教育部高等教育司推荐
国外优秀信息科学与技术系列教学用书

操作系统概念

（第六版　影印版）

OPERATING SYSTEM CONCEPTS

(Sixth Edition)

■ Abraham Silberschatz
Peter Baer Galvin
Greg Gagne

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前言

20世纪末，以计算机和通信技术为代表的信息科学和技术对世界经济、科技、军事、教育和文化等产生了深刻影响。信息科学技术的迅速普及和应用，带动了世界范围信息产业的蓬勃发展，为许多国家带来了丰厚的回报。

进入21世纪，尤其随着我国加入WTO，信息产业的国际竞争将更加激烈。我国信息产业虽然在20世纪末取得了迅猛发展，但与发达国家相比，甚至与印度、爱尔兰等国家相比，还有很大差距。国家信息化的发展速度和信息产业的国际竞争能力，最终都将取决于信息科学技术人才的质量和数量。引进国外信息科学和技术优秀教材，在有条件的学校推动开展英语授课或双语教学，是教育部为加快培养大批高质量的信息技术人才采取的一项重要举措。

为此，教育部要求由高等教育出版社首先开展信息科学和技术教材的引进试点工作。同时提出了两点要求，一是要高水平，二是要低价格。在高等教育出版社和信息科学技术引进教材专家组的努力下，经过比较短的时间，第一批引进的20多种教材已经陆续出版。这套教材出版后受到了广泛的好评，其中有不少是世界信息科学技术领域著名专家、教授的经典之作和反映信息科学技术最新进展的优秀作品，代表了目前世界信息科学技术教育的一流水平，而且价格也是最优惠的，与国内同类自编教材相当。

这项教材引进工作是在教育部高等教育司和高教社的共同组织下，由国内信息科学技术领域的专家、教授广泛参与，在对大量国外教材进行多次遴选的基础上，参考了国内和国外著名大学相关专业的课程设置进行系统引进的。其中，John Wiley公司出版的贝尔实验室信息科学研究中心副总裁Silberschatz教授的经典著作《操作系统概念》，是我们经过反复谈判，做了很多努力才得以引进的。William Stallings先生曾编写了在美国深受欢迎的信息科学技术系列教材，其中有多种教材获得过美国教材和学术著作者协会颁发的计算机科学与工程教材奖，这批引进教材中就有他的两本著作。留美中国学者Jiawei Han先生的《数据挖掘》是该领域中具有里程碑意义的著作。由达特茅斯学院Thomas Cormen和麻省理工学院、哥伦比亚大学的几

PREFACE

Operating systems are an essential part of any computer system. Similarly, a course on operating systems is an essential part of any computer-science education. This field is undergoing change at a breathtakingly rapid rate, as computers are now prevalent in virtually every application, from games for children through the most sophisticated planning tools for governments and multinational firms. Yet the fundamental concepts remain fairly clear, and it is on these that we base this book.

We wrote this book as a text for an introductory course in operating systems at the junior or senior undergraduate level or at the first-year graduate level. It provides a clear description of the *concepts* that underlie operating systems. As prerequisites, we assume that the reader is familiar with basic data structures, computer organization, and a high-level language, such as C. The hardware topics required for an understanding of operating systems are included in Chapter 2. For code examples, we use predominantly C as well as some Java, but the reader can still understand the algorithms without a thorough knowledge of these languages.

The fundamental concepts and algorithms covered in the book are often based on those used in existing commercial operating systems. Our aim is to present these concepts and algorithms in a general setting that is not tied to one particular operating system. We present a large number of examples that pertain to the most popular operating systems, including Sun Microsystems' Solaris 2, Linux; Microsoft MS-DOS, Windows NT, and Windows 2000; DEC VMS and TOPS-20, IBM OS/2, and the Apple Macintosh Operating System.

Concepts are presented using intuitive descriptions. Important theoretical results are covered, but formal proofs are omitted. The bibliographical notes contain pointers to research papers in which results were first presented and proved, as well as references to material for further reading. In place of proofs, figures and examples are used to suggest why we should expect the result in question to be true.

Content of this Book

The text is organized in seven major parts:

- **Overview:** Chapters 1 through 3 explain what operating systems *are,* what they *do,* and how they are *designed* and *constructed.* They explain how the concept of an operating system has developed, what the common features of an operating system are, what an operating system does for the user, and what it does for the computer-system operator. The presentation is motivational, historical, and explanatory in nature. We have avoided a discussion of how things are done internally in these chapters. Therefore, they are suitable for individuals or for students in lower-level classes who want to learn what an operating system is, without getting into the details of the internal algorithms. Chapter 2 covers the hardware topics that are important to an understanding of operating systems. Readers well-versed in hardware topics, including I/O, DMA, and hard-disk operation, may choose to skim or skip this chapter.
- **Process management:** Chapters 4 through 8 describe the process concept and concurrency as the heart of modern operating systems. A *process* is the unit of work in a system. Such a system consists of a collection of *concurrently* executing processes, some of which are operating-system processes (those that execute system code), and the rest of which are user processes (those that execute user code). These chapters cover methods for process scheduling, interprocess communication, process synchronization, and deadlock handling. Also included under this topic is a discussion of threads.
- **Storage management:** Chapters 9 through 12 deal with a process in main memory during execution. To improve both the utilization of CPU and the speed of its response to its users, the computer must keep several processes in memory. There are many different memory-management schemes. These schemes reflect various approaches to memory management, and the effectiveness of the different algorithms depends on the situation. Since main memory is usually too small to accommodate all data and programs, and since it cannot store data permanently, the computer system must provide secondary storage to back up main memory. Most modern computer systems use disks as the primary on-line storage medium for information,

both programs and data. The file system provides the mechanism for on-line storage of and access to both data and programs residing on the disks. These chapters describe the classic internal algorithms and structures of storage management. They provide a firm practical understanding of the algorithms used—the properties, advantages, and disadvantages.

- **I/O systems:** Chapters 13 and 14 describe the devices that attach to a computer and the multiple dimensions in which they vary. In many ways, they are also the slowest major components of the computer. Because devices differ so widely, the operating system needs to provide a wide range of functionality to applications to allow them to control all aspects of the devices. This section discusses system I/O in depth, including I/O system design, interfaces, and internal system structures and functions. Because devices are a performance bottleneck, performance issues are examined. Matters related to secondary and tertiary storage are explained as well.

- **Distributed systems:** Chapters 15 through 17 deal with a collection of processors that do not share memory or a clock—a *distributed system.* Such a system provides the user with access to the various resources that the system maintains. Access to a shared resource allows computation speedup and improved data availability and reliability. Such a system also provides the user with a distributed file system, which is a file-service system whose users, servers, and storage devices are dispersed among the sites of a distributed system. A distributed system must provide various mechanisms for process synchronization and communication, for dealing with the deadlock problem and the variety of failures that are not encountered in a centralized system.

- **Protection and security:** Chapters 18 and 19 explain the processes in an operating system that must be protected from one another's activities. For the purposes of protection and security, we use mechanisms that ensure that only those processes that have gained proper authorization from the operating system can operate on the files, memory segments, CPU, and other resources. Protection is a mechanism for controlling the access of programs, processes, or users to the resources defined by a computer system. This mechanism must provide a means for specification of the controls to be imposed, as well as a means of enforcement. Security protects the information stored in the system (both data and code), as well as the physical resources of the computer system, from unauthorized access, malicious destruction or alteration, and accidental introduction of inconsistency.

- **Case studies:** Chapters 20 through 22, in the book, and Appendices A through C, on the website, integrate the concepts described in this book by describing real operating systems. These systems include Linux, Windows 2000, FreeBSD, Mach, and Nachos. We chose Linux and FreeBSD because

UNIX—at one time—was almost small enough to understand, yet was not a "toy" operating system. Most of its internal algorithms were selected for *simplicity,* rather than for speed or sophistication. Both Linux and FreeBSD are readily available to computer-science departments, so many students have access to these systems. We chose Windows 2000 because it provides an opportunity for us to study a modern operating system that has a design and implementation drastically different from those of UNIX. We also cover the Nachos System, which allows students to get their hands *dirty*—to take apart the code for an operating system, to see how it works at a low level, to build significant pieces of the operating system themselves, and to observe the effects of their work. Chapter 22 briefly describes a few other influential operating systems.

The Sixth Edition

As we wrote this Sixth Edition, we were guided by the many comments and suggestions we received from readers of our previous editions, as well as by our own observations about the rapidly changing fields of operating systems and networking. We rewrote the material in most of the chapters by bringing older material up to date and removing material that was no longer of interest. We rewrote all Pascal code, used in previous editions to demonstrate certain algorithms, into C, and we included a small amount of Java as well.

We made substantive revisions and changes in organization in many of the chapters. Most importantly, we added two new chapters and reorganized the distributed systems coverage. Because networking and distributed systems have become more prevalent in operating systems, we moved some distributed systems material, client–server, in particular, out of distributed systems chapters and integrated it into earlier chapters.

- **Chapter 3, Operating-System Structures,** now includes a section discussing the Java virtual machine (JVM).

- **Chapter 4, Processes,** includes new sections describing sockets and remote procedure calls (RPCs).

- **Chapter 5, Threads,** is a new chapter that covers multithreaded computer systems. Many modern operating systems now provide features for a process to contain multiple threads of control.

- **Chapters 6 through 10** are the old Chapters 5 through 9, respectively.

- **Chapter 11, File-System Interface,** is the old Chapter 10. We have modified the chapter substantially, including the coverage of NFS from the Distributed File System chapter (Chapter 16).

- **Chapter 12 and 13** are the old Chapters 11 and 12, respectively. We have added a new section in Chapter 13, I/O Systems, covering STREAMS.

- **Chapter 14, Mass-Storage Structure,** combines old Chapters 13 and 14.

- **Chapter 15, Distributed System Structures,** combines old Chapters 15 and 16.

- **Chapter 19, Security,** is the old Chapter 20.

- **Chapter 20, The Linux System,** is the old Chapter 22, updated to cover new recent developments.

- **Chapter 21, Windows 2000,** is a new chapter.

- **Chapter 22, Historical Perspective,** is the old Chapter 24.

- **Appendix A** is the old Chapter 21 on UNIX updated to cover FreeBSD.

- **Appendix B** covers the Mach operating system.

- **Appendix C** covers the Nachos system.

The three appendices are provided online.

Teaching Supplements and Web Page

The web page for this book contains the three appendices, the set of slides that accompanies the book, in PDF and Powerpoint format, the three case studies, the most recent errata list, and a link to the authors home page. John Wiley & Sons maintains the web page at

http://www.wiley.com/college/silberschatz

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We provide an environment in which users can communicate among themselves and with us. We have created a mailing list consisting of users of our book with the following address: os-book@research.bell-labs.com. If you wish to be on the list, please send a message to avi@bell-labs.com indicating your name, affiliation, and e-mail address.

Suggestions

We have attempted to clean up every error in this new Edition, but—as happens with operating systems—a few obscure bugs may remain. We would appreciate hearing from you about any textual errors or omissions that you identify. If you would like to suggest improvements or to contribute exercises, we would also be glad to hear from you. Please send correspondence to Avi Silberschatz, Vice President, Information Sciences Research Center, MH 2T-310, Bell Laboratories, 600 Mountain Ave., Murray Hill, NJ 07974 (avi@bell-labs.com).

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Finally, we would like to add some personal notes. Avi would like to extend his gratitude to Krystyna Kwiecien, whose devoted care of his mother has given him the peace of mind he needed to focus on the writing of this book; Pete, would like to thank Harry Kasparian, and his other co-workers, who gave him the freedom to work on this project while doing his "real job"; Greg would like to acknowledge two significant achievements by his children during the period he worked on this text: Tom—age 5—learned to read, and Jay—age 2 —learned to talk.

Abraham Silberschatz, Murray Hill, NJ, 2001
Peter Baer Galvin, Norton, MA, 2001
Greg Gagne, Salt Lake City, UT, 2001

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