

### Operating System

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### Kernel

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Microkernel	Only implements essential functionality like IPC; higher-level services run outside of kernel and use IPC	Robust and essential; isolation and protection	Lower performance

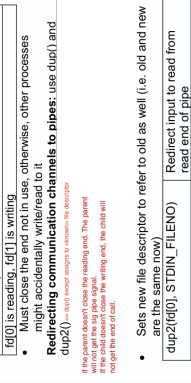
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Guarantees no starvation as every task runs (IO cases)

Average waiting time can be improved and **convoy effect** where long CPU bound task blocks I/O and vice versa

Shortest average response time (jobs arrive in order of increasing lengths or all jobs have same completion time)

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Minimizes average waiting time given a fixed set of tasks

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New jobs with shorter remaining time pre-empt currently running jobs, good for short jobs with late arrival

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Priority Scheduling: Assigns priority to processes and run highest priority first

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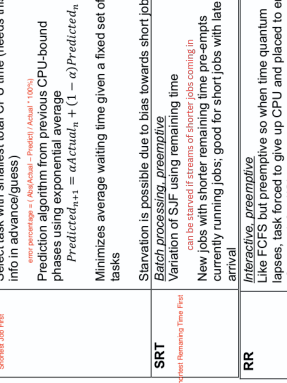
Highest priority queue must be empty before next queue is used

Rules:
 

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**Process creation:** Parent process forks a child process. The child process can be terminated, become a zombie, or become a daemon process.

**Scheduling in OS:** Scheduler: Part of OS that makes scheduling decision. Is the algo used by scheduler? Based on process environments. Process behaviour: Requirement for CPU time

**Concurrent Execution:** Multiple processes progress in execution at the same time. Virtual (illusion) or physical (multiple CPUs)

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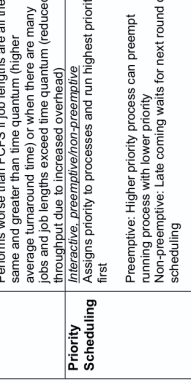
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**Real-time processing:** Deadline to meet, usually periodic process



**Criteria for all processing envs:**

- Fairness: Sliced fair share of CPU time (per process/per user)
- Utilization: NO STARVATION

**Types of Scheduling:**

- Non-preemptive: process keeps running until blocked or gives up CPU voluntarily
- Preemptive: process given fixed time quantum to run. Can be blocked or give up early. Ensures good response time as scheduler runs periodically. Periodic timer interrupt that cannot be intercepted, invokes scheduler.
- Interval of timer interrupt (TMI): OS scheduler invoked every timer interrupt (usually 1-10ms)
- Time quantum: execution duration given to a process; multiples of TMI; can be variable (usually 5-100ms)

**Scheduling Steps:**

- Scheduler is triggered (OS takes over)
- If context switch is needed, context of current running process is saved and placed on blocked queue/ready queue
- Pick a suitable process P to run based on scheduling algorithm
- Setup context for P
- Let P run

**Pipes blocking:** If process Q is trying to read and pipe is empty, it will block. If process P is trying to write and the pipe is full, it will block.

### Interprocess Communication

- Memory space is independent → need IPC mechanisms
- Shared memory

### 1. Shared memory

Slaves: access, do to their own control, detach, attach (provided handler)

### 2. Message passing

Direct communication: sender/receiver of message explicitly name the other party

- One link per pair of communicating processes
- Indirect communication: messages are sent to/received from message storage (mailbox/port)
- One mailbox shared among multiple processes

Synchronization behaviors for send() and receive(): blocking, non-blocking, asynchronous

Advantages: easier to implement on different processing environments; requires OS intervention so inefficient and harder to use due to limits on message size/format

### 3. Unix pipes

- Share input/output between processes (producer/consumer)
- Process communication: open, read, write, close
- FOR SHELL PIPES: `cat /dev/urandom | tr -dc 'a-z0-9' | fold -w 64 | xargs -n 1 sh`
- General idea: write to a pipe, read from a pipe
- A communication channel is created with 2 ends
- Process 1 writes into the pipe, process 2 reads from the pipe
- The pipe is an anonymous first in first out file

**Pipe in C:** circular bounded byte buffer with implicit synchronization (writer waits when buffer is full, reader waits when buffer is empty)

**Unidirectional (full-duplex):** any write end, one read end

**Bi-directional (half-duplex):** any end for read/write

**Send:** write(pipefd, buf, length) → side to write

**Receive:** read(pipefd, buf, length) → side to read

**Close:** close(pipefd) → side to close

**Success:** 0 for success, < 0 for errors

**IO:** read(), write(), poll(), select(), etc.

**Redirecting communication channels to pipes:** use dup() and dup2()

**Unix signals:** Asynchronous notification regarding an event sent to a process/thread

- E.g. kill, stop, continue
- Recipient of the signal must handle the signal via default handlers or user supplied handlers (signal type handler)

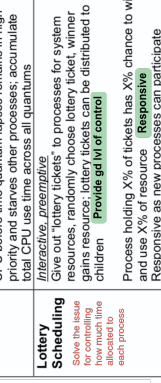
**Usage:** `if (signal(SIGSEGV, myOwnHandler) == SIG_ERR)`

### Threading

- Units of work within a process
- Shares memory context (text, data, heap) and OS context (process ID, files, etc.)
- Uniquely identified by thread ID, registers, and stack
- Benefits:
  - Economy: multiple threads in the same process requires less resources to manage
  - Resource sharing: threads share most of the resources of a process
  - Responsiveness: better user experience
  - Scalability: take advantage of multiple CPUs

**Problems:**

- System call concurrency: what happens when a single thread calls no race condition
- Process behavior: what happens when a single thread calls exit() or exec()



### Register spilling:

move register value to memory temporarily when no registers available

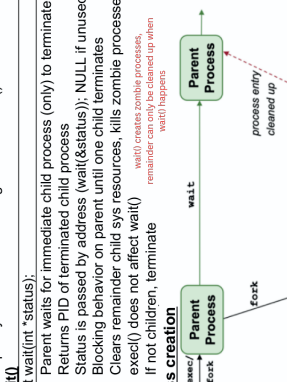
**Dynamically allocated memory:**

- Size unknown during compilation time, no definite deallocation
- Heap memory: store information for dynamically allocated values
- Trickier to manage because of variable size and allocation/deallocation timings

**Process:**

- Dynamic abstraction & information for executing program
- Core: processes in CPUs has at most m processes (PID = 1)
- Created by kernel at boot up time
- Like Supervisor in Elxir

**Process scheduling:** ready, running, blocked, terminated, zombie



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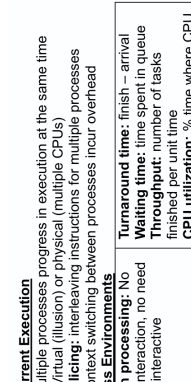
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### System calls

- Must change from user mode → kernel mode
- Function Wrapper: User friendly syscall with less same name and parameters
- Mechanism:
  - User program invokes library call
  - Library call places system call number in a designated location
  - Library call executes special instruction to switch from user to kernel mode (TRAP), handing the CPU state
  - Appropriate system call handler is determined by system call number (index), handled by dispatcher
  - System call handler executed
  - System call handler ends, restoring CPU state and returning to library call, switch back to user mode
  - Library call return to user program

**Exception & Interrupt:**

- Exception: machine level instructions (checked exceptions)
- Synchronous and must be executed by an exception handler
- Interrupt: external events, hardware related (unchecked exception)
- Asynchronous and suspends program execution, must be executed by interrupt handler

**Handler:** could do nothing

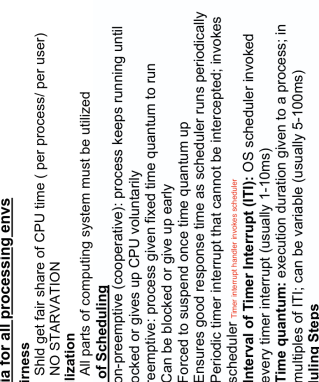
- Save register/CPU state
- Perform handler routine
- Restore register/CPU
- Return from disruption

**fork():**

- Creates new process, duplicates the current executable machine, executes the remaining code below the fork()
- Memory in child is copied from parent (copy-on-write)

**Implementation:**

- Create address space of child process (virtual address space)
- Allocate p = new PID
- Create kernel process data structures (process table entry)
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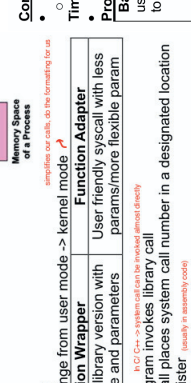
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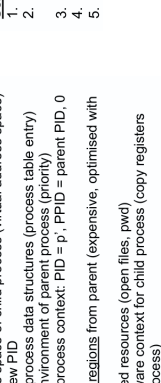
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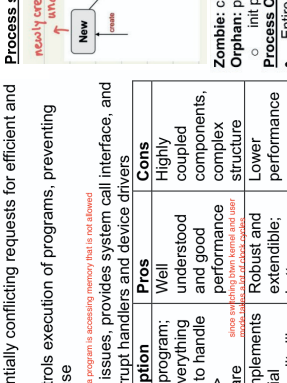
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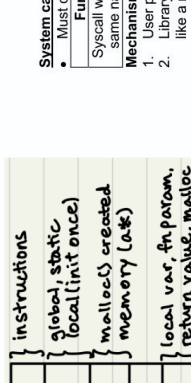
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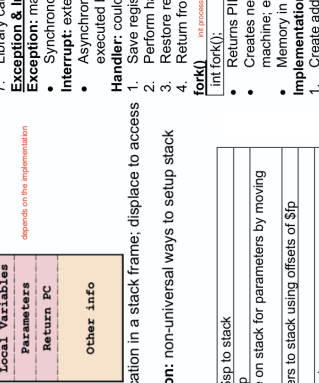
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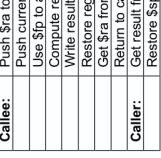
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## User Thread

- Thread implemented as user library (process handles thread related operations)
- Kernel not aware of user threads
- User thread with no kernel thread still runs on a single thread

### Pros:

- Can have multithreaded program on any OS
- Thread operations are just library calls no system calls required => much faster
- More configurable and flexible can configure per process basis

### Cons:

- OS not aware of threads and scheduling is performed at process level
  - if one user thread blocks, the entire process is blocked so all threads are blocked
  - Cannot exploit multiple CPUs

### Kernel Thread

- Thread is implemented in the OS handled as system calls
- Kernel schedule by threads, not processes; may make use of threads for its own execution kernel itself can be multithreaded

### Pros:

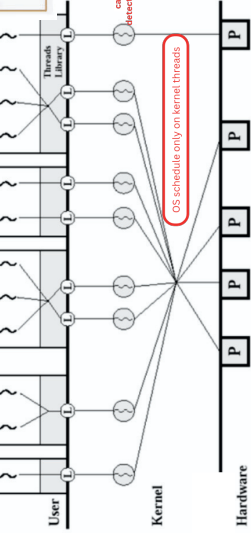
- Kernel schedules on thread levels
- Multiple threads can run for the same process and be non-blocking

### Cons:

- Thread operations are system calls that are slower and more resource intensive
- Less flexible since kernel threads used by all multithreading programs

## Hybrid Thread

- User threads bind to a kernel thread



## Simultaneous Multi-threading

- Supply multiple sets of registers to allow threads to run natively and in parallel on the same core

## POSIX thread

- Implemented as either user or kernel threads
  - pthread\_t: data type to represent thread id
  - pthread\_attr: data type to represent attributes of thread
- pthread\_create: NULL for default configuration
- ```
pthread_t tidCreated;
const pthread_attr_t threadAttributes;
void* startRoutine (void*);
void* argForStartRoutine;
```

Return 0 if successful, !0 if errors

tidCreated: thread id for the created thread

threadAttributes: control the behavior of the new thread

startRoutine: function pointer to the function to be executed by thread

argForStartRoutine: arguments for the startRoutine function

pthread\_exit: pthread terminates automatically at the end of the startRoutine with return value defined by return statement

exitValue: value to be returned to whoever synchronize with this thread

pthread\_join: wait for the termination of another pthread

```
int pthread_join(pthread_t threadID, void** status);
```

Return 0 if successful, !0 if errors

threadID: TID of the pthread to wait for

status: exit value returned by the target pthread

## Race Conditions

- Execution outcome depends on the order in which the shared resource is accessed/modified (non-deterministic)
- General modification flow: load memory value into register, update register value, load register to memory
- Race conditions happen when loading happens at the wrong time
- Caused by unsynchronized access to shared modifiable resources

**Solution:** designate code segment with race condition as critical section, only one process can execute in CS (synchronization)

## Critical Section

// Normal code  
// Critical work  
// Exit CS  
// Normal code

## Properties of correct CS implementation:

- Mutual Exclusion:**
  - if process P<sub>i</sub> is executing in critical section, all other processes are prevented from entering the critical section.
- Progress:**
  - if no process is in a critical section, one of the waiting processes should be granted access.
- Bounded Wait:**
  - After process P<sub>i</sub> request to enter critical section, there exists an upperbound of number of times other processes can enter the critical section before P<sub>i</sub>.
- Independence:**
  - Process not executing in critical section should never block other process.

## Incorrect Synchronization

- Deadlock: all processes blocked so no progress
- LiveLock: related to deadlock avoidance mechanism where processes keep changing state to avoid deadlock and make no other progress; processes are not blocked
- Starvation: some processes never get to make progress in their execution as it is perpetually denied necessary resources

## 1. Assembly-level implementation: Test and Set

- Machine instruction provided by processors to aid synchronization
- Load the current content at MemoryLocation (treated as lock)
- Performed as single machine operation (atomic)
- Used to create spinlocks

```
void EnterCS(int* Lock) {
    // Cannot enter if lock value is 1
    while (!TestAndSet(Lock) == 1);
}

void ExitCS(int* Lock) {
    *Lock = 0;
}
```

**Busy waiting:** keep checking the condition until it is safe to enter critical section which is wasteful use of processing power

**Variants:** compare and exchange, atomic swap, load link/store conditional

## Mutual Exclusion

Proving mutual exclusion -> prove N\_cs = 0

N\_cs = Number of processes in critical section = Process that completed

N\_cs = #Wait(S) - #Signal(S)

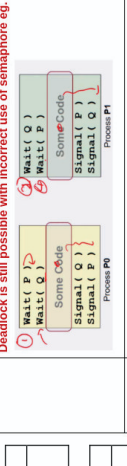
S\_initial = 1

S\_current = 1 + N\_cs = 1 + #Signal(S) - #Wait(S) = S\_current + N\_cs = 1

Since S\_current >= 0 >= N\_cs <= 1

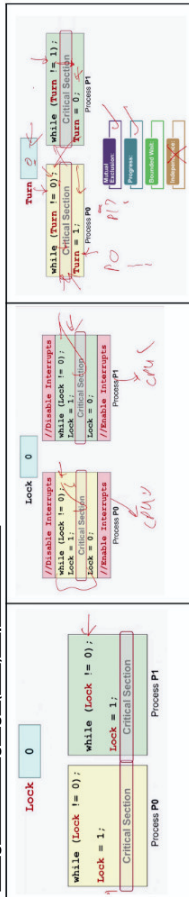
Deadlock -> means all processes stuck at wait(S) => S\_current = 0 and N\_cs = 0 => S\_current + N\_cs = 0 => 1 (contradiction!!!)

## Deadlock is still possible with incorrect use of semaphore eg:



Suppose P1 is blocked at wait(S)  
P2 is in CS; exits CS with signal(S)  
- if there are other processes, P1 eventually wakes up (assuming fair scheduling)

## 2. High level Language (HLL) Implementation



### Version 1

Lock can have race condition -> fails mutual exclusion

### Version 2

Does Not work for multiple CPUs because the timer interrupt of the respective processor will be blocked -> still can result in race condition.

### Version 3

Prevents the possibility of deadlock like in Version 2

### Version 4

Prevents the possibility of deadlock like in Version 3



## 3. High level abstraction: Semaphores

- Functionalities -> Wait(), Signal()
- generalised synchronisation mechanism
- only behaviours are defined -> can have different implementations

### Provides

- A way to block a number of processes
- Known as sleeping processes
- A way to unblock/ wake up one or more sleeping process
- Semaphore, S, is an integer variable
- Protected variable -> all operations on it are atomic
- Can be initialised to any non-negative value initially

```
void Wait( S ) {
    if S <= 0, blocks (go to sleep)
    Decrement S
    // Also known as P() or Down()
}

void Signal( S ) {
    Increments S
    Wakes up one sleeping process if any
    // This operation never blocks
    // Also known as V() or Up()
}
```

### Semaphore property:

Given S\_initial >= 0, the following invariant must be true  
S\_current = S\_initial + #signal(S) - #wait(S)  
General Semaphore: S >= 0 (S = 0, 1, 2, 3, ...)

### Binary Semaphore: S = 0 or 1

### Posix Semaphore

Header File: `<semaphore.h>`

Compilation Flag: `-gcc something.c -lrt`

Stand for 'real time library'

Base Usage:

- Initialize a semaphore
- Perform wait() or signal() on semaphore

**Usually semaphores is used with threads because less complicated to set up the semaphore (memory shared etc)**

### pthread Mutex and Conditional Variables

Synchronisation mechanisms for pthreads

Mutex(pthread\_mutex)

Lock: pthread\_mutex\_lock()

Unlock: pthread\_mutex\_unlock()

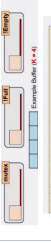
Signal: pthread\_cond\_signal()

Broadcast: pthread\_cond\_broadcast

The conditional variable HAS to be used with a mutex

## Synchronization problems

- Producers: produce items to insert in buffer
- Consumers: remove items from buffer
- Only when buffer not full
- Only when buffer not empty



```
while (TRUE) {
    Produce Item;
    wait( notFull );
    wait( mutex );
    In = (In+1) % Bz;
    count++;
    signal( mutex );
    signal( notEmpty );
}
```

### Version 2

Independence not met because if the first process doesn't run the critical section then it is effectively blocking the other process

```
while (TRUE) {
    wait( notEmpty );
    wait( mutex );
    Item = buffer[In];
    count--;
    signal( mutex );
    signal( notFull );
}
```

### Version 3

Produce Item; Reader Process

```
while (TRUE) {
    wait( mutex );
    if (reader == 1)
        wait( roomEmpty );
    signal( roomEmpty );
    Reads data
    if (reader == 0)
        signal( roomEmpty );
    signal( mutex );
}
```

### Version 4

Initial Values: roomEmpty = 1, mutex = 1, nReader = 0

Not fair for the writer

## 3. Dining Philosophers

### 3A: Tanenbaum Solution

```
void takeChopsticks( i ) {
    while (TRUE) {
        state[i] = HUNGRY;
        safeRobot( LEFT );
        safeRobot( RIGHT );
        wait( mutex );
    }
}
```

### void safeRobot( i )

```
if ( (state[i] == HUNGRY) &&
    (state[LEFT] != EATING) &&
    (state[RIGHT] != EATING) ) {
    state[ i ] = EATING;
    signal( s[i] );
}
```

### 3B: Limited Eater

- If at most 4 philosophers are allowed to sit at the table (leaving one empty seat)
- Deadlock is impossible!



Initial Values: seats = 4, chopStk = s[1] [5]