

“I think there is a world market for about five computers.”

Thomas J.Watson (1945)

**Windows 95** /Win' dz/: n., 32-bit extensions and a graphical shell for a 16-bit patch to an 8-bit operating system originally coded for a 4-bit microprocessor, written by a 2-bit company, that can't stand 1 bit of competition.

### What is an OS?

- Tool to make programmer's job easy
- Resource allocator
  - Must be fair; not partial to any process, specially for process in the same class
  - Must discriminate between different class of jobs with different service requirements
  - Do the above efficiently
    - \* Within the constraints of fairness and efficiency, an OS should attempt to maximize throughput, minimize response time, and accomodate as many users as possible
- Control program
- Tool to facilitate efficient operation of computer system
- Virtual machine that is easier to understand and program
- Layered architecture

Banking system	Airline reservation	Adventure games
Compilers	Editors	Command Interpreter
Operating System		
Machine Language		
Microprogramming		
Physical Devices		

- UNIX structure
  - Application environment – shell, mail, text processing package, SCCS
  - Operating system – support programs for applications

### Early Systems

- 1945 – 1955
- Bare machines – vacuum tubes and plugboards
- No operating system
- Black box concept – human operators
- No protection
- ENIAC – Electronic Numerical Integrator And Computer

### Second Generation Systems

- 1956 – 1965

- Transistors and batch systems
- Clear distinction between designers, builders, operators, programmers, and maintenance personnel
- I/O channel
- Read ahead / spooling
- Interrupts / exceptions
- Minimal protection
- Libraries / JCL

### Third Generation Systems

- 1965 – 1980
- ICs and Multiprogramming
- System 360 and S/370 family of computers
- Spooling (simultaneous peripheral operation on-line)
- Time sharing
- On-line storage for
  - System programs
  - User programs and data
  - Program libraries
- Virtual memory
- Multiprocessor configurations
- MULTICS – Multiplexed Information and Computing Service
  - Design started in 1965 and completed in 1972
  - Collaborative effort between General Electric, Bell Telephone Labs, and Project MAC of MIT
  - Aimed at providing
    - \* simultaneous computer access to large community of users
    - \* ample computation power and data storage
    - \* easy data sharing between users, if desired

### Fourth Generation and beyond

- Personal computers and workstations
- MS-DOS and Unix
- Massively parallel systems
  - Pipelining
  - Array processing / SIMD
  - General multiprocessing / MIMD
  - Symmetric multiprocessing / SMD
    - \* Any process and any thread can run on any available processor

- Computer networks (communication aspect) – network operating systems
- Distributed computing – distributed operating systems

## Operating System Concepts

- Program
  - Collection of instructions and data kept in ordinary file on disk
  - The file is marked as executable in the i-node
  - File contents are arranged according to rules established by the kernel
  - Source program, or text file
  - Machine language translation of the source program, or object file
  - Executable program, complete code output by linker/loader, with input from libraries
- Processes
  - Created by kernel as an environment in which a program executes
  - Program in execution
  - May be stopped and later restarted by the OS
  - Core image
    1. Instruction segment
    2. User data segment
    3. System data segment
      - \* Includes attributes such as current directory, open file descriptors, and accumulated CPU times
      - \* Information stays outside of the process address space
  - Program initializes the first two segments
  - Process may modify both instructions (rarely) and data
  - Process table – records information about each process  
Program code + data + stack + PC + SP + registers
  - Process may acquire resources (more memory, open files) not present in the program
  - Child and parent processes
  - Communication between processes through messages
  - uid and gid
  - Process id
    - 0 swapper
    - 1 /sbin/init
    - 2 pagedaemon
- Threads
  - Stream of instruction execution
  - A dispatchable unit of work to provide intraprocess concurrency in newer operating systems
  - A process may have multiple threads of execution in parallel, each thread executing sequentially
- Files
  - Services of file management system to hide disk/tape specifics

- System calls for file management
  - Directory to group files together
  - Organized as a hierarchical tree
  - Root directory
  - Path name
  - Path name separator
  - Working directory
  - Protection of files (9-bit code in Unix – rwx bits)
  - File descriptor or handle – small integer to identify a file in subsequent operations, error code to indicate access denied
    - \* 0 – standard input
    - \* 1 – standard output
    - \* 2 – standard error
  - I/O device treated as a special file
    - \* block special file
    - \* character special file
  - Pipe – pseudo file to connect two processes
- System calls
    - Interface between user program and operating system
    - Set of extended instructions provided by the operating system
    - Applied to various software objects like processes and files
    - Invoked by user programs to communicate with the kernel and request services
    - Access routines in the kernel that do the work
    - Library procedure corresponding to each system call
      - \* Machine registers to hold parameters of system call
      - \* Trap instruction (protected procedure call) to start OS
      - \* Hide details of trap and make system call look like ordinary procedure call
      - \* Return from trap instruction
    - `count = read(file, buffer, nbytes);`
    - Actual system call `READ` invoked by `read`
    - number of bytes actually read returned in `count`
    - In case of error, `count` is set to -1
  - Shell
    - Unix command interpreter
      - \* Interprets the first word of a command line as a command name
    - Is a user program and not part of the kernel
    - Prompt
    - Redirection of input and output
    - Background jobs
    - For most commands, the shell `forks` and the child `execs` the command associated with the name, treating the remaining words on the command line as parameters to the command
    - Allows for three types of commands:

1. Executable files
2. Shellscripsts
3. Built-in shell commands

- Kernel

- Permanently resides in the main memory
- Controls the execution of processes by allowing their creation, termination or suspension, and communication
- Schedules processes fairly for execution on the CPU
  - \* Processes share the CPU in a time-shared manner
    - CPU executes a process
    - Kernel suspends it when its time quantum elapses
    - Kernel schedules another process to execute
    - Kernel later reschedules the suspended process
- Allocates main memory for an executing process
  - \* Allows processes to share portions of their address space under certain conditions, but protects the private address space of a process from outside tampering
  - \* If the system runs low on free memory, the kernel frees memory by writing a process temporarily to secondary memory, or *swap* device
  - \* If the kernel writes entire processes to a swap device, the implementation of the Unix system is called a *swapping* system; if it writes pages of memory to a swap device, it is called a *paging* system.
  - \* Coordinates with the machine hardware to set up a virtual to physical address that maps the compiler-generated addresses to their physical addresses
- File system maintenance
  - \* Allocates secondary memory for efficient storage and retrieval of user data
  - \* Allocates secondary storage for user files
  - \* Reclaims unused storage
  - \* Structures the file system in a well understood manner
  - \* Protects user files from illegal access
- Allows processes controlled access to peripheral devices such as terminals, tape drives, disk drives, and network devices.
- Services provided by kernel transparently
  - \* Recognizes that a given file is a regular file or a device but hides the distinction from user processes
  - \* Formats data in a file for internal storage but hides the internal format from user processes, returning an unformatted byte stream
  - \* Allows shell to read terminal input, to spawn processes dynamically, to synchronize process execution, to create pipes, and to redirect I/O
- Kernel in UNIX
  - \* Traditionally, the operating system itself
  - \* Isolated from users and applications
  - \* At the top level, user programs invoke OS services using system calls or library functions
  - \* At the lowest level, kernel primitives directly interface with the hardware
  - \* Kernel itself is logically divided into two parts:
    1. *File subsystem* to transfer data between memory and external devices
    2. *Process control subsystem* to control interprocess communication, process scheduling, and memory management
- Kernel in Windows NT

- \* Known as the *executive*; Microsoft calls it a *modified microkernel architecture*
  - Unlike pure microkernel, many of the systems functions outside the microkernel run in kernel mode for performance reasons
- \* Manages thread scheduling, process switching, exception and interrupt handling, and multiprocessor synchronization
  - Microkernel's own code does not run in threads
- \* As with UNIX, it is isolated from user programs, with user programs and applications allowed to access one of the protected subsystems
  - Each system function is managed by only one component of the OS
  - Rest of the OS and all applications access the function through the responsible component using a standardized interface
  - Key system data can be accessed only through the appropriate function
  - In principle, any module can be removed, upgraded, or replaced without rewriting the entire system or its standard application programming interface (API)
- \* Two programming interfaces provided by a subsystem
  1. *Win32 interface* – for traditional Windows users and programmers
  2. *POSIX interface* – to make porting of UNIX applications easier
- \* Subsystems and services access the executive using system services
- \* Executive contains object manager, security reference monitor, process manager, local procedure call facility, memory manager, and an I/O manager

- Memory

- Memory hierarchy based on storage capacity, speed, and cost
- Higher the storage capacity, lesser the speed, and lesser the cost
- Different memory levels, in decreasing cost per byte of storage

Registers	Few bytes	Almost CPU speed
Cache memory	Few kilobytes	Nanoseconds
Main memory	Megabytes	Microseconds
Magnetic disk	Gigabytes	Milliseconds
Magnetic tape/Optical disk	No limit	Offline storage

- Use hierarchical memory to transfer data from lower memory to higher memory to be executed
- Locality of reference
  - \* Most of the references in the memory are clustered and move from one cluster to the next
- Volatility
- Cache memory
  - \* Use of very fast memory (a few kilobytes) designated to contain data for fast access by the CPU
- Virtual memory or extension of main memory
- Disk cache
  - \* Designating a portion of main memory for disk read/write

- Memory management

- Memory management is one of the most important services provided by the operating system
- An operating system has five major responsibilities for managing memory:
  1. Process isolation
    - \* Should prevent the independent processes from interfering with the data and code segments of each other

2. Automatic allocation and management
    - \* Programs should be dynamically allocated across the memory depending on the availability (may or may not be contiguous)
    - \* Programmer should not be able to perceive this allocation
  3. Modular programming support
    - \* Programmers should be able to define program modules
    - \* Programmers should be able to dynamically create/destroy/alter the size of modules
  4. Protection and access control
    - \* Different programs should be able to co-operate in sharing some memory space
    - \* Contrast this with the first responsibility
    - \* Make sure that such sharing is controlled and processes should not be able to indiscriminately access the memory allocated to other processes
  5. Long-term storage
    - \* Users and applications may require means for storing information for extended periods of time
    - \* Generally implemented with a file system
- OS may separate the memory into two distinct views: physical and logical; this division forms the basis for virtual memory

### Process execution modes in Unix

- Two modes of process execution

1. User mode

- Normal mode of execution for a process
- Execution of a system call changes the mode to kernel mode
- Processes can access their own instructions and data but not kernel instructions and data
- Cannot execute certain privileged machine instructions

2. Kernel mode

- Processes can access both kernel as well as user instructions and data
- No limit to which instructions can be executed
- Runs on behalf of a user process and is a part of the user process

### Operating System Structure

- Minimal OS
  - CP/M or DOS
  - Initial Program Loading (Bootstrapping)
  - File system
- Monolithic Structure
  - Most primitive form of operating systems
  - No structure
  - Collection of procedures that can call any other procedure
  - Well-defined interface for procedures
  - No information hiding

- Services provided by putting parameters in well-defined places and executing a *supervisor call*
    - \* Switch machine from *user mode* to *kernel mode*
  - Basic structure
    - \* Main program that invokes requested service procedures
    - \* Set of service procedures to carry out system calls
    - \* Set of utility procedures to help the service procedures
  - User program executes until
    - \* program terminates
    - \* time-out signal
    - \* service request
    - \* interrupt
  - Difficult to maintain
  - Difficult to take care of concurrency due to multiple users/jobs
- Layered Systems
    - Hierarchy of layers – one above the other
    - THE system (1968), MULTICS
    - Six layers
      1. Allocation of processor, switching between processes
      2. Memory and drum management
      3. Operator-process communication – process and operator console
      4. I/O management
      5. User programs
      6. Operator
    - MULTICS
      - \* organized as a series of concentric rings
      - \* inner rings more privileged
  - Virtual machines
    - Basis for developing the OS
    - Provides a minimal set of operations
    - Creates a virtual CPU for every process
    - IBM System 370 – CMS, VM
    - *Virtual Machine Monitor*
    - Performs functions associated with CPU management and allocation
    - Provides synchronization and/or communication primitives for process communication
  - Process Hierarchy
    - Structured as a multilevel hierarchy
    - Lowest level.** Virtualize CPU for all processes
    - Virtual memory.** Virtualize memory for all processes
      - \* Single virtual memory shared by all processes
      - \* Separate virtual memory for each process
    - Virtual I/O devices.**

- Client-Server Model
  - Remove as much as possible from the OS leaving a minimal kernel
  - User process (client) sends a request to server process
  - Kernel handles communications between client and server
  - Split OS into parts – file service, process service, terminal service, memory service
  - Servers run in user mode – small and manageable

## I/O communication

- Programmed I/O
  - Simplest and least expensive scheme
  - CPU retains control of the device controller and takes responsibility to transfer every bit to/from the I/O devices
  - Bus
    - \* Address bus: To select a memory location or I/O device
    - \* Data bus: To transfer data
  - Hardware buffer
  - Handshaking protocol
  - Disadvantages:
    - \* Poor resource utilization
    - \* Only one device active at a time
    - \* Gross mismatch between the speeds of CPU and I/O devices
- Interrupt-driven I/O
  - CPU still retains control of the I/O process
  - Sends an I/O command to the I/O module and goes on to do something else
  - I/O module interrupts the CPU when it is ready to transfer more data
- Direct memory access
  - CPU trusts the DMA module to read from/write into a designated portion of the memory
  - DMA module (also called I/O channel) acts as a slave to the CPU to execute those transfers
  - DMA module takes control of the bus, and that may slow down the CPU if the CPU needs to use the bus

## CPU and I/O overlap

- Hardware flag
  - CPU is blocked if device is busy
- Polling by test-device-flag
- Memory-mapped I/O
  - Uses memory address register (MAR) and memory buffer register (MBR) to interact with I/O devices
- I/O-mapped I/O
  - Uses I/O address register and I/O buffer register to communicate with the I/O devices

## Multiprogramming

- CPU-bound system
- I/O-bound system
- Maintain more than one independent program in the main memory
- Sharing of time and space

#### Multiprogramming OS

- Requires addition of new hardware components
  - DMA Hardware
  - Priority Interrupt Mechanism
  - Timer
  - Storage and Instruction Protection
  - Dynamic Address Relocation
- Complexity of operating system
- Must hide the sharing of resources between different users
- Must hide details of storage and I/O devices
- Complex file system for secondary storage

#### Tasks of a Multiprogramming OS

- Bridge the gap between the machine and the user level
- Manage the available resources needed by different users
- Enforce protection policies
- Provide facilities for synchronization and communication

#### Operating Systems as Virtual Machines

- Allows each user to perceive himself as the only user of the machine
- Fair share of available resources
- Time sharing (for CPU time)
- Abstraction
  - Availability of higher level operations as primitive operations
  - Virtual command language as the machine language of virtual machine
  - Virtual memory