Midterm

- October 23rd Tuesday 1:30-2:45 am at classroom
- Covers material before virtual memory
- Based upon lecture material, homeworks, and project
- One 8.5”x11” double-sided sheet of notes
- Obligatory: do not cheat
  - Do not copy from your neighbor
  - No one involved will be happy, particularly the teaching staff
Arch Support for OSes

- Types of architecture support
  - Manipulating privileged machine state
  - Generating and handling events
Privileged Instructions

• What are privileged instructions?
  - Who gets to execute them?
  - How does the CPU know whether they can be executed?
  - Difference between user and kernel mode

• Why do they need to be privileged?

• What do they manipulate?
  - Protected control registers
  - Memory management
  - I/O devices
Events

• Events

<table>
<thead>
<tr>
<th></th>
<th>Unexpected</th>
<th>Deliberate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptions (sync)</td>
<td>fault</td>
<td>syscall trap</td>
</tr>
<tr>
<td>Interrupts (async)</td>
<td>interrupt</td>
<td>software interrupt</td>
</tr>
</tbody>
</table>

• What are faults, and how are they handled?

• What are system calls, and how are they handled?

• What are interrupts, and how are they handled?
  - How do I/O devices use interrupts?

• What is the difference between exceptions and interrupts?
Processes

• What is a process?
• What resource does it virtualize?
• What is the difference between a process and a program?
• What is contained in a process?
Process Data Structures

• Process Control Blocks (PCBs)
  - What information does it contain?
  - How is it used in a context switch?

• State queues
  - What are process states?
  - What is the process state graph?
  - When does a process change state?
  - How does the OS use queues to keep track of processes?
Process Manipulation

• What does `CreateProcess` on NT do?

• What does `fork()` on Unix do?
  - What does it mean for it to “return twice”?

• What does `exec()` on Unix do?
  - How is it different from `fork()`?

• How are `fork` and `exec` used to implement shells?

• Why `fork()`?
Threads

• What is a thread?
  - What is the difference between a thread and a process?
  - How are they related?

• Why are threads useful?

• What is the difference between user-level and kernel-level threads?
  - What are the advantages/disadvantages of one over another?
Thread Implementation

• How are threads managed by the run-time system?
  - Thread control blocks, thread queues
  - How is this different from process management?

• What operations do threads support?
  - create, yield, sleep, etc.
  - What does thread yield do?

• What is a context switch?

• What is the difference between non-preemptive scheduling and preemptive thread scheduling?
  - Voluntary and involuntary context switches
Synchronization

• Why do we need synchronization?
  - Coordinate access to shared data structures
  - Coordinate thread/process execution

• What can happen to shared data structures if synchronization is not used?
  - Race condition
  - Corruption
  - Bank account example

• When are resources shared?
  - Global variables, static objects
  - Heap objects
Concurrent Programs

• Our goal is to write concurrent programs...

Monitor **bounded_buffer** {  
Resource buffer[N];  
// Variables for indexing buffer  
// monitor invariant involves these vars  
Condition not_full; // space in buffer  
Condition not_empty; // value in buffer

void **put_resource** (Resource R) {  
while (buffer array is full)  
wait(not_full);  
Add R to buffer array;  
signal(not_empty);  
}

Resource **get_resource**() {  
while (buffer array is empty)  
wait(not_empty);  
Get resource R from buffer array;  
signal(not_full);  
return R;  
}
} // end monitor
Concurrent Programs

Resource `get_resource()` {
    while (buffer array is empty) {
        wait(not_empty);
        Get resource R from buffer array;
        signal(not_full);
    }
    return R;
}
Mutual Exclusion

```
lock.acquire();
...
lock.release();
```

Need mutual exclusion for critical sections

Interrupts enabled, other threads can run (just not in this critical section)
Mutual Exclusion

Also need mutual exclusion; disable interrupts, or use spinlocks with special hardware instructions

```c
void acquire () {
    // Disable interrupts
    // Enable interrupts
}
```

```c
lock.acquire();
...
lock.release();
```
Mutual Exclusion

• What is mutual exclusion?
• What is a critical section?
  - What guarantees do critical sections provide?
  - What are the requirements of critical sections?
    • Mutual exclusion (safety)
    • Progress (liveness)
    • Bounded waiting (no starvation: liveness)
    • Performance
• How does mutual exclusion relate to critical sections?
• What are the mechanisms for building critical sections?
  - Locks, semaphores, monitors, condition variables
Locks

• What does Acquire do?
• What does Release do?
• What does it mean for Acquire/Release to be atomic?
• How can locks be implemented?
  - Spinlocks
  - Disable/enable interrupts
  - Blocking

• How does test-and-set work?
  - What kind of lock does it implement?

• What are the limitations of using spinlocks, interrupts?
  - Inefficient, interrupts turned off too long
Semaphores

• What is a semaphore?
  - What does Wait/P/Decrement do?
  - What does Signal/V/Increment do?
  - How does a semaphore differ from a lock?
  - What is the difference between a binary semaphore and a counting semaphore?

• When do threads block on semaphores?

• When are they woken up again?

• Using semaphores to solve synchronization problems
  - Readers/Writers problem
  - Bounded Buffers problem
Monitors

- What is a monitor?
  - Shared data
  - Procedures
  - Synchronization

- In what way does a monitor provide mutual exclusion?
  - To what extent is it provided?

- How does a monitor differ from a semaphore?

- How does a monitor differ from a lock?

- What kind of support do monitors require?
  - Language, run-time support
Condition Variables

• What is a condition variable used for?
  - Coordinating the execution of threads
  - Not mutual exclusion

• Operations
  - What are the semantics of Wait?
  - What are the semantics of Signal?
  - What are the semantics of Broadcast?

• How are condition variables different from semaphores?
Implementing Monitors

• What does the implementation of a monitor look like?
  - Shared data
  - Procedures
  - A lock for mutual exclusion to procedures (w/ a queue)
  - Queues for the condition variables

• What is the difference between Hoare and Mesa monitors?
  - Semantics of signal (whether the woken up waiter gets to run immediately or not)
  - What are their tradeoffs?
  - What does Java provide?
• Condition variables are also used without monitors in conjunction with locks

• A monitor ≈ a module whose state includes a C/V and a lock

• Why must \texttt{cond\_wait} both \texttt{release mutex\_t} & \texttt{sleep}?
Scheduling

• What kinds of scheduling is there?
  - Long-term scheduling
  - Short-term scheduling

• Components
  - Scheduler (dispatcher)

• When does scheduling happen?
  - Job changes state (e.g., waiting to running)
  - Interrupt, exception
  - Job creation, termination
Scheduling Goals

• **Goals**
  - Maximize CPU utilization
  - Maximize job throughput
  - Minimize turnaround time
  - Minimize waiting time
  - Minimize response time

• **What is the goal of a batch system?**

• **What is the goal of an interactive system?**
Starvation

• Starvation
  - Indefinite denial of a resource (CPU, lock)

• Causes
  - Side effect of scheduling
  - Side effect of synchronization

• Operating systems try to prevent starvation
Scheduling Algorithms

• What are the properties, advantages and disadvantages of the following scheduling algorithms?
  - First Come First Serve (FCFS)/First In First Out (FIFO)
  - Shortest Job First (SJF)
    • Preemptive: Shortest-Remaining-Time-First (SRTF)
  - Priority
  - Round Robin
  - Multilevel feedback queues

• What scheduling algorithm does Unix use? Why?
Deadlock

- Deadlock happens when processes are waiting on each other and cannot make progress

- What are the conditions for deadlock?
  - Mutual exclusion
  - Hold and wait
  - No preemption
  - Circular wait

- How to visualize, represent abstractly?
  - Resource allocation graph (RAG)
  - Waits for graph (WFG)
Deadlock Approaches

• Dealing with deadlock
  - Ignore it
  - Prevent it (prevent one of the four conditions)
  - Avoid it (have tight control over resource allocation)
  - Detect and recover from it

• What is the Banker’s algorithm?
  - Which of the four approaches above does it implement?
Race Conditions

```c
int x = 0;
int i, j;

void AddToX() {
    for (i = 0; i < 100; i++) x++;
}

void SubFromX() {
    for (j = 0; j < 100; j++) x--;
}
```

**What is the range of possible values for x? Why?**
Synchronization

```
Class Event {
  ...
  void Signal () {
    ...
  }
  void Wait () {
    ...
  }
}
```

- Event synchronization (e.g., Win32)
- Event::Wait blocks if and only if Event is unsigned
- Event::Signal makes Event signaled, wakes up blocked threads
- Once signaled, an Event remains signaled until deleted
- Use locks and condition variables