Chapter 3: Transport Layer

Our goals:

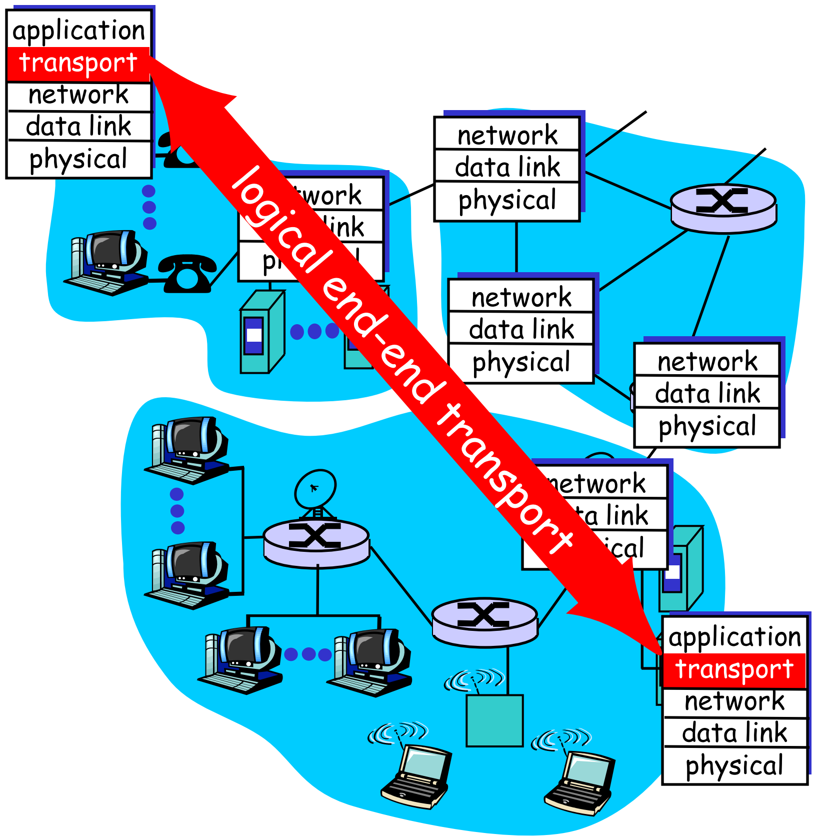
- understand principles behind transport layer services:
  - multiplexing/demultiplexing
  - reliable data transfer
  - flow control
  - congestion control
- learn about transport layer protocols in the Internet:
  - UDP: connectionless transport
  - TCP: connection-oriented transport
  - TCP congestion control

Chapter 3 outline

- 3.1 Transport-layer services
- 3.2 Multiplexing and demultiplexing
- 3.3 Connectionless transport: UDP
- 3.4 Principles of reliable data transfer
- 3.5 Connection-oriented transport: TCP
  - segment structure
  - reliable data transfer
  - flow control
  - connection management
- 3.6 Principles of congestion control
- 3.7 TCP congestion control

Transport services and protocols

- provide *logical communication* between app processes running on different hosts
- transport protocols run in end systems
  - send side: breaks app messages into segments, passes to network layer
  - rcv side: reassembles segments into messages, passes to app layer
- more than one transport protocol available to apps
  - Internet: TCP and UDP

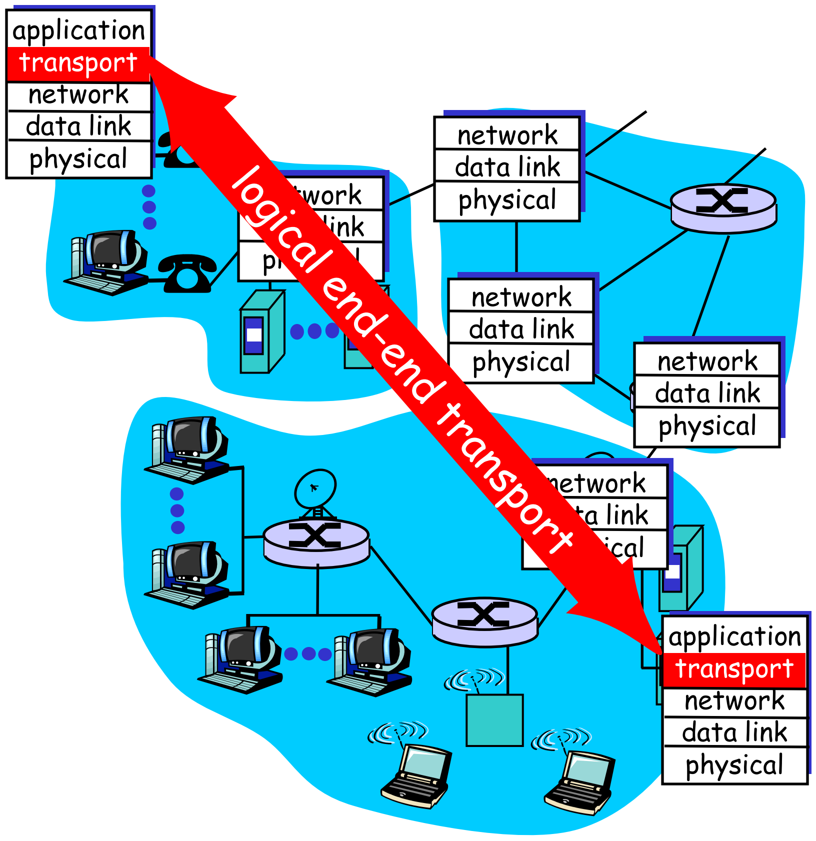


Transport vs. network layer

- *network layer:* logical communication between hosts
- *transport layer:* logical communication between processes
  - relies on and enhances network layer services

Internet transport-layer protocols

- reliable, in-order delivery (TCP)
  - congestion control
  - flow control
  - connection setup
- unreliable, unordered delivery: UDP
  - no-frills extension of "best-effort" IP
- services not available:
  - delay guarantees
  - bandwidth guarantees



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Multiplexing/demultiplexing

Demultiplexing at rcv host:

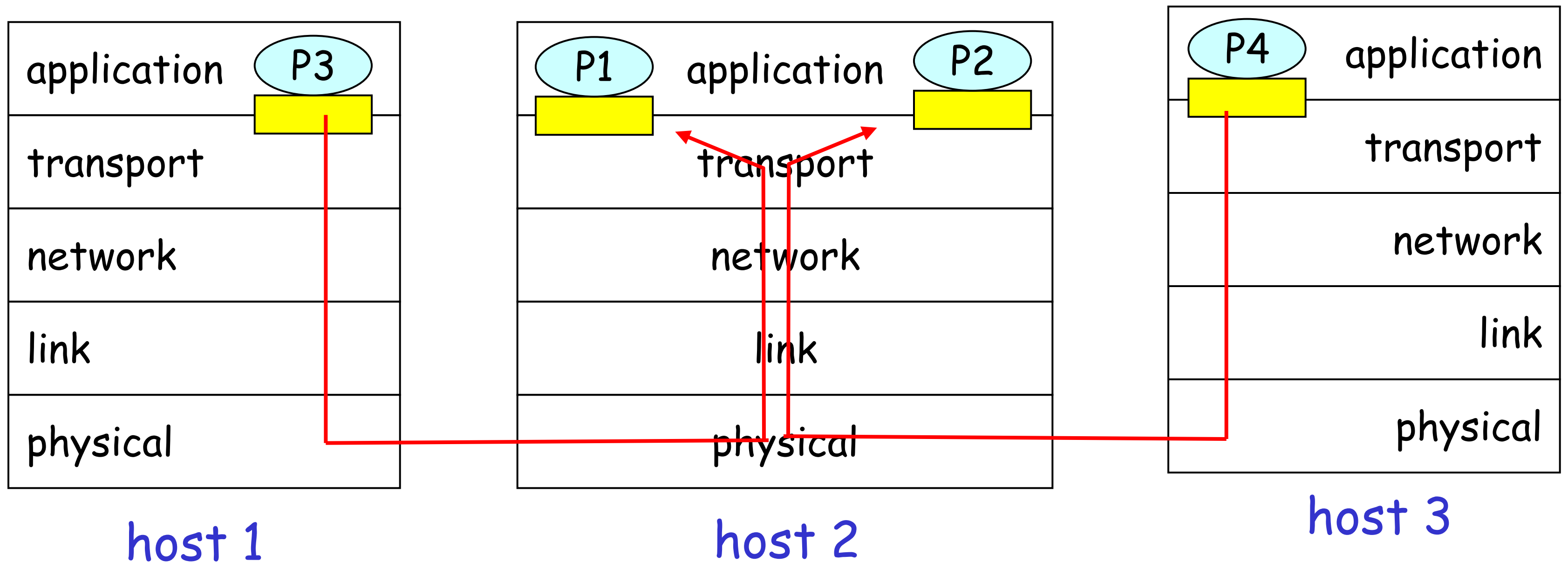
delivering received segments to correct socket

Multiplexing at send host:

gathering data from multiple sockets, enveloping data with header (later used for demultiplexing)

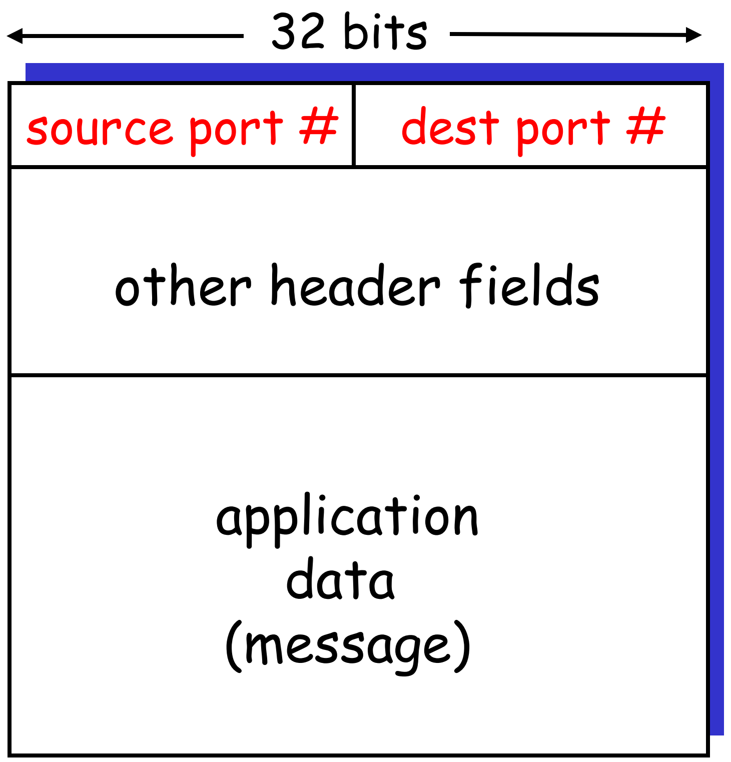
🟨 = socket

◯ = process



How demultiplexing works

- host receives IP datagrams
  - each datagram has source IP address, destination IP address
  - each datagram carries 1 transport-layer segment
  - each segment has source, destination port number
- host uses IP addresses & port numbers to direct segment to appropriate socket



TCP/UDP segment format

Connectionless demultiplexing

- Create sockets with port numbers:

```
DatagramSocket mySocket1 = new
   DatagramSocket(99111);
DatagramSocket mySocket2 = new
   DatagramSocket(99222);
```

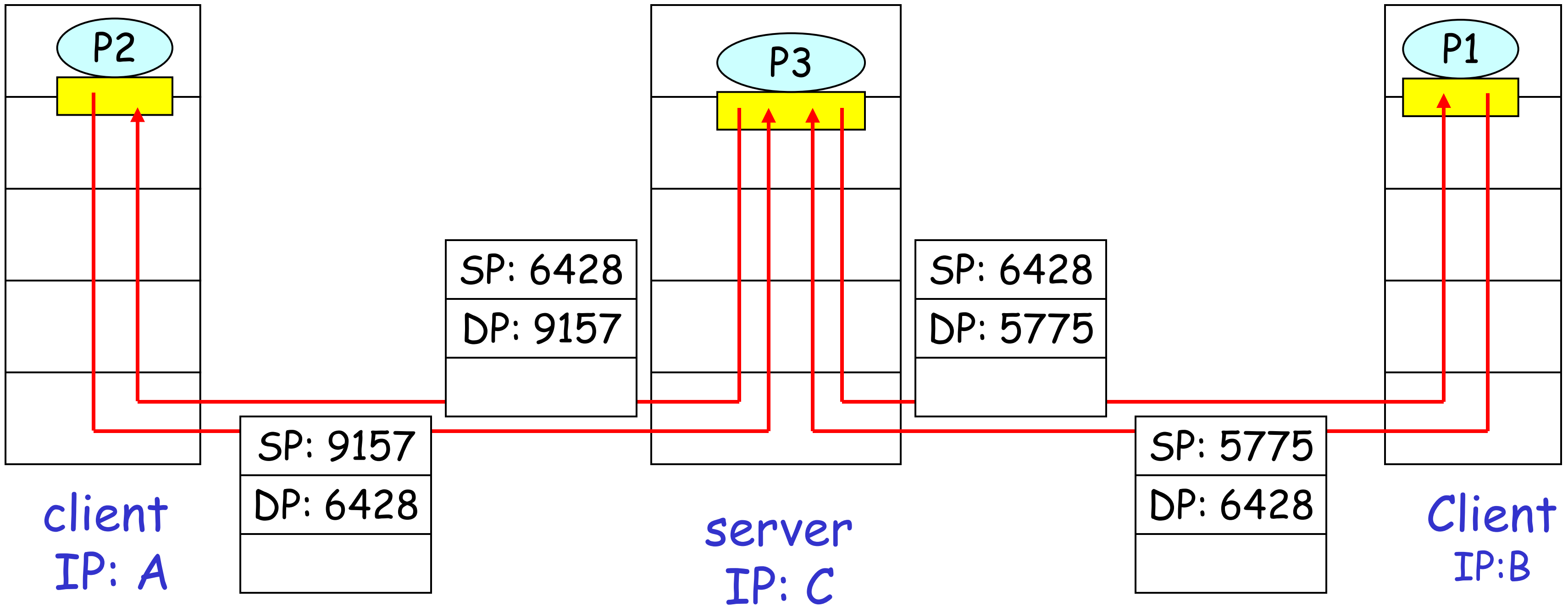
- UDP socket identified by two-tuple:

(dest IP address, dest port number)

- When host receives UDP segment:
  - checks destination port number in segment
  - directs UDP segment to socket with that port number
- IP datagrams with different source IP addresses and/or source port numbers directed to same socket

Connectionless demux (cont)

```
DatagramSocket serverSocket = new DatagramSocket(6428);
```

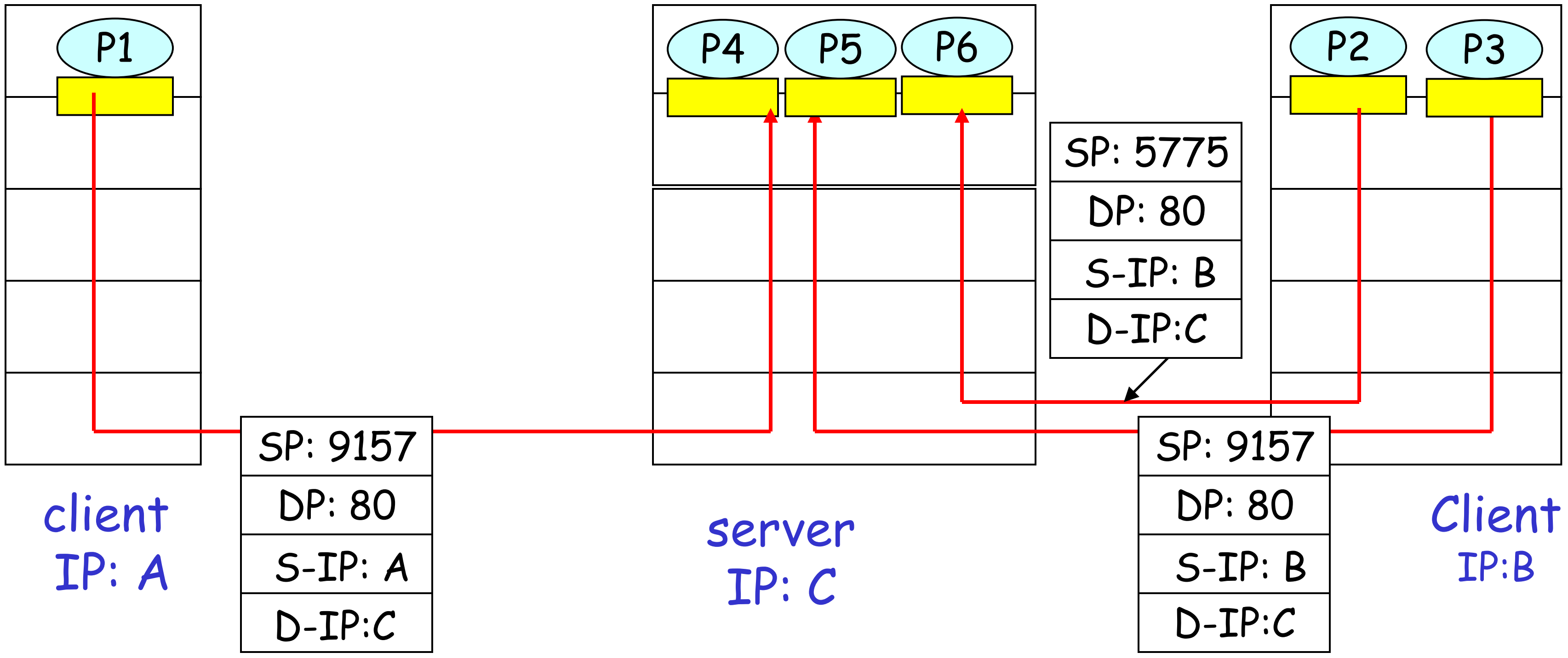


SP provides "return address"

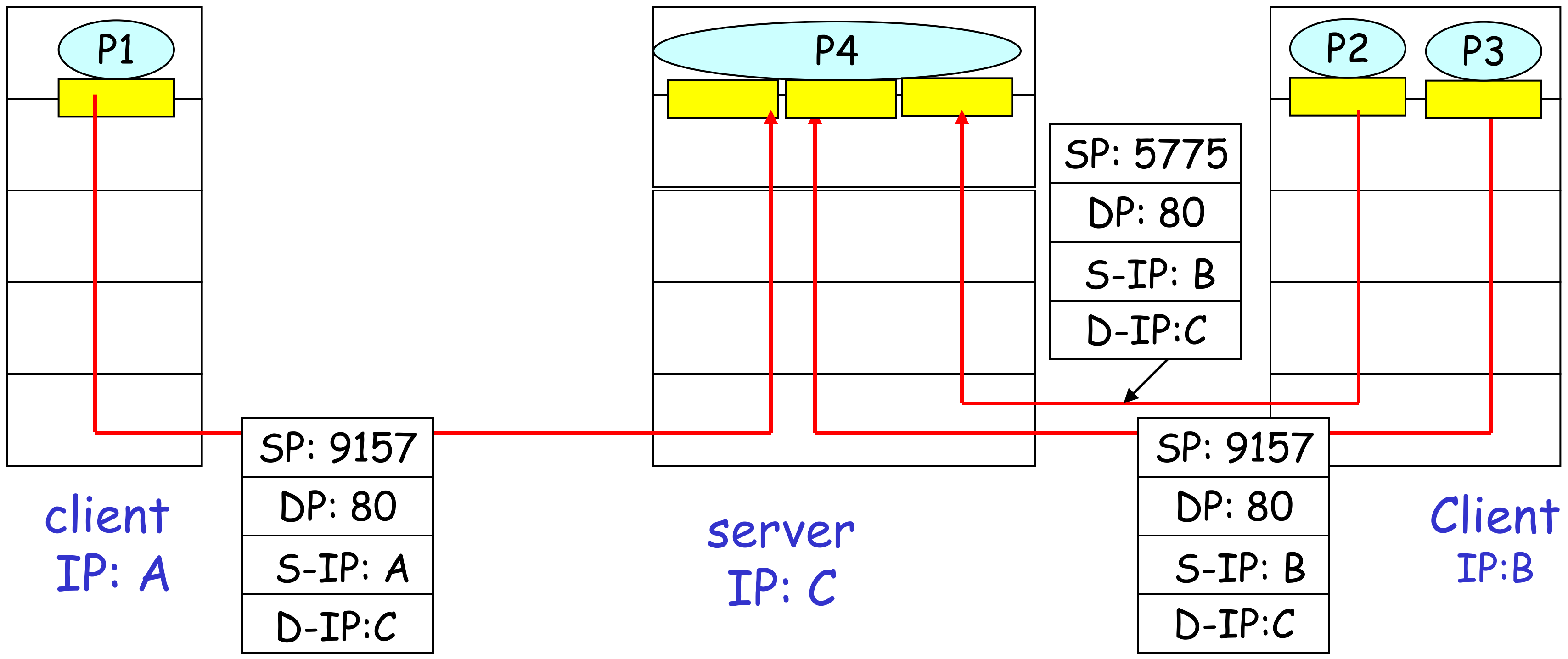
Connection-oriented demux

- TCP socket identified by 4-tuple:
  - source IP address
  - source port number
  - dest IP address
  - dest port number
- recv host uses all four values to direct segment to appropriate socket
- Server host may support many simultaneous TCP sockets:
  - each socket identified by its own 4-tuple
- Web servers have different sockets for each connecting client
  - non-persistent HTTP will have different socket for each request

Connection-oriented demux (cont)



Connection-oriented demux: Threaded Web Server



Chapter 3 outline

UDP: User Datagram Protocol [RFC 768]

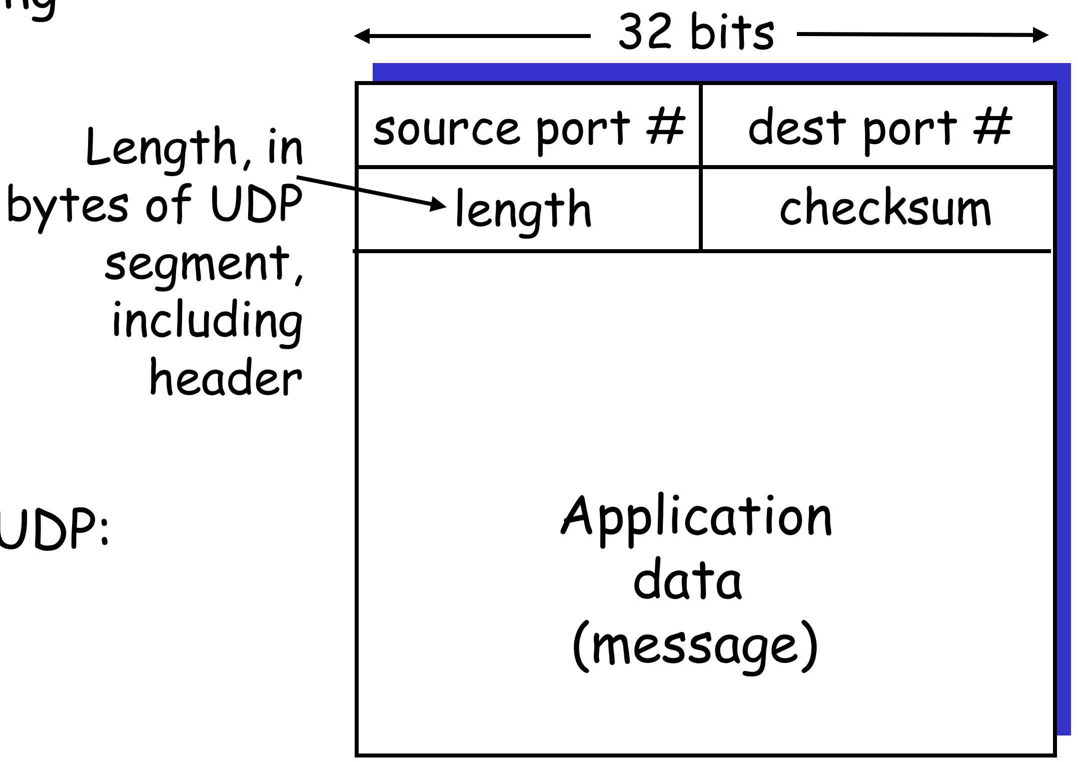
- "no frills," "bare bones" Internet transport protocol
- "best effort" service, UDP segments may be:
  - lost
  - delivered out of order to app
- *connectionless:*
  - no handshaking between UDP sender, receiver
  - each UDP segment handled independently of others

Why is there a UDP?

- no connection establishment (which can add delay)
- simple: no connection state at sender, receiver
- small segment header
- no congestion control: UDP can blast away as fast as desired

UDP: more

- often used for streaming multimedia apps
  - loss tolerant
  - rate sensitive
- other UDP uses
  - DNS
  - SNMP
- reliable transfer over UDP: add reliability at application layer
  - application-specific error recovery!


32 bits
Length, in bytes of UDP segment, including header
source port #
dest port #
length
checksum
Application data (message)

UDP segment format

UDP checksum

Goal: detect "errors" (e.g., flipped bits) in transmitted segment

Sender:

- treat segment contents as sequence of 16-bit integers
- checksum: addition (1's complement sum) of segment contents
- sender puts checksum value into UDP checksum field

Receiver:

- compute checksum of received segment
- check if computed checksum equals checksum field value:
  - NO - error detected
  - YES - no error detected. *But maybe errors nonetheless?* More later ....

Internet Checksum Example

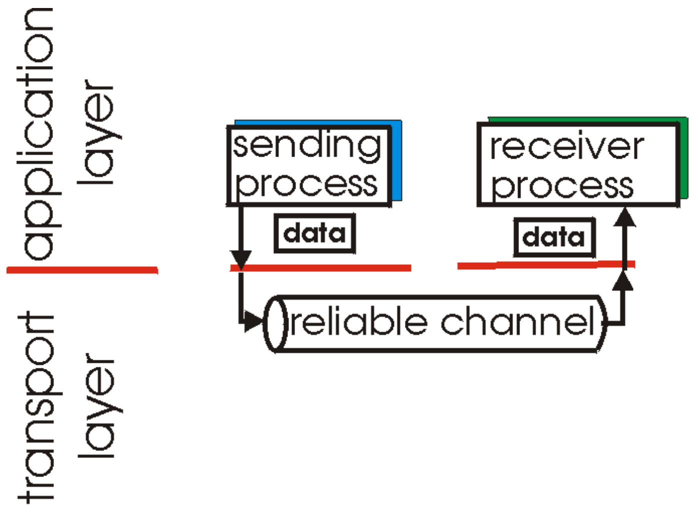
- Note
  - When adding numbers, a carryout from the most significant bit needs to be added to the result
- Example: add two 16-bit integers

$$
\begin{array}{r c cccccccccccccccc}
 & & 1 & 1 & 1 & 0 & 0 & 1 & 1 & 0 & 0 & 1 & 1 & 0 & 0 & 1 & 1 & 0 \\
 & & 1 & 1 & 0 & 1 & 0 & 1 & 0 & 1 & 0 & 1 & 0 & 1 & 0 & 1 & 0 & 1 \\
\hline
\text{wraparound} & \textcircled{1} & 1 & 0 & 1 & 1 & 1 & 0 & 1 & 1 & 1 & 0 & 1 & 1 & 1 & 0 & 1 & 1 \\
\hline
\text{sum} & & 1 & 0 & 1 & 1 & 1 & 0 & 1 & 1 & 1 & 0 & 1 & 1 & 1 & 1 & 0 & 0 \\
\text{checksum} & & 0 & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 0 & 1 & 0 & 0 & 0 & 0 & 1 & 1
\end{array}
$$

Chapter 3 outline

Principles of Reliable data transfer

- important in app., transport, link layers
- top-10 list of important networking topics!



(a) provided service

- characteristics of unreliable channel will determine complexity of reliable data transfer protocol (rdt)

Principles of Reliable data transfer

- important in app., transport, link layers
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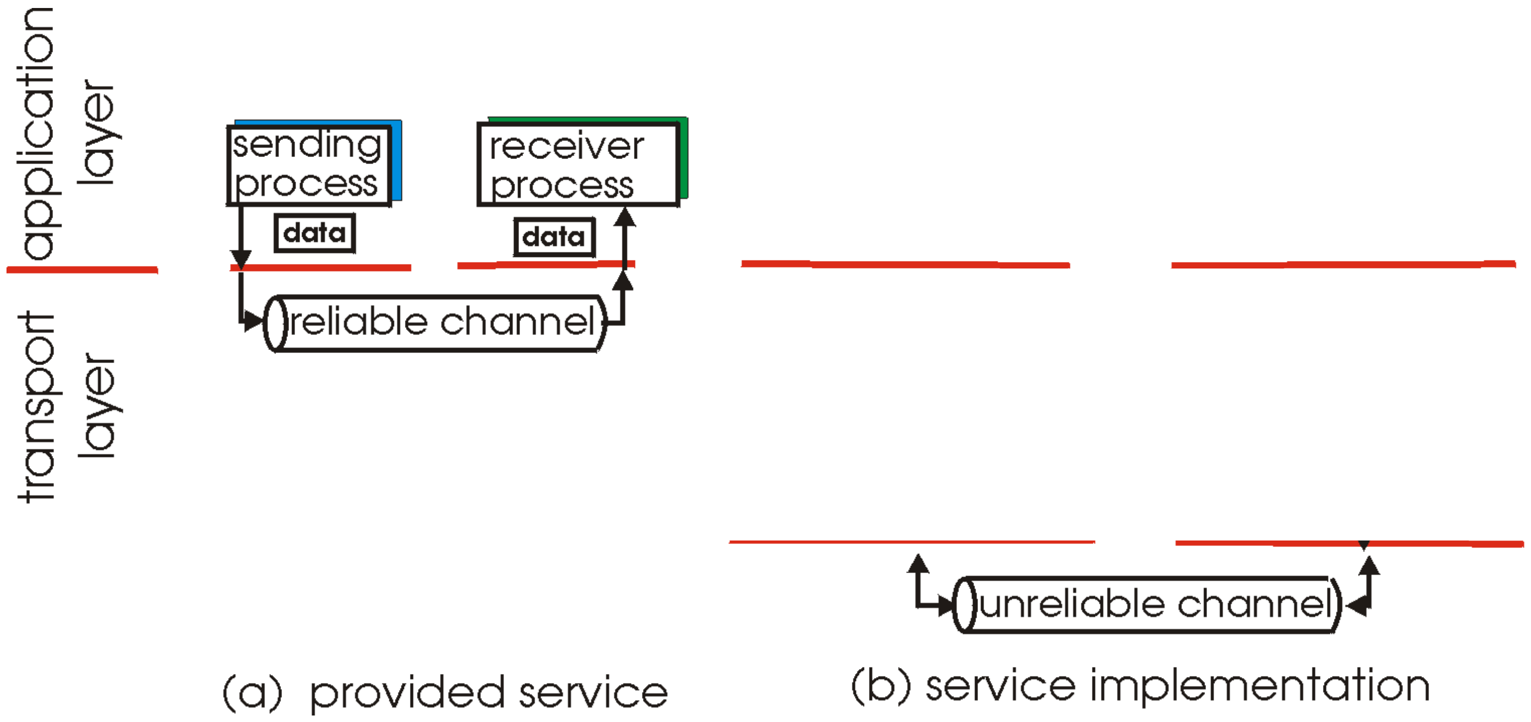

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Principles of Reliable data transfer

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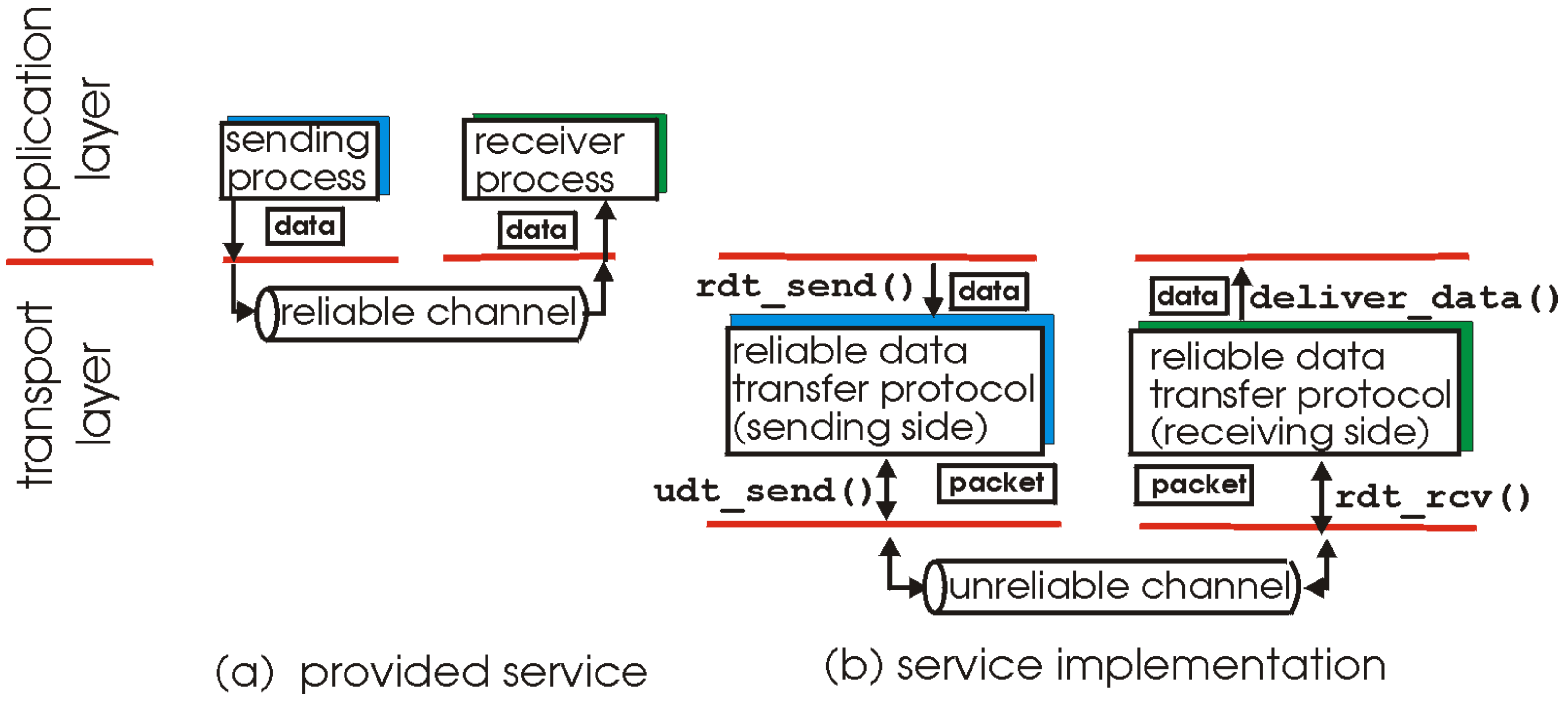
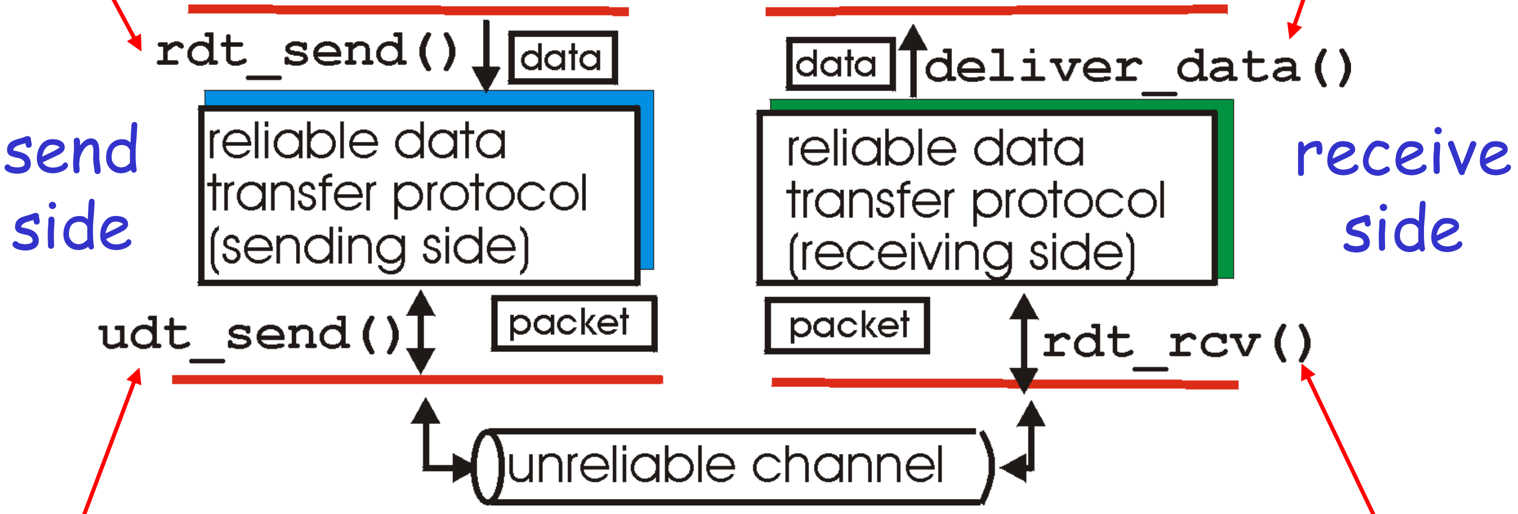


- characteristics of unreliable channel will determine complexity of reliable data transfer protocol (rdt)

Reliable data transfer: getting started

`rdt_send()`: called from above, (e.g., by app.). Passed data to deliver to receiver upper layer

`deliver_data()`: called by **`rdt`** to deliver data to upper



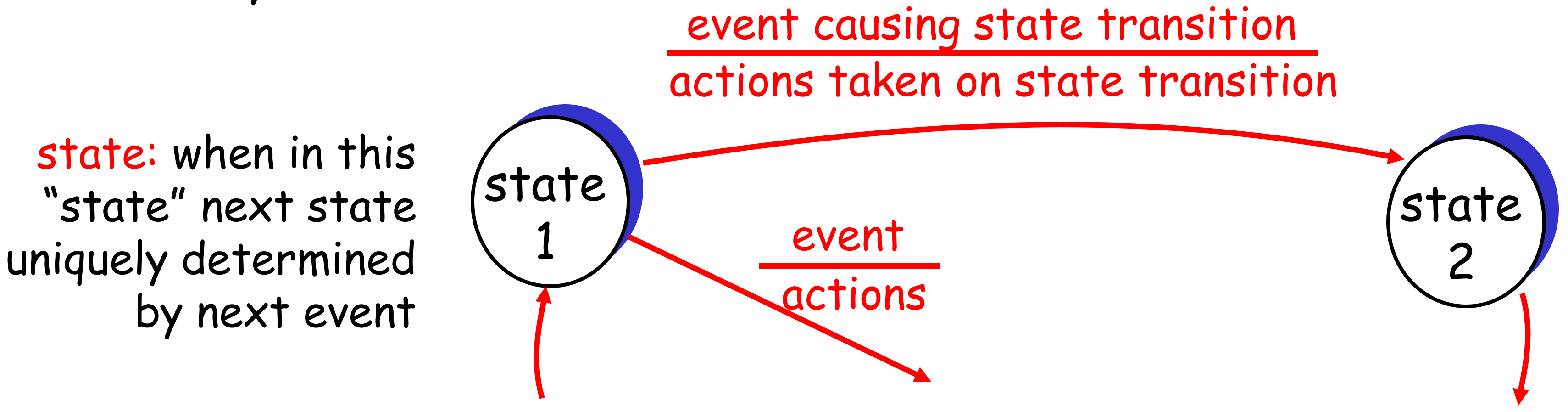
`udt_send()`: called by rdt, to transfer packet over unreliable channel to receiver

`rdt_rcv()`: called when packet arrives on rcv-side of channel

Reliable data transfer: getting started

We'll:

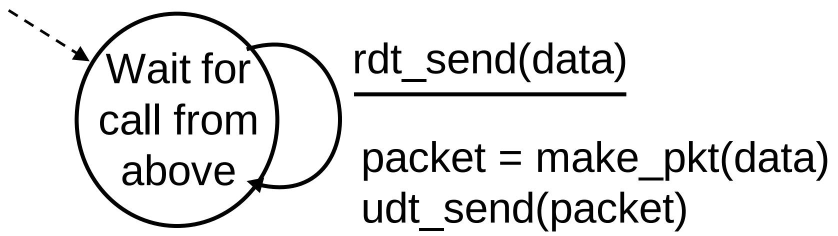
- incrementally develop sender, receiver sides of reliable data transfer protocol (rdt)
- consider only unidirectional data transfer
  - but control info will flow on both directions!
- use finite state machines (FSM) to specify sender, receiver

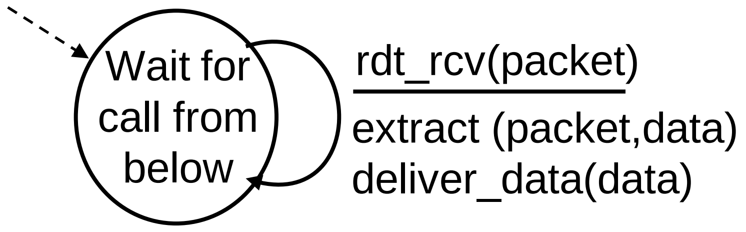


event causing state transition
actions taken on state transition
state: when in this "state" next state uniquely determined by next event
state 1
event
actions
state 2

Rdt1.0: reliable transfer over a reliable channel

- underlying channel perfectly reliable
  - no bit errors
  - no loss of packets
- separate FSMs for sender, receiver:
  - sender sends data into underlying channel
  - receiver read data from underlying channel





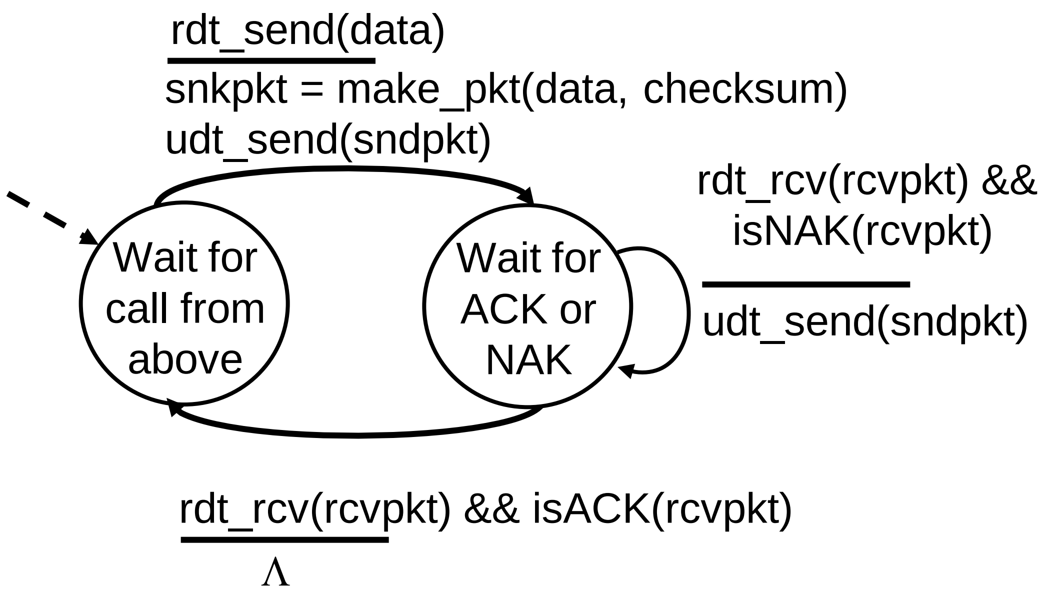
sender

receiver

Rdt2.0: channel with bit errors

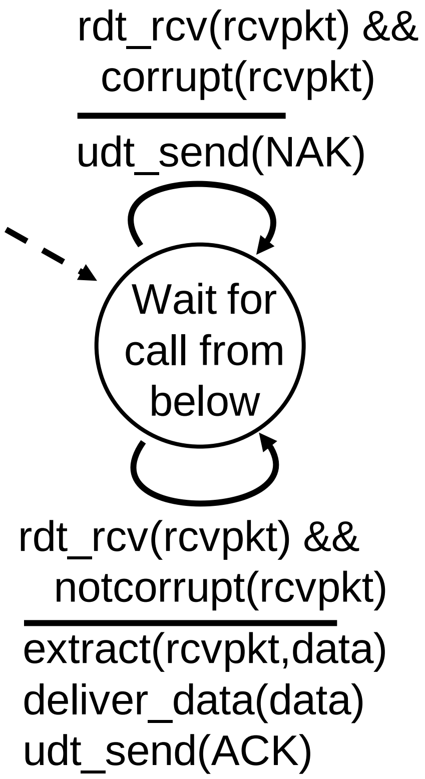
- underlying channel may flip bits in packet
  - checksum to detect bit errors
- *the* question: how to recover from errors:
  - *acknowledgements (ACKs):* receiver explicitly tells sender that pkt received OK
  - *negative acknowledgements (NAKs):* receiver explicitly tells sender that pkt had errors
  - sender retransmits pkt on receipt of NAK
- new mechanisms in `rdt2.0` (beyond `rdt1.0`):
  - error detection
  - receiver feedback: control msgs (ACK,NAK) rcvr->sender

rdt2.0: FSM specification

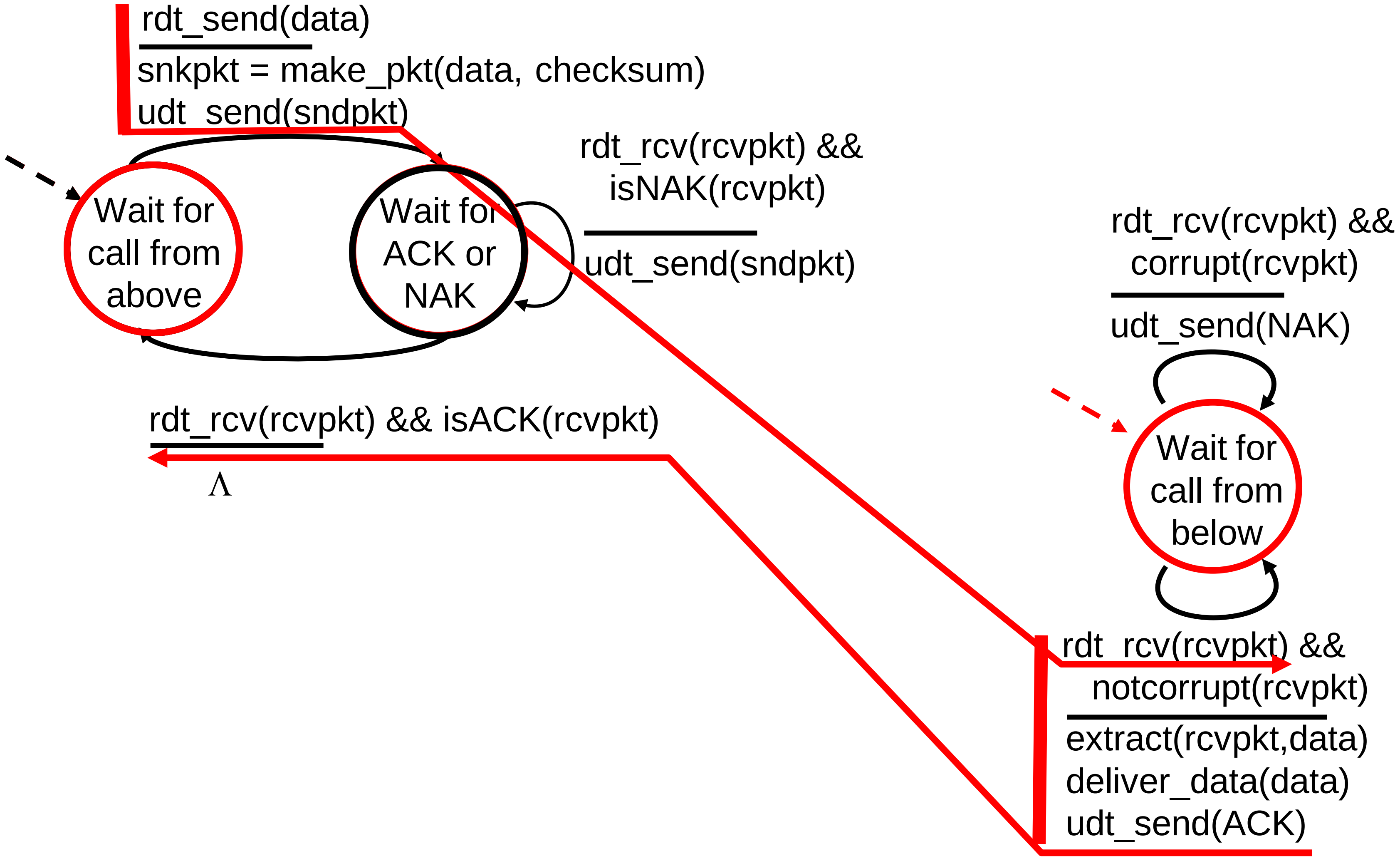


sender

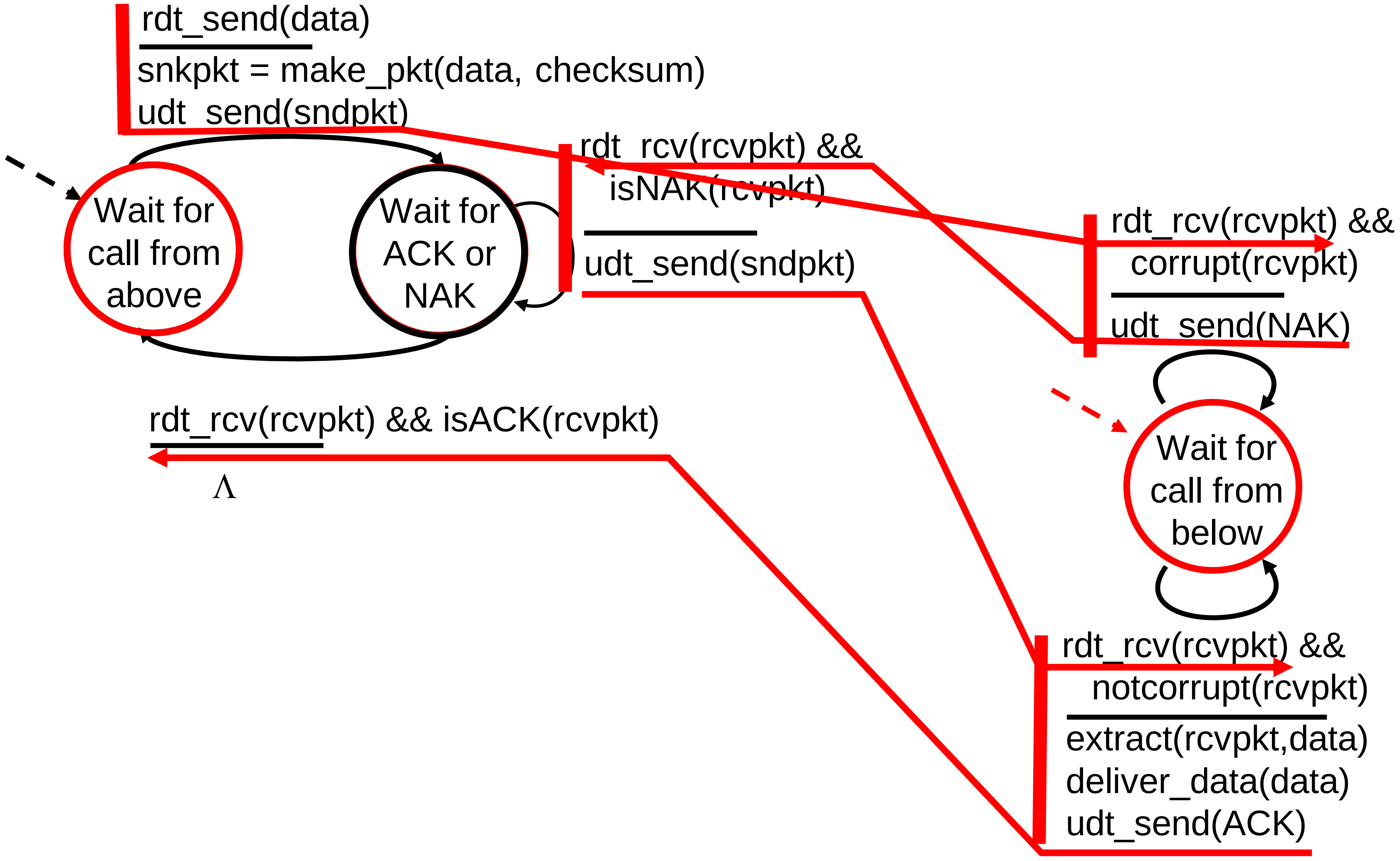
receiver



rdt2.0: operation with no errors



rdt2.0: error scenario



rdt2.0 has a fatal flaw!

What happens if ACK/NAK corrupted?

- sender doesn't know what happened at receiver!
- can't just retransmit: possible duplicate

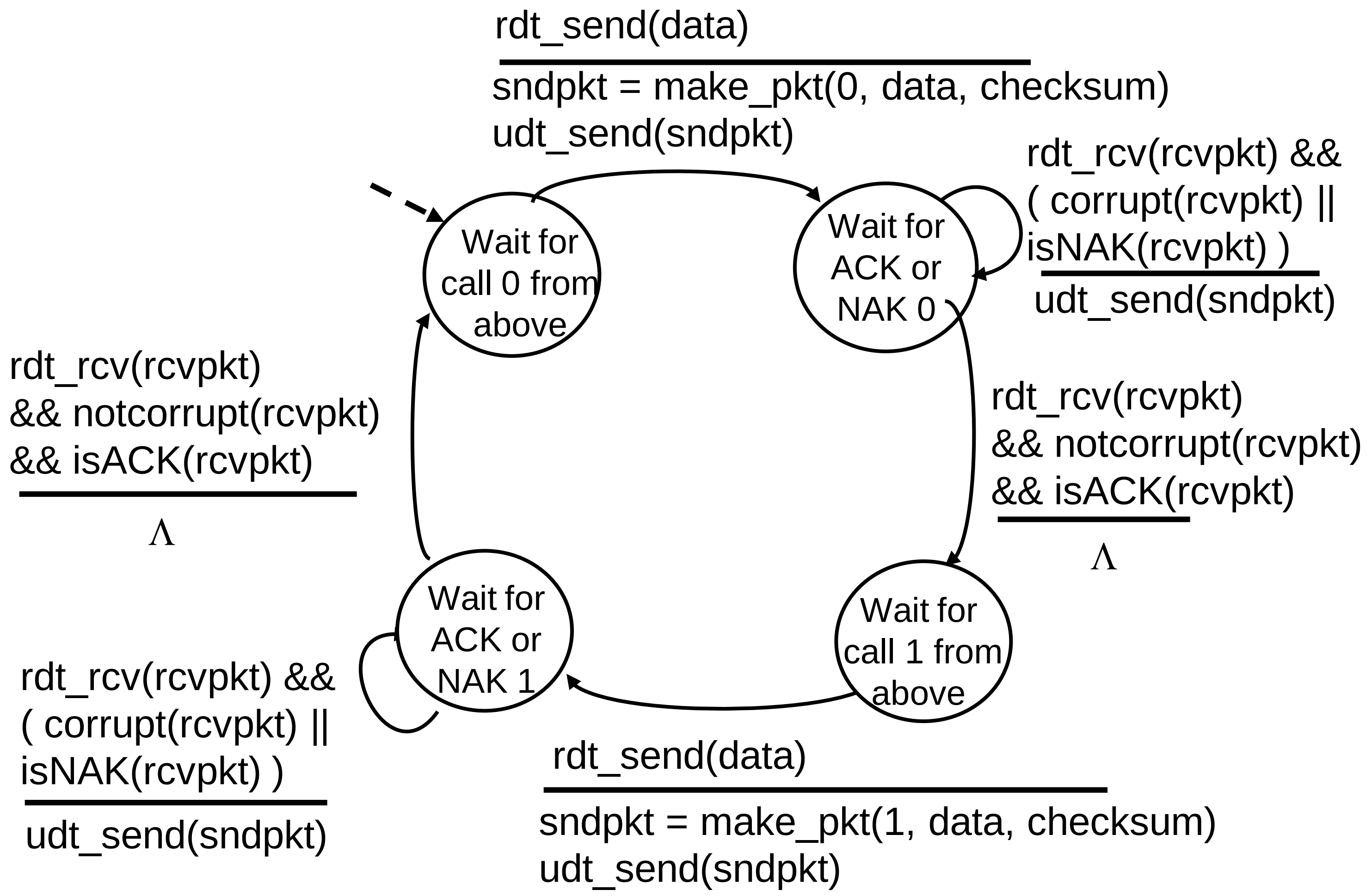
Handling duplicates:

- sender retransmits current pkt if ACK/NAK garbled
- sender adds *sequence number* to each pkt
- receiver discards (doesn't deliver up) duplicate pkt

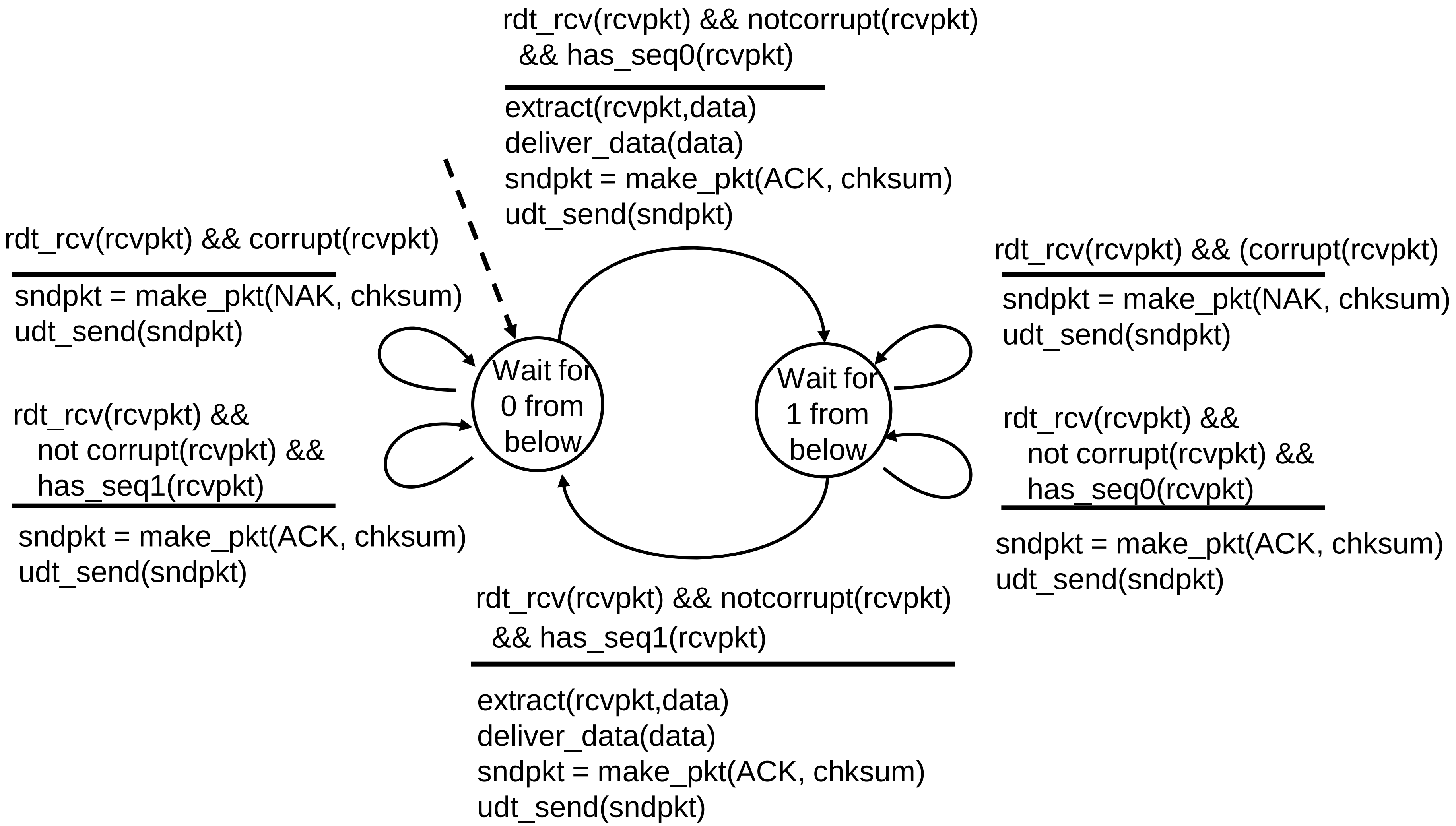
stop and wait

Sender sends one packet, then waits for receiver response

rdt2.1: sender, handles garbled ACK/NAKs



rdt2.1: receiver, handles garbled ACK/NAKs


rdt_rcv(rcvpkt) && notcorrupt(rcvpkt) && has_seq0(rcvpkt)
extract(rcvpkt,data)
deliver_data(data)
sndpkt = make_pkt(ACK, chksum)
udt_send(sndpkt)
rdt_rcv(rcvpkt) && corrupt(rcvpkt)
sndpkt = make_pkt(NAK, chksum)
udt_send(sndpkt)
rdt_rcv(rcvpkt) && (corrupt(rcvpkt)
sndpkt = make_pkt(NAK, chksum)
udt_send(sndpkt)
Wait for 0 from below
Wait for 1 from below
rdt_rcv(rcvpkt) && not corrupt(rcvpkt) && has_seq1(rcvpkt)
sndpkt = make_pkt(ACK, chksum)
udt_send(sndpkt)
rdt_rcv(rcvpkt) && not corrupt(rcvpkt) && has_seq0(rcvpkt)
sndpkt = make_pkt(ACK, chksum)
udt_send(sndpkt)
rdt_rcv(rcvpkt) && notcorrupt(rcvpkt) && has_seq1(rcvpkt)
extract(rcvpkt,data)
deliver_data(data)
sndpkt = make_pkt(ACK, chksum)
udt_send(sndpkt)

rdt2.1: discussion

Sender:

- seq # added to pkt
- two seq. #'s (0,1) will suffice. Why?
- must check if received ACK/NAK corrupted
- twice as many states
  - state must "remember" whether "current" pkt has 0 or 1 seq. #

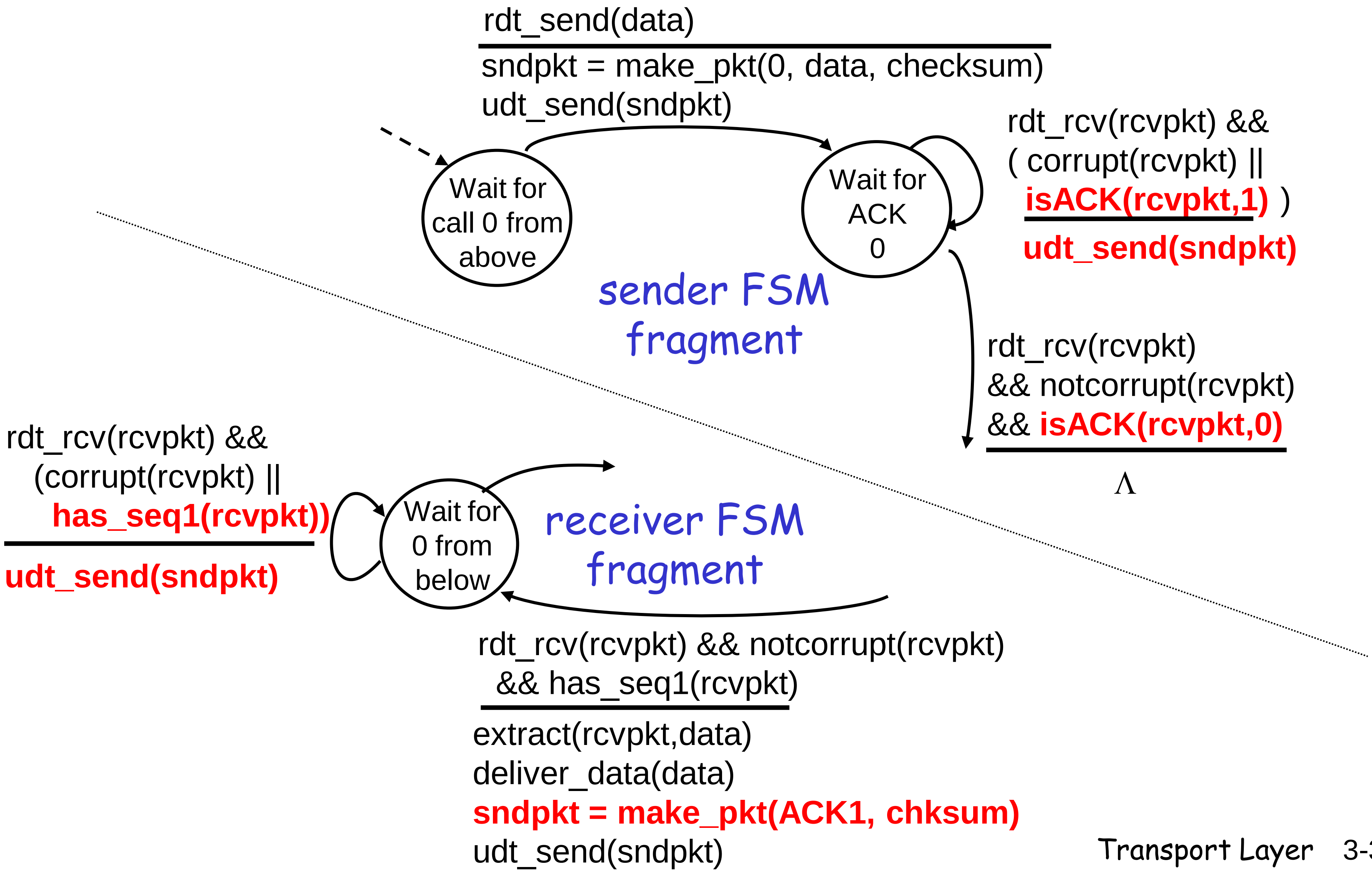
Receiver:

- must check if received packet is duplicate
  - state indicates whether 0 or 1 is expected pkt seq #
- note: receiver can *not* know if its last ACK/NAK received OK at sender

rdt2.2: a NAK-free protocol

- same functionality as rdt2.1, using ACKs only
- instead of NAK, receiver sends ACK for last pkt received OK
  - receiver must *explicitly* include seq # of pkt being ACKed
- duplicate ACK at sender results in same action as NAK: *retransmit current pkt*

rdt2.2: sender, receiver fragments



rdt_send(data)
sndpkt = make_pkt(0, data, checksum)
udt_send(sndpkt)
Wait for call 0 from above
Wait for ACK 0
rdt_rcv(rcvpkt) && (corrupt(rcvpkt) || isACK(rcvpkt,1))
udt_send(sndpkt)
sender FSM fragment
rdt_rcv(rcvpkt) && notcorrupt(rcvpkt) && isACK(rcvpkt,0)
Λ
rdt_rcv(rcvpkt) && (corrupt(rcvpkt) || has_seq1(rcvpkt))
udt_send(sndpkt)
Wait for 0 from below
receiver FSM fragment
rdt_rcv(rcvpkt) && notcorrupt(rcvpkt) && has_seq1(rcvpkt)
extract(rcvpkt,data)
deliver_data(data)
sndpkt = make_pkt(ACK1, chksum)
udt_send(sndpkt)

rdt3.0: channels with errors *and* loss

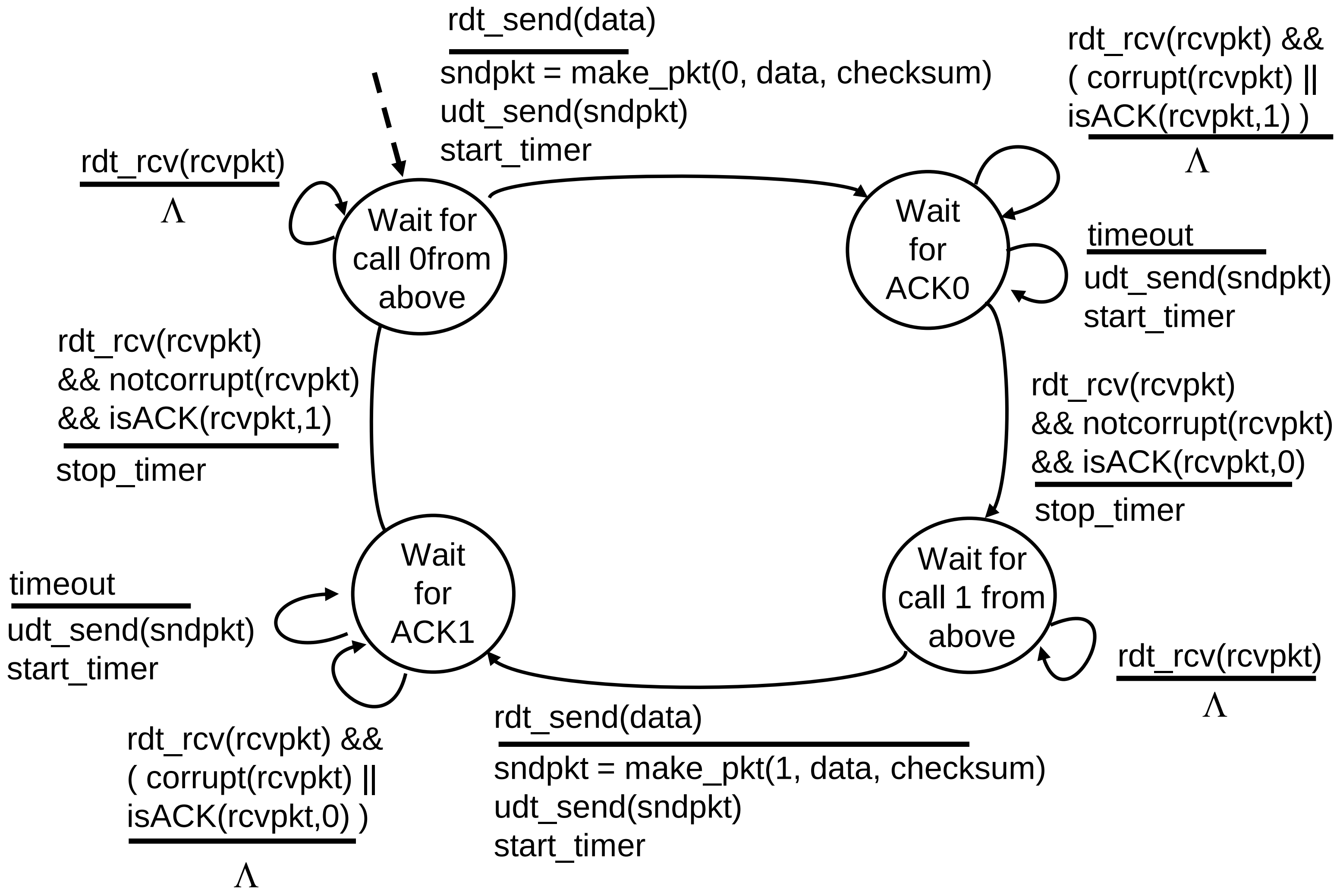
New assumption: underlying channel can also lose packets (data or ACKs)

- checksum, seq. #, ACKs, retransmissions will be of help, but not enough

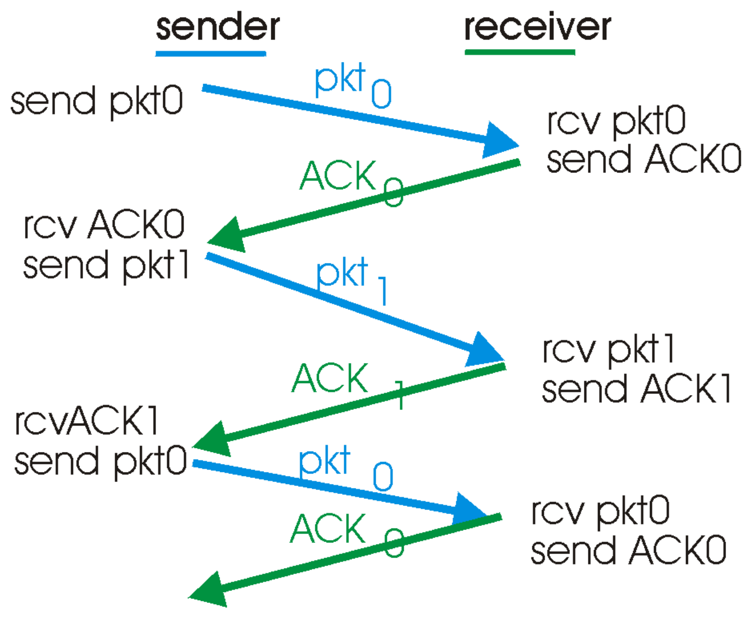
Approach: sender waits "reasonable" amount of time for ACK

- retransmits if no ACK received in this time
- if pkt (or ACK) just delayed (not lost):
  - retransmission will be duplicate, but use of seq. #'s already handles this
  - receiver must specify seq # of pkt being ACKed
- requires countdown timer

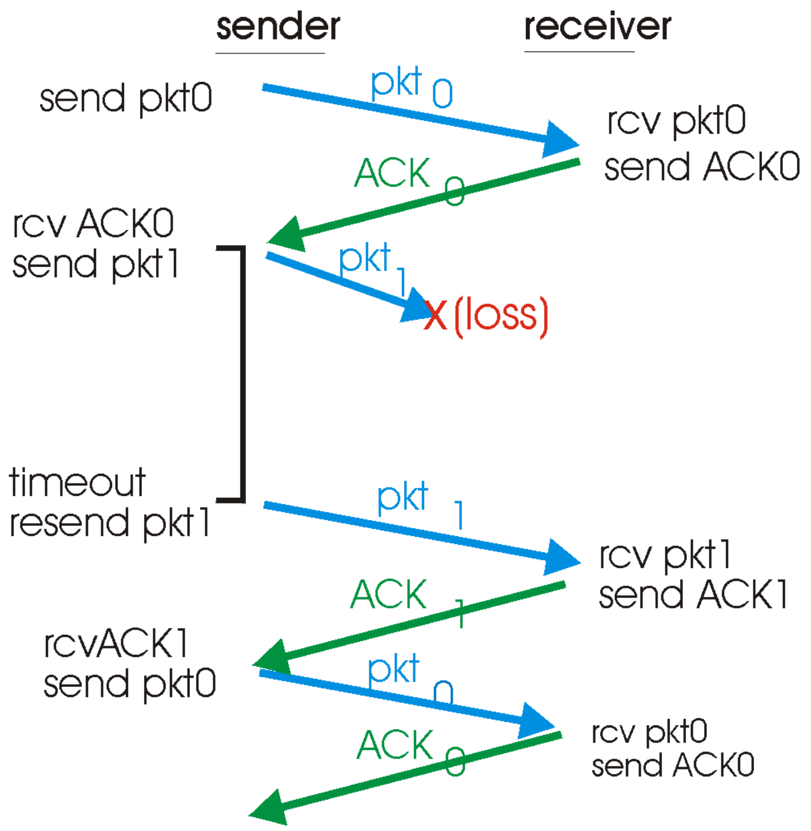
rdt3.0 sender


rdt_send(data)
sndpkt = make_pkt(0, data, checksum)
udt_send(sndpkt)
start_timer
rdt_rcv(rcvpkt) && (corrupt(rcvpkt) || isACK(rcvpkt,1))
Λ
rdt_rcv(rcvpkt)
Λ
Wait for call 0from above
Wait for ACK0
timeout
udt_send(sndpkt)
start_timer
rdt_rcv(rcvpkt) && notcorrupt(rcvpkt) && isACK(rcvpkt,1)
stop_timer
rdt_rcv(rcvpkt) && notcorrupt(rcvpkt) && isACK(rcvpkt,0)
stop_timer
Wait for ACK1
Wait for call 1 from above
timeout
udt_send(sndpkt)
start_timer
rdt_rcv(rcvpkt)
Λ
rdt_rcv(rcvpkt) && (corrupt(rcvpkt) || isACK(rcvpkt,0))
Λ
rdt_send(data)
sndpkt = make_pkt(1, data, checksum)
udt_send(sndpkt)
start_timer

rdt3.0 in action

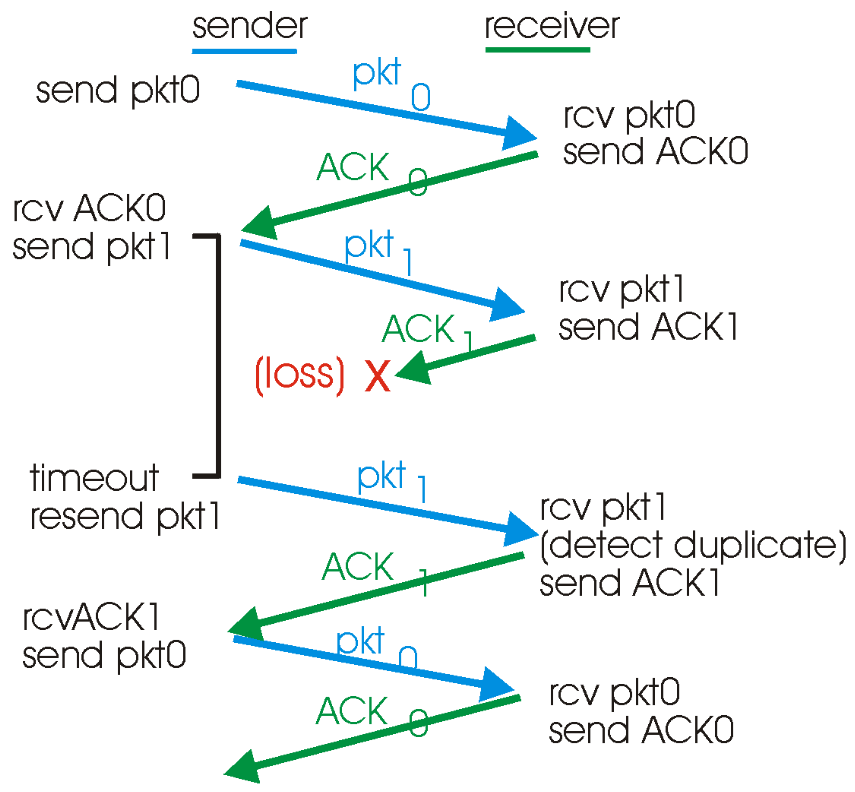


(a) operation with no loss

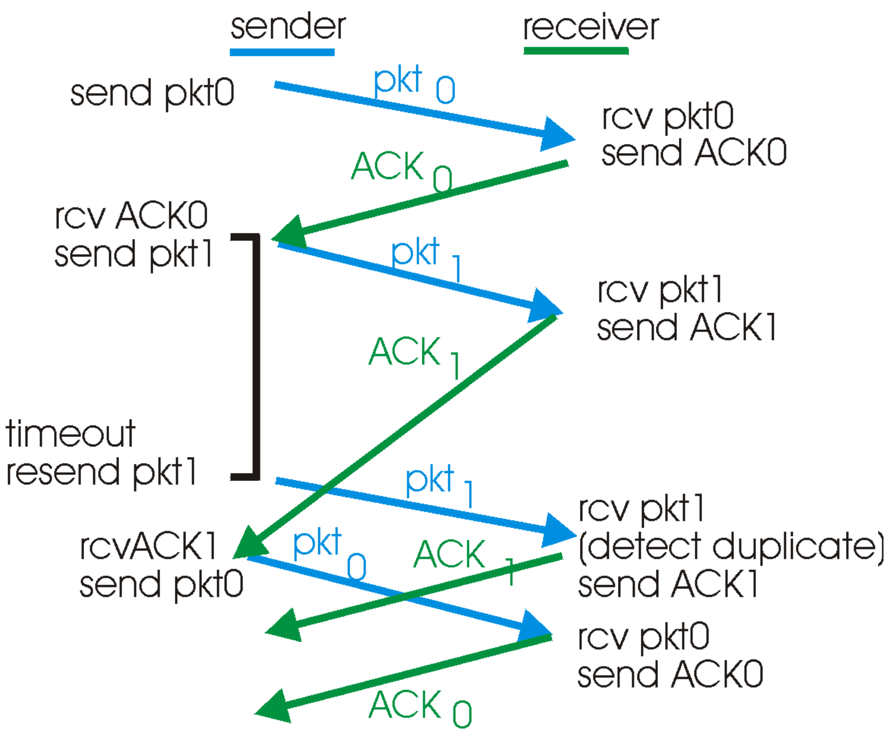


(b) lost packet

rdt3.0 in action



(c) lost ACK



(d) premature timeout

Performance of rdt3.0

- rdt3.0 works, but performance stinks
- example: 1 Gbps link, 15 ms e-e prop. delay, 1KB packet:

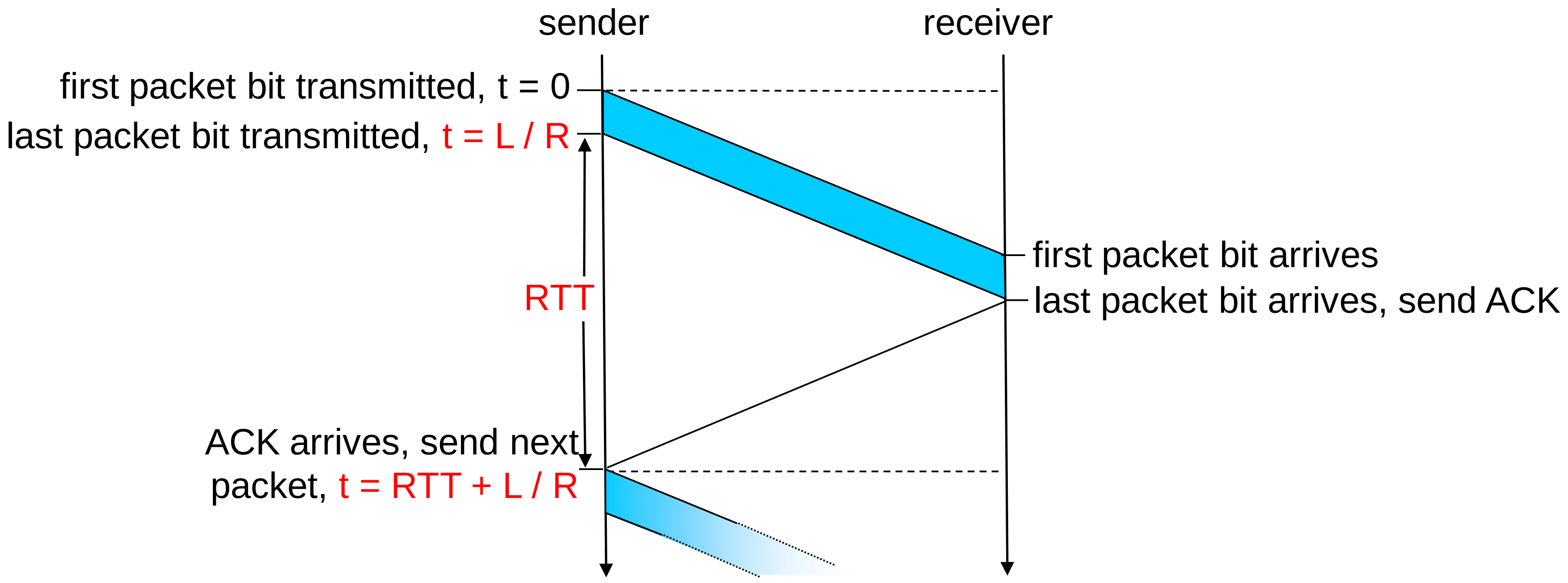
$$T_{\text{transmit}} = \frac{\text{L (packet length in bits)}}{\text{R (transmission rate, bps)}} = \frac{\text{8kb/pkt}}{\text{10**9 b/sec}} = \text{8 microsec}$$

  - U_{sender}: utilization – fraction of time sender busy sending

$$U_{\text{sender}} = \frac{L / R}{RTT + L / R} = \frac{.008}{30.008} = 0.00027$$

  - 1KB pkt every 30 msec -> 33kB/sec thruput over 1 Gbps link
  - network protocol limits use of physical resources!

rdt3.0: stop-and-wait operation



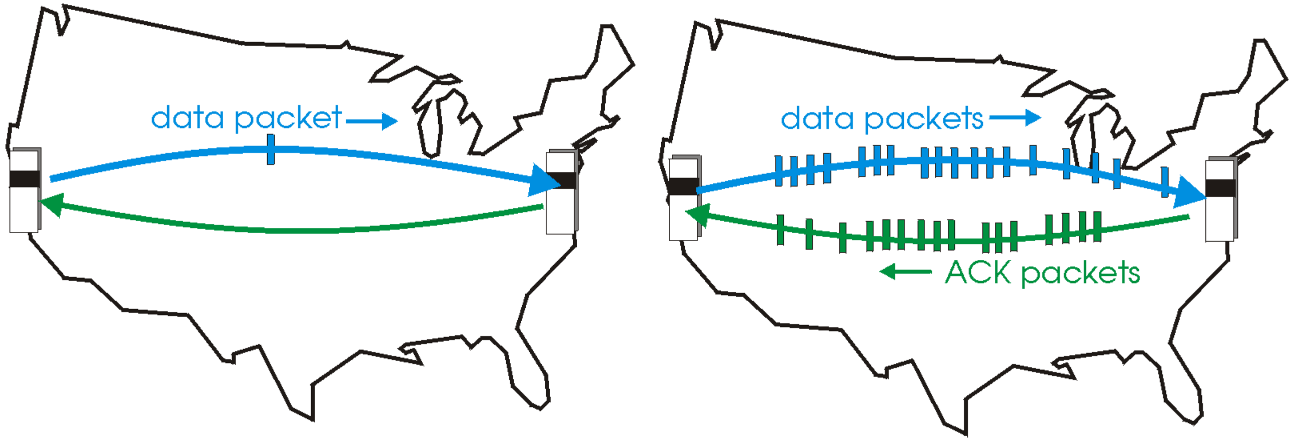
sender
receiver
first packet bit transmitted, t = 0
last packet bit transmitted, t = L / R
RTT
first packet bit arrives
last packet bit arrives, send ACK
ACK arrives, send next packet, t = RTT + L / R

$$U_{\text{sender}} = \frac{L / R}{RTT + L / R} = \frac{.008}{30.008} = 0.00027$$

Pipelined protocols

Pipelining: sender allows multiple, "in-flight", yet-to-be-acknowledged pkts

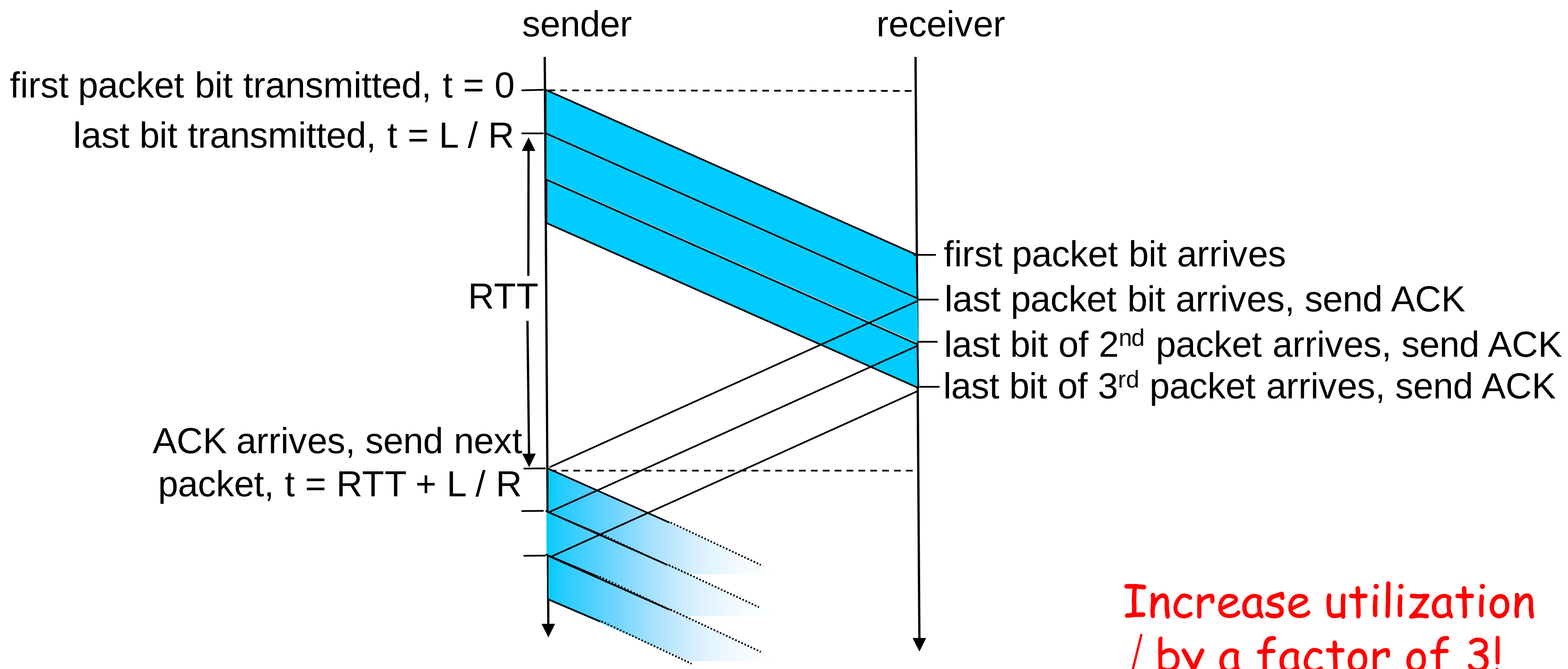
- range of sequence numbers must be increased
- buffering at sender and/or receiver



(a) a stop-and-wait protocol in operation (b) a pipelined protocol in operation

- Two generic forms of pipelined protocols: *go-Back-N, selective repeat*

Pipelining: increased utilization


sender
receiver
first packet bit transmitted, t = 0
last bit transmitted, t = L / R
RTT
ACK arrives, send next packet, t = RTT + L / R
first packet bit arrives
last packet bit arrives, send ACK
last bit of 2nd packet arrives, send ACK
last bit of 3rd packet arrives, send ACK

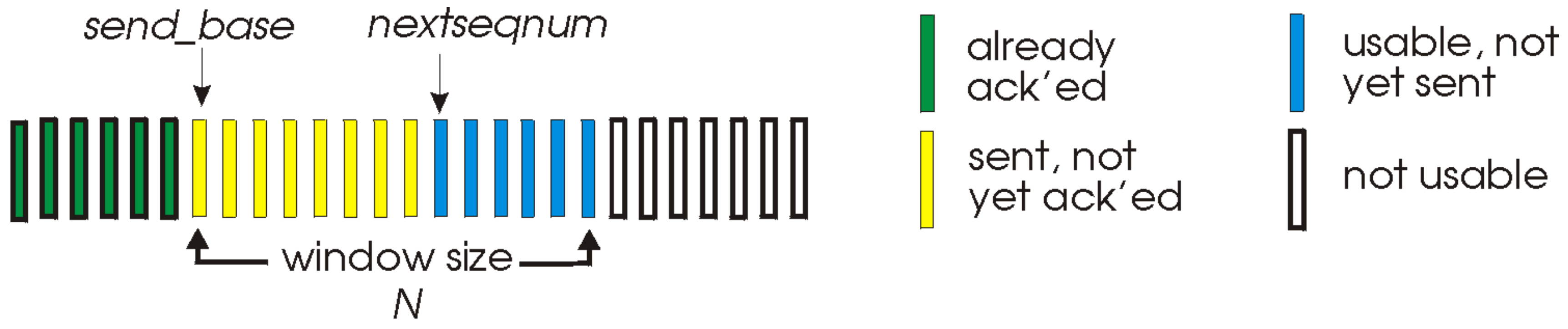
$$U_{\text{sender}} = \frac{3 * L / R}{RTT + L / R} = \frac{.024}{30.008} = 0.0008$$

Increase utilization by a factor of 3!

Go-Back-N

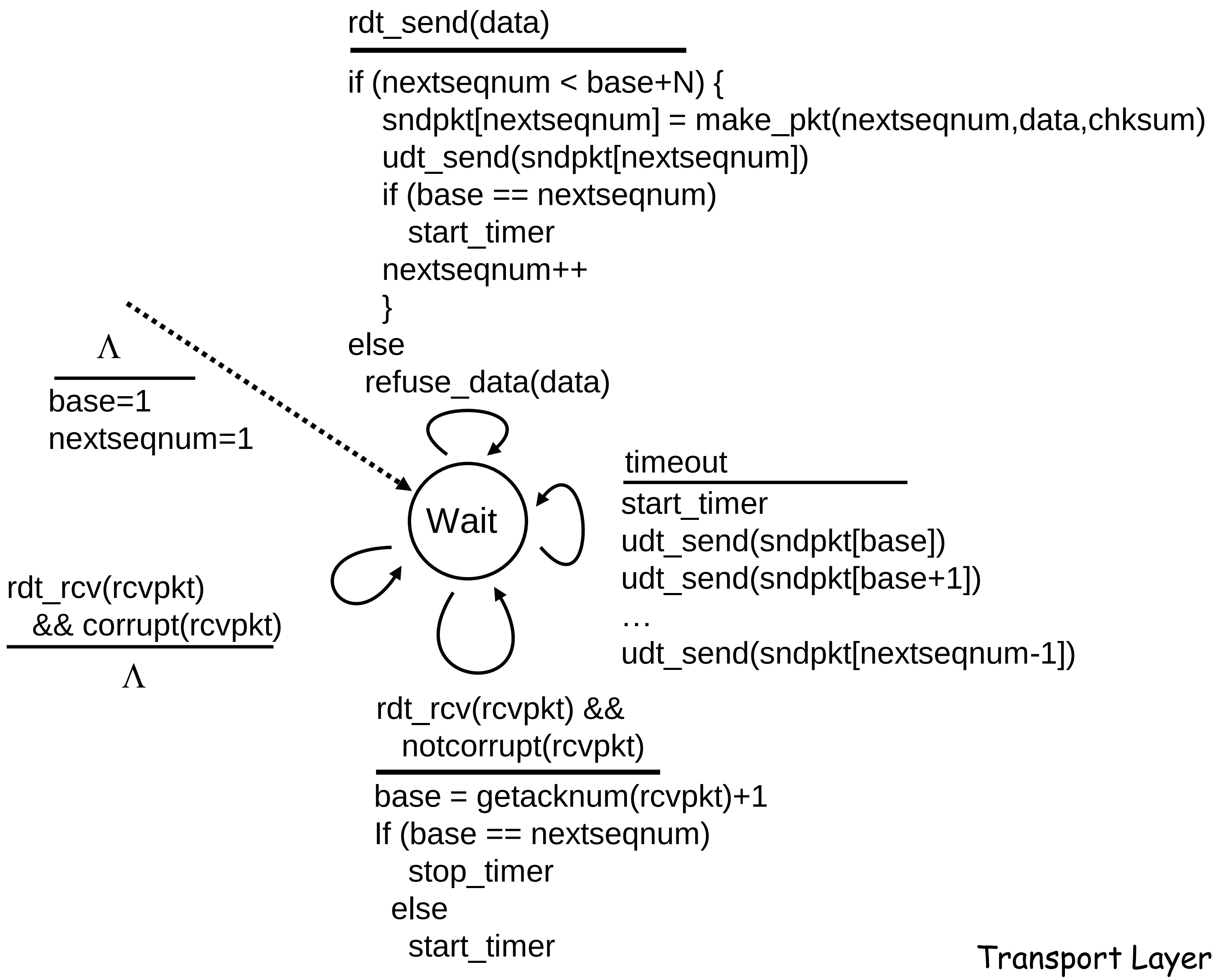
Sender:

- k-bit seq # in pkt header
- "window" of up to N, consecutive unack'ed pkts allowed



- ACK(n): ACKs all pkts up to, including seq # n - "cumulative ACK"
  - may receive duplicate ACKs (see receiver)
- timer for oldest not-yet-acknowledged pkt
- *timeout:* retransmit pkt at base and all higher seq # in window

GBN: sender extended FSM



```
rdt_send(data)
────────────────
if (nextseqnum < base+N) {
    sndpkt[nextseqnum] = make_pkt(nextseqnum,data,chksum)
    udt_send(sndpkt[nextseqnum])
    if (base == nextseqnum)
       start_timer
    nextseqnum++
    }
else
  refuse_data(data)
```

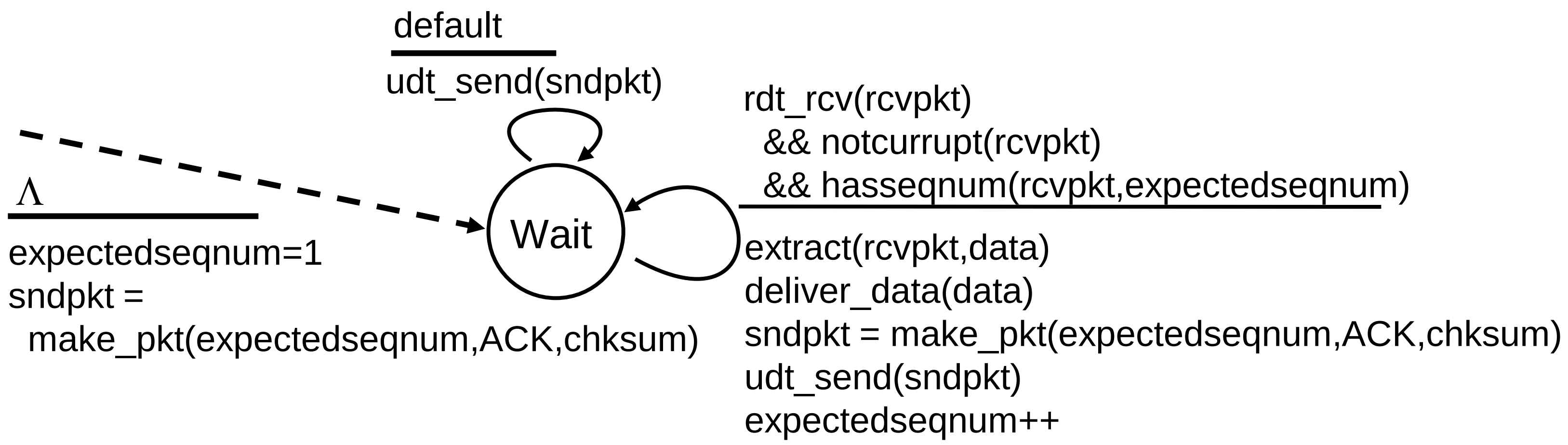
```
Λ
────────────────
base=1
nextseqnum=1
```

```
timeout
────────────────
start_timer
udt_send(sndpkt[base])
udt_send(sndpkt[base+1])
…
udt_send(sndpkt[nextseqnum-1])
```

```
rdt_rcv(rcvpkt)
   && corrupt(rcvpkt)
────────────────
Λ
```

```
rdt_rcv(rcvpkt) &&
   notcorrupt(rcvpkt)
────────────────
base = getacknum(rcvpkt)+1
If (base == nextseqnum)
    stop_timer
  else
    start_timer
```

GBN: receiver extended FSM

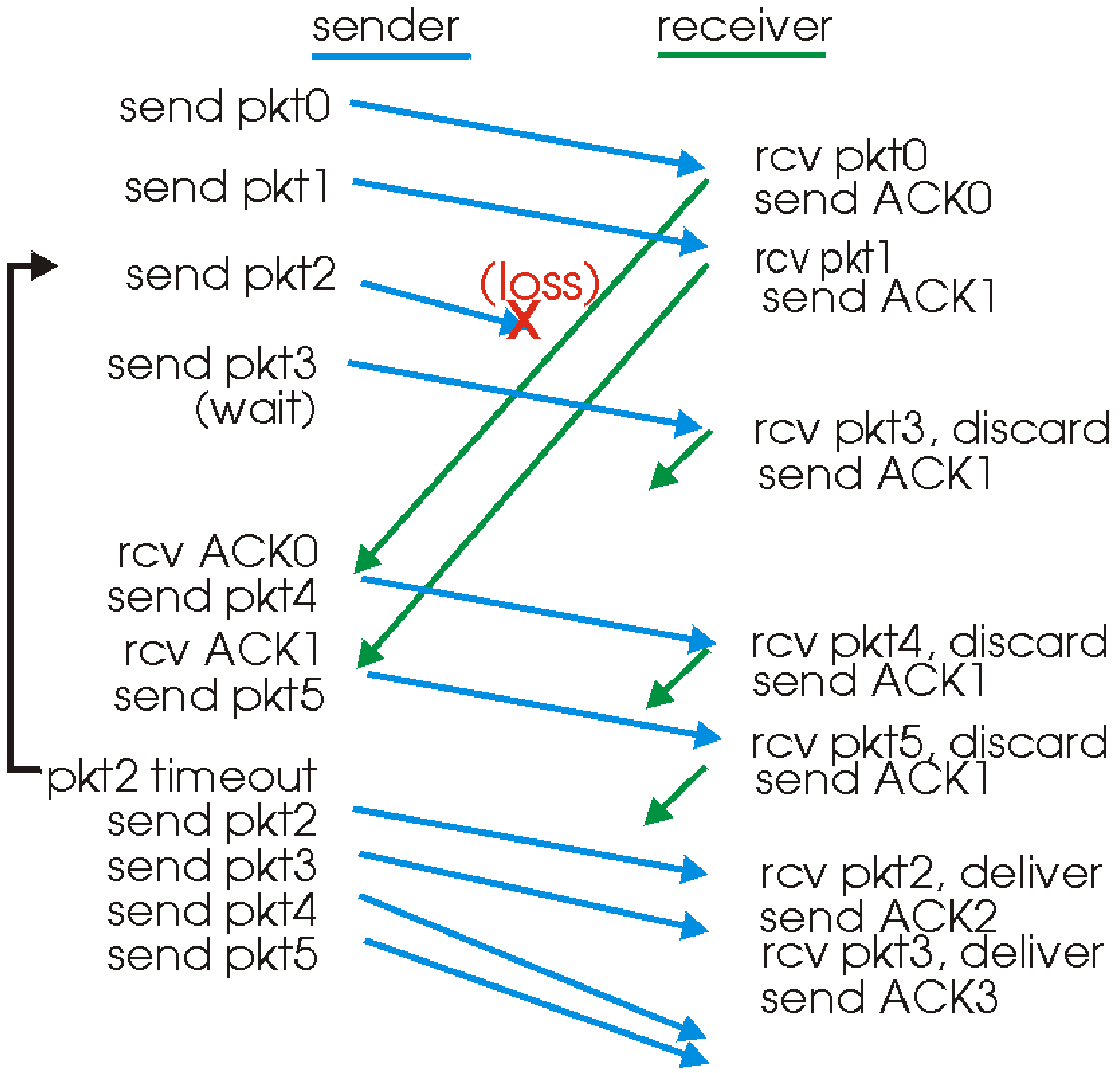


ACK-only: always send ACK for correctly-received pkt with highest *in-order* seq #

- may generate duplicate ACKs
- need only remember **`expectedseqnum`**

- out-of-order pkt:
  - discard (don't buffer) -> no receiver buffering!
  - Re-ACK pkt with highest in-order seq #

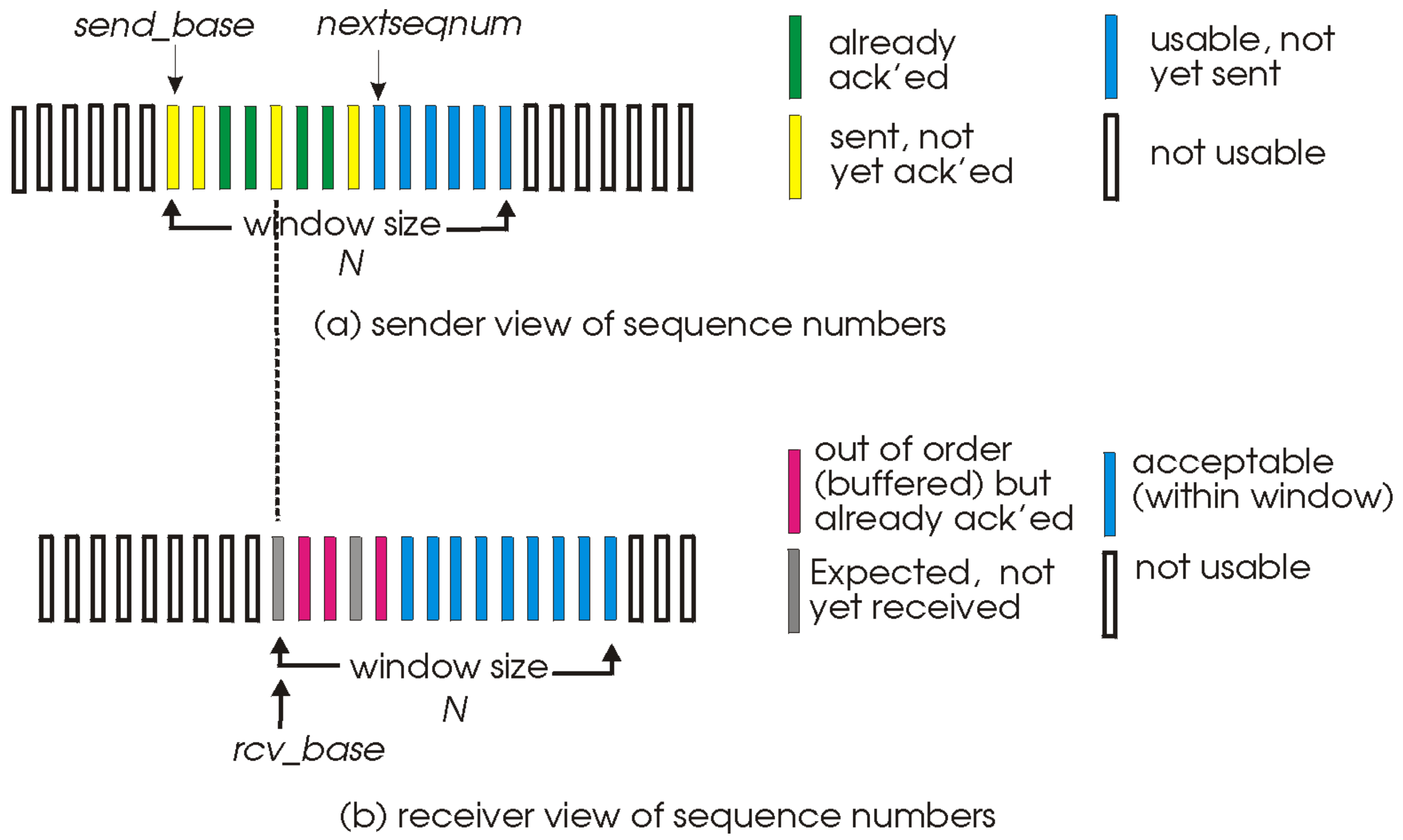
GBN in action



Selective Repeat

- receiver *individually* acknowledges all correctly received pkts
  - buffers pkts, as needed, for eventual in-order delivery to upper layer
- sender only resends pkts for which ACK not received
  - sender timer for each unACKed pkt
- sender window
  - N consecutive seq #'s
  - again limits seq #s of sent, unACKed pkts

Selective repeat: sender, receiver windows


send_base
nextseqnum
window size
N
(a) sender view of sequence numbers
already ack'ed
sent, not yet ack'ed
usable, not yet sent
not usable
out of order (buffered) but already ack'ed
Expected, not yet received
acceptable (within window)
not usable
window size
N
rcv_base
(b) receiver view of sequence numbers

Selective repeat

sender

data from above :

- if next available seq # in window, send pkt

timeout(n):

- resend pkt n, restart timer

ACK(n) in [sendbase,sendbase+N]:

- mark pkt n as received
- if n smallest unACKed pkt, advance window base to next unACKed seq #

receiver

pkt n in [rcvbase, rcvbase+N-1]

- send ACK(n)
- out-of-order: buffer
- in-order: deliver (also deliver buffered, in-order pkts), advance window to next not-yet-received pkt

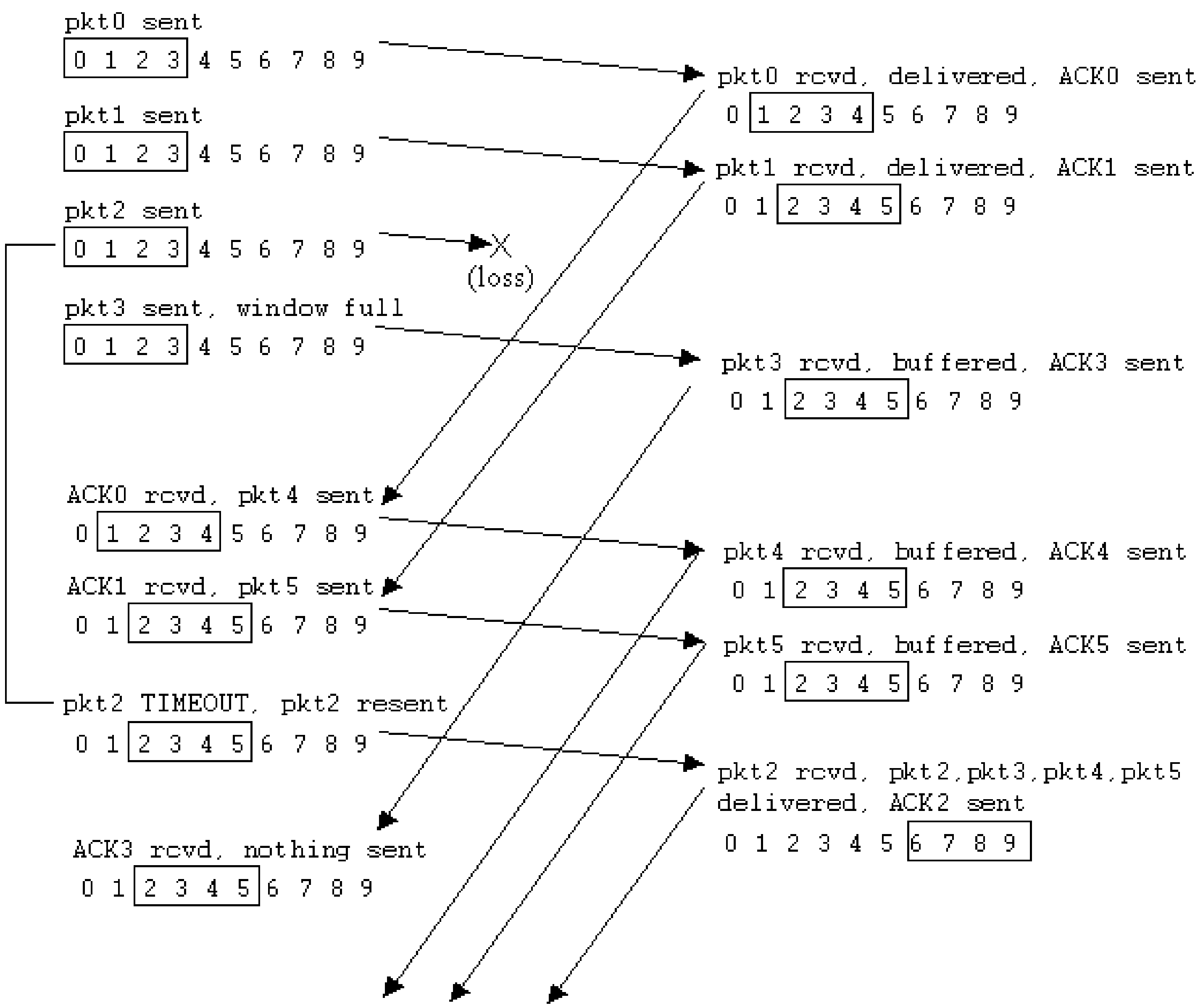
pkt n in [rcvbase-N,rcvbase-1]

- ACK(n)

otherwise:

- ignore

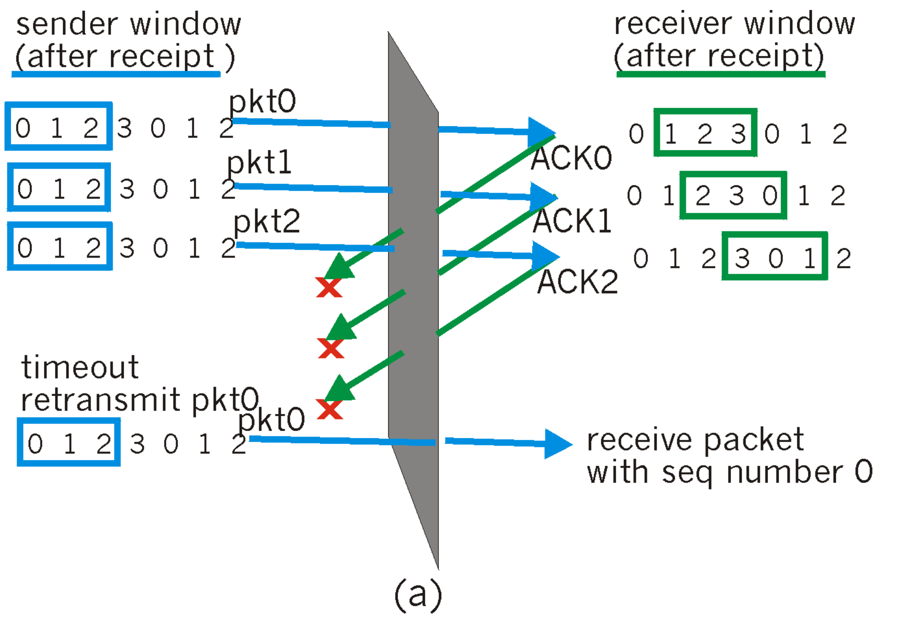
Selective repeat in action



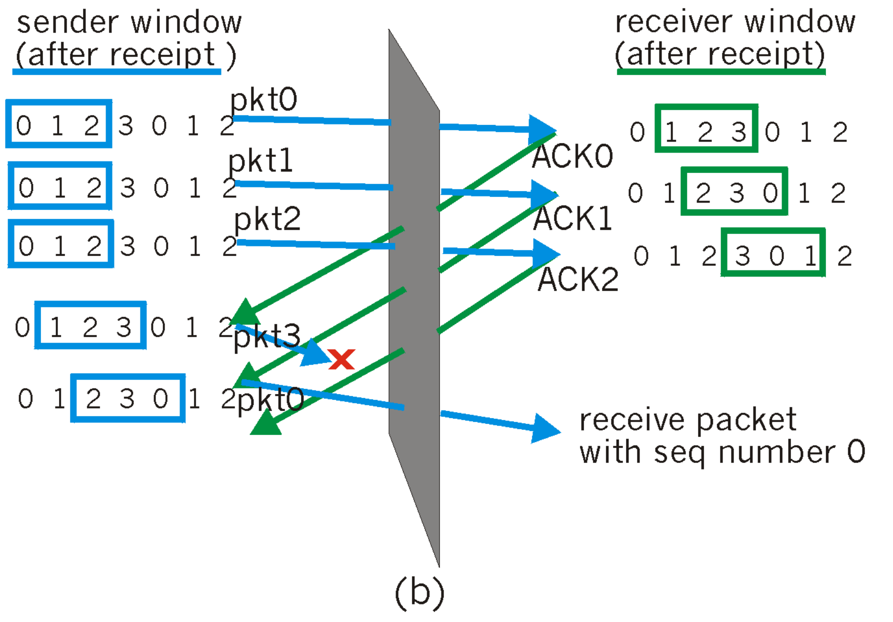
Selective repeat: dilemma

Example:

- seq #'s: 0, 1, 2, 3
- window size=3



sender window (after receipt)
receiver window (after receipt)
0 1 2 3 0 1 2
pkt0
pkt1
pkt2
ACK0
ACK1
ACK2
0 1 2 3 0 1 2
timeout retransmit pkt0
pkt0
receive packet with seq number 0
(a)



sender window (after receipt)
receiver window (after receipt)
0 1 2 3 0 1 2
pkt0
pkt1
pkt2
ACK0
ACK1
ACK2
pkt3
pkt0
receive packet with seq number 0
(b)

- receiver sees no difference in two scenarios!
- incorrectly passes duplicate data as new in (a)

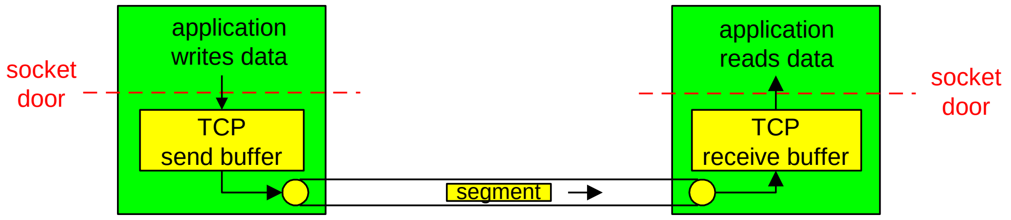
Q: what relationship between seq # size and window size?

Chapter 3 outline

TCP: Overview

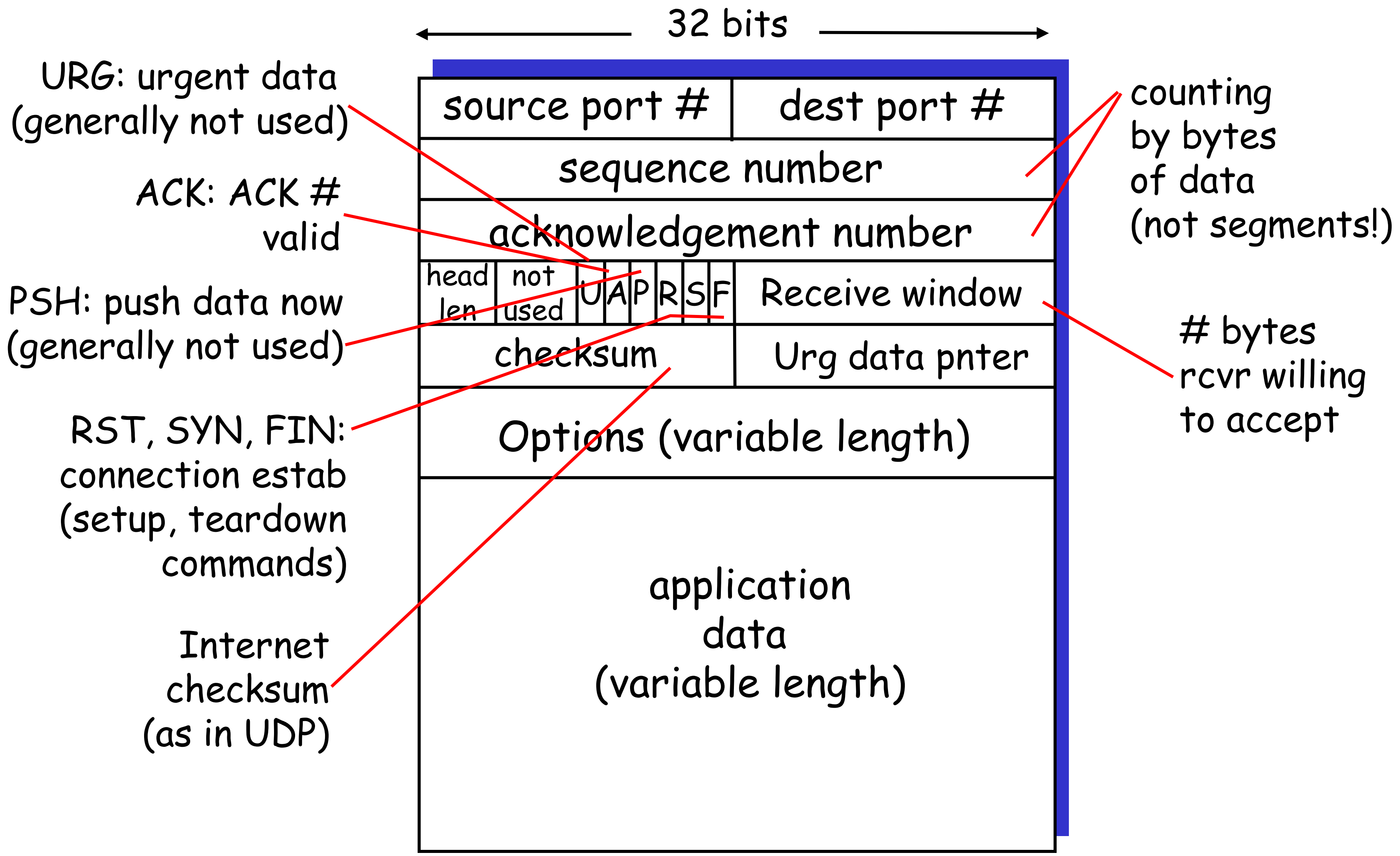
RFCs: 793, 1122, 1323, 2018, 2581

- point-to-point:
  - one sender, one receiver
- reliable, in-order *byte steam:*
  - no "message boundaries"
- pipelined:
  - TCP congestion and flow control set window size
- *send & receive buffers*



- full duplex data:
  - bi-directional data flow in same connection
  - MSS: maximum segment size
- connection-oriented:
  - handshaking (exchange of control msgs) init's sender, receiver state before data exchange
- flow controlled:
  - sender will not overwhelm receiver

TCP segment structure


32 bits
source port #
dest port #
sequence number
acknowledgement number
head len
not used
U
A
P
R
S
F
Receive window
checksum
Urg data pnter
Options (variable length)
application data (variable length)
URG: urgent data (generally not used)
ACK: ACK # valid
PSH: push data now (generally not used)
RST, SYN, FIN: connection estab (setup, teardown commands)
Internet checksum (as in UDP)
counting by bytes of data (not segments!)
# bytes rcvr willing to accept

TCP seq. #'s and ACKs

Seq. #'s:

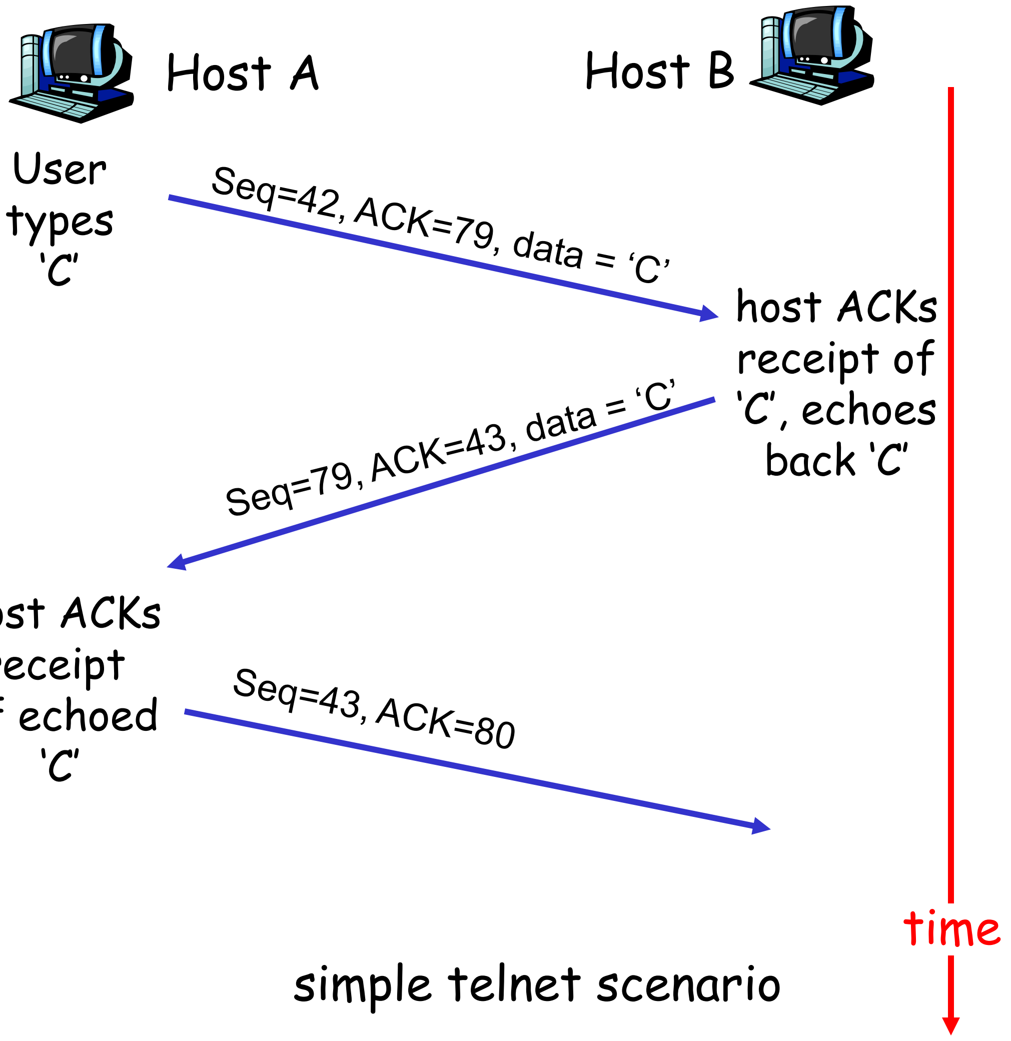
- byte stream "number" of first byte in segment's data

ACKs:

- seq # of next byte expected from other side
- cumulative ACK

Q: how receiver handles out-of-order segments

- A: TCP spec doesn't say, - up to implementor


Host A
Host B
User types 'C'
Seq=42, ACK=79, data = 'C'
host ACKs receipt of 'C', echoes back 'C'
Seq=79, ACK=43, data = 'C'
host ACKs receipt of echoed 'C'
Seq=43, ACK=80
time
simple telnet scenario

TCP Round Trip Time and Timeout

Q: how to set TCP timeout value?

- longer than RTT
  - but RTT varies
- too short: premature timeout
  - unnecessary retransmissions
- too long: slow reaction to segment loss

Q: how to estimate RTT?

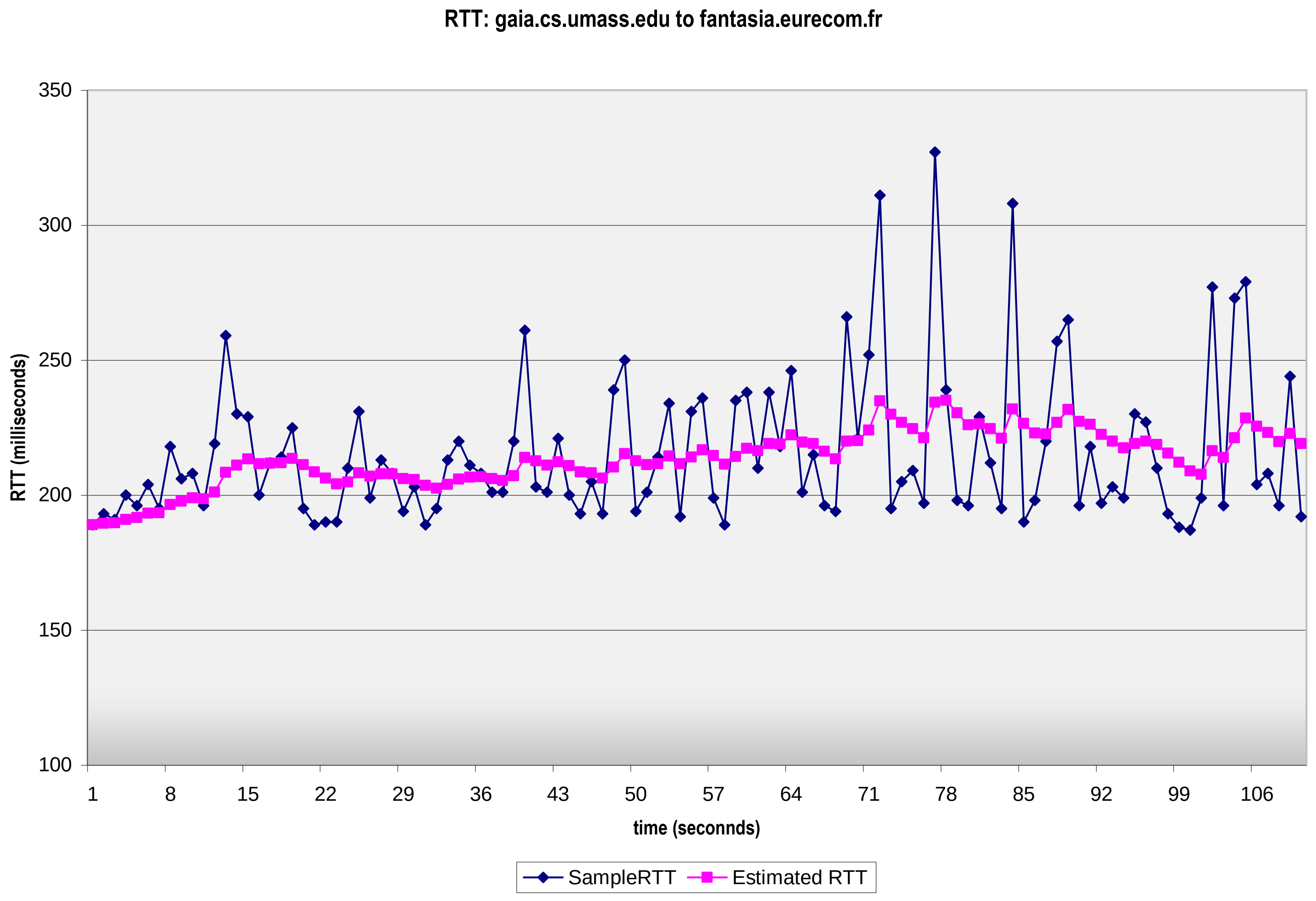
- **`SampleRTT`**: measured time from segment transmission until ACK receipt
  - ignore retransmissions
- **`SampleRTT`** will vary, want estimated RTT "smoother"
  - average several recent measurements, not just current **`SampleRTT`**

TCP Round Trip Time and Timeout

`EstimatedRTT = (1- α)*EstimatedRTT + α*SampleRTT`

- Exponential weighted moving average
- influence of past sample decreases exponentially fast
- typical value: $\alpha = 0.125$

Example RTT estimation:



TCP Round Trip Time and Timeout

Setting the timeout

- **EstimtedRTT** plus "safety margin"
  - large variation in **EstimatedRTT** -> larger safety margin
- first estimate of how much SampleRTT deviates from EstimatedRTT:

```
DevRTT = (1-β)*DevRTT +
             β*|SampleRTT-EstimatedRTT|

(typically, β = 0.25)
```

Then set timeout interval:

```
TimeoutInterval = EstimatedRTT + 4*DevRTT
```

Chapter 3 outline

TCP reliable data transfer

- TCP creates rdt service on top of IP's unreliable service
- Pipelined segments
- Cumulative acks
- TCP uses single retransmission timer
- Retransmissions are triggered by:
  - timeout events
  - duplicate acks
- Initially consider simplified TCP sender:
  - ignore duplicate acks
  - ignore flow control, congestion control

TCP sender events:

data rcvd from app:

- Create segment with seq #
- seq # is byte-stream number of first data byte in segment
- start timer if not already running (think of timer as for oldest unacked segment)
- expiration interval: `TimeOutInterval`

timeout:

- retransmit segment that caused timeout
- restart timer

Ack rcvd:

- If acknowledges previously unacked segments
  - update what is known to be acked
  - start timer if there are outstanding segments

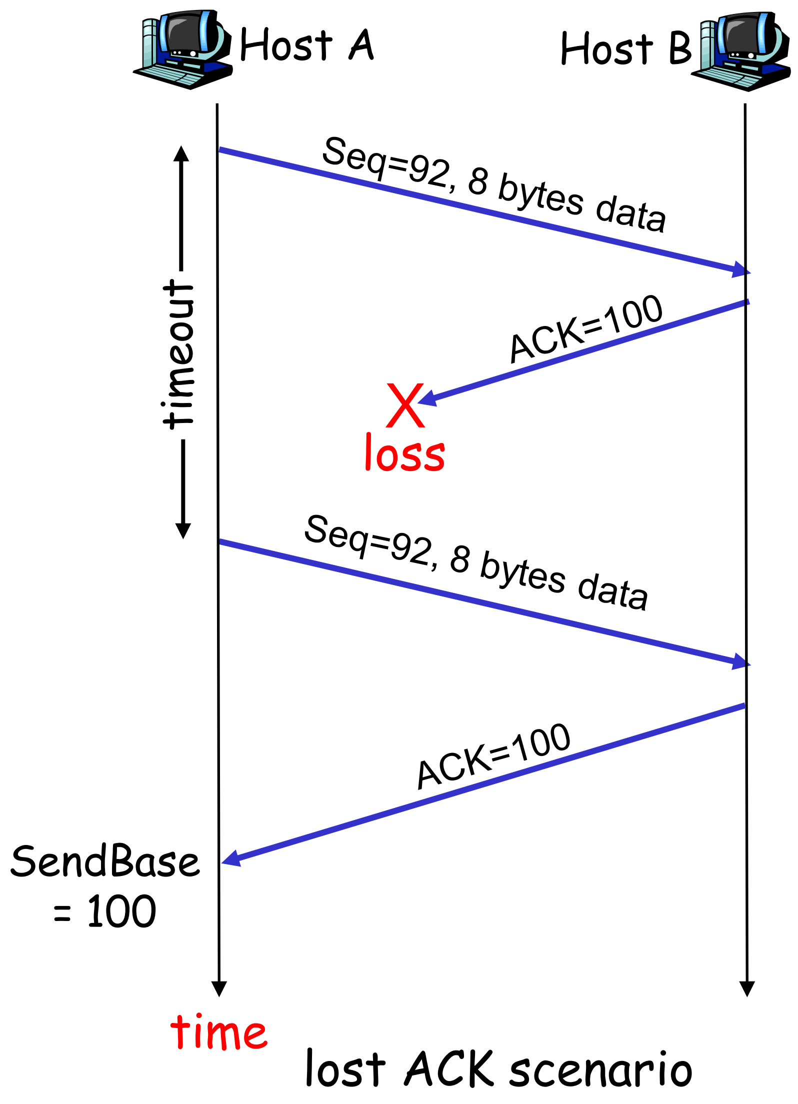
TCP sender (simplified)

```
NextSeqNum = InitialSeqNum
SendBase = InitialSeqNum

loop (forever) {
  switch(event)

  event: data received from application above
      create TCP segment with sequence number NextSeqNum
      if (timer currently not running)
          start timer
      pass segment to IP
      NextSeqNum = NextSeqNum + length(data)

  event: timer timeout
      retransmit not-yet-acknowledged segment with
           smallest sequence number
      start timer

  event: ACK received, with ACK field value of y
      if (y > SendBase) {
          SendBase = y
          if (there are currently not-yet-acknowledged segments)
               start timer
          }

} /* end of loop forever */
```

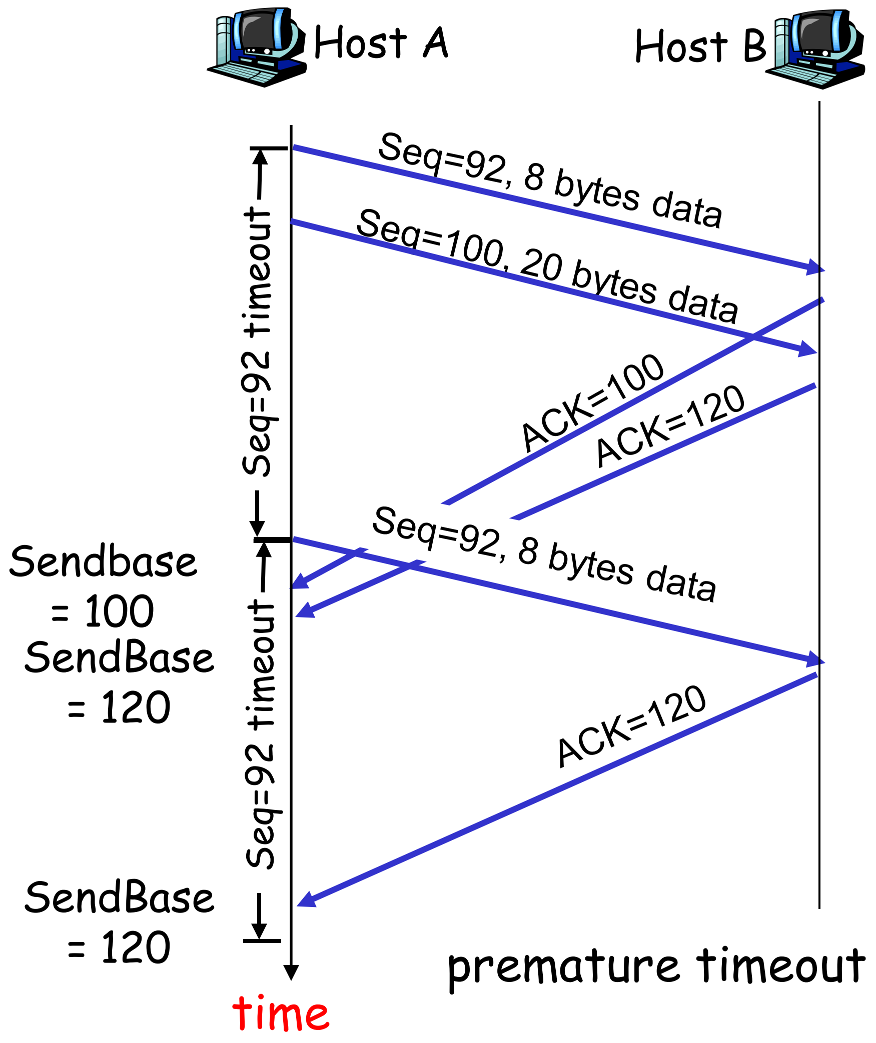
Comment:
- SendBase-1: last cumulatively ack'ed byte

Example:
- SendBase-1 = 71; y= 73, so the rcvr wants 73+ ; y > SendBase, so that new data is acked

TCP: retransmission scenarios

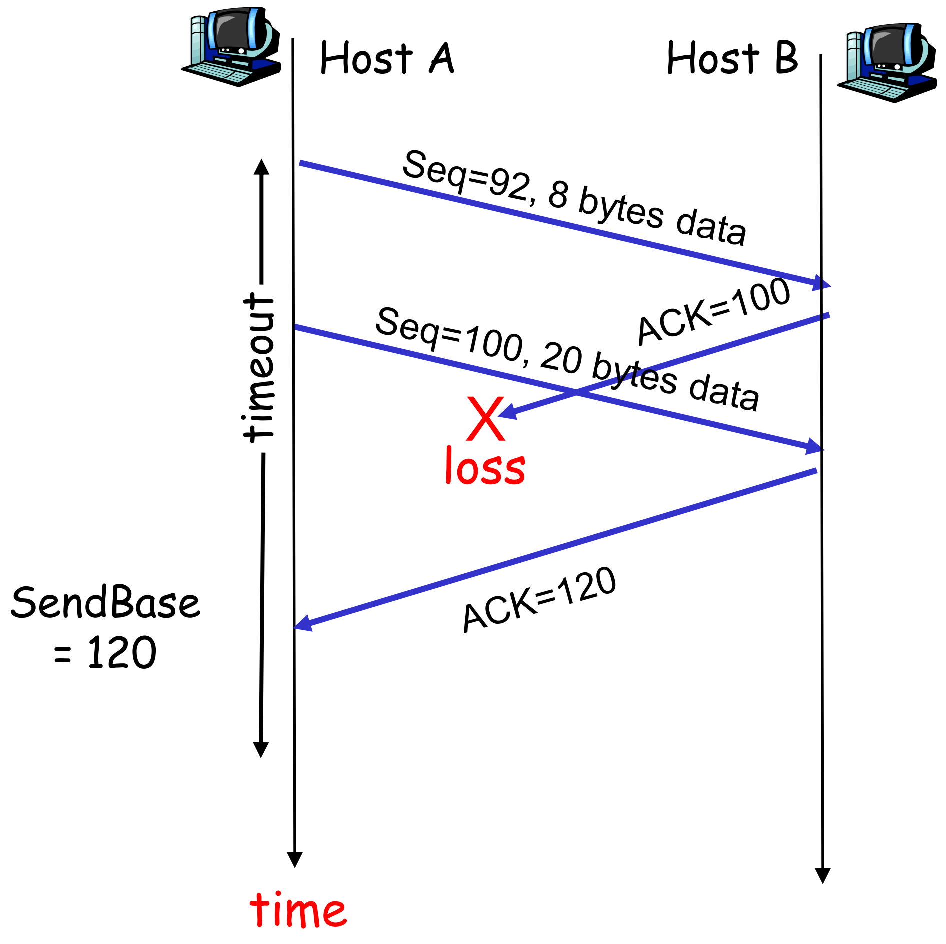


lost ACK scenario



premature timeout

TCP retransmission scenarios (more)



Cumulative ACK scenario

TCP ACK generation [RFC 1122, RFC 2581]

Event at Receiver	TCP Receiver action
Arrival of in-order segment with expected seq #. All data up to expected seq # already ACKed	Delayed ACK. Wait up to 500ms for next segment. If no next segment, send ACK
Arrival of in-order segment with expected seq #. One other segment has ACK pending	Immediately send single cumulative ACK, ACKing both in-order segments
Arrival of out-of-order segment higher-than-expect seq. # . Gap detected	Immediately send *duplicate ACK*, indicating seq. # of next expected byte
Arrival of segment that partially or completely fills gap	Immediate send ACK, provided that segment starts at lower end of gap

Fast Retransmit

- Time-out period often relatively long:
  - long delay before resending lost packet
- Detect lost segments via duplicate ACKs.
  - Sender often sends many segments back-to-back
  - If segment is lost, there will likely be many duplicate ACKs.
- If sender receives 3 ACKs for the same data, it supposes that segment after ACKed data was lost:
  - fast retransmit: resend segment before timer expires

Fast retransmit algorithm:

```
event: ACK received, with ACK field value of y
          if (y > SendBase) {
              SendBase = y
              if (there are currently not-yet-acknowledged segments)
                  start timer
            }
          else {
               increment count of dup ACKs received for y
               if (count of dup ACKs received for y = 3) {
                   resend segment with sequence number y
                }
```

a duplicate ACK for already ACKed segment

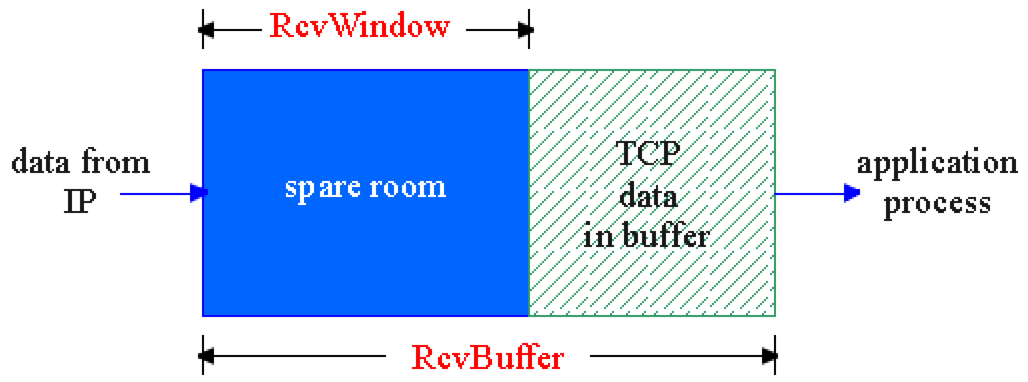
fast retransmit

Chapter 3 outline

- 3.1 Transport-layer services
- 3.2 Multiplexing and demultiplexing
- 3.3 Connectionless transport: UDP
- 3.4 Principles of reliable data transfer
- 3.5 Connection-oriented transport: TCP
  - segment structure
  - reliable data transfer
  - flow control
  - connection management
- 3.6 Principles of congestion control
- 3.7 TCP congestion control

TCP Flow Control

- receive side of TCP connection has a receive buffer:



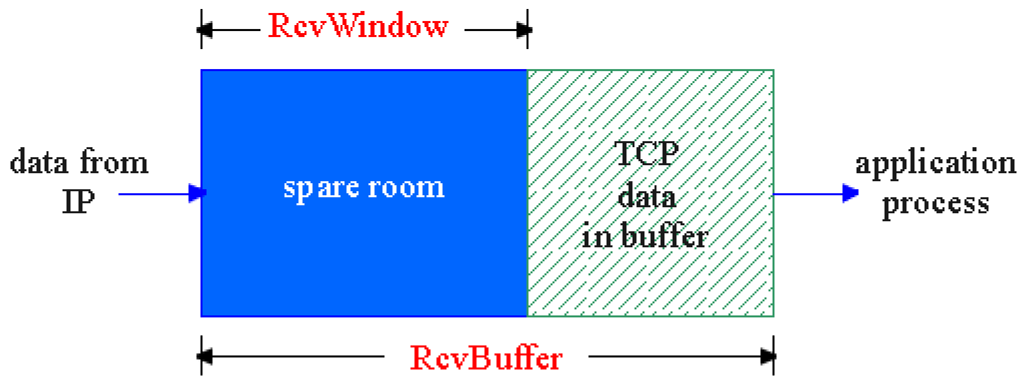
- app process may be slow at reading from buffer

flow control

sender won't overflow receiver's buffer by transmitting too much, too fast

- speed-matching service: matching the send rate to the receiving app's drain rate

TCP Flow control: how it works



(Suppose TCP receiver discards out-of-order segments)

- spare room in buffer

`= RcvWindow`

`= RcvBuffer-[LastByteRcvd - LastByteRead]`

- Rcvr advertises spare room by including value of **`RcvWindow`** in segments
- Sender limits unACKed data to **`RcvWindow`**
  - guarantees receive buffer doesn't overflow

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TCP Connection Management

Recall: TCP sender, receiver establish "connection" before exchanging data segments

- initialize TCP variables:
  - seq. #s
  - buffers, flow control info (e.g. `RcvWindow`)
- *client:* connection initiator

```
Socket clientSocket = new
 Socket("hostname","port

 number");
```

- *server:* contacted by client

```
Socket connectionSocket =
 welcomeSocket.accept();
```

Three way handshake:

Step 1: client host sends TCP SYN segment to server
- specifies initial seq #
- no data

Step 2: server host receives SYN, replies with SYNACK segment
- server allocates buffers
- specifies server initial seq. #

Step 3: client receives SYNACK, replies with ACK segment, which may contain data

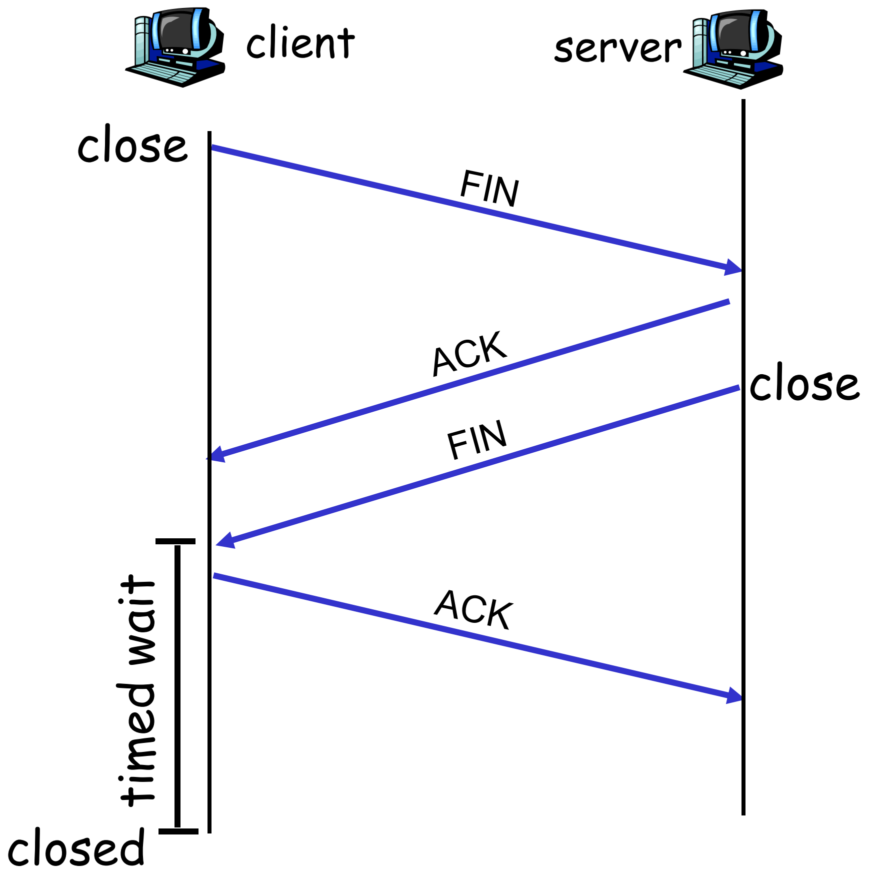
TCP Connection Management (cont.)

Closing a connection:

client closes socket:
    `clientSocket.close();`

Step 1: client end system sends TCP FIN control segment to server

Step 2: server receives FIN, replies with ACK. Closes connection, sends FIN.



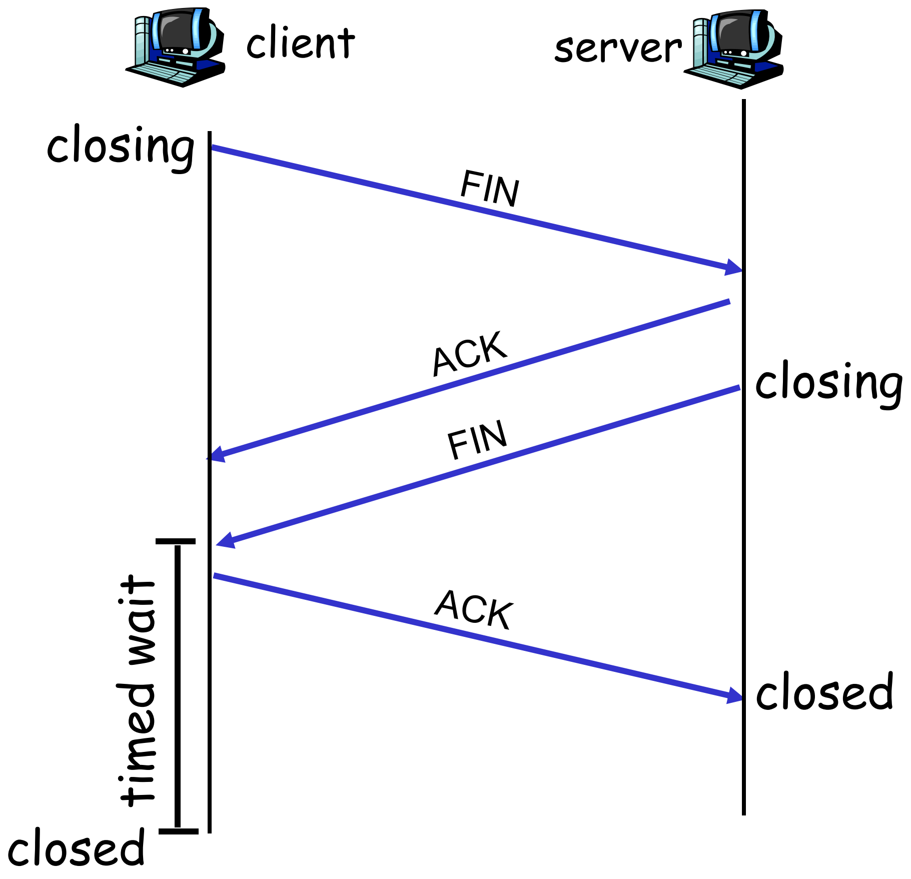
TCP Connection Management (cont.)

Step 3: client receives FIN, replies with ACK.

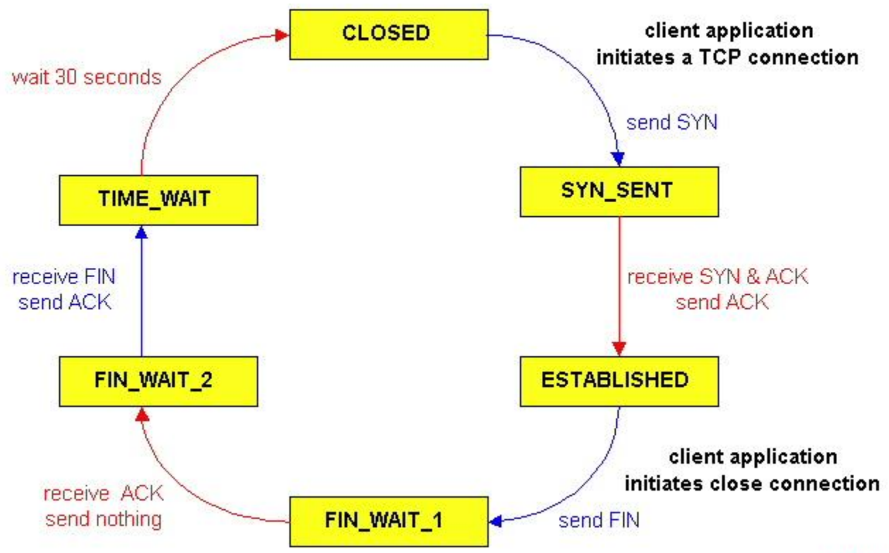
- Enters "timed wait" - will respond with ACK to received FINs

Step 4: server, receives ACK. Connection closed.

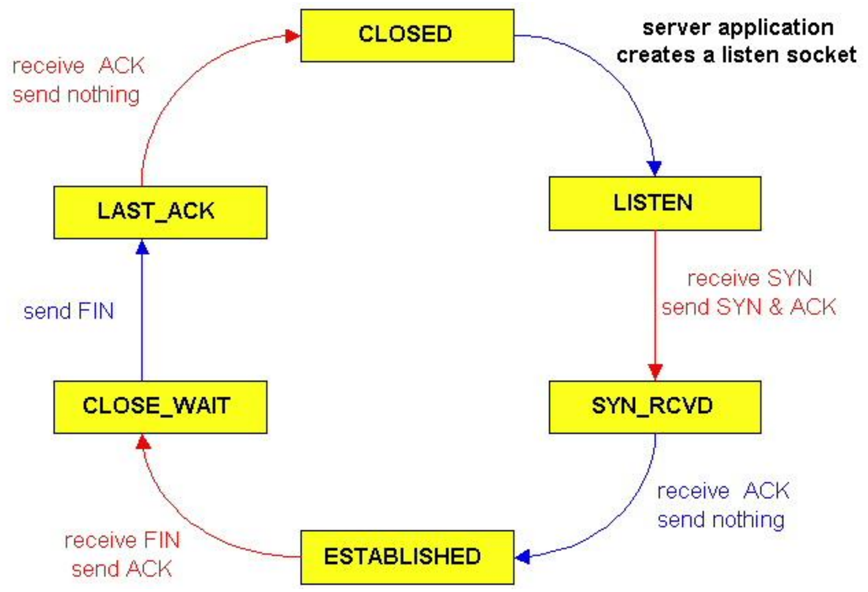
Note: with small modification, can handle simultaneous FINs.



TCP Connection Management (cont)



TCP client lifecycle



TCP server lifecycle

Chapter 3 outline

- 3.1 Transport-layer services
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- 3.7 TCP congestion control

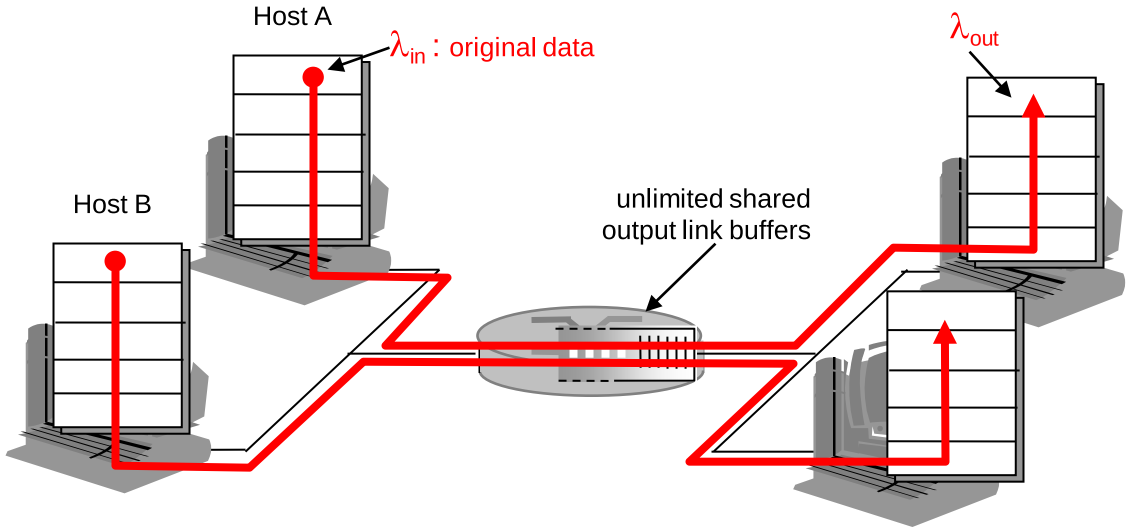
Principles of Congestion Control

Congestion:

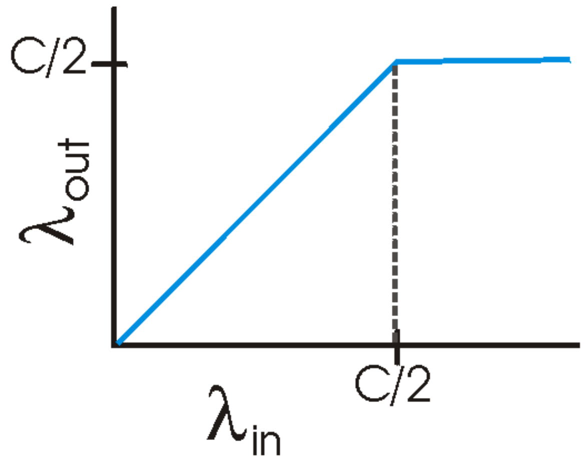
- informally: "too many sources sending too much data too fast for *network* to handle"
- different from flow control!
- manifestations:
  - lost packets (buffer overflow at routers)
  - long delays (queueing in router buffers)
- a top-10 problem!

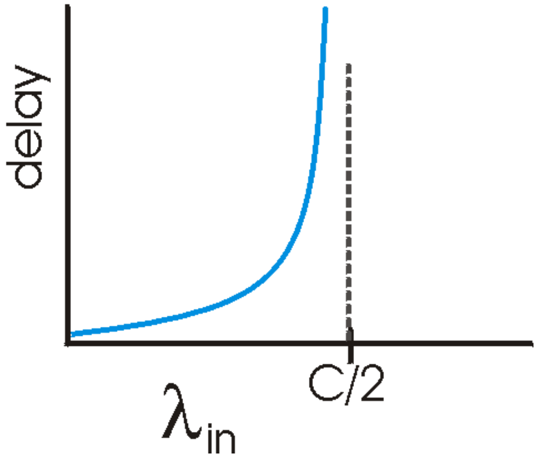
Causes/costs of congestion: scenario 1

- two senders, two receivers
- one router, infinite buffers
- no retransmission



Host A
λ_{in} : original data
λ_{out}
Host B
unlimited shared output link buffers

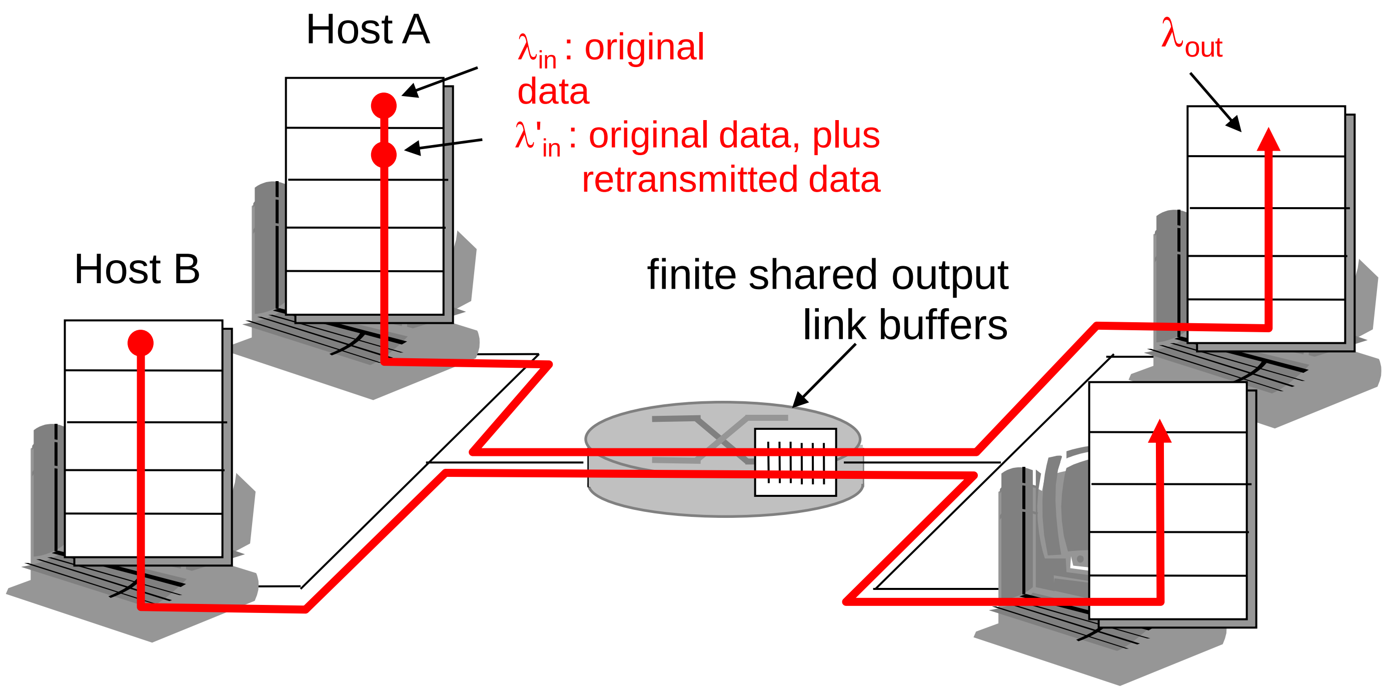




- large delays when congested
- maximum achievable throughput

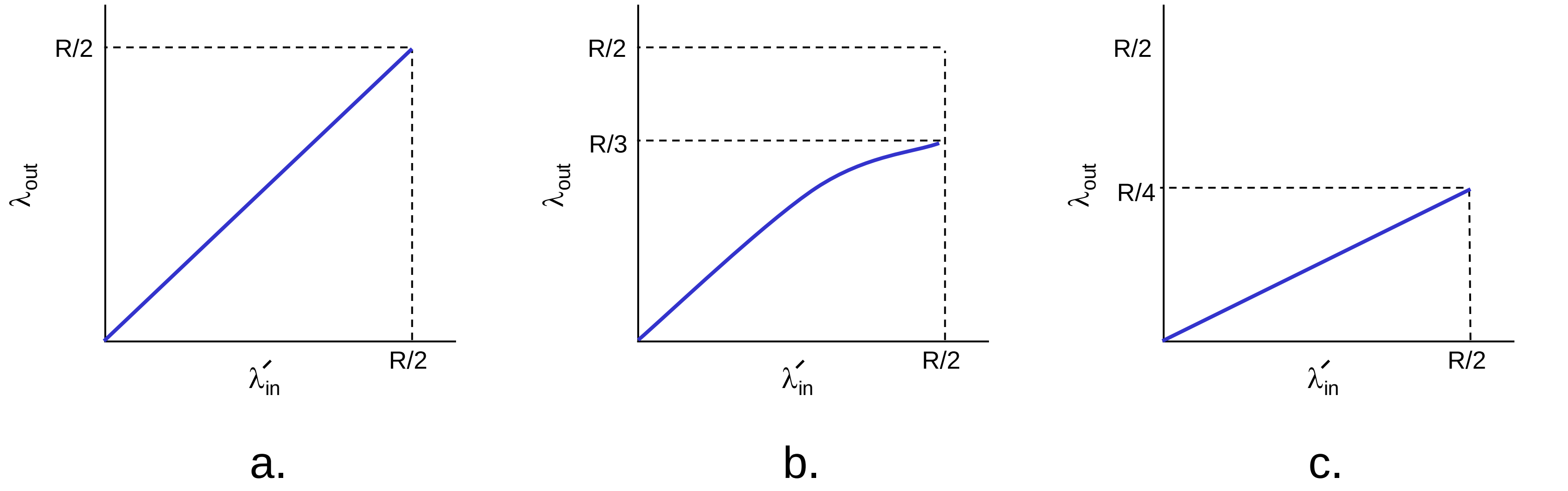
Causes/costs of congestion: scenario 2

- one router, *finite* buffers
- sender retransmission of lost packet


Host A
λ_{in} : original data
λ'_{in} : original data, plus retransmitted data
λ_{out}
Host B
finite shared output link buffers

Causes/costs of congestion: scenario 2

- always: $\lambda_{in} = \lambda_{out}$ (goodput)
- "perfect" retransmission only when loss: $\lambda'_{in} > \lambda_{out}$
- retransmission of delayed (not lost) packet makes λ'_{in} larger (than perfect case) for same λ_{out}



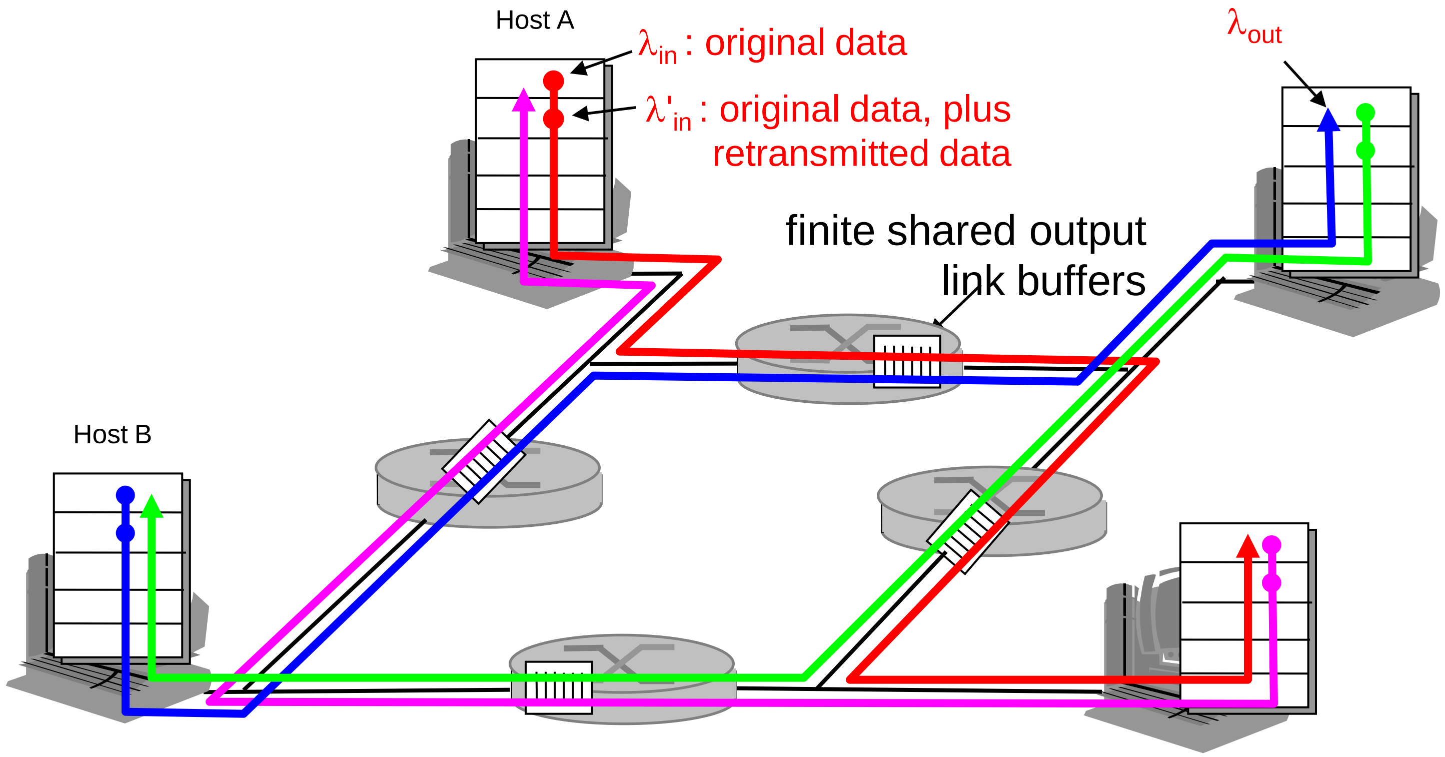
"costs" of congestion:

- more work (retrans) for given "goodput"
- unneeded retransmissions: link carries multiple copies of pkt

Causes/costs of congestion: scenario 3

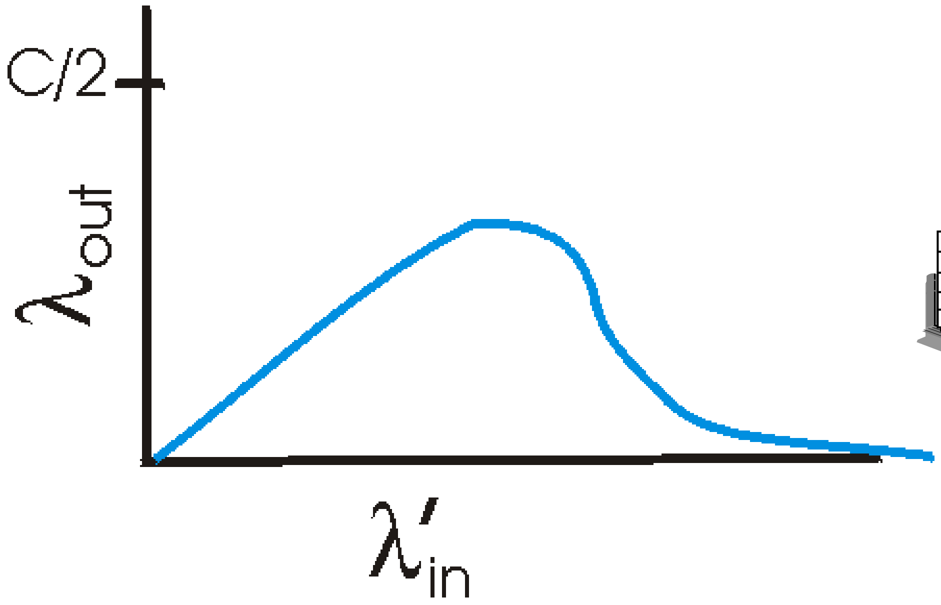
- four senders
- multihop paths
- timeout/retransmit

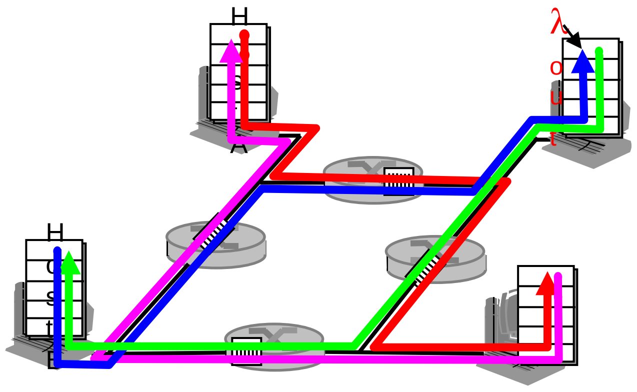
Q: what happens as λ_{in} and λ'_{in} increase ?



Host A
λ_{in} : original data
λ'_{in} : original data, plus retransmitted data
λ_{out}
finite shared output link buffers
Host B

Causes/costs of congestion: scenario 3





Another "cost" of congestion:

- when packet dropped, any "upstream transmission capacity used for that packet was wasted!

Approaches towards congestion control

Two broad approaches towards congestion control:

End-end congestion control:

- no explicit feedback from network
- congestion inferred from end-system observed loss, delay
- approach taken by TCP

Network-assisted congestion control:

- routers provide feedback to end systems
  - single bit indicating congestion (SNA, DECbit, TCP/IP ECN, ATM)
  - explicit rate sender should send at

Chapter 3 outline

TCP congestion control

- How to detect congestion?
- How to react to congestion?
- How to adjust to congestion state?

TCP Congestion Control: details

How does sender perceive congestion?

- loss event = timeout *or* 3 duplicate acks
- TCP sender reduces rate (`CongWin`) after loss event

three mechanisms:

- AIMD
- slow start
- conservative after timeout events

- sender limits transmission:

  `LastByteSent-LastByteAcked` $\leq$ `CongWin`

- Roughly,

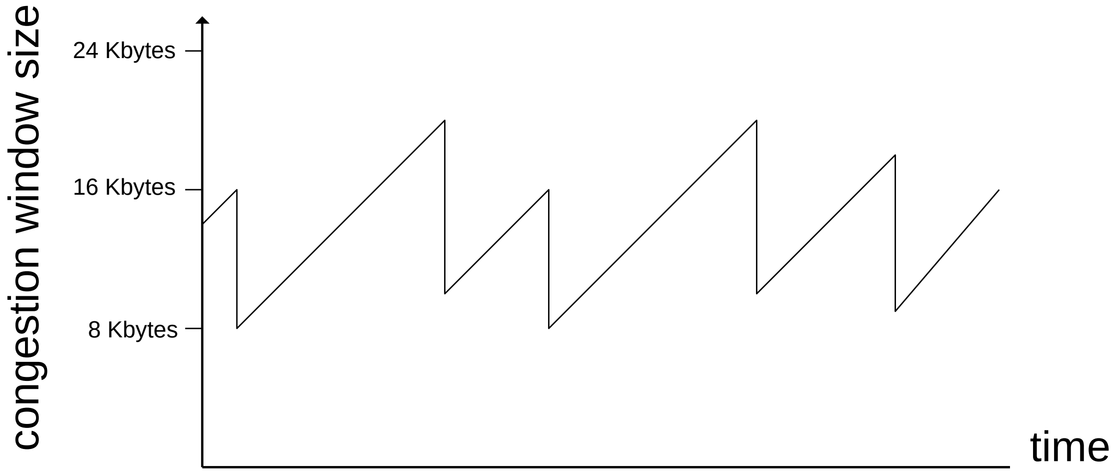
$$\text{rate} = \frac{\text{CongWin}}{\text{RTT}} \text{ Bytes/sec}$$

- `CongWin` is dynamic, function of perceived network congestion

TCP congestion control: additive increase, multiplicative decrease

- *Approach:* increase transmission rate (window size), probing for usable bandwidth, until loss occurs
  - *additive increase:* increase **CongWin** by 1 MSS every RTT until loss detected
  - *multiplicative decrease*: cut **CongWin** in half after loss

Saw tooth behavior: probing for bandwidth



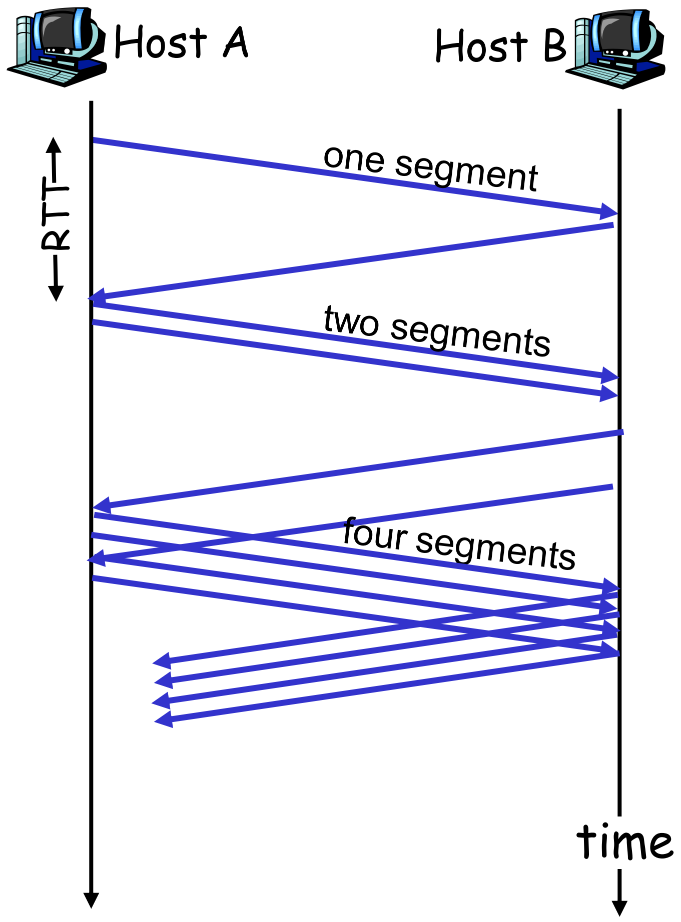
TCP Slow Start

- When connection begins, `CongWin` = 1 MSS
  - Example: MSS = 500 bytes & RTT = 200 msec
  - initial rate = 20 kbps
- available bandwidth may be >> MSS/RTT
  - desirable to quickly ramp up to respectable rate

- When connection begins, increase rate exponentially fast until first loss event

TCP Slow Start (more)

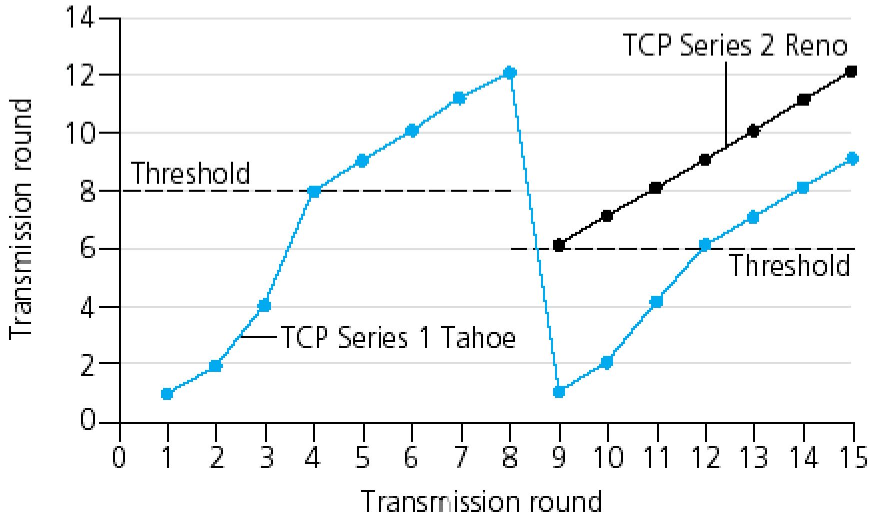
- When connection begins, increase rate exponentially until first loss event:
    - double `CongWin` every RTT
    - done by incrementing `CongWin` for every ACK received
- Summary: initial rate is slow but ramps up exponentially fast



Refinement

Q: When should the exponential increase switch to linear?

A: When **`CongWin`** gets to 1/2 of its value before timeout.



Implementation:

- Variable Threshold
- At loss event, Threshold is set to 1/2 of CongWin just before loss event

Refinement: inferring loss

- After 3 dup ACKs:
  - `CongWin` is cut in half
  - window then grows linearly
- But after timeout event:
  - `CongWin` instead set to 1 MSS;
  - window then grows exponentially
  - to a threshold, then grows linearly

Philosophy:

- 3 dup ACKs indicates network capable of delivering some segments
- timeout indicates a "more alarming" congestion scenario

Summary: TCP Congestion Control

- When **CongWin** is below **Threshold**, sender in slow-start phase, window grows exponentially.
- When **CongWin** is above **Threshold**, sender is in congestion-avoidance phase, window grows linearly.
- When a triple duplicate ACK occurs, **Threshold** set to **CongWin/2** and **CongWin** set to **Threshold**.
- When timeout occurs, **Threshold** set to **CongWin/2** and **CongWin** is set to 1 MSS.

TCP sender congestion control

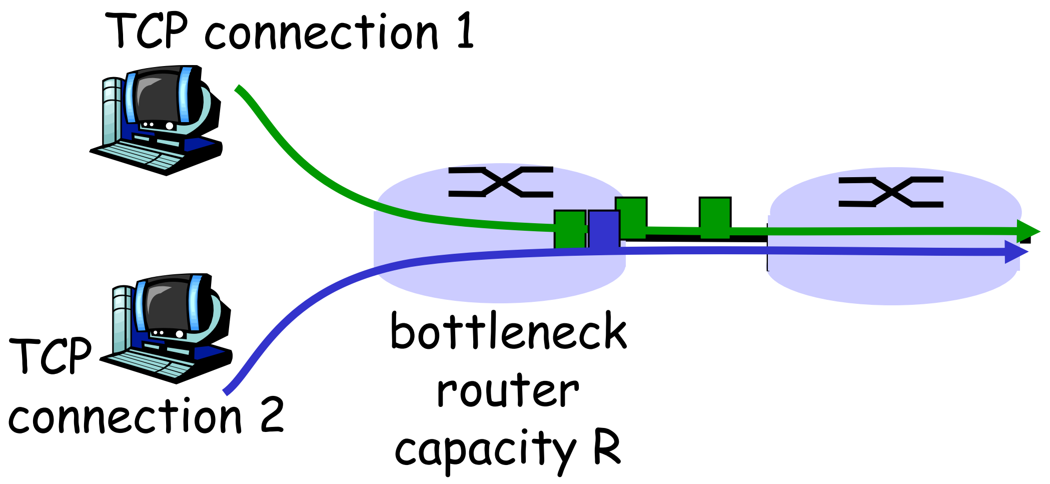
State	Event	TCP Sender Action	Commentary
Slow Start (SS)	ACK receipt for previously unacked data	CongWin = CongWin + MSS, If (CongWin > Threshold) set state to “Congestion Avoidance”	Resulting in a doubling of CongWin every RTT
Congestion Avoidance (CA)	ACK receipt for previously unacked data	CongWin = CongWin+MSS * (MSS/CongWin)	Additive increase, resulting in increase of CongWin by 1 MSS every RTT
SS or CA	Loss event detected by triple duplicate ACK	Threshold = CongWin/2, CongWin = Threshold, Set state to “Congestion Avoidance”	Fast recovery, implementing multiplicative decrease. CongWin will not drop below 1 MSS.
SS or CA	Timeout	Threshold = CongWin/2, CongWin = 1 MSS, Set state to “Slow Start”	Enter slow start
SS or CA	Duplicate ACK	Increment duplicate ACK count for segment being acked	CongWin and Threshold not changed

TCP throughput

- What's the average throughout of TCP as a function of window size and RTT?
  - Ignore slow start
- Let W be the window size when loss occurs.
- When window is W, throughput is W/RTT
- Just after loss, window drops to W/2, throughput to W/2RTT.
- Average throughout: .75 W/RTT

TCP Fairness

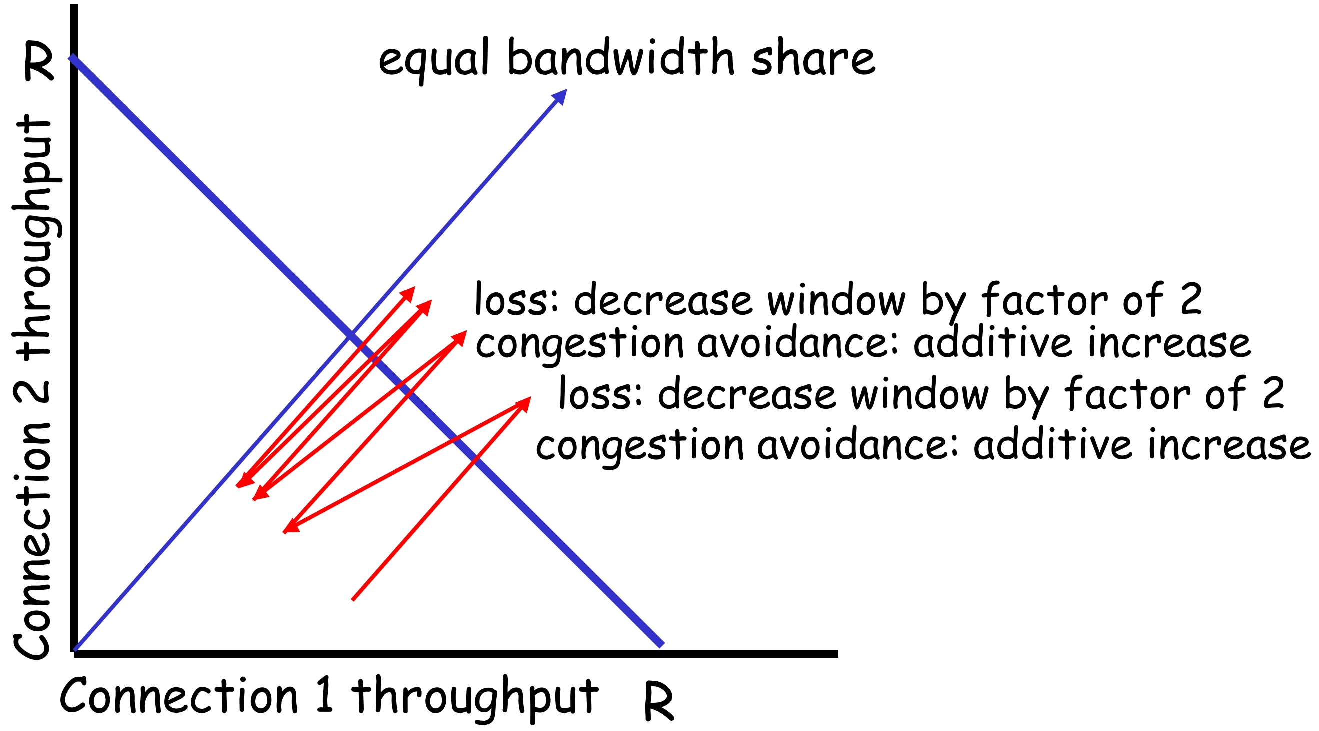
Fairness goal: if K TCP sessions share same bottleneck link of bandwidth R, each should have average rate of R/K



Why is TCP fair?

Two competing sessions:

- Additive increase gives slope of 1, as throughout increases
- multiplicative decrease decreases throughput proportionally


R
equal bandwidth share
loss: decrease window by factor of 2
congestion avoidance: additive increase
loss: decrease window by factor of 2
congestion avoidance: additive increase
Connection 2 throughput
Connection 1 throughput
R

Fairness (more)

Fairness and UDP

- Multimedia apps often do not use TCP
  - do not want rate throttled by congestion control
- Instead use UDP:
  - pump audio/video at constant rate, tolerate packet loss
- Research area: TCP friendly

Fairness and parallel TCP connections

- nothing prevents app from opening parallel connections between 2 hosts.
- Web browsers do this
- Example: link of rate R supporting 9 cnctions;
  - new app asks for 1 TCP, gets rate R/10
  - new app asks for 11 TCPs, gets R/2 !

Delay modeling

Q: How long does it take to receive an object from a Web server after sending a request?

Ignoring congestion, delay is influenced by:

- TCP connection establishment
- data transmission delay
- slow start

Notation, assumptions:

- Assume one link between client and server of rate R
- S: MSS (bits)
- O: object size (bits)
- no retransmissions (no loss, no corruption)

Window size:

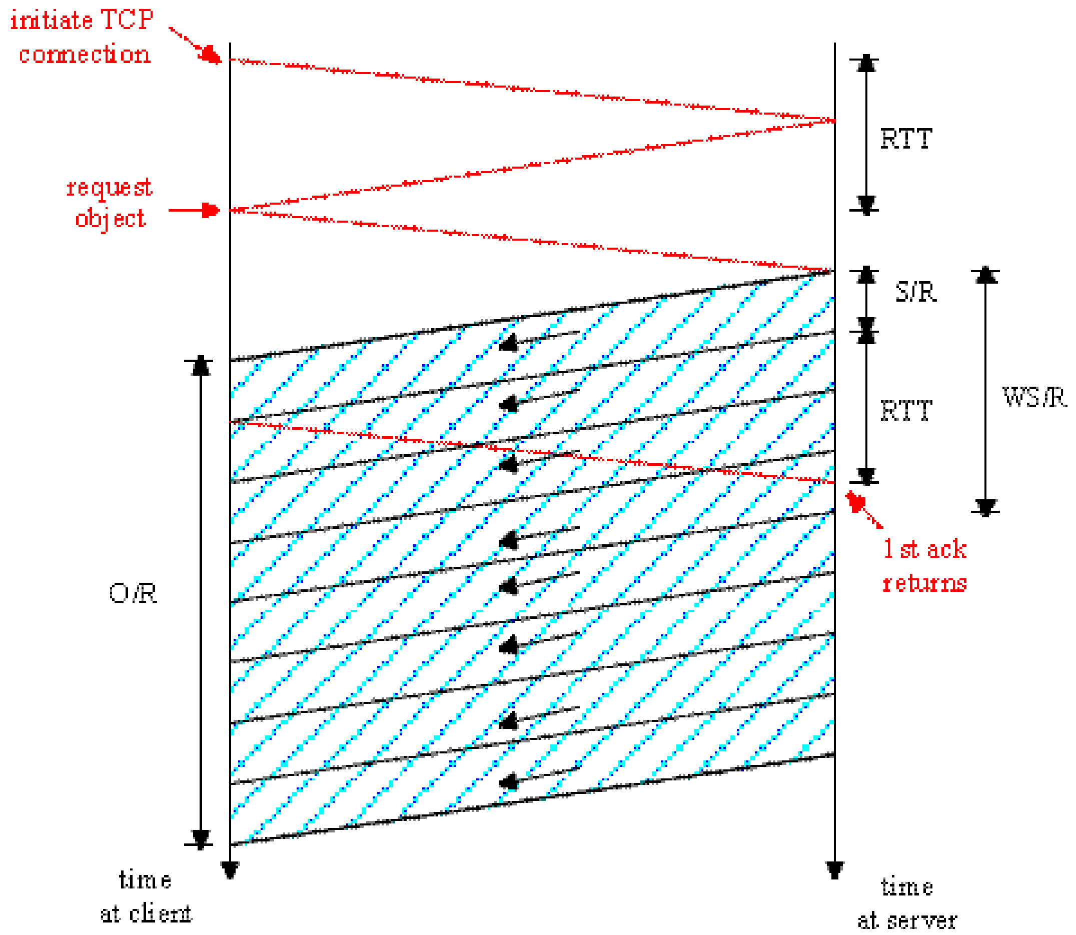
- First assume: fixed congestion window, W segments
- Then dynamic window, modeling slow start

Fixed congestion window (1)

First case:

WS/R > RTT + S/R: ACK for first segment in window returns before window's worth of data sent

$$\boxed{\text{delay} = 2RTT + O/R}$$

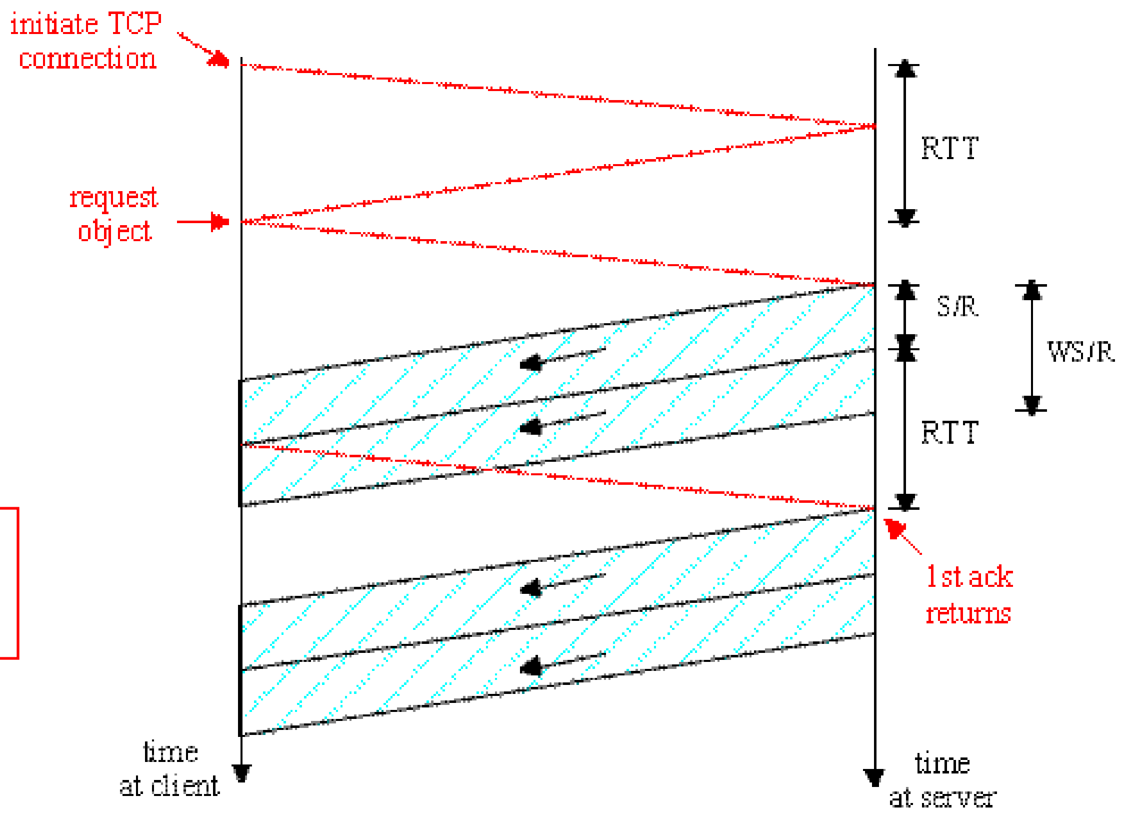


Fixed congestion window (2)

Second case:

- WS/R < RTT + S/R: wait for ACK after sending window's worth of data sent

delay = 2RTT + O/R
+ (K-1)[S/R + RTT - WS/R]



TCP Delay Modeling: Slow Start (1)

Now suppose window grows according to slow start

Will show that the delay for one object is:

$$\boxed{Latency = 2RTT + \frac{O}{R} + P\left[RTT + \frac{S}{R}\right] - (2^P - 1)\frac{S}{R}}$$

where *P* is the number of times TCP idles at server:

$$P = \min\{Q, K-1\}$$

- where Q is the number of times the server idles
  if the object were of infinite size.

- and K is the number of windows that cover the object.

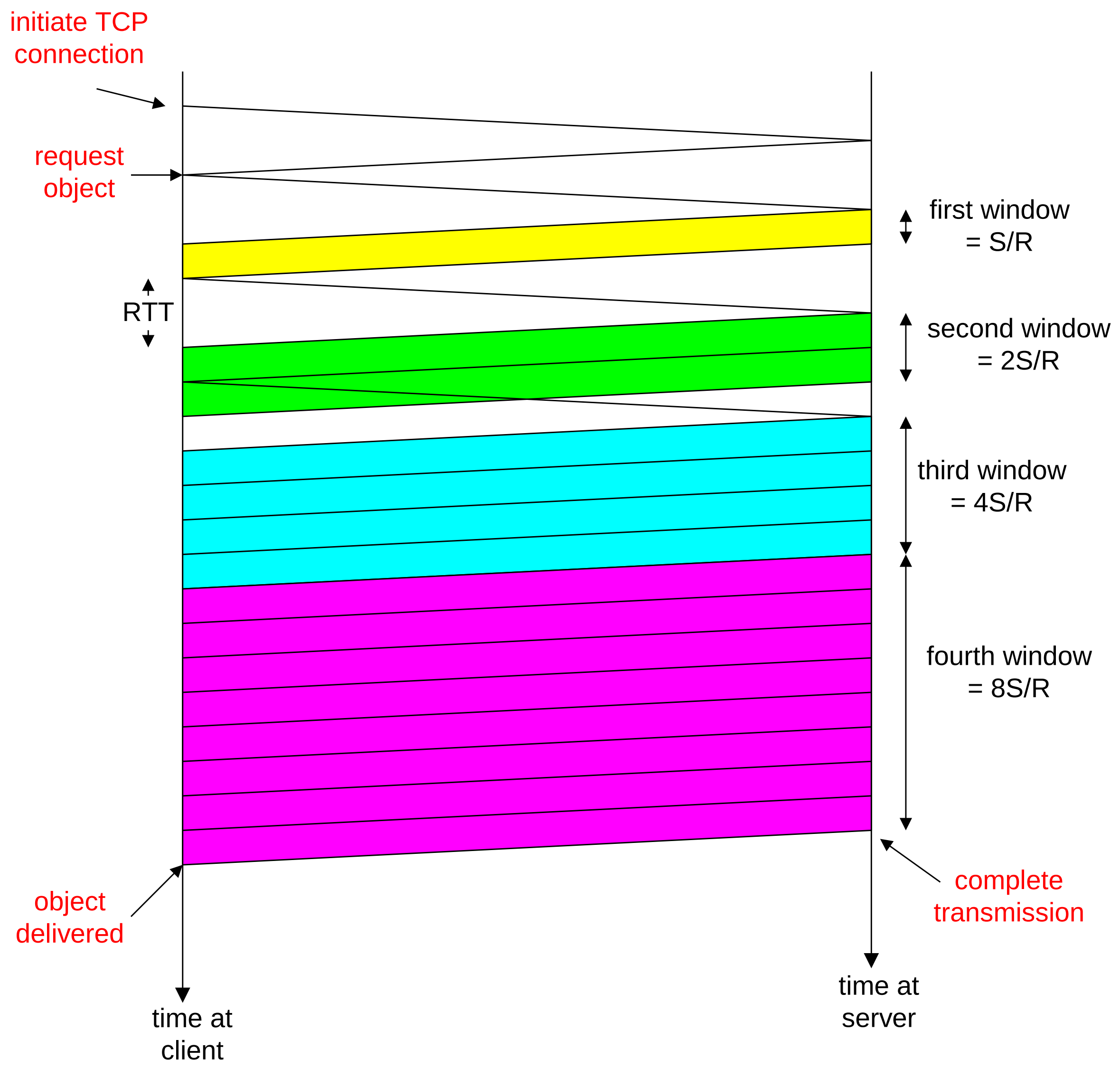
TCP Delay Modeling: Slow Start (2)

Delay components:
- 2 RTT for connection estab and request
- O/R to transmit object
- time server idles due to slow start

Server idles:
P = min{K-1,Q} times

Example:
- O/S = 15 segments
- K = 4 windows
- Q = 2
- P = min{K-1,Q} = 2

Server idles P=2 times



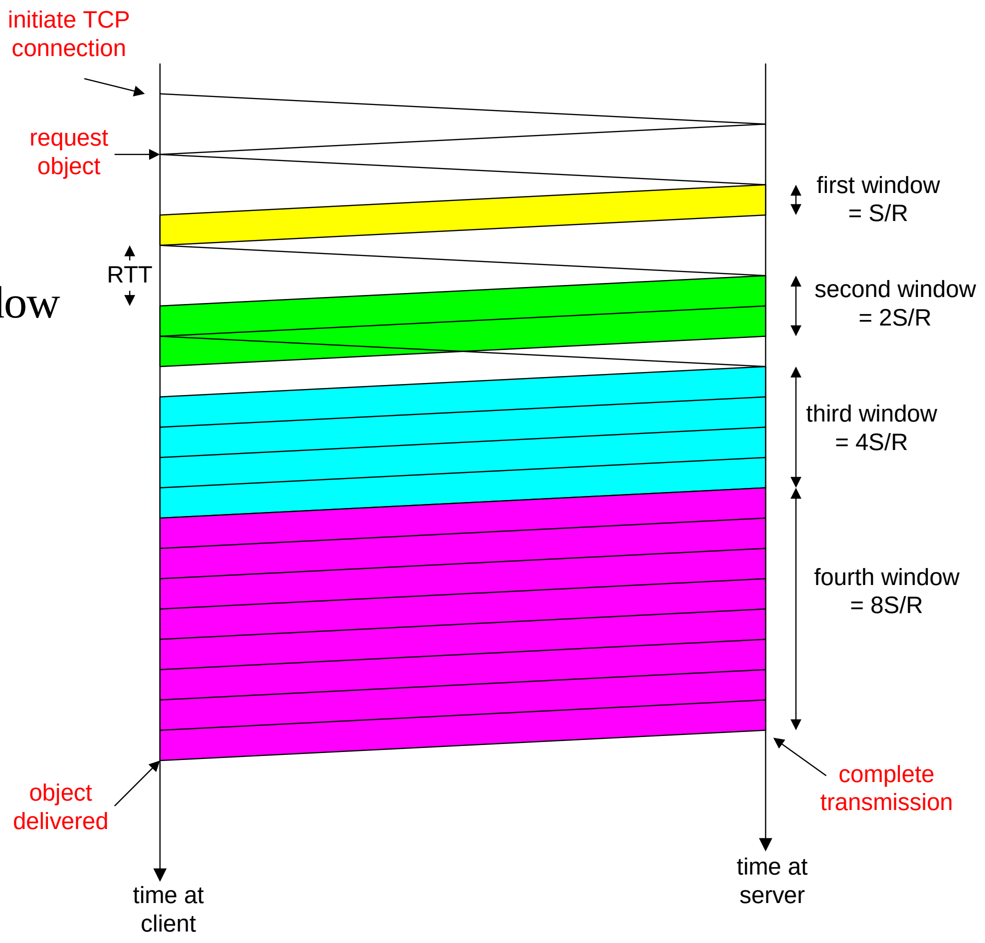
TCP Delay Modeling (3)

$$\frac{S}{R} + RTT = \text{time from when server starts to send segment}$$
$$\text{until server receives acknowledgement}$$

$$2^{k-1}\frac{S}{R} = \text{time to transmit the kth window}$$

$$\left[\frac{S}{R} + RTT - 2^{k-1}\frac{S}{R}\right]^{+} = \text{idle time after the } k\text{th window}$$

$$\text{delay} = \frac{O}{R} + 2RTT + \sum_{p=1}^{P} idleTime_p$$
$$= \frac{O}{R} + 2RTT + \sum_{k=1}^{P}\left[\frac{S}{R} + RTT - 2^{k-1}\frac{S}{R}\right]$$
$$= \frac{O}{R} + 2RTT + P\left[RTT + \frac{S}{R}\right] - (2^{P} - 1)\frac{S}{R}$$



TCP Delay Modeling (4)

Recall K = number of windows that cover object

How do we calculate K ?

$$
\begin{aligned}
K &= \min\{k : 2^0 S + 2^1 S + \cdots + 2^{k-1} S \geq O\} \\
&= \min\{k : 2^0 + 2^1 + \cdots + 2^{k-1} \geq O/S\} \\
&= \min\{k : 2^k - 1 \geq \frac{O}{S}\} \\
&= \min\{k : k \geq \log_2(\frac{O}{S} + 1)\} \\
&= \left\lceil \log_2(\frac{O}{S} + 1) \right\rceil
\end{aligned}
$$

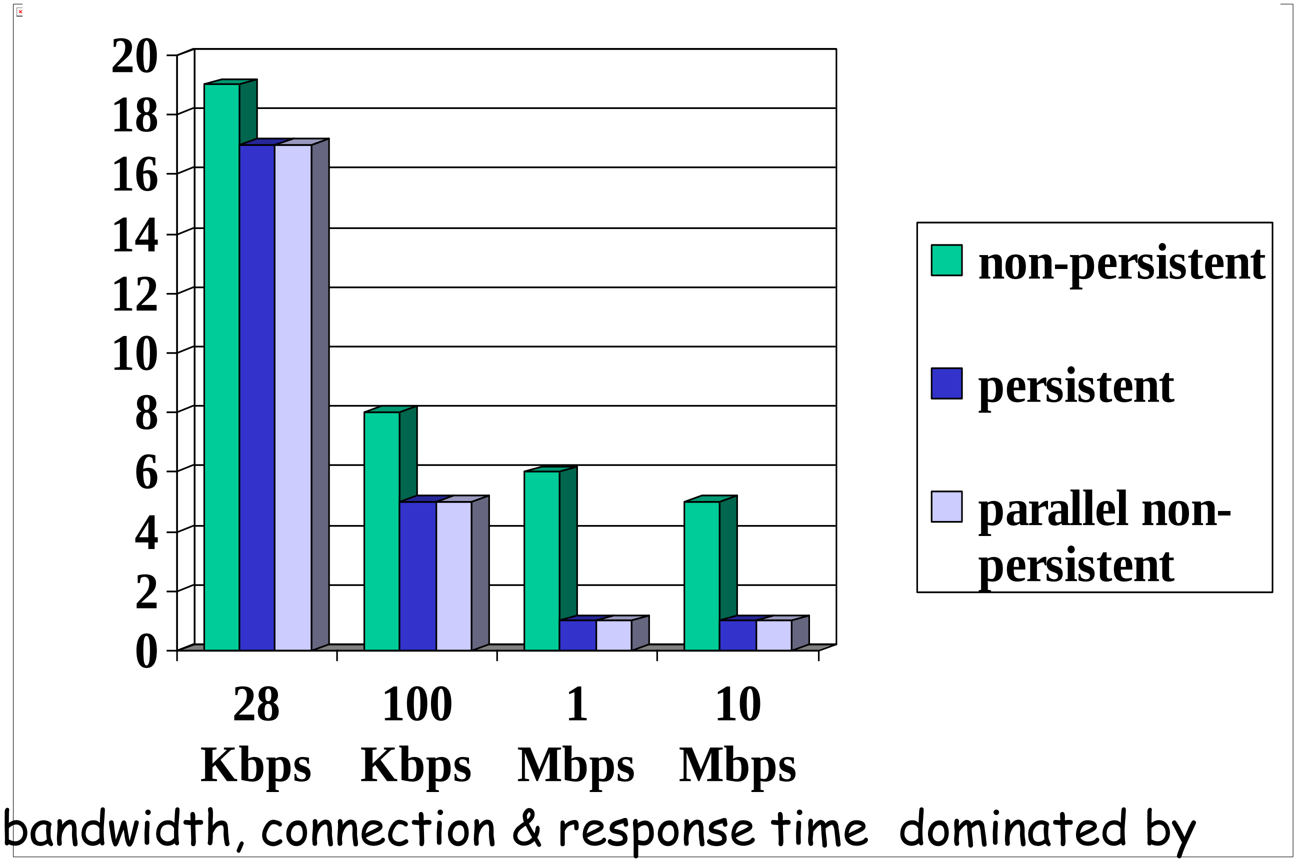
Calculation of Q, number of idles for infinite-size object, is similar.

HTTP Modeling

- Assume Web page consists of:
  - *1* base HTML page (of size *O* bits)
  - *M* images (each of size *O* bits)
- Non-persistent HTTP:
  - *M+1* TCP connections in series
  - *Response time = (M+1)O/R + (M+1)2RTT + sum of idle times*
- Persistent HTTP:
  - *2 RTT* to request and receive base HTML file
  - *1 RTT* to request and receive M images
  - *Response time = (M+1)O/R + 3RTT + sum of idle times*
- Non-persistent HTTP with X parallel connections
  - Suppose M/X integer.
  - 1 TCP connection for base file
  - M/X sets of parallel connections for images.
  - *Response time = (M+1)O/R + (M/X + 1)2RTT + sum of idle times*

HTTP Response time (in seconds)

RTT = 100 msec, O = 5 Kbytes, M=10 and X=5

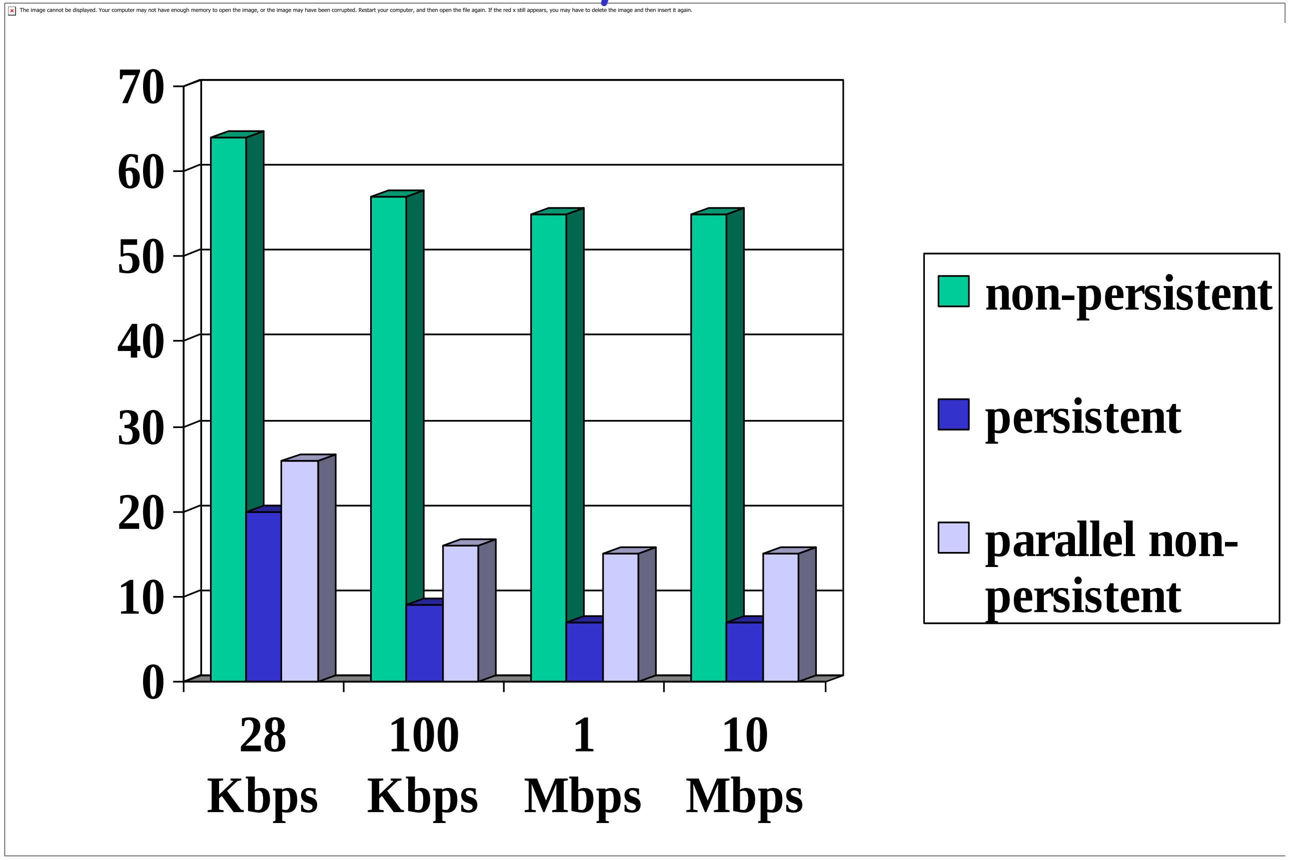


For low bandwidth, connection & response time dominated by transmission time.

Persistent connections only give minor improvement over parallel connections.

HTTP Response time (in seconds)

RTT =1 sec, O = 5 Kbytes, M=10 and X=5



For larger RTT, response time dominated by TCP establishment & slow start delays. Persistent connections now give important improvement: particularly in high delay•bandwidth networks.

Chapter 3: Summary

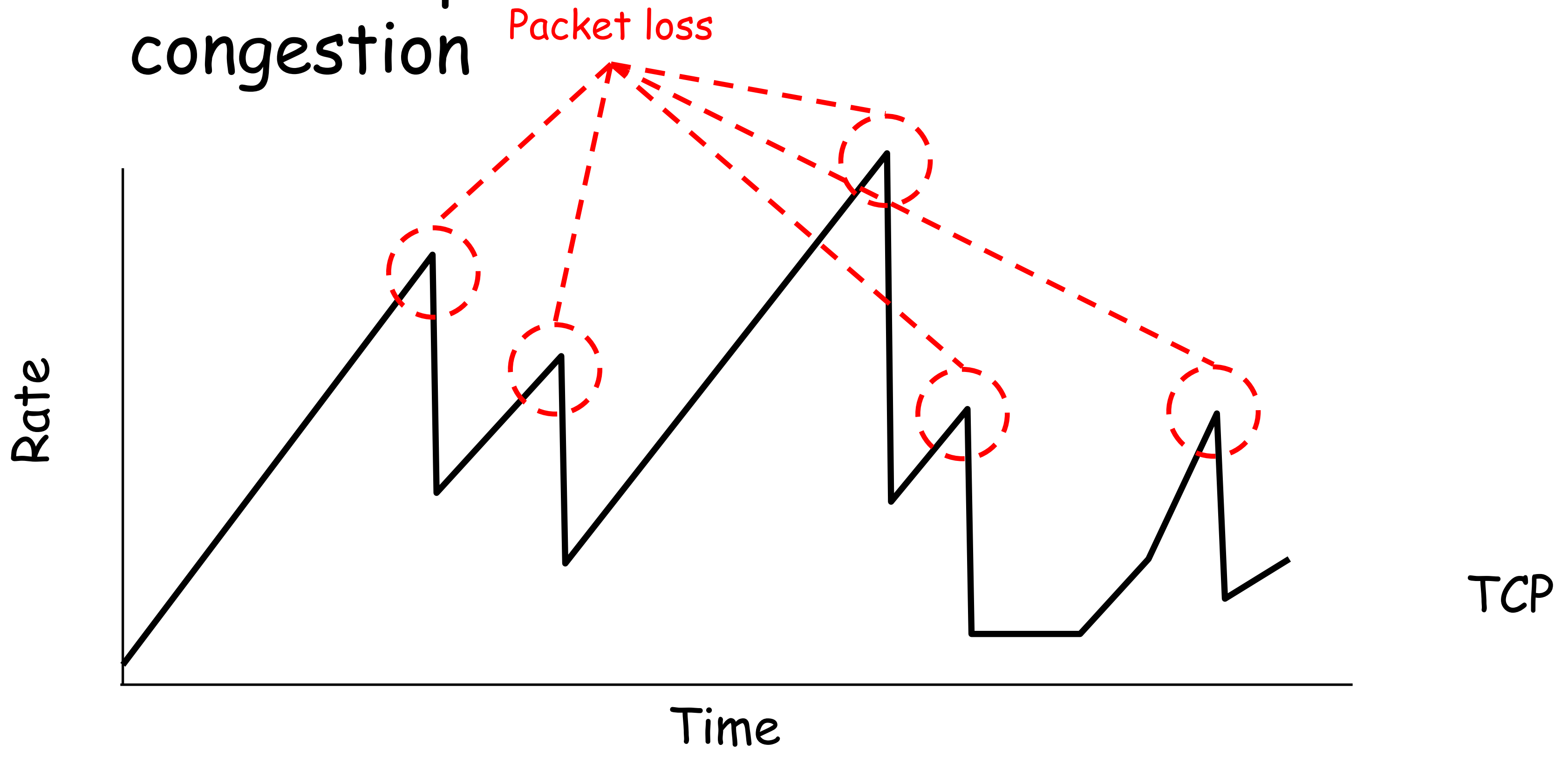
- principles behind transport layer services:
  - multiplexing, demultiplexing
  - reliable data transfer
  - flow control
  - congestion control
- instantiation and implementation in the Internet
  - UDP
  - TCP

Next:

- leaving the network "edge" (application, transport layers)
- into the network "core"

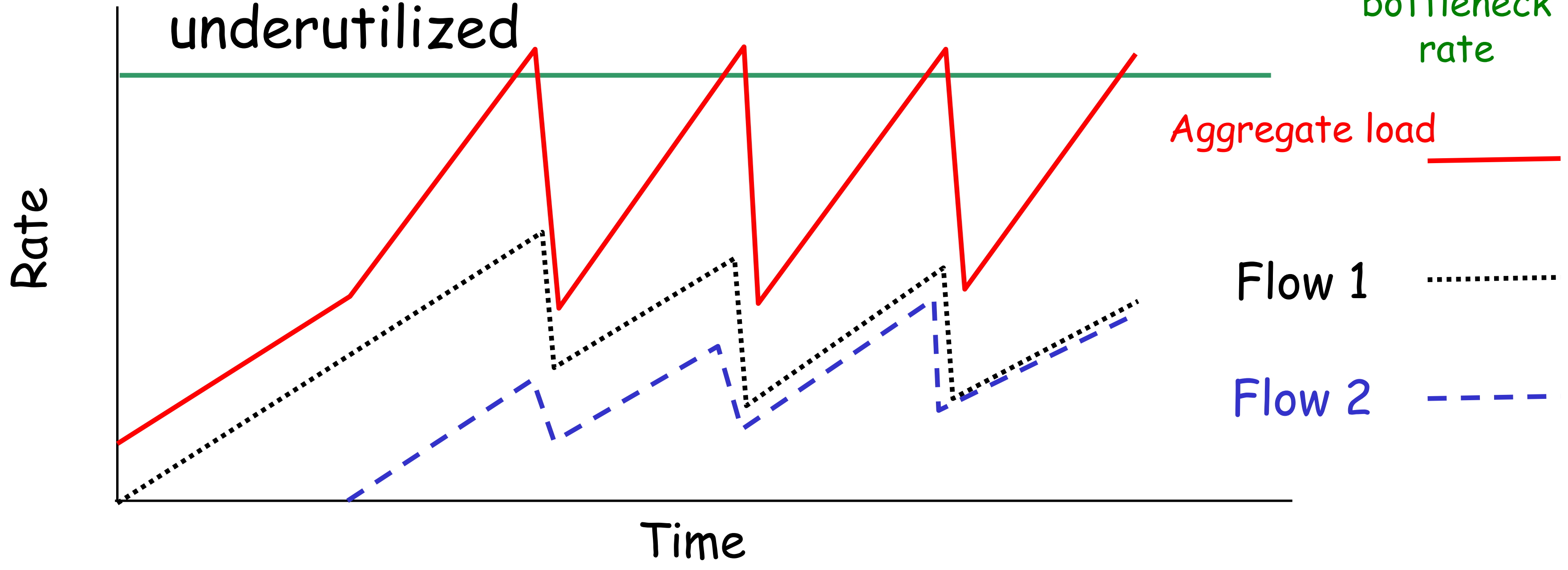
TCP Synchronization

- Like many congestion control protocols, TCP uses packet loss as an indication of congestion



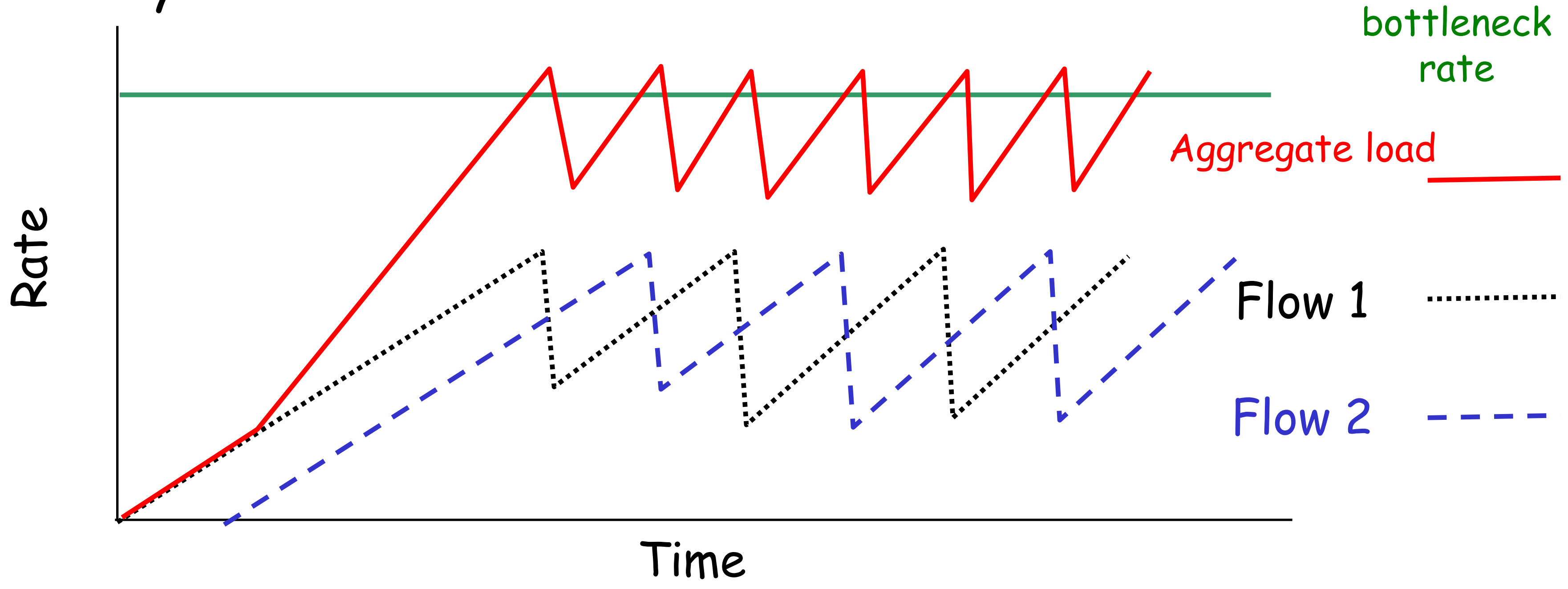
TCP Synchronization (cont'd)

- If losses are synchronized
  - TCP flows sharing bottleneck receive loss indications at around the same time
  - decrease rates at around the same time
  - periods where link bandwidth significantly underutilized



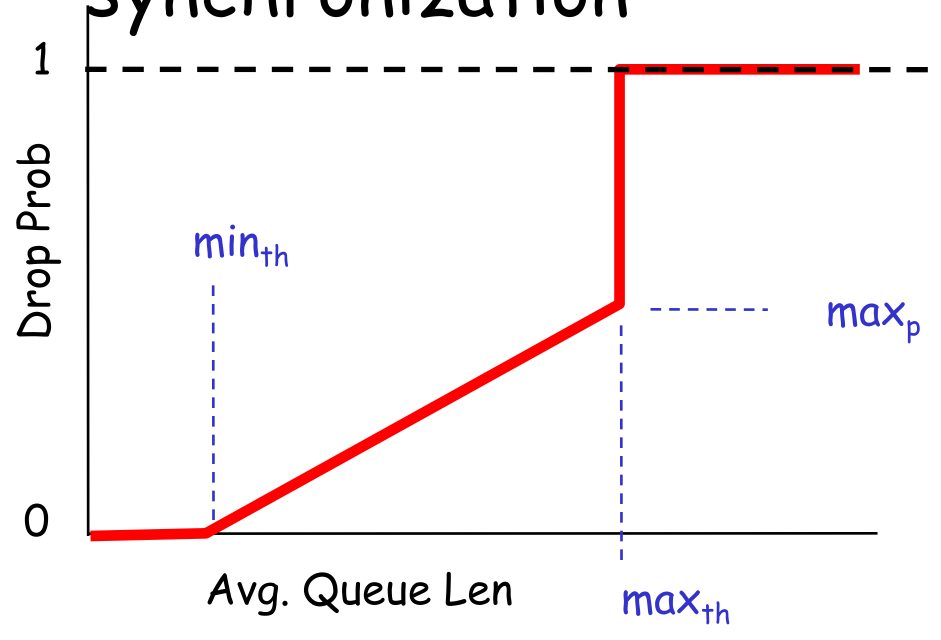
Stopping Synchronization

- Observation: if rate synchronization can be prevented, then bandwidth will be used more efficiently
- Q: how can the network prevent rate synchronization?



One Solution: RED

- Random Early Detection
  - track length of queue
  - when queue starts to fill up, begin dropping packets randomly
- Randomness breaks the rate synchronization



- min_{th}: lower bound on avg queue length to drop pkts
- max_{th}: upper bound on avg queue length to not drop every pkt
- max_p: the drop probability as avg queue len approaches max_{th}

RED: Average Queue Length

- RED uses an average queue length instead of the instantaneous queue length
  - loss rate more stable with time
  - short bursts of traffic (that fill queue for short time) do not affect RED dropping rate
- $avg(t_{i+1}) = (1-w_q)\ avg(t_i) + w_q\ q(t_{i+1})$
  - t_i = time of arrival of ith packet
  - $avg(x)$ = avg queue size at time x
  - $q(x)$ = actual queue size at time x
  - w_q = exponential average weight, $0 < w_q < 1$