



# Shobhit

Institute of Engineering & Technology

**Deemed to-be-University**

EDUCATION EMPOWERS

***Monograph***

***on***

***Operating System***

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## Unit-I: Operating Systems Overview

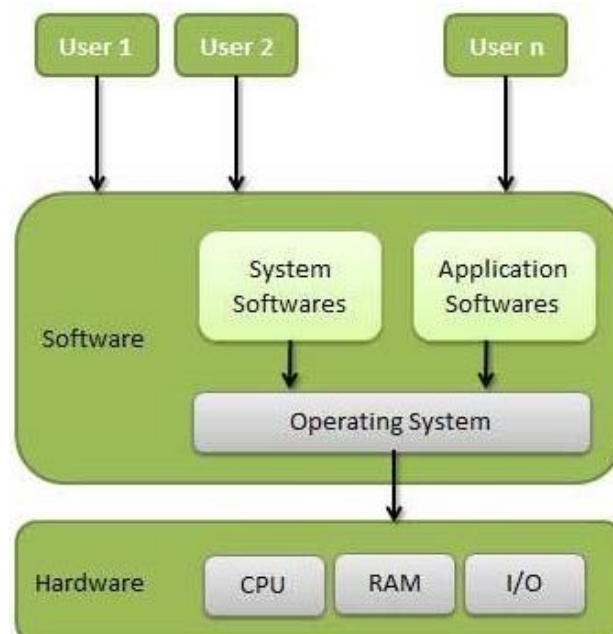
An Operating System (OS) is an interface between computer user and computer hardware.

An operating system is a software which performs all the basic tasks like file management, memory management, process management, handling input and output, and controlling peripheral devices such as disk drives and printers.

Some popular Operating Systems include Linux Operating System, Windows Operating System, VMS, OS/400, AIX, z/OS, etc.

### **Definition**

An operating system is a program that acts as an interface between the user and the computer hardware and controls the execution of all kinds of programs.



Following are some of important functions of an operating System.

- Memory Management
- Processor Management
- Device Management
- File Management
- Security
- Control overall system performance
- Job accounting
- Error detecting aids
- Coordination between other software and users

### **Memory Management**

Memory management refers to management of Primary Memory or Main Memory. Main memory is a large array of words or bytes where each word or byte has its own address.

Main memory provides a fast storage that can be accessed directly by the CPU. For a program to be executed, it must in the main memory.

An Operating System does the following activities for memory management

–

- Keeps tracks of primary memory, i.e., what part of it are in use by whom, and which part are not in use?
- In multiprogramming, the OS decides which process will get memory when and how much.
- Allocates the memory when a process requests it to do so.

- De-allocates the memory when a process no longer needs it or has been terminated.

## **Processor Management**

In multiprogramming environment, the OS decides which process gets the processor when and for how much time. This function is called **process scheduling**. An Operating System does the following activities for processor management –

- Keeps tracks of processor and status of process. The program responsible for this task is known as **traffic controller**.
- Allocates the processor (CPU) to a process.
- De-allocates processor when a process is no longer required.

## **Device Management**

An Operating System manages device communication via their respective drivers. It does the following activities for device management –

- Keeps tracks of all devices.
- The part of Program of os responsible for this task is known as the **I/O controller**.
- Decides which process gets the device when and for how much time.
- Allocates the device in the efficient way.
- De-allocates devices.

## **File Management**

A file system is normally organized into directories for easy navigation and usage. These directories may contain files and other directions.

An Operating System does the following activities for file management –

- Keeps track of information, location, uses, status etc. The collective facilities are often known as **file system**.
- Decides who gets the resources.
- Allocates the resources.
- De-allocates the resources.

## **Other Important Activities**

Following are some of the important activities that an Operating System performs:

- **Security** – By means of password and similar other techniques, it prevents unauthorized access to programs and data.
- **Control over system performance** – Recording delays between request for a service and response from the system.
- **Job accounting** – Keeping track of time and resources used by various jobs and users.
- **Error detecting aids** – Production of dumps, traces, error messages, and other debugging and error detecting aids.
- **Coordination between other softwares and users** – Coordination and assignment of compilers, interpreters, assemblers and other software to the various users of the computer systems.

## **Operating System as extended machine or virtual machine:**

Operating System hides the complexity of hardware and presents a beautiful interface to the users.

-> Just as the operating system shields (protect from an unpleasant experience) the programmer from the disk hardware and presents a simple file-oriented interface, it also conceals a lot of unpleasant business concerning interrupts, timers, memory management, and other low level features.

-> In each case, the abstraction offered by the operating system is simpler and easier to use than that offered by the underlying hardware.

-> In this view, the function of the operating system is to present the user with the equivalent of an extended machine or virtual machine that is easier to work with than the underlying hardware.

## **Operating system as resource manager:**

A computer system has many resources (hardware and software), which may be required to complete a task.

The commonly required resources are -

- input/output devices,
- memory,
- file storage space,
- CPU etc.

The operating system acts as a manager of the above resources and allocates them to specific programs and users, whenever necessary to perform a particular task.

Therefore operating system is the resource manager i.e. it manages the resource of a computer system internally.

## **Types of Operating System**

Operating systems are there from the very first computer generation and they keep evolving with time. Some of the important types of operating systems which are most commonly used, are as follows-

### **Batch operating system**

The users of a batch operating system do not interact with the computer directly. Each user prepares his job on an off-line device like punch cards and submits it to the computer operator.

To speed up processing, jobs with similar needs are batched together and run as a group. The programmers leave their programs with the operator and the operator then sorts the programs with similar requirements into batches.

The problems with Batch Systems are as follows –

- Lack of interaction between the user and the job.
- CPU is often idle, because the speed of the mechanical I/O devices is slower than the CPU.
- Difficult to provide the desired priority.

## **Time-sharing operating systems**

Time-sharing is a technique which enables many people, located at various terminals, to use a particular computer system at the same time. Time-sharing or multitasking is a logical extension of multiprogramming. Processor's time which is shared among multiple users simultaneously is termed as time-sharing.

The main difference between Multiprogrammed Batch Systems and Time-Sharing Systems is that in case of Multiprogrammed batch systems, the objective is to maximize processor use, whereas in Time-Sharing Systems, the objective is to minimize response time.

Multiple jobs are executed by the CPU by switching between them, but the switches occur so frequently. Thus, the user can receive an immediate response. For example, in a transaction processing, the processor executes each user program in a short burst or quantum of computation. That is, if  $n$  users are present, then each user can get a time quantum. When the user submits the command, the response time is in few seconds at most.

The operating system uses CPU scheduling and multiprogramming to provide each user with a small portion of a time. Computer systems that were designed primarily as batch systems have been modified to time-sharing systems.

### **Advantages of Timesharing operating systems are as follows –**

- Provides the advantage of quick response.



- Avoids duplication of software.
- Reduces CPU idle time.

### **Disadvantages of Time-sharing operating systems are as follows –**

- Problem of reliability.
- Question of security and integrity of user programs and data.
- Problem of data communication.

### **Distributed operating System**

Distributed systems use multiple central processors to serve multiple real-time applications and multiple users. Data processing jobs are distributed among the processors accordingly.

The processors communicate with one another through various communication lines (such as high-speed buses or telephone lines). These are referred as **loosely coupled systems** or distributed systems. Processors in a distributed system may vary in size and function. These processors are referred as sites, nodes, computers, and so on.

### **The advantages of distributed systems are as follows –**

- With resource sharing facility, a user at one site may be able to use the resources available at another.
- Speedup the exchange of data with one another via electronic mail.
- If one site fails in a distributed system, the remaining sites can potentially continue operating.
- Better service to the customers.
- Reduction of the load on the host computer.

- Reduction of delays in data processing.

## **Network operating System**

A Network Operating System runs on a server and provides the server the capability to manage data, users, groups, security, applications, and other networking functions. The primary purpose of the network operating system is to allow shared file and printer access among multiple computers in a network, typically a local area network (LAN), a private network or to other networks.

Examples of network operating systems include Microsoft Windows Server 2003, Microsoft Windows Server 2008, UNIX, Linux, Mac OS X, Novell NetWare, and BSD.

The advantages of network operating systems are as follows –

- Centralized servers are highly stable.
- Security is server managed.
- Upgrades to new technologies and hardware can be easily integrated into the system.
- Remote access to servers is possible from different locations and types of systems.

The disadvantages of network operating systems are as follows –

- High cost of buying and running a server.
- Dependency on a central location for most operations.
- Regular maintenance and updates are required.

## Real Time operating System

A real-time system is defined as a data processing system in which the time interval required to process and respond to inputs is so small that it controls the environment.

The time taken by the system to respond to an input and display of required updated information is termed as the **response time**. So in this method, the response time is very less as compared to online processing.

Real-time systems are used when there are rigid time requirements on the operation of a processor or the flow of data and real-time systems can be used as a control device in a dedicated application.

A real-time operating system must have well-defined, fixed time constraints, otherwise the system will fail.

For example, Scientific experiments, medical imaging systems, industrial control systems, weapon systems, robots, air traffic control systems, etc.

There are two types of real-time operating systems.

### Hard real-time systems

- Hard real-time systems guarantee that critical tasks complete on time.
- In hard real-time systems, secondary storage is limited or missing and the data is stored in ROM.
- In these systems, virtual memory is almost never found.

## Soft real-time systems

Soft real-time systems are less restrictive.

A critical real-time task gets priority over other tasks and retains the priority until it completes.

Soft real-time systems have limited utility than hard real-time systems.

For example, multimedia, virtual reality, Advanced Scientific Projects like undersea exploration and planetary rovers, etc.

## Operating systems and system calls

The interface between a process and an operating system is provided by system calls. In general, system calls are available as assembly language instructions. They are also included in the manuals used by the assembly level programmers. System calls are usually made when a process in user mode requires access to a resource. Then it requests the kernel to provide the resource via a system call.

## Types of System Calls

There are mainly five types of system calls. These are explained in detail as follows –

### Process Control

These system calls deal with processes such as process creation, process termination etc.

## File Management

These system calls are responsible for file manipulation such as creating a file, reading a file, writing into a file etc.

## Device Management

These system calls are responsible for device manipulation such as reading from device buffers, writing into device buffers etc.

## Information Maintenance

These system calls handle information and its transfer between the operating system and the user program.

## Communication

These system calls are useful for interprocess communication. They also deal with creating and deleting a communication connection.

Some of the examples of all the above types of system calls in Windows and Unix are given as follows –

Types of System Calls	Windows	Linux
Process Control	CreateProcess() ExitProcess() WaitForSingleObject()	fork() exit() wait()
File Management	CreateFile() ReadFile() WriteFile() CloseHandle()	open() read() write() close()

<b>Types of System Calls</b>	<b>Windows</b>	<b>Linux</b>
Device Management	SetConsoleMode() ReadConsole() WriteConsole()	ioctl() read() write()
Information Maintenance	GetCurrentProcessID() SetTimer() Sleep()	getpid() alarm() sleep()
Communication	CreatePipe() CreateFileMapping() MapViewOfFile()	pipe() shmget() mmap()

## **UNIT-II: Process Management**

### **Definition**

The process scheduling is the activity of the process manager that handles the removal of the running process from the CPU and the selection of another process on the basis of a particular strategy.

Process scheduling is an essential part of a Multiprogramming operating systems. Such operating systems allow more than one process to be loaded into the executable memory at a time and the loaded process shares the CPU using time multiplexing.

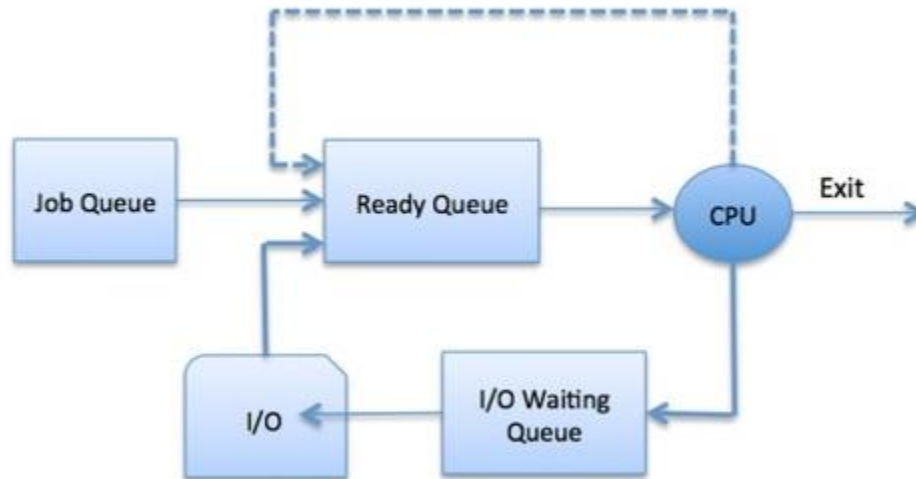
### **Process Scheduling Queues**

The OS maintains all PCBs in Process Scheduling Queues. The OS maintains a separate queue for each of the process states and PCBs of all processes in the same execution state are placed in the same queue. When the state of a process is changed, its PCB is unlinked from its current queue and moved to its new state queue.

The Operating System maintains the following important process scheduling queues –

- **Job queue** – This queue keeps all the processes in the system.
- **Ready queue** – This queue keeps a set of all processes residing in main memory, ready and waiting to execute. A new process is always put in this queue.

- **Device queues** – The processes which are blocked due to unavailability of an I/O device constitute this queue.



The OS can use different policies to manage each queue (FIFO, Round Robin, Priority, etc.). The OS scheduler determines how to move processes between the ready and run queues which can only have one entry per processor core on the system; in the above diagram, it has been merged with the CPU.

## Schedulers

Schedulers are special system software which handle process scheduling in various ways. Their main task is to select the jobs to be submitted into the system and to decide which process to run.

Schedulers are of three types –

- Long-Term Scheduler
- Short-Term Scheduler



- Medium-Term Scheduler

### **Long Term Scheduler**

It is also called a **job scheduler**. A long-term scheduler determines which programs are admitted to the system for processing. It selects processes from the queue and loads them into memory for execution. Process loads into the memory for CPU scheduling.

The primary objective of the job scheduler is to provide a balanced mix of jobs, such as I/O bound and processor bound. It also controls the degree of multiprogramming. If the degree of multiprogramming is stable, then the average rate of process creation must be equal to the average departure rate of processes leaving the system.

On some systems, the long-term scheduler may not be available or minimal. Time-sharing operating systems have no long term scheduler. When a process changes the state from new to ready, then there is use of long-term scheduler.

### **Short Term Scheduler**

It is also called as **CPU scheduler**. Its main objective is to increase system performance in accordance with the chosen set of criteria. It is the change of ready state to running state of the process. CPU scheduler selects a process among the processes that are ready to execute and allocates CPU to one of them.

Short-term schedulers, also known as dispatchers, make the decision of which process to execute next. Short-term schedulers are faster than long-term schedulers.

### **Medium Term Scheduler**

Medium-term scheduling is a part of **swapping**. It removes the processes from the memory. It reduces the degree of multiprogramming. The medium-term scheduler is in-charge of handling the swapped out-processes.

A running process may become suspended if it makes an I/O request. A suspended processes cannot make any progress towards completion. In this condition, to remove the process from memory and make space for other processes, the suspended process is moved to the secondary storage. This process is called **swapping**, and the process is said to be swapped out or rolled out. Swapping may be necessary to improve the process mix.

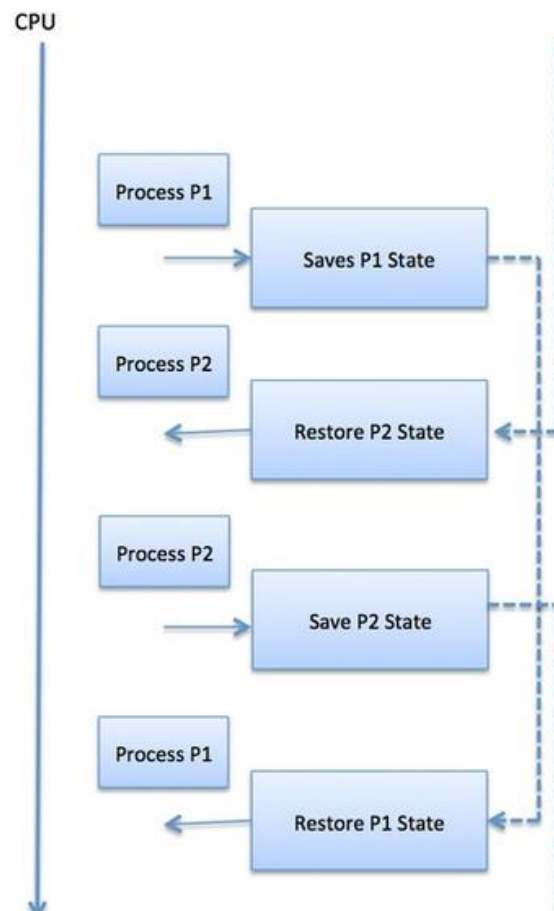
## Comparison among Scheduler

S.N.	Long-Term Scheduler	Short-Term Scheduler	Medium-Term Scheduler
1	It is a job scheduler	It is a CPU scheduler	It is a process swapping scheduler.
2	Speed is lesser than short term scheduler	Speed is fastest among other two	Speed is in between both short and long term scheduler.
3	It controls the degree of multiprogramming	It provides lesser control over degree of multiprogramming	It reduces the degree of multiprogramming.
4	It is almost absent or minimal in time sharing system	It is also minimal in time sharing system	It is a part of Time sharing systems.
5	It selects processes from pool and loads them into memory for execution	It selects those processes which are ready to execute	It can re-introduce the process into memory and execution can be continued.

## Context Switch

A context switch is the mechanism to store and restore the state or context of a CPU in Process Control block so that a process execution can be resumed from the same point at a later time. Using this technique, a context switcher enables multiple processes to share a single CPU. Context switching is an essential part of a multitasking operating system features.

When the scheduler switches the CPU from executing one process to execute another, the state from the current running process is stored into the process control block. After this, the state for the process to run next is loaded from its own PCB and used to set the PC, registers, etc. At that point, the second process can start executing.



Context switches are computationally intensive since register and memory state must be saved and restored. To avoid the amount of context switching time, some hardware systems employ two or more sets of processor registers. When the process is switched, the following information is stored for later use.

- Program Counter

- Scheduling information
- Base and limit register value
- Currently used register
- Changed State
- I/O State information
- Accounting information

## Operating System scheduling algorithms

A Process Scheduler schedules different processes to be assigned to the CPU based on particular scheduling algorithms. There are six popular process scheduling algorithms which we are going to discuss in this chapter –

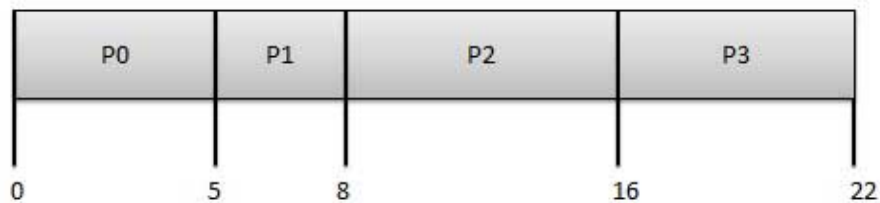
- First-Come, First-Served (FCFS) Scheduling
- Shortest-Job-Next (SJN) Scheduling
- Priority Scheduling
- Shortest Remaining Time
- Round Robin(RR) Scheduling
- Multiple-Level Queues Scheduling

These algorithms are either **non-preemptive** or **preemptive**. Non-preemptive algorithms are designed so that once a process enters the running state, it cannot be preempted until it completes its allotted time, whereas the preemptive scheduling is based on priority where a scheduler may preempt a low priority running process anytime when a high priority process enters into a ready state.

## First Come First Serve (FCFS)

- Jobs are executed on first come, first serve basis.
- It is a non-preemptive, pre-emptive scheduling algorithm.
- Easy to understand and implement.
- Its implementation is based on FIFO queue.
- Poor in performance as average wait time is high.

Process	Arrival Time	Execute Time	Service Time
P0	0	5	0
P1	1	3	5
P2	2	8	8
P3	3	6	16



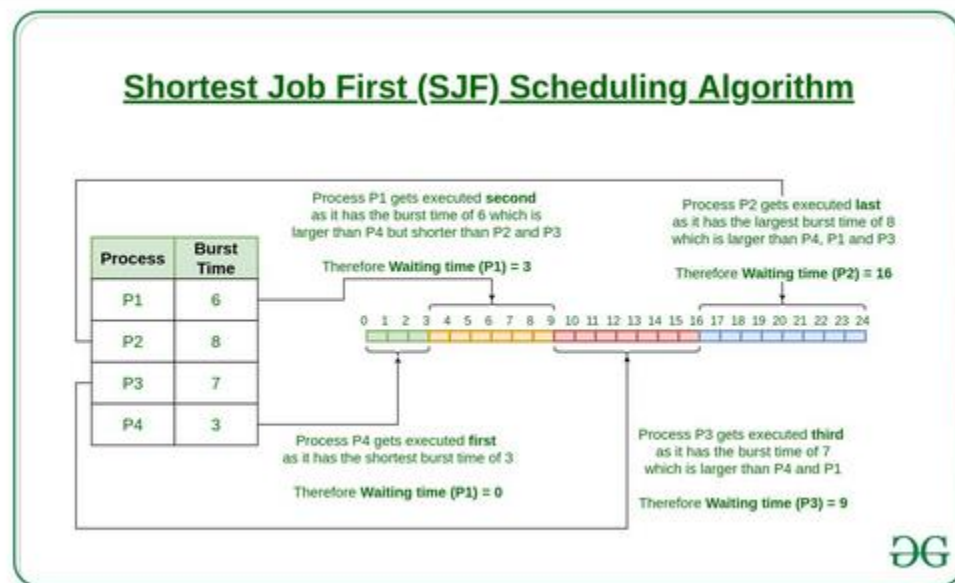
**Wait time** of each process is as follows –

Process	Wait Time : Service Time - Arrival Time
P0	$0 - 0 = 0$
P1	$5 - 1 = 4$
P2	$8 - 2 = 6$
P3	$16 - 3 = 13$

Average Wait Time:  $(0+4+6+13) / 4 = 5.75$

## Shortest Job Next (SJN)

- This is also known as **shortest job first**, or SJF
- This is a non-preemptive, pre-emptive scheduling algorithm.
- Best approach to minimize waiting time.
- Easy to implement in Batch systems where required CPU time is known in advance.
- Impossible to implement in interactive systems where required CPU time is not known.
- The processor should know in advance how much time process will take.



Given: Table of processes, and their Arrival time, Execution time

<b>Process</b>	<b>Execution Time</b>	<b>Waiting Time</b>
P1	6	3
P2	8	16
P3	7	9
P4	3	0

### **Priority Based Scheduling**

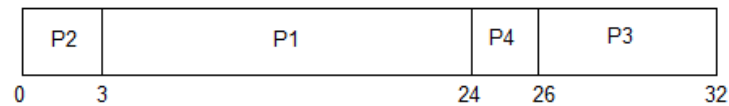
- Priority scheduling is a non-preemptive algorithm and one of the most common scheduling algorithms in batch systems.
- Each process is assigned a priority. Process with highest priority is to be executed first and so on.
- Processes with same priority are executed on first come first served basis.
- Priority can be decided based on memory requirements, time requirements or any other resource requirement.



Consider the below table for processes with their respective CPU burst times and the priorities.

PROCESS	BURST TIME	PRIORITY
P1	21	2
P2	3	1
P3	6	4
P4	2	3

The Gantt chart for following processes based on Priority scheduling will be,



The average waiting time will be,  $(0 + 3 + 24 + 26) / 4 = 13.25$  ms

## Shortest Remaining Time

- Shortest remaining time (SRT) is the preemptive version of the SJN algorithm.
- The processor is allocated to the job closest to completion but it can be preempted by a newer ready job with shorter time to completion.
- Impossible to implement in interactive systems where required CPU time is not known.
- It is often used in batch environments where short jobs need to give preference.

## Round Robin Scheduling

- Round Robin is the preemptive process scheduling algorithm.
- Each process is provided a fix time to execute, it is called a **quantum**.

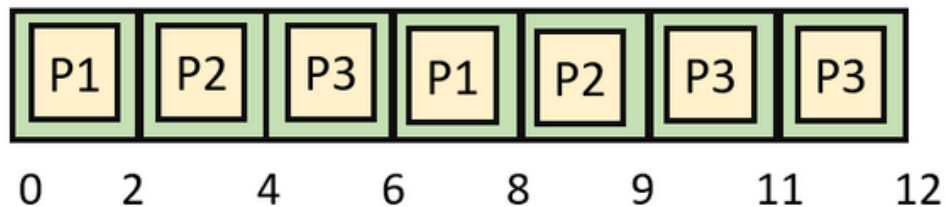
- Once a process is executed for a given time period, it is preempted and other process executes for a given time period.
- Context switching is used to save states of preempted processes.

## Example of Round-robin Scheduling

Consider this following three processes

Process Queue	Burst time
P1	4
P2	3
P3	5

Time Slice = 2



Wait time  
P1= 0+ 4= 4  
P2= 2+4= 6  
P3= 4+3= 7

## Multiple-Level Queues Scheduling

Multiple-level queues are not an independent scheduling algorithm. They make use of other existing algorithms to group and schedule jobs with common characteristics.

- Multiple queues are maintained for processes with common characteristics.
- Each queue can have its own scheduling algorithms.
- Priorities are assigned to each queue.

For example, CPU-bound jobs can be scheduled in one queue and all I/O-bound jobs in another queue. The Process Scheduler then alternately selects jobs from each queue and assigns them to the CPU based on the algorithm assigned to the queue.

## What is Thread?

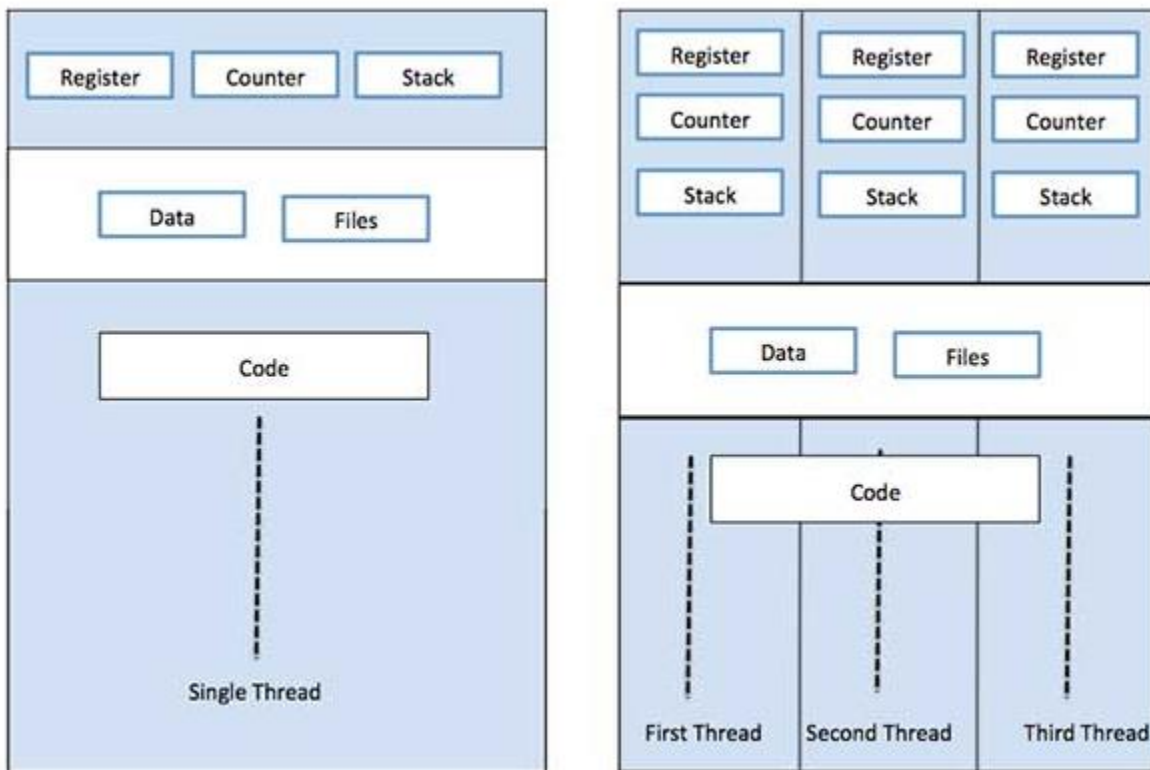
A thread is a flow of execution through the process code, with its own program counter that keeps track of which instruction to execute next, system registers which hold its current working variables, and a stack which contains the execution history.

A thread shares with its peer threads few information like code segment, data segment and open files. When one thread alters a code segment memory item, all other threads see that.

A thread is also called a **lightweight process**. Threads provide a way to improve application performance through parallelism. Threads represent a

software approach to improving performance of operating system by reducing the overhead thread is equivalent to a classical process.

Each thread belongs to exactly one process and no thread can exist outside a process. Each thread represents a separate flow of control. Threads have been successfully used in implementing network servers and web server. They also provide a suitable foundation for parallel execution of applications on shared memory multiprocessors. The following figure shows the working of a single-threaded and a multithreaded process.



## Difference between Process and Thread

S.N.	Process	Thread
1	Process is heavy weight or resource intensive.	Thread is light weight, taking lesser resources than a process.
2	Process switching needs interaction with operating system.	Thread switching does not need to interact with operating system.
3	In multiple processing environments, each process executes the same code but has its own memory and file resources.	All threads can share same set of open files, child processes.
4	If one process is blocked, then no other process can execute until the first process is unblocked.	While one thread is blocked and waiting, a second thread in the same task can run.
5	Multiple processes without using threads use more resources.	Multiple threaded processes use fewer resources.
6	In multiple processes each process operates independently of the others.	One thread can read, write or change another thread's data.

## **Advantages of Thread**

- Threads minimize the context switching time.
- Use of threads provides concurrency within a process.
- Efficient communication.
- It is more economical to create and context switch threads.
- Threads allow utilization of multiprocessor architectures to a greater scale and efficiency.

## **Types of Thread**

Threads are implemented in following two ways –

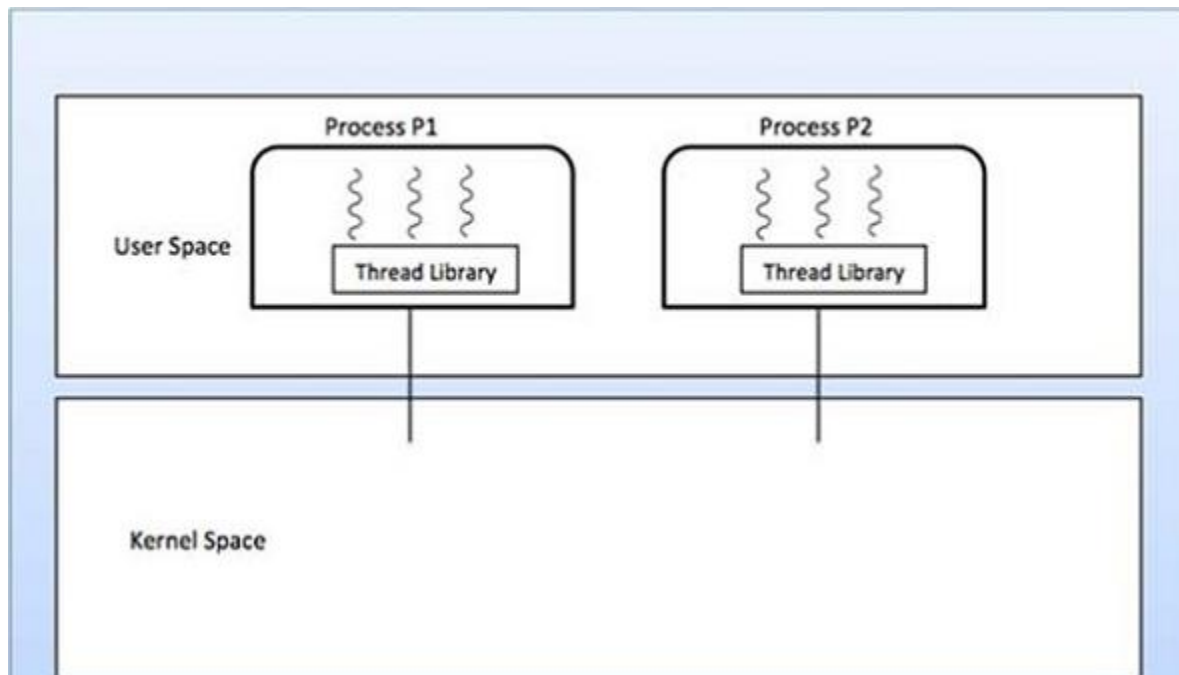
- **User Level Threads** – User managed threads.
- **Kernel Level Threads** – Operating System managed threads acting on kernel, an operating system core.

## **User Level Threads**

In this case, the thread management kernel is not aware of the existence of threads. The thread library contains code for –

- creating and destroying threads,
- for passing message and data between threads,
- for scheduling thread execution and
- for saving and restoring thread contexts.

The application starts with a single thread.



### Advantages

- Thread switching does not require Kernel mode privileges.
- User level thread can run on any operating system.
- Scheduling can be application specific in the user level thread.
- User level threads are fast to create and manage.

### Disadvantages

- In a typical operating system, most system calls are blocking.
- Multithreaded application cannot take advantage of multiprocessing.

## **Kernel Level Threads**

In this case, thread management is done by the Kernel. There is no thread management code in the application area. Kernel threads are supported directly by the operating system. Any application can be programmed to be multithreaded. All of the threads within an application are supported within a single process.

The Kernel maintains context information for the process as a whole and for individual threads within the process. Scheduling by the Kernel is done on a thread basis. The Kernel performs thread creation, scheduling and management in Kernel space. Kernel threads are generally slower to create and manage than the user threads.

### **Advantages**

- Kernel can simultaneously schedule multiple threads from the same process on multiple processes.
- If one thread in a process is blocked, the Kernel can schedule another thread of the same process.
- Kernel routines themselves can be multithreaded.

### **Disadvantages**

- Kernel threads are generally slower to create and manage than the user threads.
- Transfer of control from one thread to another within the same process requires a mode switch to the Kernel.



## **Unit-III: Sequential and Concurrent Process**

Concurrency is the execution of two or more independent, interacting programs over the same period of time; their execution can be interleaved or even simultaneous. Concurrency is used in many kinds of systems, both small and large.

A concurrent system may be implemented via processes and/or threads.

Processes have separate address spaces, whereas threads share address spaces.

The two most common communication techniques in processes and threads are-

- Message passing and shared variables.

In order to communicate at the right times, they must synchronize, together arriving at agreed-upon control points.

Often, one or more threads block, or stop and wait for some external event.

Even though we have multiple flows of control, that doesn't imply we need multiple processors. Concurrent programs may be executed on a single processor by interleaving their control flows.

## **Process Synchronization**

On the basis of synchronization, processes are categorized as one of the following two types:

- **Independent Process** : Execution of one process does not affect the execution of other processes.
- **Cooperative Process** : Execution of one process affects the execution of other processes.

*Process synchronization problem arises in the case of Cooperative process also because resources are shared in Cooperative processes.*

## **Race Condition**

When more than one process is executing the same code or accessing the same memory or any shared variable in that condition there is a possibility that the output or the value of the shared variable is wrong so for that all the processes doing the race to say that my output is correct this condition known as a race condition.

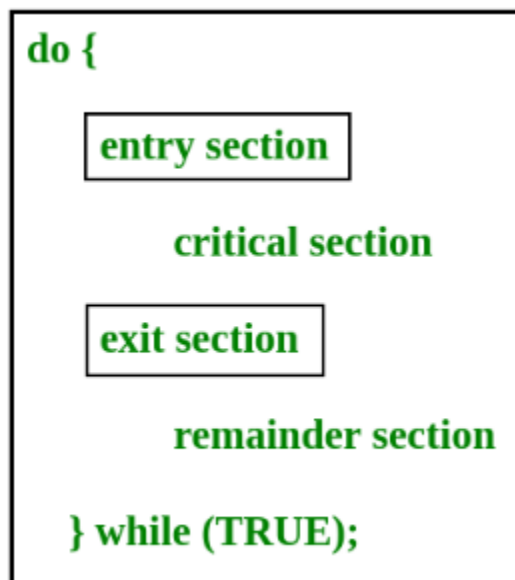
Several processes access and process the manipulations over the same data concurrently, then the outcome depends on the particular order in which the access takes place.

A race condition is a situation that may occur inside a critical section. This happens when the result of multiple thread execution in the critical section differs according to the order in which the threads execute.

Race conditions in critical sections can be avoided if the critical section is treated as an atomic instruction. Also, proper thread synchronization using locks or atomic variables can prevent race conditions.

### **Critical Section Problem**

Critical section is a code segment that can be accessed by only one process at a time. Critical section contains shared variables which need to be synchronized to maintain consistency of data variables.



In the entry section, the process requests for entry in the **Critical Section**.

Any solution to the critical section problem must satisfy three requirements:

- **Mutual Exclusion** : If a process is executing in its critical section, then no other process is allowed to execute in the critical section.
- **Progress** : If no process is executing in the critical section and other processes are waiting outside the critical section, then only those processes that are not executing in their remainder section can participate in deciding which will enter in the critical section next, and the selection can not be postponed indefinitely.
- **Bounded Waiting** : A bound must exist on the number of times that other processes are allowed to enter their critical sections after a process has made a request to enter its critical section and before that request is granted.

## Semaphores

A semaphore is a signaling mechanism and a thread that is waiting on a semaphore can be signaled by another thread. This is different than a mutex as the mutex can be signaled only by the thread that called the wait function.

A semaphore uses two atomic operations, wait and signal for process synchronization.

A Semaphore is an integer variable, which can be accessed only through two operations *wait()* and *signal()*.

There are two types of semaphores: **Binary Semaphores** and **Counting Semaphores**

- Binary Semaphores: They can only be either 0 or 1. They are also known as mutex locks, as the locks can provide mutual exclusion. All

the processes can share the same mutex semaphore that is initialized to 1. Then, a process has to wait until the lock becomes 0. Then, the process can make the mutex semaphore 1 and start its critical section. When it completes its critical section, it can reset the value of mutex semaphore to 0 and some other process can enter its critical section.

- **Counting Semaphores:**

They can be used to control access to a resource that has a limitation on the number of simultaneous accesses.

The semaphore can be initialized to the number of instances of the resource.

Whenever a process wants to use that resource, it checks if the number of remaining instances is more than zero, i.e., the process has an instance available.

Then, the process can enter its critical section thereby decreasing the value of the counting semaphore by 1.

After the process is over with the use of the instance of the resource, it can leave the critical section thereby adding 1 to the number of available instances of the resource.

### **Precedence graph**

**Precedence Graph** is a directed acyclic graph which is used to show the execution level of several processes in operating system. It consists of

nodes and edges. Nodes represent the processes and the edges represent the flow of execution.

### **Properties of Precedence Graph :**

Following are the properties of Precedence Graph:

- It is a directed graph.
- It is an acyclic graph.
- Nodes of graph correspond to individual statements of program code.
- Edge between two nodes represents the execution order.
- A directed edge from node A to node B shows that statement A executes first and then Statement B executes.

Consider the following code:

S1 :  $a = x + y$ ;

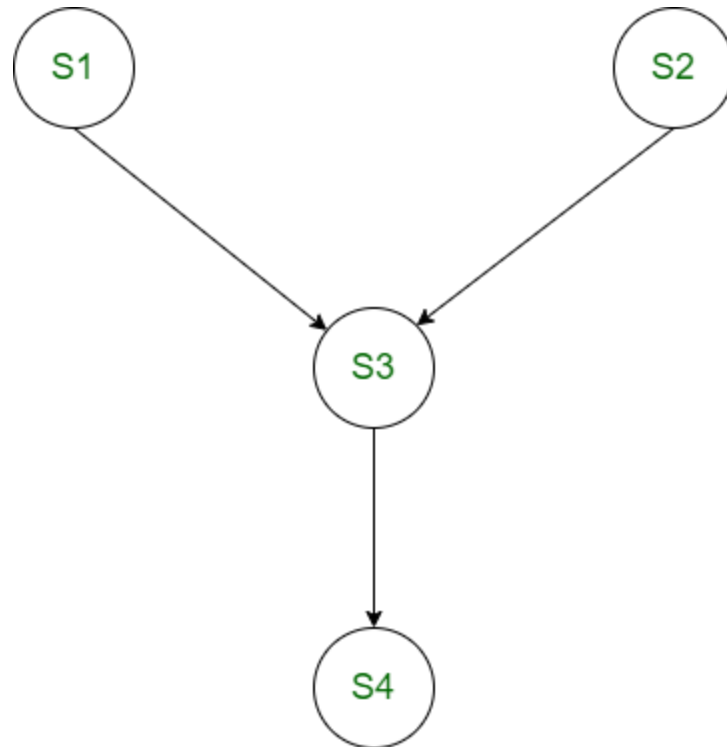
S2 :  $b = z + 1$ ;

S3 :  $c = a - b$ ;

S4 :  $w = c + 1$ ;

If above code is executed, the following precedence relations exist:

- $c = a - b$  cannot be executed before both a and b have been assigned values.
- $w = c + 1$  cannot be executed before the new values of c has been computed.
- The statements  $a = x + y$  and  $b = z + 1$  could be executed concurrently.

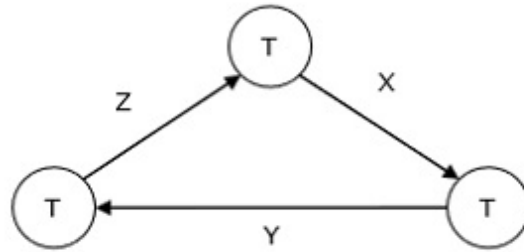


## What are Deadlocks?

Deadlock is a state of a database system having two or more transactions, when each transaction is waiting for a data item that is being locked by some other transaction.

A deadlock can be indicated by a cycle in the wait-for-graph. This is a directed graph in which the vertices denote transactions and the edges denote waits for data items.

For example, in the following wait-for-graph, transaction T1 is waiting for data item X which is locked by T3. T3 is waiting for Y which is locked by T2 and T2 is waiting for Z which is locked by T1. Hence, a waiting cycle is formed, and none of the transactions can proceed executing.



## Deadlock Handling in Centralized Systems

There are three classical approaches for deadlock handling, namely –

- Deadlock prevention.
- Deadlock avoidance.
- Deadlock detection and removal.

All of the three approaches can be incorporated in both a centralized and a distributed database system.

### Deadlock Prevention

The deadlock prevention approach does not allow any transaction to acquire locks that will lead to deadlocks. The convention is that when more than one transactions request for locking the same data item, only one of them is granted the lock.

One of the most popular deadlock prevention methods is pre-acquisition of all the locks. In this method, a transaction acquires all the locks before starting to execute and retains the locks for the entire duration of transaction. If another transaction needs any of the already acquired locks, it has to wait until all the locks it needs are available. Using this approach,



the system is prevented from being deadlocked since none of the waiting transactions are holding any lock.

## Deadlock Avoidance

The deadlock avoidance approach handles deadlocks before they occur. It analyzes the transactions and the locks to determine whether or not waiting leads to a deadlock.

The method can be briefly stated as follows. Transactions start executing and request data items that they need to lock. The lock manager checks whether the lock is available. If it is available, the lock manager allocates the data item and the transaction acquires the lock. However, if the item is locked by some other transaction in incompatible mode, the lock manager runs an algorithm to test whether keeping the transaction in waiting state will cause a deadlock or not. Accordingly, the algorithm decides whether the transaction can wait or one of the transactions should be aborted.

There are two algorithms for this purpose, namely **wait-die** and **wound-wait**. Let us assume that there are two transactions, T1 and T2, where T1 tries to lock a data item which is already locked by T2. The algorithms are as follows –

- **Wait-Die** – If T1 is older than T2, T1 is allowed to wait. Otherwise, if T1 is younger than T2, T1 is aborted and later restarted.
- **Wound-Wait** – If T1 is older than T2, T2 is aborted and later restarted. Otherwise, if T1 is younger than T2, T1 is allowed to wait.

## Deadlock Detection and Removal

The deadlock detection and removal approach runs a deadlock detection algorithm periodically and removes deadlock in case there is one. It does not check for deadlock when a transaction places a request for a lock. When a transaction requests a lock, the lock manager checks whether it is available. If it is available, the transaction is allowed to lock the data item; otherwise the transaction is allowed to wait.

Since there are no precautions while granting lock requests, some of the transactions may be deadlocked. To detect deadlocks, the lock manager periodically checks if the wait-for-graph has cycles. If the system is deadlocked, the lock manager chooses a victim transaction from each cycle. The victim is aborted and rolled back; and then restarted later. Some of the methods used for victim selection are –

- Choose the youngest transaction.
- Choose the transaction with fewest data items.
- Choose the transaction that has performed least number of updates.
- Choose the transaction having least restart overhead.
- Choose the transaction which is common to two or more cycles.

This approach is primarily suited for systems having transactions low and where fast response to lock requests is needed.

## Inter-process communication

A process can be of two types:

- Independent process.

- Co-operating process.

An independent process is not affected by the execution of other processes while a co-operating process can be affected by other executing processes. Though one can think that those processes, which are running independently, will execute very efficiently, in reality, there are many situations when co-operative nature can be utilised for increasing computational speed, convenience and modularity. Inter process communication (IPC) is a mechanism which allows processes to communicate with each other and synchronize their actions. The communication between these processes can be seen as a method of co-operation between them. Processes can communicate with each other through both:

1. Shared Memory
2. Message passing

The Figure 1 below shows a basic structure of communication between processes via the shared memory method and via the message passing method.

An operating system can implement both method of communication. First, we will discuss the shared memory methods of communication and then message passing. Communication between processes using shared memory requires processes to share some variable and it completely depends on how programmer will implement it. One way of communication using shared memory can be imagined like this: Suppose process1 and process2 are executing simultaneously and they share some resources or

use some information from another process. Process1 generate information about certain computations or resources being used and keeps it as a record in shared memory. When process2 needs to use the shared information, it will check in the record stored in shared memory and take note of the information generated by process1 and act accordingly. Processes can use shared memory for extracting information as a record from another process as well as for delivering any specific information to other processes.

Let's discuss an example of communication between processes using shared memory method.

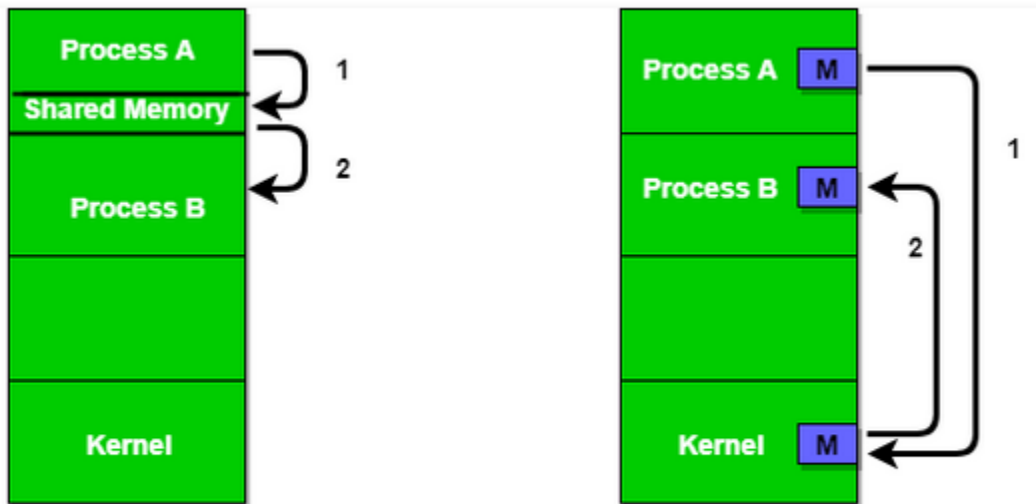


Figure 1 - Shared Memory and Message Passing

### i) Shared Memory Method

#### Ex: Producer-Consumer problem

There are two processes: Producer and Consumer. Producer produces some item and Consumer consumes that item. The two processes share a

common space or memory location known as a buffer where the item produced by Producer is stored and from which the Consumer consumes the item, if needed.

There are two versions of this problem: the first one is known as unbounded buffer problem in which Producer can keep on producing items and there is no limit on the size of the buffer, the second one is known as the bounded buffer problem in which Producer can produce up to a certain number of items before it starts waiting for Consumer to consume it. We will discuss the bounded buffer problem. First, the Producer and the Consumer will share some common memory, then producer will start producing items. If the total produced item is equal to the size of buffer, producer will wait to get it consumed by the Consumer. Similarly, the consumer will first check for the availability of the item. If no item is available, Consumer will wait for Producer to produce it. If there are items available, Consumer will consume it.

## **ii) Messaging Passing Method**

Now, We will start our discussion of the communication between processes via message passing. In this method, processes communicate with each other without using any kind of shared memory. If two processes p1 and p2 want to communicate with each other, they proceed as follows:

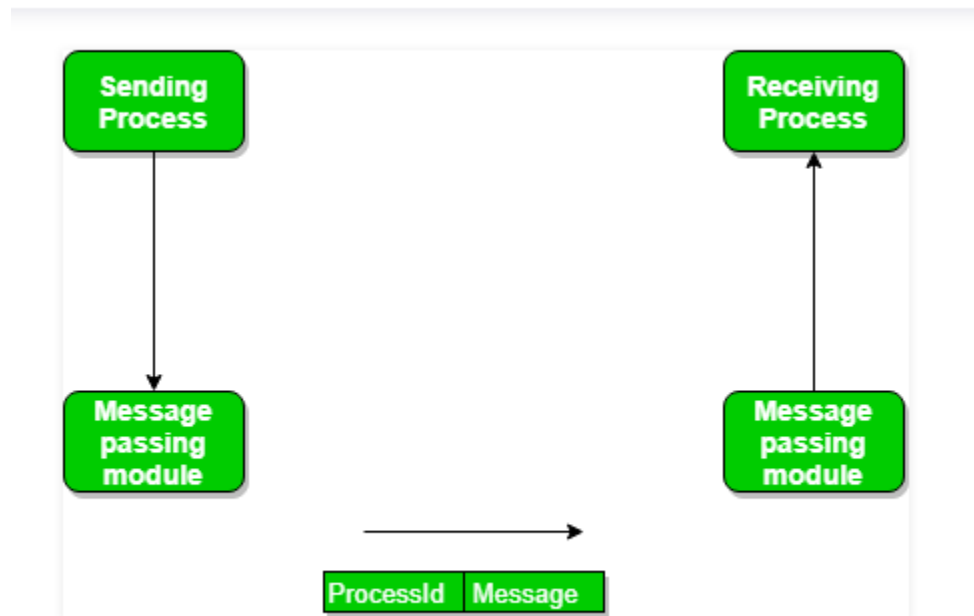
- Establish a communication link (if a link already exists, no need to establish it again.)

Start exchanging messages using basic primitives.

We need at least two primitives:

–**send**(message, destinaion) or **send**(message)

– **receive**(message, host) or **receive**(message)



The message size can be of fixed size or of variable size. If it is of fixed size, it is easy for an OS designer but complicated for a programmer and if it is of variable size then it is easy for a programmer but complicated for the OS designer. A standard message can have two parts: **header and body**. The **header part** is used for storing message type, destination id, source id, message length, and control information. The control information contains information like what to do if runs out of buffer space, sequence number, priority. Generally, message is sent using FIFO style.

## **Unit-IV: What is Memory Management?**

**Memory Management** is the process of controlling and coordinating computer memory, assigning portions known as blocks to various running programs to optimize the overall performance of the system.

It is the most important function of an operating system that manages primary memory. It helps processes to move back and forward between the main memory and execution disk. It helps OS to keep track of every memory location, irrespective of whether it is allocated to some process or it remains free.

### **Why Use Memory Management?**

Here, are reasons for using memory management:

- It allows you to check how much memory needs to be allocated to processes that decide which processor should get memory at what time.
- Tracks whenever inventory gets freed or unallocated. According to it will update the status.
- It allocates the space to application routines.
- It also make sure that these applications do not interfere with each other.
- Helps protect different processes from each other

- It places the programs in memory so that memory is utilized to its full extent.

## **Memory Management Techniques**

Here, are some most crucial memory management techniques:

### **Single Contiguous Allocation**

It is the easiest memory management technique. In this method, all types of computer's memory except a small portion which is reserved for the OS is available for one application. For example, MS-DOS operating system allocates memory in this way. An embedded system also runs on a single application.

### **Partitioned Allocation**

It divides primary memory into various memory partitions, which is mostly contiguous areas of memory. Every partition stores all the information for a specific task or job. This method consists of allotting a partition to a job when it starts & unallocate when it ends.



## **Paged Memory Management**

This method divides the computer's main memory into fixed-size units known as page frames. This hardware memory management unit maps pages into frames which should be allocated on a page basis.

## **Segmented Memory Management**

Segmented memory is the only memory management method that does not provide the user's program with a linear and contiguous address space.

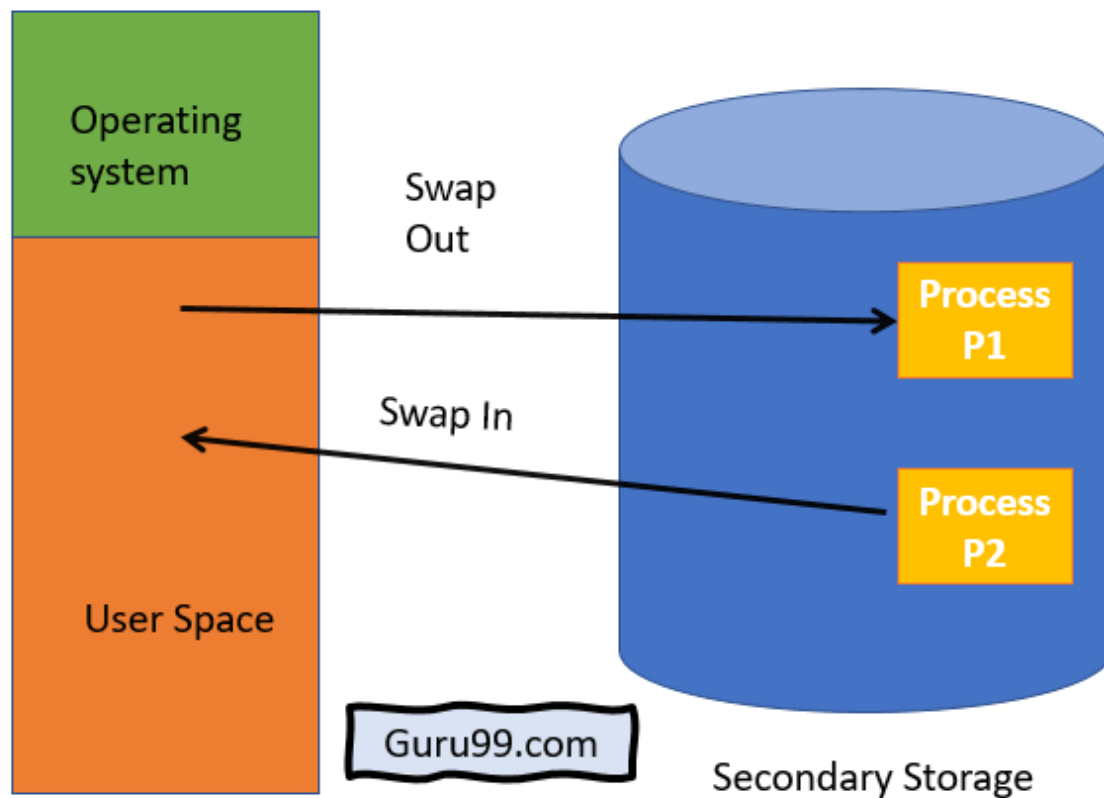
Segments need hardware support in the form of a segment table. It contains the physical address of the section in memory, size, and other data like access protection bits and status.

## **What is Swapping?**

Swapping is a method in which the process should be swapped temporarily from the main memory to the backing store. It will be later brought back into the memory for continue execution.

Backing store is a hard disk or some other secondary storage device that should be big enough inorder to accommodate copies of all memory

images for all users. It is also capable of offering direct access to these memory images.



## Benefits of Swapping

Here, are major benefits/pros of swapping:

- It offers a higher degree of multiprogramming.
- Allows dynamic relocation. For example, if address binding at execution time is being used, then processes can be swap in different

locations. Else in case of compile and load time bindings, processes should be moved to the same location.

- It helps to get better utilization of memory.
- Minimum wastage of CPU time on completion so it can easily be applied to a priority-based scheduling method to improve its performance.

### **What is Memory allocation?**

Memory allocation is a process by which computer programs are assigned memory or space.

Here, main memory is divided into two types of partitions

1. **Low Memory** - Operating system resides in this type of memory.
2. **High Memory**- User processes are held in high memory.

### **Partition Allocation**

Memory is divided into different blocks or partitions. Each process is allocated according to the requirement. Partition allocation is an ideal method to avoid internal fragmentation.

Below are the various partition allocation schemes :

- **First Fit:** In this type fit, the partition is allocated, which is the first sufficient block from the beginning of the main memory.
- **Best Fit:** It allocates the process to the partition that is the first smallest partition among the free partitions.
- **Worst Fit:** It allocates the process to the partition, which is the largest sufficient freely available partition in the main memory.
- **Next Fit:** It is mostly similar to the first Fit, but this Fit, searches for the first sufficient partition from the last allocation point.

### **What is Paging?**

Paging is a storage mechanism that allows OS to retrieve processes from the secondary storage into the main memory in the form of pages. In the Paging method, the main memory is divided into small fixed-size blocks of physical memory, which is called frames. The size of a frame should be kept the same as that of a page to have maximum utilization of the main memory and to avoid external fragmentation. Paging is used for faster access to data, and it is a logical concept.

## What is Fragmentation?

Processes are stored and removed from memory, which creates free memory space, which are too small to use by other processes.

After sometimes, that processes not able to allocate to memory blocks because its small size and memory blocks always remain unused is called fragmentation. This type of problem happens during a dynamic memory allocation system when free blocks are quite small, so it is not able to fulfill any request.

Two types of Fragmentation methods are:

1. External fragmentation
  2. Internal fragmentation
- External fragmentation can be reduced by rearranging memory contents to place all free memory together in a single block.
  - The internal fragmentation can be reduced by assigning the smallest partition, which is still good enough to carry the entire process.

## **What is Segmentation?**

Segmentation method works almost similarly to paging. The only difference between the two is that segments are of variable-length, whereas, in the paging method, pages are always of fixed size.

A program segment includes the program's main function, data structures, utility functions, etc. The OS maintains a segment map table for all the processes. It also includes a list of free memory blocks along with its size, segment numbers, and its memory locations in the main memory or virtual memory.

## **What is Dynamic Loading?**

Dynamic loading is a routine of a program which is not loaded until the program calls it. All routines should be contained on disk in a relocatable load format. The main program will be loaded into memory and will be executed. Dynamic loading also provides better memory space utilization.

## **What is Dynamic Linking?**

Linking is a method that helps OS to collect and merge various modules of code and data into a single executable file. The file can be loaded into memory and executed. OS can link system-level libraries into a program

that combines the libraries at load time. In Dynamic linking method, libraries are linked at execution time, so program code size can remain small.

### **Difference Between Static and Dynamic Loading**

<b>Static Loading</b>	<b>Dynamic Loading</b>
Static loading is used when you want to load your program statically. Then at the time of compilation, the entire program will be linked and compiled without need of any external module or program dependency.	In a Dynamically loaded program, references will be provided and the loading will be done at the time of execution.
At loading time, the entire program is loaded into memory and starts its execution.	Routines of the library are loaded into memory only when they are required in the program.

## Difference Between Static and Dynamic Linking

Here, are main difference between Static vs. Dynamic Linking:

Static Linking	Dynamic Linking
Static linking is used to combine all other modules, which are required by a program into a single executable code. This helps OS prevent any runtime dependency.	When dynamic linking is used, it does not need to link the actual module or library with the program. Instead of it use a reference to the dynamic module provided at the time of compilation and linking.

## What is Virtual Memory?

Virtual Memory is a space where large programs can store themselves in form of pages while their execution and only the required pages or portions of processes are loaded into the main memory. This technique is useful as large virtual memory is provided for user programs when a very small physical memory is there.

In real scenarios, most processes never need all their pages at once, for following reasons :



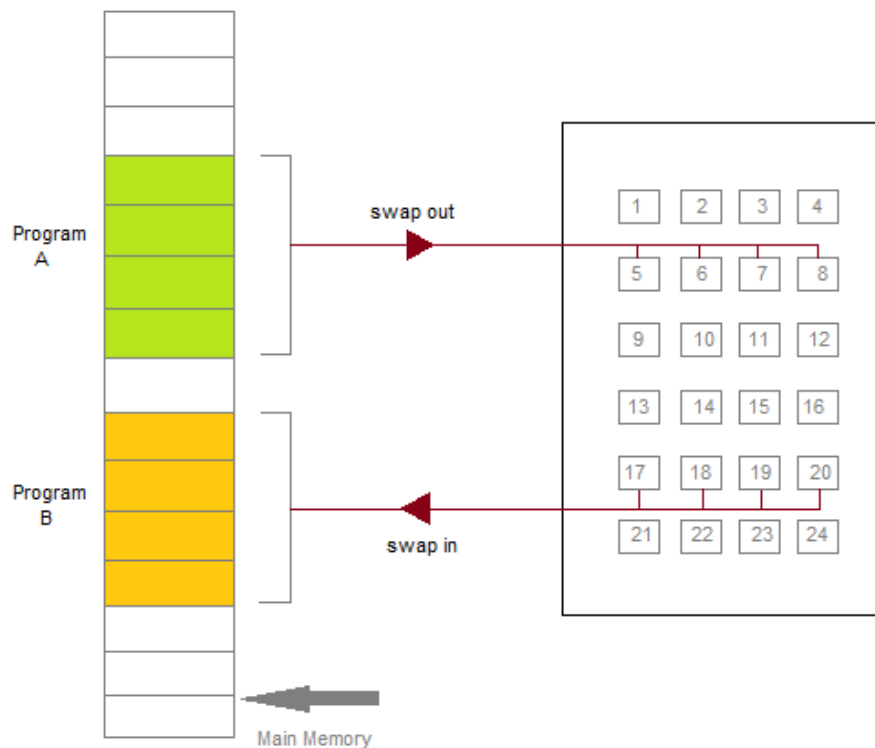
- Error handling code is not needed unless that specific error occurs, some of which are quite rare.
- Arrays are often over-sized for worst-case scenarios, and only a small fraction of the arrays are actually used in practice.
- Certain features of certain programs are rarely used.

### **Benefits of having Virtual Memory**

1. Large programs can be written, as virtual space available is huge compared to physical memory.
2. Less I/O required, leads to faster and easy swapping of processes.
3. More physical memory available, as programs are stored on virtual memory, so they occupy very less space on actual physical memory.

### **What is Demand Paging?**

The basic idea behind demand paging is that when a process is swapped in, its pages are not swapped in all at once. Rather they are swapped in only when the process needs them(On demand). This is termed as lazy swapper, although a pager is a more accurate term.



Initially only those pages are loaded which will be required the process immediately.

The pages that are not moved into the memory, are marked as invalid in the page table. For an invalid entry the rest of the table is empty. In case of pages that are loaded in the memory, they are marked as valid along with the information about where to find the swapped out page.

When the process requires any of the page that is not loaded into the memory, a page fault trap is triggered and following steps are followed,

1. The memory address which is requested by the process is first checked, to verify the request made by the process.
2. If its found to be invalid, the process is terminated.
3. In case the request by the process is valid, a free frame is located, possibly from a free-frame list, where the required page will be moved.
4. A new operation is scheduled to move the necessary page from disk to the specified memory location. ( This will usually block the process on an I/O wait, allowing some other process to use the CPU in the meantime. )
5. When the I/O operation is complete, the process's page table is updated with the new frame number, and the invalid bit is changed to valid.
6. The instruction that caused the page fault must now be restarted from the beginning.

There are cases when no pages are loaded into the memory initially, pages are only loaded when demanded by the process by generating page faults.

This is called **Pure Demand Paging**.

The only major issue with Demand Paging is, after a new page is loaded, the process starts execution from the beginning. Its is not a big issue for small programs, but for larger programs it affects performance drastically.

## **Page Replacement**

As studied in Demand Paging, only certain pages of a process are loaded initially into the memory. This allows us to get more number of processes into the memory at the same time. but what happens when a process requests for more pages and no free memory is available to bring them in.

Following steps can be taken to deal with this problem-

1. Put the process in the wait queue, until any other process finishes its execution thereby freeing frames.
2. Or, remove some other process completely from the memory to free frames.
3. Or, find some pages that are not being used right now, move them to the disk to get free frames. This technique is called **Page replacement** and is most commonly used. We have some great algorithms to carry on page replacement efficiently.

## Basic Page Replacement

- Find the location of the page requested by ongoing process on the disk.
- Find a free frame. If there is a free frame, use it. If there is no free frame, use a page-replacement algorithm to select any existing frame to be replaced, such frame is known as **victim frame**.
- Write the victim frame to disk. Change all related page tables to indicate that this page is no longer in memory.
- Move the required page and store it in the frame. Adjust all related page and frame tables to indicate the change.
- Restart the process that was waiting for this page.

## FIFO Page Replacement

- A very simple way of Page replacement is FIFO (First in First Out)
- As new pages are requested and are swapped in, they are added to tail of a queue and the page which is at the head becomes the victim.
- Its not an effective way of page replacement but can be used for small systems.

## LRU Page Replacement

Below is a video, which will explain LRU Page replacement algorithm in details with an example.

## Thrashing

A process that is spending more time paging than executing is said to be thrashing. In other words it means, that the process doesn't have enough frames to hold all the pages for its execution, so it is swapping pages in and out very frequently to keep executing. Sometimes, the pages which will be required in the near future have to be swapped out.

Initially when the CPU utilization is low, the process scheduling mechanism, to increase the level of multiprogramming loads multiple processes into the memory at the same time, allocating a limited amount of frames to each process. As the memory fills up, process starts to spend a lot of time for the required pages to be swapped in, again leading to low CPU utilization because most of the processes are waiting for pages. Hence the scheduler loads more processes to increase CPU utilization, as this continues at a point of time the complete system comes to a stop.

## Unit-V: Device Management

One of the important jobs of an Operating System is to manage various I/O devices including mouse, keyboards, touch pad, disk drives, display adapters, USB devices, Bit-mapped screen, LED, Analog-to-digital converter, On/off switch, network connections, audio I/O, printers etc.

An I/O system is required to take an application I/O request and send it to the physical device, then take whatever response comes back from the device and send it to the application. I/O devices can be divided into two categories –

- **Block devices** – A block device is one with which the driver communicates by sending entire blocks of data. For example, Hard disks, USB cameras, Disk-On-Key etc.
- **Character devices** – A character device is one with which the driver communicates by sending and receiving single characters (bytes,). For example, serial ports, parallel ports, sounds cards etc

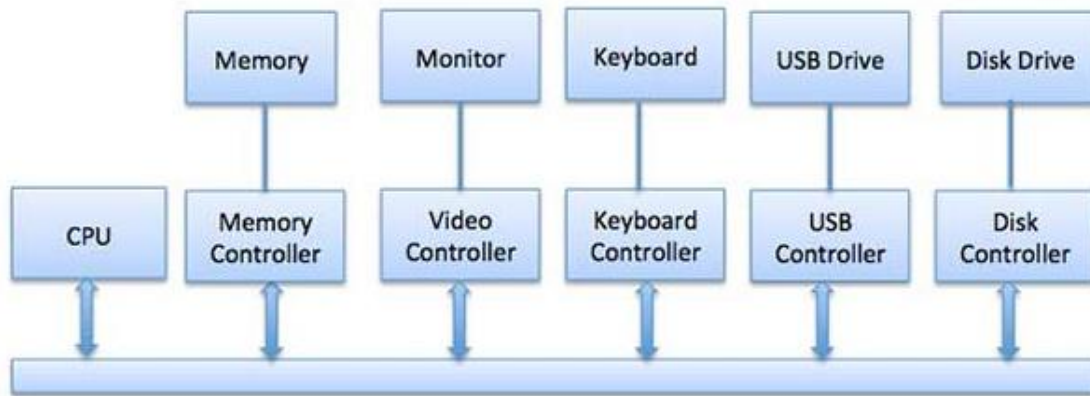
### **Device Controllers**

Device drivers are software modules that can be plugged into an OS to handle a particular device. Operating System takes help from device drivers to handle all I/O devices.

The Device Controller works like an interface between a device and a device driver. I/O units (Keyboard, mouse, printer, etc.) typically consist of a mechanical component and an electronic component where electronic component is called the device controller.

There is always a device controller and a device driver for each device to communicate with the Operating Systems. A device controller may be able to handle multiple devices. As an interface its main task is to convert serial bit stream to block of bytes, perform error correction as necessary.

Any device connected to the computer is connected by a plug and socket, and the socket is connected to a device controller. Following is a model for connecting the CPU, memory, controllers, and I/O devices where CPU and device controllers all use a common bus for communication.



## Input Output Software

I/O software is often organized in the following layers –

- **User Level Libraries** – This provides simple interface to the user program to perform input and output. For example, **stdio.h**, **iostream.h** is a library provided by C and C++ programming languages.



- **Kernel Level Modules** – This provides device driver to interact with the device controller and device independent I/O modules used by the device drivers.
- **Hardware** – This layer includes actual hardware and hardware controller which interact with the device drivers and makes hardware alive.

A key concept in the design of I/O software is that it should be device independent where it should be possible to write programs that can access any I/O device without having to specify the device in advance. For example, a program that reads a file as input should be able to read a file on a floppy disk, on a hard disk, or on a CD-ROM, without having to modify the program for each different device.

## **Device Drivers**

Device drivers are software modules that can be plugged into an OS to handle a particular device. Operating System takes help from device drivers to handle all I/O devices. Device drivers encapsulate device-dependent code and implement a standard interface in such a way that code contains device-specific register reads/writes. Device driver, is generally written by the device's manufacturer and delivered along with the device on a CD-ROM.

A device driver performs the following jobs –

- To accept request from the device independent software above to it.
- Interact with the device controller to take and give I/O and perform required error handling

- Making sure that the request is executed successfully

How a device driver handles a request is as follows: Suppose a request comes to read a block N. If the driver is idle at the time a request arrives, it starts carrying out the request immediately. Otherwise, if the driver is already busy with some other request, it places the new request in the queue of pending requests.

### **Interrupt handlers**

An interrupt handler, also known as an interrupt service routine or ISR, is a piece of software or more specifically a callback function in an operating system or more specifically in a device driver, whose execution is triggered by the reception of an interrupt.

When the interrupt happens, the interrupt procedure does whatever it has to in order to handle the interrupt, updates data structures and wakes up process that was waiting for an interrupt to happen.

The interrupt mechanism accepts an address — a number that selects a specific interrupt handling routine/function from a small set. In most architectures, this address is an offset stored in a table called the interrupt vector table. This vector contains the memory addresses of specialized interrupt handlers.

### **Device-Independent I/O Software**

The basic function of the device-independent software is to perform the I/O functions that are common to all devices and to provide a uniform interface to the user-level software. Though it is difficult to write completely device

independent software but we can write some modules which are common among all the devices.

Following is a list of functions of device-independent I/O Software –

- Uniform interfacing for device drivers
- Device naming - Mnemonic names mapped to Major and Minor device numbers
- Device protection
- Providing a device-independent block size
- Buffering because data coming off a device cannot be stored in final destination.
- Storage allocation on block devices
- Allocation and releasing dedicated devices
- Error Reporting

### **User-Space I/O Software**

These are the libraries which provide richer and simplified interface to access the functionality of the kernel or ultimately interactive with the device drivers. Most of the user-level I/O software consists of library procedures with some exception like spooling system which is a way of dealing with dedicated I/O devices in a multiprogramming system.

I/O Libraries (e.g., stdio) are in user-space to provide an interface to the OS resident device-independent I/O SW. For example putchar(), getchar(), printf() and scanf() are example of user level I/O library stdio available in C programming.

## Kernel I/O Subsystem

Kernel I/O Subsystem is responsible to provide many services related to I/O.

Following are some of the services provided.

- **Scheduling** – Kernel schedules a set of I/O requests to determine a good order in which to execute them. When an application issues a blocking I/O system call, the request is placed on the queue for that device. The Kernel I/O scheduler rearranges the order of the queue to improve the overall system efficiency and the average response time experienced by the applications.
- **Buffering** – Kernel I/O Subsystem maintains a memory area known as **buffer** that stores data while they are transferred between two devices or between a device with an application operation. Buffering is done to cope with a speed mismatch between the producer and consumer of a data stream or to adapt between devices that have different data transfer sizes.
- **Caching** – Kernel maintains cache memory which is region of fast memory that holds copies of data. Access to the cached copy is more efficient than access to the original.
- **Spooling and Device Reservation** – A spool is a buffer that holds output for a device, such as a printer, that cannot accept interleaved data streams. The spooling system copies the queued spool files to the printer one at a time. In some operating systems, spooling is managed by a system daemon process. In other operating systems, it is handled by an in kernel thread.

- **Error Handling** – An operating system that uses protected memory can guard against many kinds of hardware and application errors.

## **File**

A file is a named collection of related information that is recorded on secondary storage such as magnetic disks, magnetic tapes and optical disks. In general, a file is a sequence of bits, bytes, lines or records whose meaning is defined by the files creator and user.

## **File Structure**

A File Structure should be according to a required format that the operating system can understand.

- A file has a certain defined structure according to its type.
- A text file is a sequence of characters organized into lines.
- A source file is a sequence of procedures and functions.
- An object file is a sequence of bytes organized into blocks that are understandable by the machine.
- When operating system defines different file structures, it also contains the code to support these file structure. Unix, MS-DOS support minimum number of file structure.

## **File Type**

File type refers to the ability of the operating system to distinguish different types of file such as text files source files and binary files etc. Many operating systems support many types of files. Operating system like MS-DOS and UNIX have the following types of files –

## Ordinary files

- These are the files that contain user information.
- These may have text, databases or executable program.
- The user can apply various operations on such files like add, modify, delete or even remove the entire file.

## Directory files

- These files contain list of file names and other information related to these files.

## Special files

- These files are also known as device files.
- These files represent physical device like disks, terminals, printers, networks, tape drive etc.

These files are of two types –

- **Character special files** – data is handled character by character as in case of terminals or printers.
- **Block special files** – data is handled in blocks as in the case of disks and tapes.

## File Access Mechanisms

File access mechanism refers to the manner in which the records of a file may be accessed. There are several ways to access files –

- Sequential access

- Direct/Random access
- Indexed sequential access

### **Sequential access**

A sequential access is that in which the records are accessed in some sequence, i.e., the information in the file is processed in order, one record after the other. This access method is the most primitive one. Example: Compilers usually access files in this fashion.

### **Direct/Random access**

- Random access file organization provides, accessing the records directly.
- Each record has its own address on the file with by the help of which it can be directly accessed for reading or writing.
- The records need not be in any sequence within the file and they need not be in adjacent locations on the storage medium.

### **Indexed sequential access**

- This mechanism is built up on base of sequential access.
- An index is created for each file which contains pointers to various blocks.
- Index is searched sequentially and its pointer is used to access the file directly.

## **Space Allocation**

Files are allocated disk spaces by operating system. Operating systems deploy following three main ways to allocate disk space to files.

- Contiguous Allocation
- Linked Allocation
- Indexed Allocation

### **Contiguous Allocation**

- Each file occupies a contiguous address space on disk.
- Assigned disk address is in linear order.
- Easy to implement.
- External fragmentation is a major issue with this type of allocation technique.

### **Linked Allocation**

- Each file carries a list of links to disk blocks.
- Directory contains link / pointer to first block of a file.
- No external fragmentation
- Effectively used in sequential access file.
- Inefficient in case of direct access file.

### **Indexed Allocation**

- Provides solutions to problems of contiguous and linked allocation.
- A index block is created having all pointers to files.



- Each file has its own index block which stores the addresses of disk space occupied by the file.
- Directory contains the addresses of index blocks of files.