



512e and 4Kn Disk Formats

This paper provides the context for 512e and 4Kn disk format migration, as well as pointing out the long-term benefits to customers and potential pitfalls to avoid when moving from 512-byte to 4K-byte sector formats.

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1 Overview

A change is coming in the hard drive industry. As storage densities dramatically increase, one of the most elemental aspects of hard drive design — the logical block format size known as a sector — has remained constant. The storage industry is quickly ramping up efforts to transition to a new type of format for media, known as Advanced Format, which has a 4KB physical sector size. This change brings two new types of media to the enterprise market:

- 4KB native: This media has no emulation layer and directly exposes 4KB as its logical and physical sector size. The overall issue with this new type of media is that the majority of current and legacy applications and operating systems do not query for and align I/Os to the physical sector size, which can result in unexpected failed I/Os.
- 512-byte emulation (512e): This media has an emulation function and exposes 512 bytes as its logical sector size (similar to a regular disk today), but makes its physical sector size information (4KB) available. The overall issue with this new type of media is that the majority of applications and operating systems do not understand the existence of the physical sector size, which can result in a number of issues.



Table 1 Format types

Format type	Bytes per sector value	Bytes per physical sector value
512n	512	512
512e	512	4,096
4Kn	4,096	4,096

Beginning in late 2009, accelerating in 2010, and hitting mainstream in 2011 for client-based HDDs, hard drive companies began migrating away from the legacy sector size of 512 bytes to a larger, more efficient sector size of 4,096 bytes, generally referred to as 4K sectors, and now referred to as Advanced Format by [IDEMA](#) (The International Disk Drive Equipment and Materials Association). Enterprise HDDs are also moving to this format, but are slower in adoption. The first Advanced Format enterprise HDD became available in 2012, with a limited set in 2013 and a more general distribution in 2014. By 2017, Dell Enterprise PowerEdge has seen very low adoption rate of 4Kn (less than 2% share of total HDDs) and shifting offering strategy to limit 4Kn SAS HDDs on 14th generation PowerEdge.

This paper provides the context for this migration, as well as the long-term benefits and potential pitfalls to avoid when moving from 512-byte to 4K-byte sectors.

2 Background

The legacy sector format contains a Gap section, a Sync section, an Address Mark section, a Data section and Error Correction Code (ECC) section as shown in Figure 1.

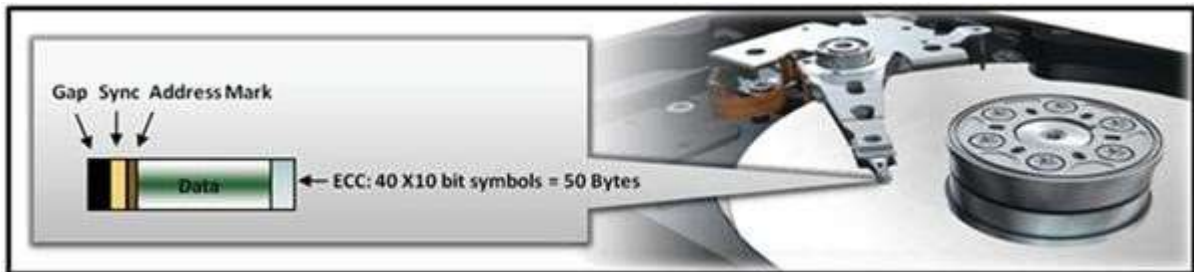


Figure 1 Legacy sector format

The sector layout is structured as follows:

- Gap section: The gap separates sectors.
- Sync section: The sync mark indicates the beginning of the sector and provides timing alignment.
- Address Mark section: The address mark contains data to identify the sector's number and location. It also provides status about the sector itself.
- Data section: The data section contains all of the user's data.
- ECC section: The ECC section contains error correction codes that are used to repair and recover data that might be damaged during the reading or writing process.

This low-level format has served the industry well for many years. However, as hard drive capacities have increased, sector size has increasingly become a limiting design element in improving hard drive capacities and error correction efficiency. For example, comparing the ratio of sector size to the total capacity of earlier hard drives to more recent



drives, the sector resolution has become extremely small. The resolution of the sector (the ratio of sectors as a percentage of total storage) has become very fine and increasingly inefficient as shown in Table 2.

Table 2 Sector resolution

Capacity	Total sectors	Sector resolution
40MB	80,000	.001%
400GB	800,000,000	.0000001%

Very fine resolution is good when managing small, discrete amounts of data. However, applications common in modern computing systems manage data in large blocks, much larger in fact than the legacy 512-byte sector size. More importantly, the small 512-byte sector has consumed a smaller and smaller amount of space on the hard drive surface as areal densities have increased.

The migration to larger sectors within the hard drive industry has become a fundamental need relative to gaining improvements in error correction and achieving format efficiencies.

3 The long-term benefit of 4K sectors

Since all hard drive manufacturers have agreed to transition to the Advanced Format sector, the industry must adapt to and embrace this change to minimize potential negative side effects. Short-term benefits to end users will not be dramatic in terms of immediate capacity increases. However, the migration to 4K-sized sectors will most definitely provide quicker paths to higher areal densities and hard drive capacities, as well as more robust error correction. Reducing the amount of space used for error correction code improves format efficiency.

The legacy 512-byte sector has non-data-related overhead for the Gap, Sync and Address Mark sections for every 512-byte. The new Advanced Format standard of a 4K-byte sector essentially combines eight legacy 512-byte sectors into a single 4K-byte sector. The Advanced Format standard uses the same number of bytes for Gap, Sync and Address Mark, but increases the ECC fields. This yields a format efficiency of 97 percent, almost a 10 percent improvement. Together, the benefits of improved format efficiency and more robust error correction make the transition to 4K sectors well worth the effort. Properly managing this transition to capture the long-term benefits with minimal side effects is a key focus for the hard drive industry.

4 Understanding the impacts of the 4K transition

As noted earlier, there are many aspects of modern computing systems that continue to assume that sectors are always 512 bytes. To transition the entire industry over to the new 4K standard and expect all of these legacy assumptions to suddenly change is simply not realistic. Over time, the implementation of native 4K sectors, where both host and hard drive exchange data in 4K blocks, will likely take place. Until then, Dell and our competition will also implement the 4K sector transition in conjunction with a technique called 512-byte sector emulation.

The most critical aspect of a smooth and successful transition to 4K sectors used in Advanced Format is performance. Whether you are a system builder, OEM, integrator, IT professional or end user building or configuring a computer, to ensure you have the performance you need for a successful transition, use the operating system to align partitions on a 4Kn drive boundary.

For operating system versions that are not 4K-sector aware, use third-party software or utilities to create hard drive partitions. To ensure the software or utilities you are using are 4K-sector aware, check with your Dell team.



4.1 512-byte sector emulation

The introduction of 4K-sized sectors depends heavily on 512-byte sector emulation. This term refers to the process of translating from the 4K physical sectors used in Advanced Format to the legacy 512-byte sectors expected by host computing systems.

The 512-byte emulation is acceptable in that it does not force complex changes in legacy computing systems. However, it carries the potential for negative performance consequences, particularly when writing data that does not neatly correspond to eight translated legacy sectors, as evident by the 512-byte emulation writing process.

4.1.1 Emulated read and write processes

To read data from a 4K sector formatted drive in 512 emulation mode, the process is very straightforward, as shown in Figure 7.

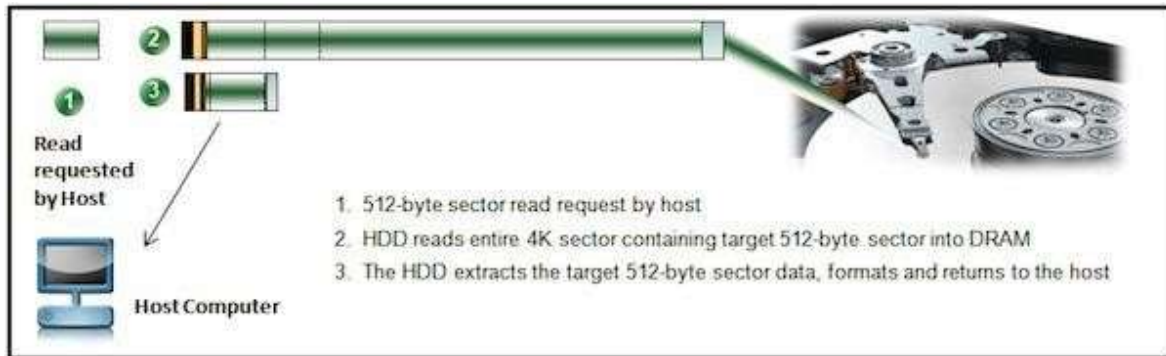


Figure 2 Potential read sequence for 512-byte emulation

The process of reading the 4K block of data and reformatting to the specific 512-byte emulated sector requested by the host computer is performed in the drive's DRAM memory and does not measurably impact performance.

A write process will be more complicated, particularly when data the host computer attempts to write is a subset of a physical 4K sector. In these cases, the hard drive must first read the entire 4K sector containing the targeted location of the host write request, merge the existing data with the new data, and then rewrite the entire 4K sector as shown in Figure 3. The fundamental reason for this is that the drive cannot write just a portion of the 4K sector, but can only write the entire sector at once.

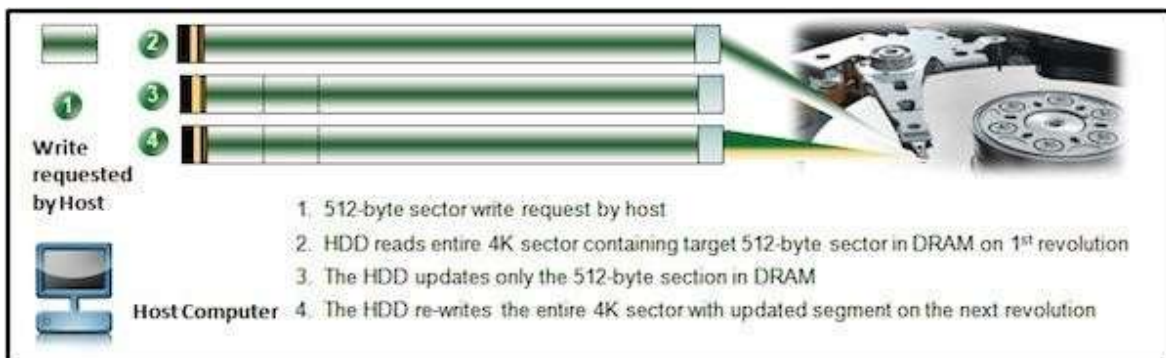


Figure 3 Potential write sequence for 512-byte emulation

In this instance, the hard drive must perform extra mechanical steps in the form of reading a 4K sector, modifying the contents and then writing the data. This process is called a read-modify-write (RMW) cycle, which is undesirable because it has a negative impact on hard drive performance. Minimizing the probability and frequency of read-modify-write instances is the most important aspect of making the transition to 4K sectors smooth and painless.

The causes of read-modify-write reduced performance include:

- Write requests that are misaligned because of logical to physical partition misalignment
- Write requests smaller than 4K in size
- Write requests that are not multiple of 4K in size

4.1.2 Aligned versus unaligned hard drive partitions

Up to now we have not discussed how host systems and hard drives communicate the location of sectors on the media. It's time to introduce the Logical Block Address (LBA).

Each 512-byte sector is assigned a unique LBA, from zero (0) to the number required based on the size of the disk. The host requests a specific block of data using the assigned LBA. When the host requests to write data, an LBA address is returned at the end of the write request telling the host where the data is located. This becomes important in the transition to 4K sectors since for every 4K sector there are eight different possibilities for where the host LBA starts.

When LBA 0 is aligned to the first virtual 512-byte block in the 4K physical sector, the logical to physical alignment condition for 512-byte emulation is termed Alignment 0. Another possible alignment is when LBA 0 is aligned to the second virtual 512-byte block in the 4K physical sector. This situation is termed Alignment 1. There are six additional possibilities for unaligned partitions that can result in read-modify-write events similar to the Alignment 1 condition.

Alignment 0 conditions work very well with the new 4K sectors in the Advanced Format standard. This is because a hard drive can easily map eight contiguous 512-byte sectors into a single 4K sector by storing 512-byte write requests in the hard drive's cache until enough contiguous 512-byte blocks are received to form a 4K sector. Since modern computing applications deal with chunks of data that are typically larger than 4K, runs (transfers smaller than 4K) are extremely rare. However, the Alignment 1 situation is another matter.

When hard drive partitions are created that result in an unaligned condition, read-modify-write cycles occur that can slow hard drive performance. See section 5.5 for information on avoiding these cycles when implementing Advanced Format hard drives.

4.2 Small or runt writes

In modern computing applications, data such as documents, images and video streams are much larger than 512 bytes. Therefore, hard drives can store these write requests in cache until there are enough sequential 512-byte blocks to build a 4K sector. As long as hard drive partitions are aligned, the hard drive can easily map 512-byte sectors into 4K sectors without any performance penalties. There are, however, certain low-level processes that can force a hard drive to handle runt writes that are not associated with unaligned partitions. When I/O size is either smaller than 4K or not a multiple of 4K-sector size, the drive must handle the RMW and small writes in the same way. Dell recommends modifying these processes to maximize performance for the 4K transition.

4.3 Mixing drives

If you decide to use a mix of drive types, but do not resolve these issues, the overall storage performance may be lower than expected. To mix drives, you must have a good understanding of the operating system, applications, and the configuration such as RAID, volumes, and so on. **4Kn drives cannot be mixed with 512e within an array.** To ensure compatible drive mix, check with your Dell team.

5 Preparing for and managing the 4K transition

Now that you understand the benefits of migrating to 4K sectors, as well as the potential impacts to performance, let's look at ways to manage this transition through the context of applications and operating systems.



5.1 Managing 4K sectors in the Windows environment

The single most important aspect of managing the transition to 4K sectors is related to the 512-byte emulation drive alignment issues described in section 4. Advanced Format drives work well in an Alignment 0 condition, where the physical to logical starting position are equal. Alignment conditions are created when the hard drive partition(s) is created.

5.2 Enterprise Windows support for 4K sector media

Table 3 lists the Microsoft Windows support policy for various media and their resulting reported sector sizes.

- Logical sector: The unit that is used for logical blocks addressing for the media. We can also think of it as the smallest unit of write that the storage can accept.
- Physical sector: The unit for which read and write operations to the device are completed in a single operation. This is the unit of atomic write.

Table 3 Windows support

Drive formats	Reported logical sector size	Reported physical sector size	Windows version with support
512-byte Native, 512n	512 bytes	512 bytes	All Windows versions
Advanced Format, 512e, AF, 512-byte Emulation	512 bytes	4096 bytes	Windows Server 2016 Windows Server 2012 Windows Server 2008 R2 with MS KB 982018 Windows Server 2008 R2 SP1 Windows Server 2008 with MS KB 2553708
Advanced Format, AF, 4K Native, 4Kn*	4096 bytes	4096 bytes	Windows Server 2016 Windows Server 2012 (4k data disks are supported and as boot disks in UEFI mode)

Note that Windows Server 2003 and Windows Server 2003 R2 do not support 512e or 4Kn media. While the system may boot up and operate minimally, there may be functionality issues, data loss, or suboptimal performance. Dell does not recommend using 512e media with Windows Server 2003.

There are a number of software utilities (such as Diskpart and Paragon) that are widely used by system builders, OEMs, value-added resellers, and IT managers for aligning partitions when the operating system doesn't offer or support partition alignment out of the box. Systems today typically consist of multiple hard drive partitions. This means that each partition on the hard drive must be created with 4K-aware partitioning software to make sure proper alignment and performance is ensured.



5.3 Managing 4K sectors in the Linux environment

The key strategies in managing the transition to 4K sectors in a Windows environment also apply to Linux.

Table 4 Linux support

Drive formats	Reported logical sector size	Reported physical sector size	Linux version with support
512-byte Native, 512n	512 bytes	512 bytes	All Linux versions
Advanced Format, 512e, AF, 512-byte Emulation	512 bytes	4096 bytes	RHEL 6.1* SLES 11 SP2** Ubuntu 13.10 Ubuntu 12.04.4
Advanced Format, AF, 4K Native, 4Kn	4096 bytes	4096 bytes	RHEL 6.1* SLES 11 SP2** Ubuntu 13.10 Ubuntu 12.04.4

*Red Hat® Enterprise Linux® 6 supports 4K-sector devices as data disks. 4K-sector boot disks are supported in UEFI mode only.

**SUSE® Linux® Enterprise fully supports 4KB/sector drives in all conditions and architectures with one exception. The 4KB/sector hard disk drives are not supported as a boot drive on x86_64 systems booting with a legacy BIOS.

Changes have been made to both the Linux kernel and utilities to support Advanced Format drives. These changes ensure that all partitions on Advanced Format drives are properly aligned on 4K sector boundaries. Kernel support for Advanced Format drives is available in kernel versions 2.6.31 and above.

Support for partitioning and formatting Advanced Format drives is available in the following Linux utilities:

- Fdisk: GNU Fdisk is a command line utility that partitions hard drives. Versions 1.2.3 and above support Advanced Format drives.
- Parted: GNU Parted is a graphical utility for partitioning hard drives. Versions 2.1 and above support Advanced Format drives.

5.4 VMware support

The key strategies in managing the transition to 4K sectors in a Windows environment also apply to VMware. VMware is planning to release a 512e-aware operating system in late 2016 and a 4Kn-aware operating system in 2017.

Table 5 VMware support

Operating system	512e	4Kn
VMware	ESXi 6.5 (Q4 2016)	Q2 2018

5.5 Dealing with unaligned conditions

Using a 4K-aware version of an operating system to create hard drive partitions is a simple, straightforward method for avoiding unaligned conditions. Some third-party firms offer utilities that examine existing hard drive partitions and realign them as needed. This alternative takes additional time and adds steps to the system building or upgrading process. Ultimately, Dell will develop more sophisticated methods and design systems to manage unaligned conditions to mitigate negative performance impacts.



5.6 512e/4Kn application support

Not all applications are 4K physical sector aware. Table 6 summarizes the 4K application support. When an application is 512e/4Kn aware, the I/Os will be compliant to the file system partition, and the drives will run at expected performance level.

Table 6 Application support

Application	512e	4Kn	Comments
Oracle	Yes	Yes	
Microsoft Exchange	Yes	Yes	Exchange 2013 and later
SQL	Yes	Yes	
VDI	Yes	No	4Kn support ~2017**

6 Drive labels

The AF Logo Program was created by IDEMA and the Advanced Format Marketing Work Group to easily identify hard disk drives that employ long sector, AF technologies. While usage of the logo is optional, AF logos may be seen populating hard drive product labels, product pages, and various literatures to indicate the usage of AF technologies versus legacy sector size architectures that were used in earlier drives.

The AF emulation logo has one rounded corner and is used on any client or enterprise hard drive that is equipped with industry-standard emulation techniques. AF 512e is the current standard by which downward compatibility with legacy sector formats is achieved.

The AF native logo identifies the presence of AF native technologies, where data using long data sector format standards is both recorded on the drive and passed to the host in the AF format. Unlike AF emulation, there is no modification of the sector size by which the data is processed or communicated to the host.



Figure 4 Advanced Format emulation logos





Figure 5 Advanced Format native logos

7 Conclusion

The industry transition away from the legacy 512-byte sector is a certainty, and gives hard drive suppliers another tool for driving improved areal densities. Dell and our customers both benefit from this transition through higher capacity hard drives and continued reliability.

The key to a smooth transition is a well-educated storage community who can avoid potential performance pitfalls. The most critical aspect of a smooth and successful transition to 4K sectors used in Advanced Format is performance. Whether you are building or configuring a computer, do the following to ensure optimal performance:

- Use an operating system to align partitions on a 4Kn boundary
- Use third-party software or utilities to create hard drive partitions; verify with your Dell team to ensure the products you're using have been updated and confirmed to be 4K

Together with our industry colleagues and customers, we can make the transition to Advanced Format 4K sectors smooth and efficient, leveraging the long-term potential benefits for Dell and our customers.

8 Additional resources

- <http://www.seagate.com/tech-insights/advanced-format-4k-sector-hard-drives-master-ti/>
[http://msdn.microsoft.com/en-us/library/windows/desktop/hh848035\(v=vs.85\).aspx](http://msdn.microsoft.com/en-us/library/windows/desktop/hh848035(v=vs.85).aspx)
- <http://blogs.technet.com/b/exchange/archive/2013/04/24/exchange-2010-database-availability-groups>
- <http://blogs.technet.com/b/exchange/archive/2013/04/24/exchange-2010-database-availability-groups-and-disk-sector-sizes.aspx> and http://www.idema.org/?page_id=2900

