CSE 120
Principles of Operating Systems
Spring 2019
Midterm Review
Geoffrey M. Voelker
Overview

- Midterm
- Architectural support for OSes
- Processes
- Threads
- Synchronization
- Scheduling
Midterm

- Covers material through scheduling
- Based upon lecture material, homeworks, and project
- One 8.5”x11” double-sided sheet of notes
  - Can be typed or hand-written
  - One sheet of paper (no stacked post-its, etc.)

- Obligatory: Please, do not cheat
  - 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
  ♦ Synchronous: fault (exceptions), system calls
  ♦ Asynchronous: interrupts, software interrupt
• 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 Windows 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?
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?
  ♦ Fork, 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
  - Not shared: local variables
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

• Our goal is to write concurrent programs…
Concurrent Programs

Need mutual exclusion for critical sections

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

Need mechanisms for coordinating threads
Mutual Exclusion

Need mutual exclusion for critical sections

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

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

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

    // Enable interrupts
}
```

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

```c
class Lock {
    // Implementation...
public:
    void acquire() {
        disable_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 (Nachos)
- 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
Locks and Condition Vars

- In Nachos, we don’t have monitors
- But we want to be able to use condition variables
- So we isolate condition variables and make them independent (not associated with a monitor)
- Instead, we have to associate them with a lock
- Now, to use a condition variable…
  - Threads must first acquire the lock
  - Wait/sleep releases the lock before blocking, acquires it after waking up
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)
  ♦ 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