

CS 318 Principles of Operating Systems

Fall 2018

Midterm Review

Ryan Huang



JOHNS HOPKINS
WHITING SCHOOL
of ENGINEERING

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**

	Unexpected	Deliberate
Exceptions (sync)	fault	syscall trap
Interrupts (async)	interrupt	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 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

```
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

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

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



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

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?

Locks and Condition Vars

- **Condition variables are also used without monitors in conjunction with locks**
- **A monitor \approx a module whose state includes a C/V and a lock**
- **Why must `cond_wait` both release `mutex_t` & 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

```
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**