K22 - Operating Systems: Design Principles and Internals

Fall 2025 @dit

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Lecture 09

References: Similar OS courses @Columbia, @Stanford, @UC San Diego, @Brown, @di (previous years); and textbooks: Operating Systems: Three Easy Pieces, Operating Systems: Principles and Practice, Operating System Concepts, Linux Kernel Development, Understanding the Linux Kernel

Overview

- We'll start from hardware and follow a question-oriented approach
 - Intro [Q: What is an OS?]
 - Events [Q: When does the OS run?]
 - Runtime [Q: How does a program look like in memory?]
 - Processes [Q: What is a process?]
 - IPC [Q: How do processes communicate?]
 - Threads [Q: What is a thread?]
 - Synchronization [Q: What goes wrong w/o synchronization?]
 - Time Management [Q: What is scheduling?]
 - Memory Management [Q: What is virtual memory?]
 - Files [Q: What is a file descriptor?]
 - Storage Management [Q: How do we allocate disk space to files?]

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- * Basic (H/W & S/W)
- * Abstractions
- * Primitives
- * Mechanisms

Necessary glossary to talk about synchronization

- Parallel operations: Operations that are happening at the same time, on different processors
- Concurrent operations: Operations that are happening in overlapping time intervals, seemingly simultaneously
- Interleaving of execution: The order with which concurrent operations are scheduled in for and out of execution
- Happens-before relationship?

What is synchronization?

```
Given two concurrent operations p1, p2 with a "dependency" such that p1 must always "happen before" p2, synchronization mandates that t1(i) < t2(i) \forall i \in [1, n], where t1(i) is the time when p1 ends its i-th execution t2(i) it the time when p2 starts its i-th execution
```

> We have a problem in the above definition...

Departing from temporal ordering

- > Temporal ordering: Arrangement of events in a sequence according to physical time
 - What most human understand when you talk about time!
 - Example: An airline reservation request will be granted if (i) it is made before the flight is filled, and (ii) before the flight departs

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 - Example: An airline reservation request will be granted if (i) it is made before the flight is filled, and (ii) before the flight departs
- > Ordering is not temporal on a multiprocessor (distributed) system
 - Any conversation is in terms of physical time must be reexamined when considering concurrent events in a distributed system
 - Real clocks are not perfectly accurate ⇒ can't keep precise phys. time

"happens before" on distributed systems

Operating Systems R. Stockton Gaines

Time, Clocks, and the Ordering of Events in a Distributed System

Leslie Lamport Massachusetts Computer Associates, Inc.

The concept of one event happening before another in a distributed system is examined, and is shown to define a partial ordering of the events. A distributed algorithm is given for synchronizing a system of logical clocks which can be used to totally order the events. The use of the total ordering is illustrated with a method for solving synchronization problems. The algorithm is then specialized for synchronizing physical clocks, and a bound is derived on how far out of synchrony the clocks can become.

Key Words and Phrases: distributed systems, computer networks, clock synchronization, multiprocess systems

CR Categories: 4.32, 5.29

Introduction

The concept of time is fundamental to our way of thinking. It is derived from the more basic concept of the order in which events occur. We say that something happened at 3:15 if it occurred after our clock read 3:15 and before it read 3:16. The concept of the temporal ordering of events pervades our thinking about systems. For example, in an airline reservation system we specify that a request for a reservation should be granted if it is made before the flight is filled. However, we will see that this concept must be carefully reexamined when considering events in a distributed system.

A distributed system consists of a collection of distinct processes which are spatially separated, and which communicate with one another by exchanging messages. A network of interconnected computers, such as the ARPA net, is a distributed system. A single computer can also be viewed as a distributed system in which the central control unit, the memory units, and the input-output channels are separate processes. A system is distributed if the message transmission delay is not negligible compared to the time between events in a single process.

We will concern ourselves primarily with systems of spatially separated computers. However, many of our remarks will apply more generally. In particular, a multiprocessing system on a single computer involves problems similar to those of a distributed system because of the unpredictable order in which certain events can occur.

In a distributed system, it is sometimes impossible to say that one of two events occurred first. The relation—"happened before" is therefore only a partial cortening of the events in the system. We have found that problems often arise because people as not fully aware of this fact and its implications.

In the paper, we discuss the partial ordering defined by the "happened before" relation, and give a distributed algorithm for extending it to a consistent total ordering of all the events. This algorithm can provide a useful mechanism for implementing a distributed system. We illustrate its use with a simple method for solving synchronization problems. Unexpected, anomalous behavior can occur if the ordering obtained by this algorithm differs from that precieved by the user. This can be avoided by introducing real, physical clocks. We describe a simple method for synchronizing these clocks, and derive an upper bound on how far out of synchrony they

The Partial Ordering

Most people would probably say that an event a happened before an event b if a happened at an earlier time than b. They might justify this definition in terms of physical theories of time. However, if a system is to meet a specification correctly, then that specification must be given in terms of events observable within the

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> Time, Clocks, and the Ordering of Events in a Distributed System, 1978, by Leslie Lamport

Partial ordering of concurrent operations

- > Logical clocks allows us to define a partial ordering of concurrent operations on a multiprocessor system
- > Synchronization is used to enforce that a partial order of concurrent operations (i.e., some "happens-before" relationship) exists

```
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- Happens-before relationship: A partial ordering of concurrent operations of a program
- Sequential consistency?

Reasoning about sequential consistency

How to Make a Multiprocessor Computer That Correctly Executes Multiprocess Programs

LESLIE LAMPORT

Abstract—Many large sequential computers execute operations in a different order than is specified by the program. A correct execution is achieved if the results produced are the same as would be produced by executing the program steps in order. For a multiprocessor computer, such a correct execution by each processor does not guarantee the correct execution of the entire program. Additional conditions are given which do guarantee that a computer correctly executes multiprocess programs.

Index Terms—Computer design, concurrent computing, hardware correctness, multiprocessing, parallel processing.

A high-speed processor may execute operations in a different order than is specified by the program. The correctness of the execution is guaranteed if the processor satisfies the following condition: the result of an execution is the same as if the operations had been executed in the order specified by the program. A processor satisfying this condition will be called sequential. Consider a computer composed of several such processors accessing a common memory. The customary approach to designing and proving the correctness of multiprocess algorithms [1]-[3] for such a computer assumes that the following condition is satisfied: the result of any execution is the same as if the operations of all the processors were executed in some sequential order, and the

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of each individual processor does not guarantee that the multiprocessor computer is sequentially consistent. In this brief note, we describe a method of interconnecting sequential processors with memory modules that insures the sequential consistency of the resulting multiprocessor.

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- Sequential consistency: The result of any execution of concurrent operations is the same as if all operations on all processors were executed in some sequential (global) order, and the operations of each individual processor appear in this sequence in the order specified by its program

Sequential consistency: Preconditions

- Sequential consistency: Every load from a memory address would get its value from the last store before it to the same address in global memory
- > Easy to reason / Impractically slow

"Problems" due to lack of synchronization

> Race conditions: A timing dependent error involving shared state which occurs when the interleaving of execution of concurrent operations leads to erroneous program behaviour

> Reasons for race conditions:

- Data races: Non-atomic, unsynchronized, concurrent operations, at least one of which mutating shared state
- Semantic ordering errors: Code that does not enforce the order programmers intended to for a group of memory accesses
- Weak memory consistency models: The set of allowed behaviours w.r.t. memory operation is not what the programer expected

What is so hard about correct concurrent code?

- > Concurrent progs have too many execution interleavings
- Too many ways something erroneous could happen
- Need to explore an enormous state space
- > Correctness needs a definite and complete answer
- Inspected 100% of the state space \Rightarrow Can make an assessment
- Inspect 99.9% of the state space \Rightarrow Can't make any assessment

How many is "too many"?

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Permutations of the word "MISSISSIPPI"

- > We are counting permutations
 - Let's do the exercise
- > M-I-S-S-I-S-S-I-P-P-I
 - Length: 11, M: 1, I: 4, 5: 4, P: 2
 - Distinct ways to permute a multiset of n elements, where ki is the multiplicity of the ith element?
 - Multinomial coefficient: (k1+k2+...+ kn)! / (k1!*k2!*...*kn!)
 - Permutations of MISSISSIPPI = (11!) / (1!4!4!2!) = **34**,6**5**0

How many is "too many"?

- > Different schedules for four operations P1, P2, P3, and P4, which run in total 11 time quanta; and where
 - P1 runs 1 time
 - P2 runs 4 times
 - P3 runs 4 times
 - P4 runs 2 times
- > How many different scheduler plans do we need to inspect, to cover the complete state space of possible interleavings? 34,650
- * Trivial example in terms of no of operations
 - We are not considering myriads of async events
 - Yet's it's already too difficult

A few dedicates of state space exploration

- > We've been searching for decades ways to reduce the size of the state space of concurrent programs and test them
 - <u>Partial-Order Methods for the Verification of Concurrent Systems</u>, in 1995, by Patrice Godefroid.
 - <u>Model checking to find serious file system errors</u>, in 2006, by Junfeng Yang et al.
 - RESTler: Stateful REST API Fuzzing, in 2019, by Atlidakis et al.

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- > A program contains a data race iif two or more threads
 - (1) access the same memory location concurrently
 - AND (2) at least one of these accesses is a write
 - AND (3) at least one of the accesses is not atomic
 - AND (4) neither happens before the other

Such data races may result in undefined program behavior and may lead to unforeseen errors at runtime

- See the <u>ISO/IEC 9899:2011(C11)</u>, Sec.-5.1.2.4/25, on multi-threaded executions and data races

```
int total = 0:
void *add(void *arg) {
 for (int i = 0; i < 1e6; ++i)
   ++total:
 return NULL:
void main() {
 pthread t 11, t2;
 pthread create(&t1, NULL, add, (void *) NULL);
 pthread create(&t2, NULL, add, (void *) NULL)
 pthread join(t1, NULL);
 pthread join(t2, NULL);
 printf("Total-1: %d\n", total);
 total = 0:
 pthread create(&t1, NULL, add, (void *) NULL);
 pthread join(t1, NULL);
 pthread create(&t2, NULL, add, (void *) NULL);
 pthread join(t2, NULL);
 printf("Total-2: %d\n", total);
```

```
→ obdiump -d ./counter
                                                              → git:(master) X ./counter
                                                              Total-1: 1011367
0000000000001159 <add>:
                                                              Total-2: 2000000
 1159: push %rbp
                              # Save base pointer to stack
                                                              → git:(master) X ./counter
 115a: mov %rsp, %rbp
                              # Set up new stack frame
                                                              Total-1: 1011367
 115d: mov %rdi, -0x18(%rbp)
                              # *arg = %rdi
                                                              Total-2: 2000000
 1161: movl $0x0, -0x4(%rbp)
                              #i = 0
 1168: jmp 117d <add+0x24> # for-loop start
                                                              → git:(master) X ./counter
                                                              Total-1: 1028085
                                                              Total-2: 2000000
                                           Data race!
 116a: mov 0x2ebc(%rip), %eax # %eax ← total -
                                                              → git:(master) X ./counter
  1170: add $0x1. %eax
                                \# %eax += 1
                                                              Total-1: 1011197
  1173: mov %eax, 0x2eb3(%rip) # total ← %eax
                                                              Total-2: 2000000
 1179: addl $0x1, -0x4(%rbp)
                                #i += 1
                                                              → qit:(master) X ./counter
 117d: cmpl $0xf423f, -0x4(%rbp)
                                # loop counter compare
                                                              Total-1: 1018502
 1184: ile 116a <add+0x11>
                                # for-loop jump
                                                              Total-2: 2000000
 1186: mov $0x0, %eax
                                # rval = %eax
 118b: pop rbp
                                # Restore stack
                                                              → git:(master) X ./counter
 118c: ret
                                 # Return to caller
                                                              Total-1: 1013853
                                                              Total-2: 2000000
```

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NOT OK Interleaving

- > Yet, another execution interleaving
- Processor on thread B
 - %reg <- value at main mem. [global vs. local state: consistent]
- Processor on thread A
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- Processor on thread B
 - OS job: Load %reg with its value before ctx switch
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Semantic ordering errors: Benign

```
void* func1(void* arg) {
  printf("1\n");
  return NULL;
void* func2(void* arg) {
  printf("2\n");
  return NULL;
int main(void) {
  pthread t t1, t2;
  pthread create(&t1, NULL, func1, NULL);
  pthread create(&t2, NULL, func2, NULL);
  pthread join(t1, NULL);
  pthread join(t2, NULL);
  return 0:
```

```
→ concurrency git:(master) X ./nosync
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2
→ concurrency git:(master) X ./nosync
→ concurrency git:(master) X ./nosync
```

Semantic ordering errors: Detrimental

```
int mode = 0;
                       // 1: Low-power; 2: High-power
int filter engage = 0; // 0: Filter not engaged; 1: Filter engaged
                                                                           → concurrency git:(master) X ./therac25
int input finalized = 0: // Has operator finished input?
                                                                           Safe setup.
void *filter control(void *arg) {
                                                                           → concurrency git:(master) X ./therac25
  while (!input finalized) {
                                                                           Safe setup.
    sched yield();
                                                                           → concurrency git:(master) X ./therac25
                                                                           Safe setup.
  usleep(100);
                                                                           → concurrency git:(master) X ./therac25
  if(mode == 2)
                                                                           Safe setup.
    filter engage = 1;
                                                                           → concurrency git:(master) X ./therac25
  else
                                                                           Safe setup.
    filter engage = 0:
  return NULL:
                                                                           → concurrency git:(master) X ./therac25
                                                                           Safe setup.
                                                                           → concurrency git:(master) X ./therac25
void beam activate(){
                                                                           Safe setup.
  if (mode == 2 && filter engage == 0)
    printf(" Treatment with high-power beam and no filter in place\n");
                                                                           → concurrency git:(master) X ./therac25
  else
                                                                           Safe setup.
    printf(" Safe setup\n"):
                                                                           → concurrency git:(master) X ./therac25
                                                                           Safe setup.
int main(void) {
                                                                           → concurrency git:(master) X ./therac25
  pthread t filter control t:
  pthread create(&filter control t, NULL, filter control, NULL);
                                                                           Safe setup.
                                                                           → concurrency git:(master) X ./therac25
  usleep(100): // Time window 1: operator does initial setup
                                                                           Safe setup.
  mode = 1:
  input finalized = 1;
                                                                           → concurrency git:(master) X ./therac25
  usleep(100); // Time window 2: operator does final edits
                                                                           Safe setup.
  mode = 2:
                                                                           → concurrency git:(master) X ./therac25
 pthread join(filter_control_t, NULL); // Control logic completed
                                                                           Treatment with high-power beam and no filter in place :-(
  beam activate():
```

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"Problems" due to lack of synchronization

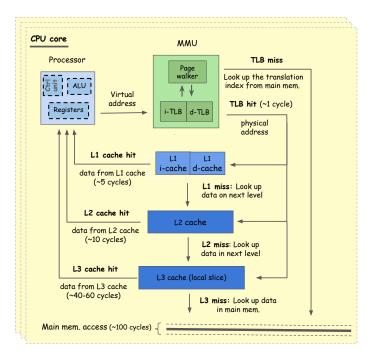
> Race conditions: A timing dependent error involving shared state which occurs when the interleaving of execution of concurrent operations leads to erroneous program behaviour

> Reasons for race conditions:

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Relaxing sequential consistency

- Sequential consistency: Every load from a memory address gets its value from the last store before it to the same address in global memory



- > Easy to reason / Impractically slow
- The effects of each instruction must be visible on all cores before starting the next instruction
- The first level of "global" memory is the L3 cache with an overhead of at least 40 cycles for access time
- In practice: We relax the memory consistency model to hide write latency and avoid processor stalls

Relaxing sequential consistency

> x86 Total Store Order (TSO)

- "Stores" are ordered between cores
- "Store-Load" pairs can be reordered between cores

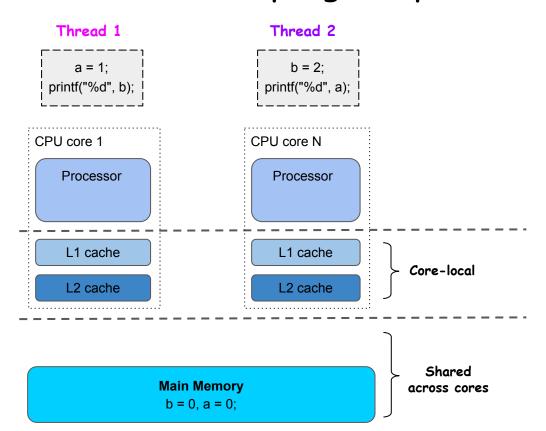
> Why? Store latency

- Before committing data on a core-local cache line (L1 or L2 cache), a core must wait for the cache lines to be invalidated on all other cores
- The hardware does this via cache coherency protocols
- Latency of store instructions even on core-local mem. references

> Solution

- Use of processor-internal write buffers to hide store latency
- Memory model violates sequential consistency
- Reorderings of operations ⇒ potential for unexpected program behaviour

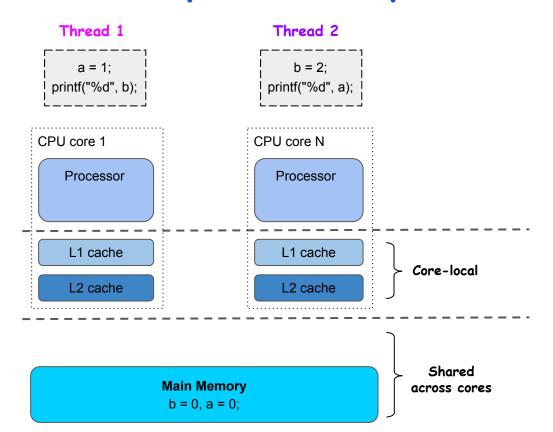
Assume SC - Can this program print "00"?

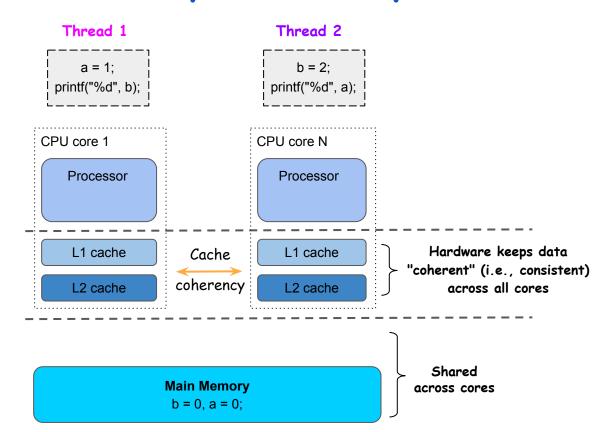


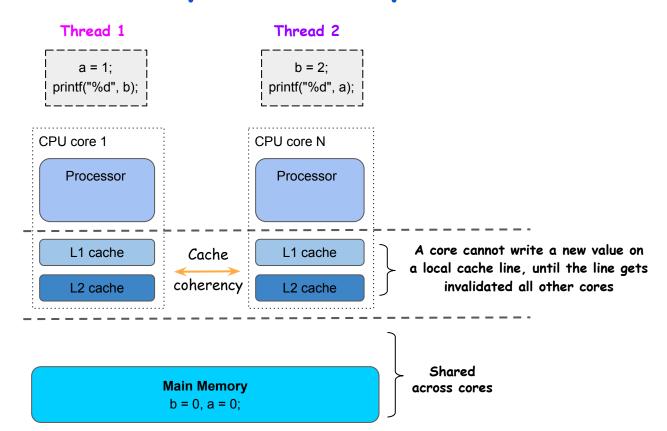
Sequential consistency: Reminder

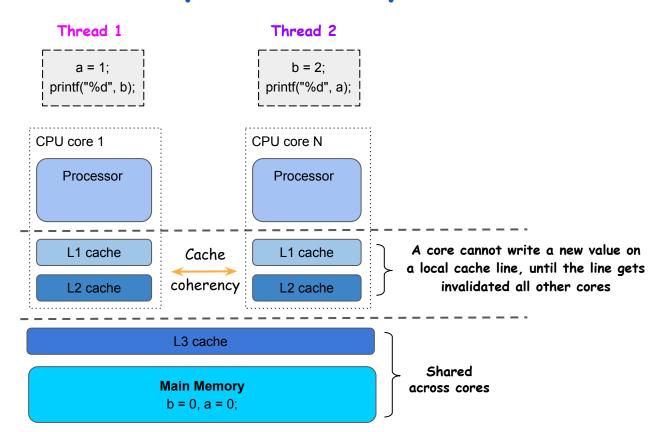
Pragmatic explanation

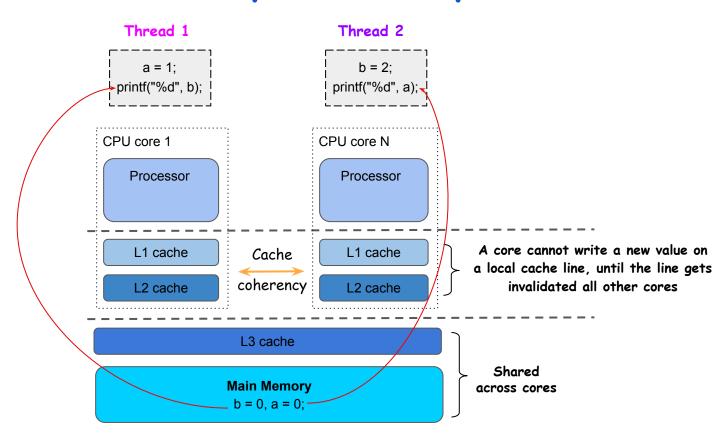
- Processors issue loads and stores in their local memory respecting their local program order
- > Every load from a memory address gets its value from the last store before it, on the same memory address, in global memory

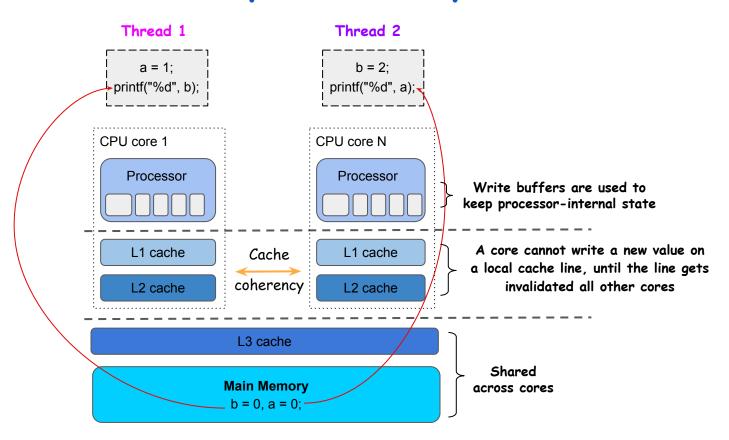


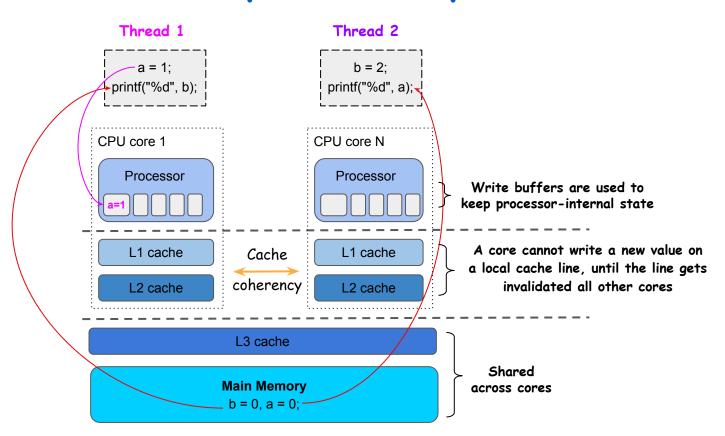


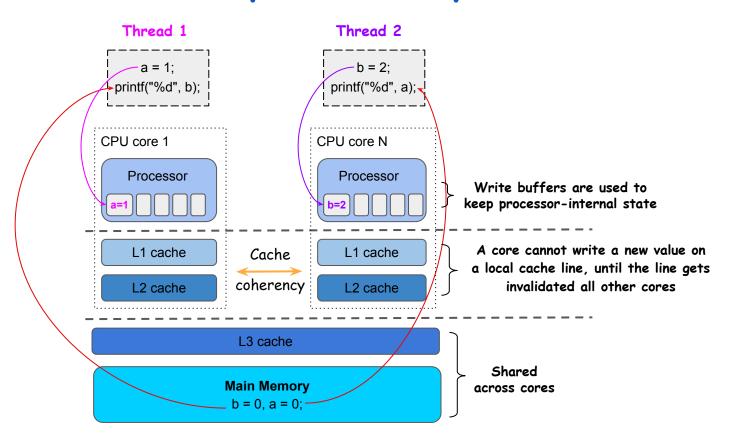


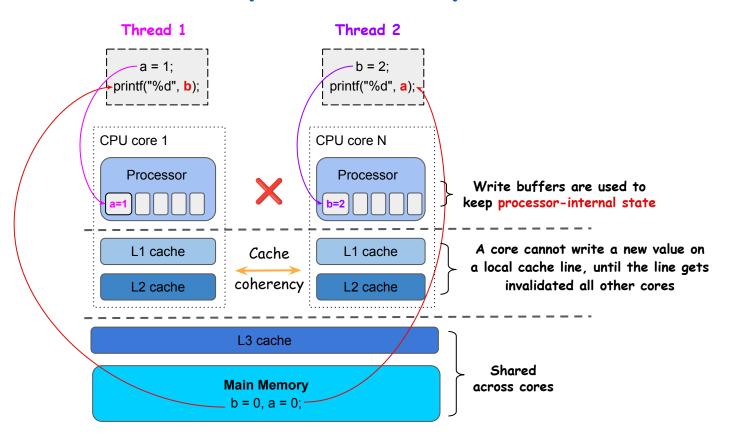












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- %reg <- value at main mem. [global vs. local state: consistent]
- %reg <- %reg + 1 [global vs. local state: divergent]</p>
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- >> "Relaxing" synchronization: "a happens before" ⇒ "some happens before"

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- ✓ re:: Data races: Disable preemption (s/w)? Atomicity (h/w)?
- ✓ re:: Semantic ordering errors: h/w guardrails? Verification?
- ✓ re:: Weak memory consistency models: Memory barriers
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> Too primitive \Rightarrow Well... use it as primitive...

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- > Arbitrary many instructions ⇒ Critical Section
- > Atomicity of arbitrary instructions ⇒ Mutual exclusion

- > Critical section (tangible set)
 - A sequence of instructions operating on shared state that ought to be executed by one thread at a time
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 - Rephrase: How to turn a sequence of instructions into an "atomic block"?
 - Rephrase: How to restrict the interleavings of thread executions re: entering the cs? (some happens-before relationship exists)

Designing a solution to the CS problem

- Correctness properties (non-negotiable)
 - Mutual exclusion: At most one thread inside the CS at any time
 - Progress: If multiple threads attempt to enter the CS, one must be allowed to proceed (a.k.a. liveness)
 - Starvation-free: If a thread is waiting to enter the CS, it must eventually enter (a.k.a. bounded-wait)

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 - Progress: If multiple threads attempt to enter the CS, one must be allowed to proceed (a.k.a. liveness)
 - Starvation-free: If a thread is waiting to enter the CS, it must eventually enter (a.k.a. bounded-wait)
- > Efficiency and Fairness properties (good to have)
 - Resource-efficiency: Don't waste processor cycles while waiting (busy-waiting) to enter the CS; voluntarily yield the processor
 - Fairness: All threads must wait approximately the same amount of time outside of the CS

Synchronized access to CS with locking

> We have reached our destination!

Synchronized access to CS with locking

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 - Divide code in two parts
 - CS: Executed with serialized access on some partial order
 - Code outside CS: Executed concurrently without any concerns
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- > We have reached our destination!
 - Divide code in two parts
 - CS: Executed with serialized access on some partial order
 - Code outside CS: Executed concurrently without any concerns
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 - Coordinate among threads to restrict the possible interleavings
 - How? Lock/Locking

> Lock: A token-like synchronization primitive used to coordinate concurrent thread accesses on CS

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- While a thread cannot acquire the token, it waits until it acquires the token
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- > Lock: A token-like synchronization primitive used to coordinate concurrent thread accesses on CS
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- > Lock: A token-like synchronization primitive used to coordinate concurrent thread accesses on CS
- While a thread cannot acquire the lock, it waits outside of the CS until it acquires the lock
- When a thread acquires the **lock**, it execute instructions inside the cs, while all other threads wait outside the CS
- When a thread finishes executing instructions inside the CS, it releases the lock and any thread can acquire it

Draft API for locks

- Initialize an shared (noun: lock) variable>> Prototype: void init_lock(lock_type *lock_ptr);
- Acquire (verb: lock) the (noun: lock) variable>> Prototype: void lock(lock_type *lock_ptr);
- Release (verb: unlock) the (noun: lock) variable>> Prototype: void unlock(lock_type *lock_ptr);

Blast from the past

```
int total = 0;
void *add(void *arg) {
 for (int i = 0; i < 1e6; ++i) {
  pthread mutex lock(&I);
  ++total:
  pthread mutex unlock(&I);
 return NULL;
void main() {
 pthread t 11, t2;
 pthread create(&t1, NULL, add, (void *) NULL);
 pthread create(&t2, NULL, add, (void *) NULL);
 pthread join(t1, NULL);
 pthread join(t2, NULL);
 printf("Total-1: %d\n", total);
 total = 0:
pthread create(&t1, NULL, add, (void *) NULL):
 pthread join(t1, NULL);
 pthread create(&t2, NULL, add, (void *) NULL);
 pthread join(t2, NULL);
printf("Total-2: %d\n", total);
```

```
→ obdjump -d ./counter
000000000001159 <add>:
 1159: push %rbp
                             # Save base pointer to stack
 115a: mov %rsp, %rbp
                             # Set up new stack frame
 115d: mov %rdi, -0x18(%rbp) # *arg = %rdi
 1161: movl $0x0, -0x4(\%rbp) # i = 0
 1168: imp 117d <add+0x24> # for-loop start
 118e: lea 0x2eeb(%rip),%rax
 1195: mov %rax,%rdi
 1198: call 1070 <pthread_mutex_lock@plt>
 116a: mov 0x2ebc(%rip), %eax # %eax ← total
 1170: add $0x1. %eax
                               # %eax += 1
                                                   Critical
  1173: mov %eax, 0x2eb3(%rip) # total ← %eax
                                                   section
 11ac: lea 0x2ecd(%rip);%rax
 11b3: mov %rax,%rdi
                                                  Unlock
  11b6: call 1040 <pthread mutex unlock@plt>
 1179: addl $0x1, -0x4(%rbp)
                               # i += 1
  117d: cmpl $0xf423f, -0x4(%rbp) # loop counter compare
  1184: jle 116a <add+0x11>
                               # for-loop jump
 1186: mov $0x0, %eax
                               # rval = %eax
  118b: pop rbp
                               # Restore stack
 118c: ret
                               # Return to caller
```

Blast from the past

- > Yet, another execution interleaving
- Processor on thread B
 - %reg <- value at main mem. [global vs. local state: consistent]
- Processor on thread A
 - %reg <- value at main mem. [global vs. local state: consistent]
 - %reg <- %reg + 1 [global vs. local state: divergent]
 - value at main mem. <- %reg [global vs. local state: consistent]
- Processor on thread B
 - OS job: Load %reg with its value before ctx switch
 - Thead B "thinks" %reg ⇔ shared value at main mem.
 - But: shared value has been mutated by someone else

Cannot happen