
read permission, others
S_IWOTH
write permission, others
```

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EXEC W/ FILE REDIRECTION (OUTPUT) - 2

```
...
// now exec "wc"...
char *myargs[3];
myargs[0] = strdup("wc");           // program: "wc" (word count)
myargs[1] = strdup("p4.c");         // argument: file to count
myargs[2] = NULL;                   // marks end of array
execvp(myargs[0], myargs);         // runs word count
} else {                             // parent goes down this path (main)
    int wc = wait(NULL);
}
return 0;
}
```



```
prompt> ./p4
prompt> cat p4.output
32 109 846 p4.c
prompt>
```

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W Which Process API call is used to launch a different program from the current program?

Fork() Exec() Wait() None of the above All of the above

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QUESTION: PROCESS API

- Which Process API call is used to launch a different program from the current program?
- (a) Fork()
- (b) Exec()
- (c) Wait()
- (d) None of the above
- (e) All of the above

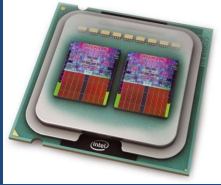
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CH. 6: LIMITED DIRECT EXECUTION



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L4.37

VIRTUALIZING THE CPU

- How does the CPU support running so many jobs simultaneously?
- Time Sharing
- Tradeoffs:
 - Performance
 - Excessive overhead
 - Control
 - Fairness
 - Security
- Both HW and OS support is used

```
top - 18:25:07 up 430 days, 1:03, 3 users, load average: 0.32, 0.28, 0.29
task: 654 total, 1 running, 653 sleeping, 0 stopped, 0 zombie
cpu(s): 7.8kusr, 0.5kswp, 0.0kni, 91.8kld, 0.0kpa, 0.0kds, 0.7kai, 0.0kqt
Mem: 7423772k total, 7494628k used, 746456k free, 561316k buffers
Swap: 2183572k total, 72252k used, 2176326k free, 552835k cached
```

PID	PPID	VSZ	RES	SHR	MEM	TIME	COUNT	COMMAND	
1524	escalpt	20	0	176k	16k	0.00	2.0	mysql-ws@-	
8127	escalpt	20	0	403k	27k	20m	5	152 0.0	4:32.91 postgres
30796	escalpt	20	0	600k	24k	18m	5	112 0.0	0:21.50 postgres
34264	escalpt	20	0	603k	22k	18m	5	8.6 0.0	0:26.46 postgres
4460	ermonic	20	0	15452	1712	202k	8	0.7 0.0	0:00.52 top
6286	escalpt	20	0	600k	18k	16m	5	0.7 0.0	0:07.74 postgres
7460	escalpt	20	0	603k	22k	20m	5	0.7 0.0	4:21.48 postgres
8220	escalpt	20	0	603k	25k	20m	5	0.7 0.0	4:16.01 postgres
10828	escalpt	20	0	600k	20k	20m	5	0.7 0.0	0:02.78 postgres
11913	escalpt	20	0	603k	28k	20m	5	0.7 0.0	6:49.42 postgres
15152	escalpt	20	0	600k	18k	16m	5	0.7 0.0	0:06.78 postgres
17119	escalpt	20	0	600k	20k	16m	5	0.7 0.0	0:10.59 postgres
20403	escalpt	20	0	600k	18k	16m	5	0.7 0.0	0:06.78 postgres
31713	escalpt	20	0	600k	18k	16m	5	0.7 0.0	0:04.42 postgres
78	root	20	0	0	0	0.0	0.0	0.0	28:28.01 postgres#1
106	escalpt	20	0	600k	20k	16m	5	0.3 0.0	0:04.34 postgres
3504	escalpt	20	0	600k	19k	1420k	0.3 0.0	0.0	0:01.16 postgres
612	escalpt	20	0	600k	20k	16m	5	0.3 0.0	4:31.34 postgres
7020	escalpt	20	0	603k	25k	20m	5	0.3 0.0	4:31.94 postgres
7888	escalpt	20	0	603k	25k	20m	5	0.3 0.0	4:25.40 postgres
8524	escalpt	20	0	604k	25k	20m	5	0.3 0.0	4:25.40 postgres
8524	escalpt	20	0	603k	25k	20m	5	0.3 0.0	4:25.40 postgres
12914	escalpt	20	0	603k	25k	20m	5	0.3 0.0	3:52.32 postgres
14287	escalpt	20	0	603k	25k	20m	5	0.3 0.0	1:59.07 postgres
15755	escalpt	20	0	603k	25k	20m	5	0.3 0.0	1:28.50 postgres
16426	escalpt	20	0	600k	18k	16m	5	0.3 0.0	0:02.46 postgres
16426	escalpt	20	0	600k	18k	16m	5	0.3 0.0	0:02.51 postgres
16530	escalpt	20	0	2091k	146k	155k	0.2 0.0	0.0	1:00:03.01 top
21781	root	20	0	24.4k	562k	16m	5	0.3 0.0	0:7:39:58.32 java
30704	escalpt	20	0	603k	25k	20m	5	0.3 0.0	0:02.16 postgres
31531	escalpt	20	0	603k	24k	20m	5	0.3 0.0	5:03.32 postgres
1	root	20	0	0	0	0.0	0.0	0.0	0:07.46 top
2	root	20	0	0	0	0.0	0.0	0.0	0:00.02 kthreadd
3	root	95	0	0	0	0.0	0.0	0.0	0:00.00 kworker/0
4	root	20	0	0	0	0.0	0.0	0.0	79:08:38 ksoftirqd/0
5	root	95	0	0	0	0.0	0.0	0.0	0:00.00 stopper/0
6	root	95	0	0	0	0.0	0.0	0.0	1:07.42 watchdog/0
7	root	95	0	0	0	0.0	0.0	0.0	0:00.00 stopper/1
8	root	95	0	0	0	0.0	0.0	0.0	22:32.33 ksoftirqd/1
16	root	95	0	0	0	0.0	0.0	0.0	0:00.00 stopper/2
17	root	95	0	0	0	0.0	0.0	0.0	0:00.00 stopper/3
18	root	95	0	0	0	0.0	0.0	0.0	130:03:04 migration/2
19	root	95	0	0	0	0.0	0.0	0.0	0:00.00 stopper/2
20	root	95	0	0	0	0.0	0.0	0.0	0:00.00 stopper/2

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L3.38

COMPUTER BOOT SEQUENCE: OS WITH DIRECT EXECUTION

■ What if programs could directly control the CPU / system?

OS	Program
1. Create entry for process list 2. Allocate memory for program 3. Load program into memory 4. Set up stack with <code>argc / argv</code> 5. Clear registers 6. Execute call <code>main()</code>	7. Run <code>main()</code> 8. Execute <code>return from main()</code>
9. Free memory of process 10. Remove from process list	

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COMPUTER BOOT SEQUENCE: OS WITH DIRECT EXECUTION

■ What if programs could directly control the CPU / system?

OS	Program
1. Create entry for process list 2. Allocate memory for	
Without <i>limits</i> on running programs, the OS wouldn't be in control of anything and would "just be a library"	
5. Clear registers 6. Execute call <code>main()</code>	7. Run <code>main()</code> 8. Execute <code>return from main()</code>
9. Free memory of process 10. Remove from process list	

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DIRECT EXECUTION - 2

- **With direct execution:**

How does the OS stop a program from running, and switch to another to support **time sharing**?

How do programs share disks and perform I/O if they are given direct control? Do they know about each other?

With direct execution, how can dynamic memory structures such as linked lists grow over time?

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CONTROL TRADEOFF

- **Too little control:**

- No security
- No time sharing

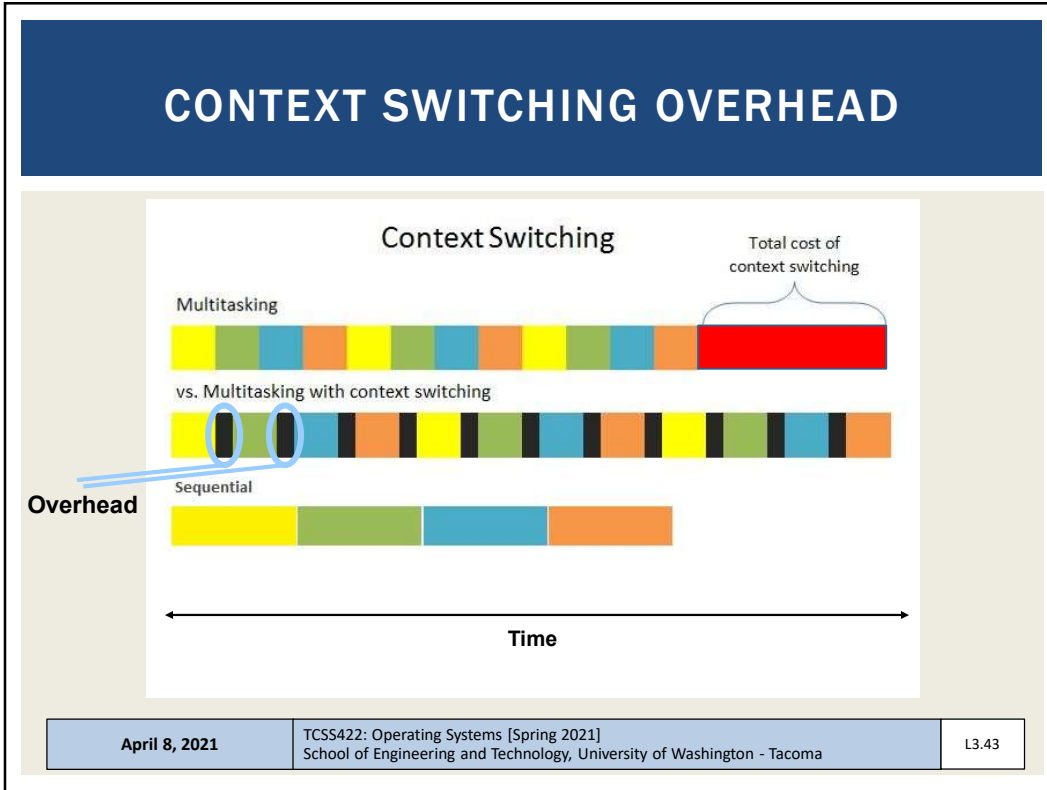
- **Too much control:**

- Too much OS overhead
- Poor performance for compute & I/O
- Complex APIs (system calls), difficult to use

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WE WILL RETURN AT 5:10PM

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OBJECTIVES – 4/8

- Questions from 4/6
- C Review Survey – Closes Friday Apr 9
- Assignment 0
- Chapter 5: Process API
 - fork(), wait(), exec()
- Chapter 6: Limited Direct Execution
 - Direct execution
 - **Limited direct execution**
 - CPU modes
 - System calls and traps
 - Cooperative multi-tasking
 - Context switching and preemptive multi-tasking

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LIMITED DIRECT EXECUTION

- OS implements LDE to support time/resource sharing
- Limited direct execution means “only limited” processes can execute **DIRECTLY** on the CPU in ***trusted*** mode
- **TRUSTED** means the process is trusted, and it can do anything... (e.g. it is a system / kernel level process)
- Enabled by ***protected (safe) control transfer***
- CPU supported context switch
- Provides data isolation

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OBJECTIVES – 4/8

- Questions from 4/6
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 - `fork()`, `wait()`, `exec()`
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CPU MODES

- Utilize CPU Privilege Rings (Intel x86)
 - rings 0 (kernel), 1 (VM kernel), 2 (unused), 3 (user)
- access ←———— no access
- **User mode:**
Application is running, but w/o direct I/O access
 - **Kernel mode:**
OS kernel is running performing restricted operations

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CPU MODES

- **User mode: ring 3 - untrusted**
 - Some instructions and registers are disabled by the CPU
 - Exception registers
 - HALT instruction
 - MMU instructions
 - OS memory access
 - I/O device access

- **Kernel mode: ring 0 – trusted**
 - All instructions and registers enabled

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OBJECTIVES – 4/8

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- Assignment 0

- Chapter 5: Process API
 - fork(), wait(), exec()
- Chapter 6: Limited Direct Execution
 - Direct execution
 - Limited direct execution
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 - **System calls and traps**
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SYSTEM CALLS

- Implement restricted “OS” operations
- Kernel exposes key functions through an API:
 - Device I/O (e.g. file I/O)
 - Task swapping: context switching between processes
 - Memory management/allocation: malloc()
 - Creating/destroying processes

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TRAPS: SYSTEM CALLS, EXCEPTIONS, INTERRUPTS

- Trap: any transfer to kernel mode
- Three kinds of traps
 - **System call:** (planned) user → kernel
 - SYSCALL for I/O, etc.
 - **Exception:** (error) user → kernel
 - Div by zero, page fault, page protection error
 - **Interrupt:** (event) user → kernel
 - Non-maskable vs. maskable
 - Keyboard event, network packet arrival, timer ticks
 - Memory parity error (ECC), hard drive failure

Mainline Code Interrupt Interrupt Service Routine

```
loop() {
  instruction 1
  instruction 2
  instruction 3
  instruction 4
  instruction 5
}
```

↓ Interrupt

```
ISR() {
  instruction 1
  instruction 2
  instruction 3
}
```

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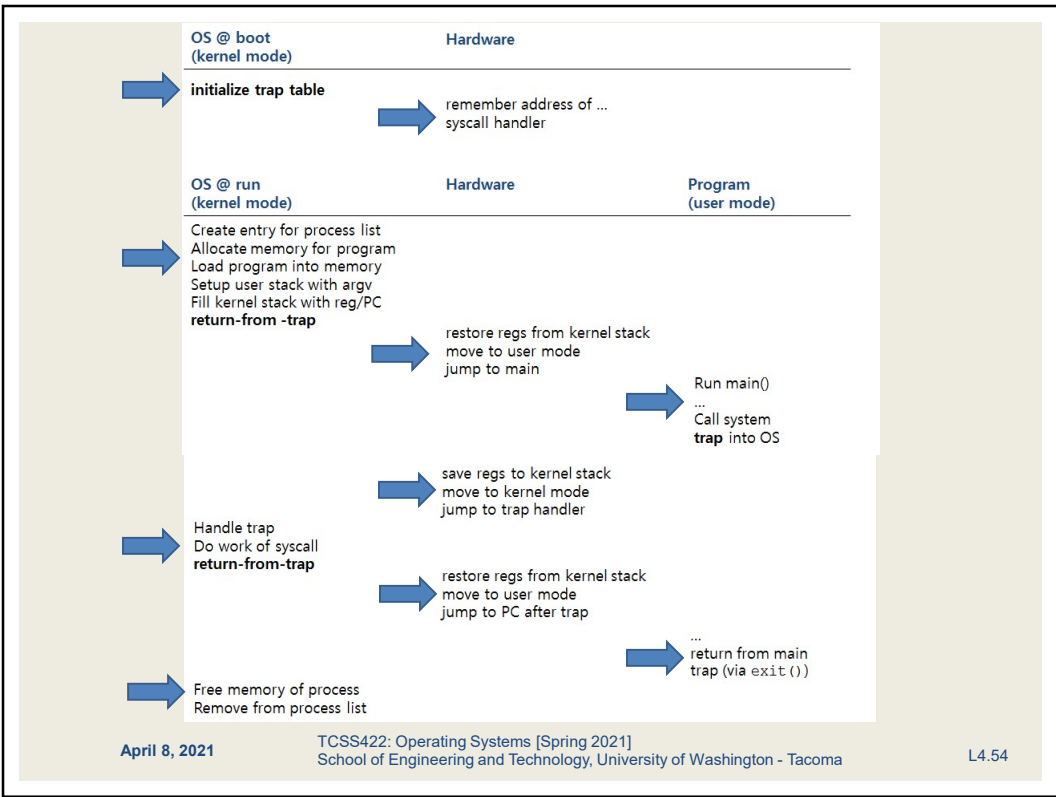
EXCEPTION TYPES

Exception type	Synchronous vs. asynchronous	User request vs. coerced	User maskable vs. nonmaskable	Within vs. between instructions	Resume vs. terminate
I/O device request	Asynchronous	Coerced	Nonmaskable	Between	Resume
Invoke operating system	Synchronous	User request	Nonmaskable	Between	Resume
Tracing instruction execution	Synchronous	User request	User maskable	Between	Resume
Breakpoint	Synchronous	User request	User maskable	Between	Resume
Integer arithmetic overflow	Synchronous	Coerced	User maskable	Within	Resume
Floating-point arithmetic overflow or underflow	Synchronous	Coerced	User maskable	Within	Resume
Page fault	Synchronous	Coerced	Nonmaskable	Within	Resume
Misaligned memory accesses	Synchronous	Coerced	User maskable	Within	Resume
Memory protection violation	Synchronous	Coerced	Nonmaskable	Within	Resume
Using undefined instruction	Synchronous	Coerced	Nonmaskable	Within	Terminate
Hardware malfunction	Asynchronous	Coerced	Nonmaskable	Within	Terminate
Power failure	Asynchronous	Coerced	Nonmaskable	Within	Terminate

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OS @ boot (kernel mode)	Hardware	
initialize trap table	remember address of ... syscall handler	
OS @ run (kernel mode)	Hardware	Program (user mode)
Create entry for process list Allocate memory for program Load program into memory Setup user stack with argv Fill kernel stack with reg/PC		
	move to kernel mode jump to trap handler	
Handle trap Do work of syscall return-from-trap	restore regs from kernel stack move to user mode jump to PC after trap	
		... return from main trap (via <code>exit()</code>)
Free memory of process Remove from process list		

Computer BOOT Sequence: OS with Limited Direct Execution

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OBJECTIVES – 4/8

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MULTITASKING

- How/when should the OS regain control of the CPU to switch between processes?

- Cooperative multitasking (mostly pre 32-bit)
 - < Windows 95, Mac OSX
 - Opportunistic: running programs must give up control
 - User programs must call a special **yield** system call
 - When performing I/O
 - Illegal operations

 - (POLLEV)
What problems could you for see with this approach?

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MULTITASKING

- How/when should the OS regain control of the CPU to switch between processes?

- Cooperative multitasking (mostly pre 32-bit)
 - < Y
 - Op
 - When performing I/O
 - Illegal operations

- (POLLEV)
What problems could you for see with this approach?

A process gets stuck in an infinite loop.
→ **Reboot the machine**

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W What problems exist for regaining the control of the CPU with cooperative multitasking OSes?

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QUESTION: MULTITASKING

- What problems exist for regaining the control of the CPU with cooperative multitasking OSes?

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MULTITASKING - 2

- Preemptive multitasking (32 & 64 bit OSes)
- >= Mac OSX, Windows 95+

- Timer interrupt
 - Raised at some regular interval (in ms)
 - Interrupt handling
 1. Current program is halted
 2. Program states are saved
 3. OS Interrupt handler is run (kernel mode)

- (PollEV) What is a good interval for the timer interrupt?

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MULTITASKING - 2

- Preemptive multitasking (32 & 64 bit OSes)
- >= Mac OSX, Windows 95+

- Timer interrupt
 - Raised at some regular interval (in ms)
 - Interrupt handling
 1. Current program is halted
 2. Program states are saved
 3. OS Interrupt handler is run (kernel mode)

- (PollEV) What is a good interval for the timer interrupt?

A timer interrupt gives OS the ability to run again on a CPU.

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W For an OS that uses a system timer to force arbitrary context switches to share the CPU, what is a good value (in seconds) for the timer interrupt?

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QUESTION: TIME SLICE

- For an OS that uses a system timer to force arbitrary context switches to share the CPU, what is a good value (in seconds) for the timer interrupt?

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OBJECTIVES – 4/8

- Questions from 4/6
- C Review Survey – Closes Friday Apr 9
- Assignment 0

- Chapter 5: Process API
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- Chapter 6: Limited Direct Execution
 - Direct execution
 - Limited direct execution
 - CPU modes
 - System calls and traps
 - Cooperative multi-tasking
 - **Context switching and preemptive multi-tasking**

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CONTEXT SWITCH

- Preemptive multitasking initiates “trap” into the OS code to determine:
 - ◆ Whether to continue running the **current process**, or switch to a **different one**.
 - ◆ If the decision is made to switch, the OS performs a context switch swapping out the current process for a new one.

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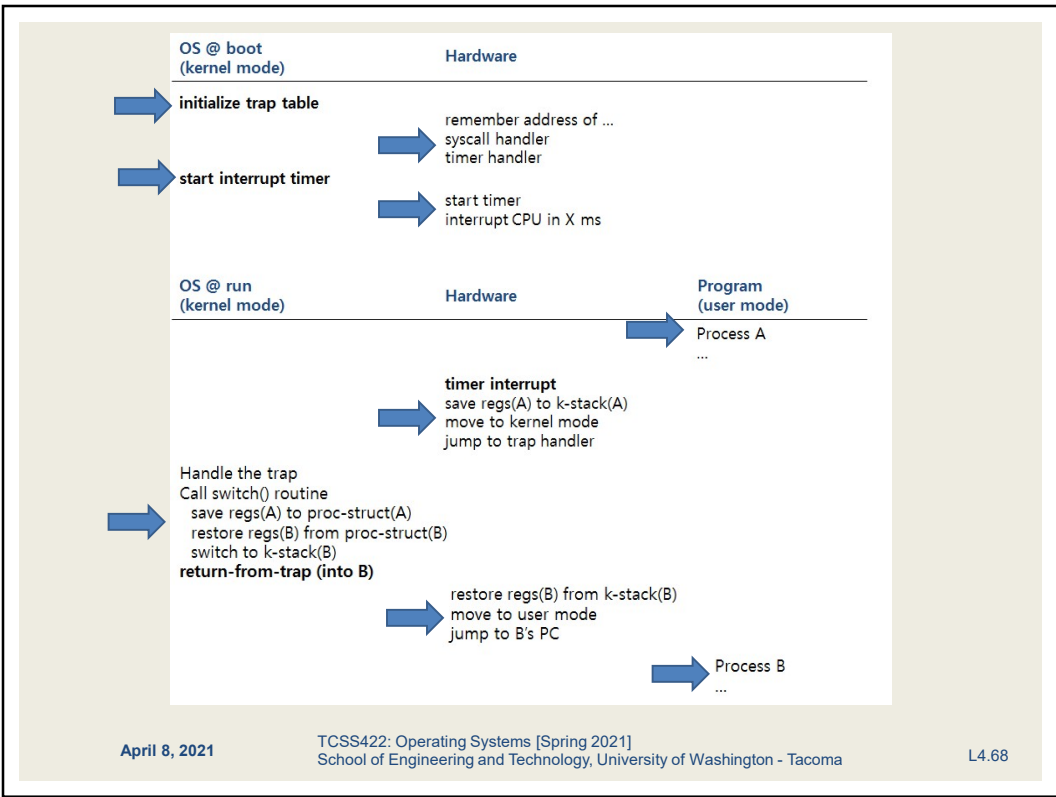
CONTEXT SWITCH - 2

1. Save register values of the current process to its kernel stack
 - General purpose registers
 - PC: program counter (instruction pointer)
 - kernel stack pointer

2. Restore soon-to-be-executing process from its kernel stack

3. Switch to the kernel stack for the soon-to-be-executing process

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OS @ boot (kernel mode)	Hardware
initialize trap table	remember address of ... syscall handler timer handler
start interrupt timer	start timer interrupt CPU in X ms

OS @ run (kernel mode)	Hardware	Program (user mode)
Call switch() routine		
save regs(A) to proc-struct(A)		
restore regs(B) from proc-struct(B)		
switch to k-stack(B)		
return-from-trap (into B)		
	restore regs(B) from k-stack(B)	
	move to user mode	
	jump to B's PC	

➔ Process B
...

Context Switch

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INTERRUPTED INTERRUPTS

- What happens if during an interrupt (trap to kernel mode), another interrupt occurs?
- Linux
 - < 2.6 kernel: non-preemptive kernel
 - >= 2.6 kernel: preemptive kernel

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PREEMPTIVE KERNEL

- Use “locks” as markers of regions of non-preemptibility (non-maskable interrupt)
- Preemption counter (`preempt_count`)
 - begins at zero
 - increments for each lock acquired (not safe to preempt)
 - decrements when locks are released
- Interrupt can be interrupted when `preempt_count=0`
 - It is safe to preempt (maskable interrupt)
 - the interrupt is more important

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CHAPTER 7- SCHEDULING: INTRODUCTION



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OBJECTIVES – 4/8

- **Chapter 7: Scheduling Introduction**
 - **Scheduling metrics**
 - Turnaround time, Jain's Fairness Index, Response time
 - FIFO, SJF, STCF, RR schedulers

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SCHEDULING METRICS

- **Metrics:** A standard measure to quantify to what degree a system possesses some property. Metrics provide repeatable techniques to quantify and compare systems.
- **Measurements** are the numbers derived from the application of metrics

- Scheduling Metric #1: **Turnaround time**
- The time at which the job completes minus the time at which the job arrived in the system

$$T_{turnaround} = T_{completion} - T_{arrival}$$

- How is turnaround time different than execution time?

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SCHEDULING METRICS - 2

- Scheduling Metric #2: **Fairness**
 - Jain's fairness index
 - Quantifies if jobs receive a fair share of system resources

$$\mathcal{J}(x_1, x_2, \dots, x_n) = \frac{(\sum_{i=1}^n x_i)^2}{n \cdot \sum_{i=1}^n x_i^2}$$

- n processes
- x_i is time share of each process
- worst case = $1/n$
- best case = 1

- Consider $n=3$, worst case = .333, best case=1
- With $n=3$ and $x_1=.2, x_2=.7, x_3=.1$, fairness=.62
- With $n=3$ and $x_1=.33, x_2=.33, x_3=.33$, fairness=1

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OBJECTIVES – 4/8

- Chapter 7: Scheduling Introduction
 - Scheduling metrics
 - Turnaround time, Jain's Fairness Index, Response time
 - **FIFO** SJF, STCF, RR schedulers

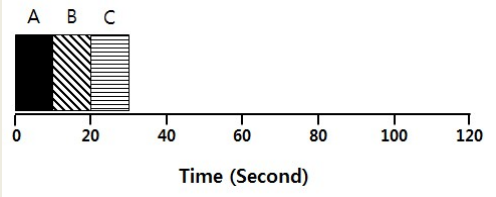
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SCHEDULERS

- **FIFO: first in, first out**
 - Very simple, easy to implement
- **Consider**
 - 3 x 10sec jobs, arrival: A B C, duration 10 sec each



Average turnaround time = $\frac{10 + 20 + 30}{3} = 20 \text{ sec}$

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OBJECTIVES – 4/8

- **Chapter 7: Scheduling Introduction**
 - Scheduling metrics
 - Turnaround time, Jain’s Fairness Index, Response time
 - FIFO, **SJF** STCF, RR schedulers

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SJF: SHORTEST JOB FIRST

- Given that we know execution times in advance:
 - Run in order of duration, shortest to longest
 - Non preemptive scheduler
 - This is not realistic
 - Arrival: A B C, duration a=100 sec, b/c=10sec

$$\text{Average turnaround time} = \frac{10 + 20 + 120}{3} = 50 \text{ sec}$$

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SJF: WITH RANDOM ARRIVAL

- If jobs arrive at any time: duration a=100s, b/c=10s
- A @ t=0sec, B @ t=10sec, C @ t=10sec

$$\text{Average turnaround time} = \frac{100 + (110 - 10) + (120 - 10)}{3} = 103.33 \text{ sec}$$

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OBJECTIVES – 4/8

- Chapter 7: Scheduling Introduction
 - Scheduling metrics
 - Turnaround time, Jain's Fairness Index, Response time
 - FIFO, SJF, **STCF**, RR schedulers

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STCF - 2

- Consider: duration $a=100\text{sec}$, $b/c=10\text{sec}$
 - $A_{\text{len}}=100$, $A_{\text{arrival}}=0$
 - $B_{\text{len}}=10$, $B_{\text{arrival}}=10$, $C_{\text{len}}=10$, $C_{\text{arrival}}=10$

[B,C arrive]

Time (Second)

$$\text{Average turnaround time} = \frac{(120 - 0) + (20 - 10) + (30 - 10)}{3} = 50 \text{ sec}$$

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SCHEDULING METRICS - 3

- Scheduling Metric #3: **Response Time**
- Time from when job arrives until it starts execution

$$T_{response} = T_{firstrun} - T_{arrival}$$

- STCF, SJF, FIFO
 - can perform poorly with respect to response time

What scheduling algorithm(s) can help minimize response time?

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OBJECTIVES – 4/8


- Chapter 7: Scheduling Introduction
 - Scheduling metrics
 - Turnaround time, Jain's Fairness Index, Response time
 - FIFO, SJF, STCF, **RR schedulers**

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RR: ROUND ROBIN



- Run each job awhile, then switch to another distributing the CPU evenly (fairly)
- Scheduling Quantum is called a time slice
- Time a mu time period.

RR is fair, but performs poorly on metrics such as turnaround time

Process	Burst Time
P1	12

Round Robin scheduling algorithm Gantt chart

P1	P2	P3	P4	P5	P1	P2	P4	P1	
0	5	10	14	19	24	29	32	37	39

Scheduling Quantum = 5 seconds →

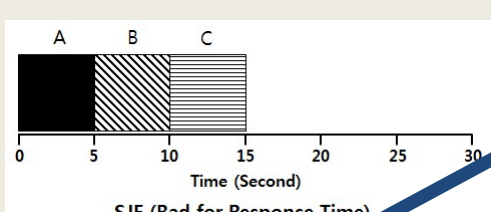
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RR EXAMPLE

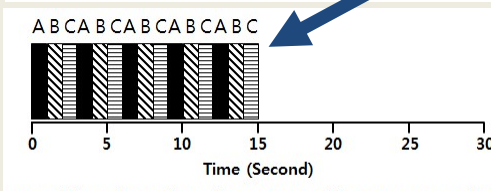
- ABC arrive at time=0, each run for 5 seconds



SJF (Bad for Response Time)

OVERHEAD not considered

$$T_{average\ response} = \frac{0 + 5 + 10}{3} = 5sec$$



RR with a time-slice of 1sec (Good for Response Time)

$$T_{average\ response} = \frac{0 + 1 + 2}{3} = 1sec$$

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ROUND ROBIN: TRADEOFFS

Short Time Slice

Fast Response Time

High overhead from context switching



Long Time Slice

Slow Response Time

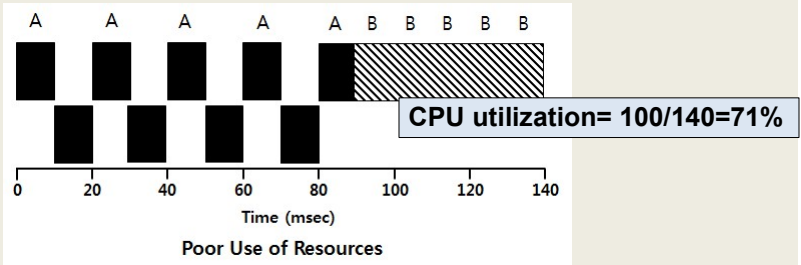
Low overhead from context switching

- Time slice impact:
 - Turnaround time (for earlier example): $ts(1,2,3,4,5)=14,14,13,14,10$
 - Fairness: round robin is always fair, $J=1$

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SCHEDULING WITH I/O

- STCF scheduler
 - A: CPU=50ms, I/O=40ms, 10ms intervals
 - B: CPU=50ms, I/O=0ms
 - Consider A as 10ms subjobs (CPU, then I/O)
- Without considering I/O:



CPU utilization = $100/140 = 71\%$

Poor Use of Resources

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SCHEDULING WITH I/O - 2

- When a job initiates an I/O request
 - A is blocked, waits for I/O to compute, frees CPU
 - STCF scheduler assigns B to CPU
- When I/O completes → raise interrupt
 - Unblock A, STCF goes back to executing A: (10ms sub-job)

Overlap Allows Better Use of Resources

Cpu utilization = 100/100=100%

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W Which scheduler, thus far, best address fairness and average response time of jobs?

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Text **WESLEYLLOYD641** to **22333** once to join, then **1, 2, 3, 4, 5...**

First In - First Out (FIFO)	1
Shortest Job First (SJF)	2
Shortest Time to Completion First (STCF)	3
Round Robin	4
None of the Above	5
All of the Above	6

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QUESTION: SCHEDULING FAIRNESS

- Which scheduler, this far, best addresses fairness and average response time of jobs?
- First In – First Out (FIFO)
- Shortest Job First (SJF)
- Shortest Time to Completion First (STCF)
- Round Robin (RR)
- None of the Above
- All of the Above

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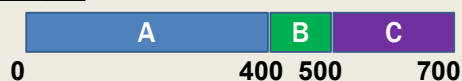
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SCHEDULING METRICS

- Consider Three jobs (A, B, C) that require:
 $time_A=400ms$, $time_B=100ms$, and $time_C=200ms$
- All jobs arrive at $time=0$ in the sequence of A B C.
- Draw a scheduling graph to help compute the average response time (ART) and average turnaround time (ATT) scheduling metrics for the FIFO scheduler.

Example:



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**What is the Average Response Time of the
FIFO scheduler?**

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**What is the Average Turnaround Time of the
FIFO scheduler?**

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SCHEDULING METRICS

- Consider Three jobs (A, B, C) that require:
 $time_A=400ms$, $time_B=100ms$, and $time_C=200ms$
- All jobs arrive at $time=0$ in the sequence of A B C.
- Draw a scheduling graph to help compute the average response time (ART) and average turnaround time (ATT) scheduling metrics for the SJF scheduler.

Example:



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