

## Unit 1

### Introduction to Operating System

#### Introduction

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

#### Operating System Definition

A program that acts as an intermediary between a user of a computer and the computer hardware.

- OS is a resource allocator
- Manages all resources
- Decides between conflicting requests for efficient and fair resource use
- OS is a control program
- Controls execution of programs to prevent errors and improper use of the computer

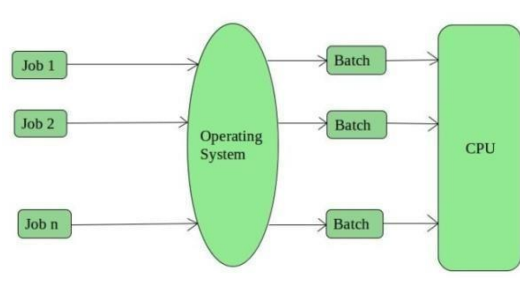
*Following are some of important functions of an operating System.*

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

#### Types of Operating System

##### 1. 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.



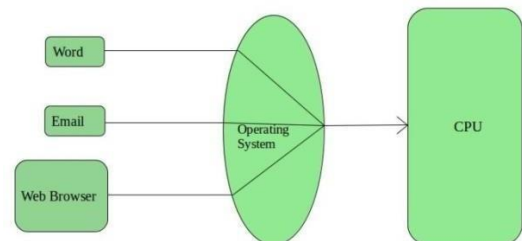
The problems with Batch Systems are as follows –

- 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.

##### 2. 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 Multi-programmed Batch Systems and Time-Sharing Systems is that in case of Multi-programmed batch systems, the objective is to maximize processor use, whereas in Time-Sharing Systems, the objective is to minimize response time.



Advantages of Timesharing operating systems

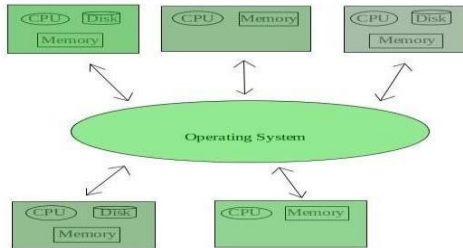
- Provides the advantage of quick response.
- Avoids duplication of software.
- Reduces CPU idle time.

Disadvantages of Time-sharing operating systems

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

### 3. Distributed operatingSystem

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



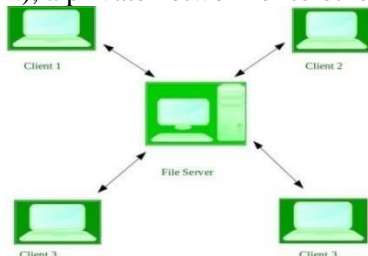
The advantages of distributed systems

- 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.

### 4. Network operatingSystem

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.



The advantages of network operating systems

- 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

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

### 5. RealTimeoperatingSystem

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.

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

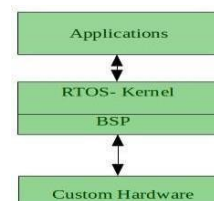
There are two types of real-time operating systems.

- **Hard real-time systems**

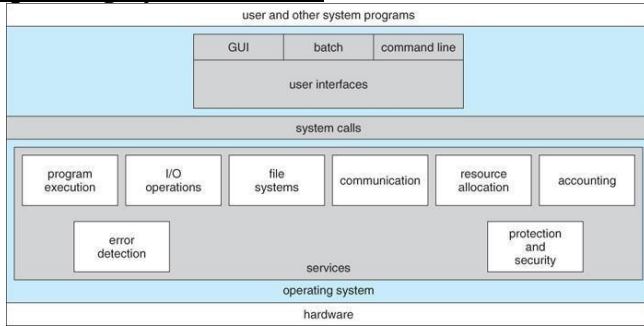
Hard real-time systems guarantee that critical tasks complete on time. In hard real-time systems, secondary storage is limited or missing and the data is stored in ROM. In these systems, virtual memory is almost never found.

- **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-System Services



OS provide environments in which programs run, and services for the users of the system, including:

- **User Interfaces –**

Means by which users can issue commands to the system. Depending on the system these may be a command-line interface ( e.g. sh, csh, ksh, tcsh, etc. ), a GUI interface ( e.g. Windows, X-Windows, KDE, Gnome, etc. ), or a batch command systems.

- **Program Execution –**

The OS must be able to load a program into RAM, run the program, and terminate the program, either normally or abnormally.

- **I/O Operations –**

The OS is responsible for transferring data to and from I/O devices, including keyboards, terminals, printers, and storage devices

- **File-System Manipulation –**

In addition to raw data storage, the OS is also responsible for maintaining directory and subdirectory structures, mapping file names to specific blocks of data storage, and providing tools for navigating and utilizing the file system.

- **Communications –**

Inter-process communications, IPC, either between processes running on the same processor, or between processes running on separate processors or separate machines. May be implemented as either shared memory or message passing, ( or some systems may offer both. )

- **Error Detection –**

Both hardware and software errors must be detected and handled appropriately, with a minimum of harmful repercussions.

Some systems may include complex error avoidance or recovery systems, including backups, RAID drives, and other redundant systems. Debugging and diagnostic tools aid users and administrators in tracing down the cause of problems.

Other systems aid in the efficient operation of the OS itself:

- **Resource Allocation –**

E.g. CPU cycles, main memory, storage space, and peripheral devices. Some resources are managed with generic systems and others with very carefully designed and specially tuned systems, customized for a particular resource and operating environment.

- **Accounting –**

Keeping track of system activity and resource usage, either for billing purposes or for statistical record keeping that can be used to optimize future performance.

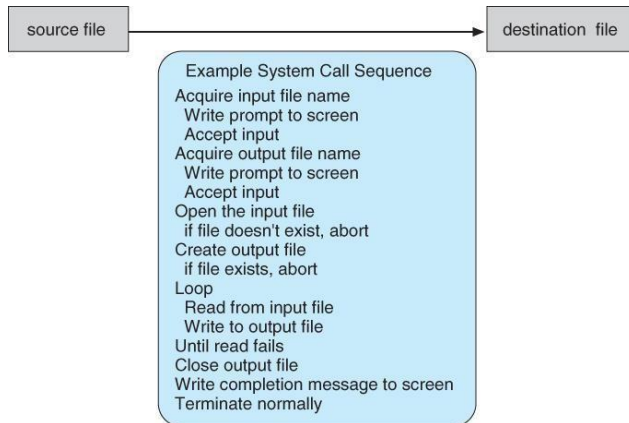
- **Protection and Security –**

Preventing harm to the system and to resources, either through wayward internal processes or malicious outsiders. Authentication, ownership, and restricted access are obvious parts of this system. Highly secure systems may log all process activity down to excruciating detail, and security regulation dictate the storage of those records on permanent non-erasable medium for extended times in secure ( off-site ) facilities.

## System Calls

- System calls provide a means for user or application programs to call upon the services of the operating system.
- The interface between a process and an operating system is provided by system calls. In general, system calls are available as assembly language instructions.
- 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.
- Generally written in C or C++, although some are written in assembly for optimal performance.

- Figure illustrates the sequence of system calls required to copy a file:



- Most programmers do not use the low-level system calls directly, but instead use an "Application Programming Interface", API.
- The use of APIs instead of direct system calls provides for greater program portability between different systems. The API then makes the appropriate system calls through the **system call interface**

In general, system calls are required in the following situations:

- If a file system requires the creation or deletion of files. Reading and writing from files also require a system call.
- Creation and management of new processes.
- Network connections also require system calls. This includes sending and receiving packets.
- Access to a hardware devices such as a printer, scanner etc. requires a system call.

### Types of System Calls

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

#### **1. Process Control**

These system calls deal with processes such as process

- end, abort
- load, execute
- create process, terminate process
- wait for time
- allocate and free memory

## **2. File Management**

These system calls are responsible for file manipulation such as

- create file, delete file
- open, close
- read, write, reposition

## **3. Device Management**

These system calls are responsible for device manipulation such as

- read, write, reposition
- request device, release device
- logically attach or detach device

## **4. Information Maintenance**

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

- Get time and date, set time and date
- Get process, file, or device attribute
- Set process, file, or device attribute

## **5. Communication**

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

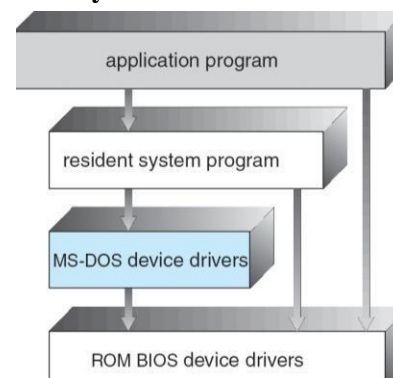
- Create, delete communication connection
- Send, receive message
- Attach or detach remote devices

## **Operating System Structure**

### **1. Simple Structure**

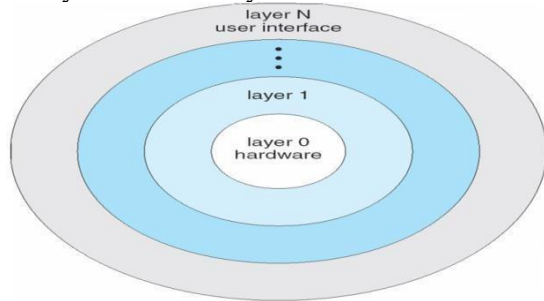
- MS-DOS – written to provide the most functionality in the least space
- Not divided into modules
- Although MS-DOS has some structure, its interfaces and levels of Functionality are not well separated

### **MS-DOS Layer Structure**



## 2. Layered Approach

- The operating system is divided into a number of layers (levels), each built on top of lower layers.
- The bottom layer (layer 0), is the hardware; the highest (layer N) is the user interface.
- With modularity, layers are selected such that each uses functions (operations) and services of only lower-level layers



## 3. Microkernel System Structure

- Moves as much from the kernel into —userl space
- Communication takes place between user modules using message passing

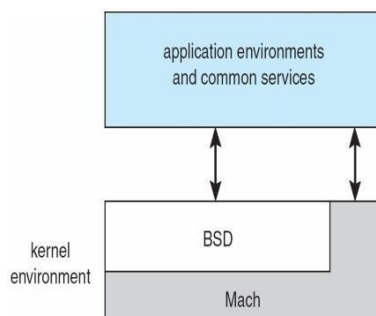
### Benefits:

- Easier to extend a microkernel
- Easier to port the operating system to new architectures
- More reliable (less code is running in kernel mode)
- More secure

### Detriments:

- Performance overhead of user space to kernel space communication

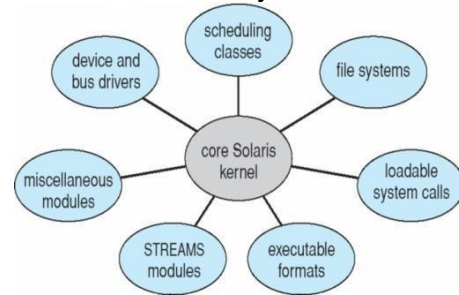
### Mac OS X Structure



## 4. Modules

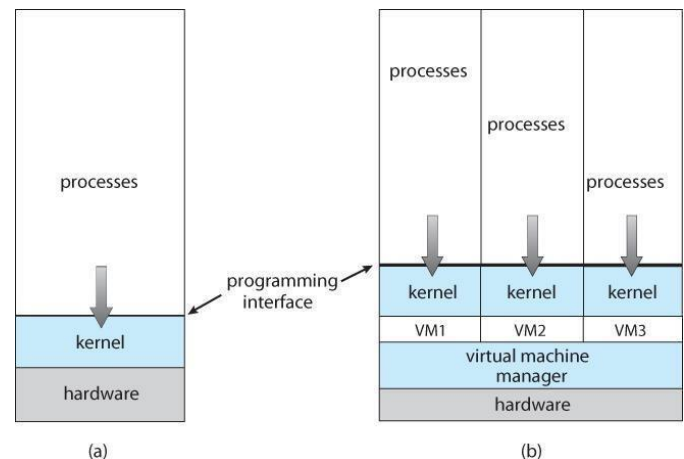
- Most modern operating systems implement kernel modules
- Uses object-oriented approach
- Each core component is separate
- Each talks to the others over known interfaces
- Each is loadable as needed within the kernel

- Overall, similar to layers but with more flexible



## Virtual Machines

- Virtual machines first appeared as the VM Operating System for IBM mainframes in 1972.
- The concept of a virtual machine is to provide an interface that looks like independent hardware, to multiple different OSes running simultaneously on the same physical hardware.
- Each OS believes that it has access to and control over its own CPU, RAM, I/O devices, hard drives, etc.
- One obvious use for this system is for the development and testing of software that must run on multiple platforms and/or OSes.
- One obvious difficulty involves the sharing of hard drives, which are generally partitioned into separate smaller virtual disks for each operating OS.



**Figure 16.1 - System models. (a) Nonvirtual machine. (b) Virtual machine.**

### Benefits

- Each OS runs independently of all the others, offering protection and security benefits.
- ( Sharing of physical resources is not commonly implemented, but may be done as if the virtual machines were networked together. )
- Virtual machines are a very useful tool for OS development, as they allow a user full access to



and control over a virtual machine, without affecting other users operating the real machine.

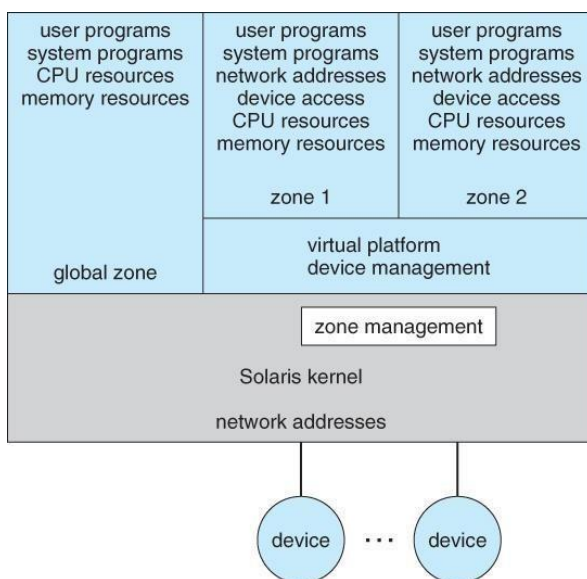
- As mentioned before, this approach can also be useful for product development and testing of SW that must run on multiple OSes / HW platforms.

### Simulation

- An alternative to creating an entire virtual machine is to simply run an emulator, which allows a program written for one OS to run on a different OS.
- For example, a UNIX machine may run a DOS emulator in order to run DOS programs, or vice-versa.
- Emulators tend to run considerably slower than the native OS, and are also generally less than perfect.

### Para-virtualization

- Para-virtualization is another variation on the theme, in which an environment is provided for the guest program that is similar to its native OS, without trying to completely mimic it.
- Guest programs must also be modified to run on the para-virtual OS.
- Solaris 10 uses a zone system, in which the low-level hardware is not virtualized, but the OS and its devices ( device drivers ) are.
- Within a zone, processes have the view of an isolated system, in which only the processes and resources within that zone are seen to exist.
- Figure 2.18 shows a Solaris system with the normal "global" operating space as well as two additional zones running on a small virtualization layer.



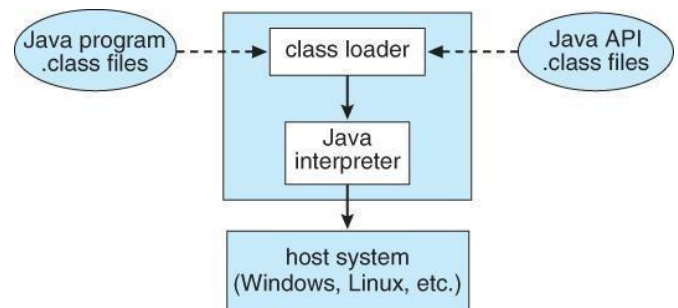
### Implementation

- Implementation may be challenging, partially due to the consequences of user versus kernel mode.
- Each of the simultaneously running kernels needs to operate in kernel mode at some point, but the virtual machine actually runs in user mode.
- So the kernel mode has to be simulated for each of the loaded OSes, and kernel system calls passed through the virtual machine into a true kernel mode for eventual HW access.
- The virtual machines may run slower, due to the increased levels of code between applications and the HW, or they may run faster, due to the benefits of caching. ( And virtual devices may also be faster than real devices, such as RAM disks which are faster than physical disks. )

### Example

#### The Java Virtual Machine

- Example of programming-environment virtualization
- Very popular language / application environment invented by Sun Microsystems in 1995
- Write once, run anywhere
- Includes language specification (Java), API library, Java virtual machine (JVM)
- Java objects specified by class construct, Java program is one or more objects
- Each Java object compiled into architecture-neutral bytecode output (.class) which JVM class loader loads
- JVM compiled per architecture, reads bytecode and executes
- Includes garbage collection to reclaim memory no longer in use
- Made faster by just-in-time (JIT) compiler that turns bytecodes into native code and caches them

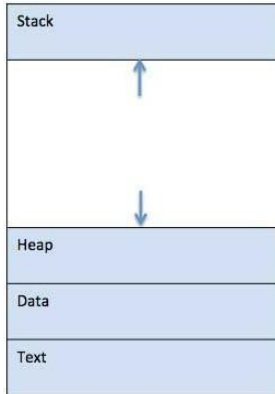


## Unit II

### Process Management

#### Process Definition:

- A process is basically a program in execution. The execution of a process must progress in a sequential fashion.
- A process is defined as an entity which represents the basic unit of work to be implemented in the system.
- Example : we write our computer programs in a text file and when we execute this program, it becomes a process which performs all the tasks mentioned in the program.
- When a program is loaded into the memory and it becomes a process, it can be divided into four sections — stack, heap, text and data. The following image shows a simplified layout of a process inside main memory —



- a. **Stack:** The process Stack contains the temporary data such as method/function parameters, return address and local variables.
- b. **Heap:** This is dynamically allocated memory to a process during its run time.
- c. **Text:** This includes the current activity represented by the value of Program Counter and the contents of the processor's registers.
- d. **Data:** This section contains the global and static variables.

#### Process States:

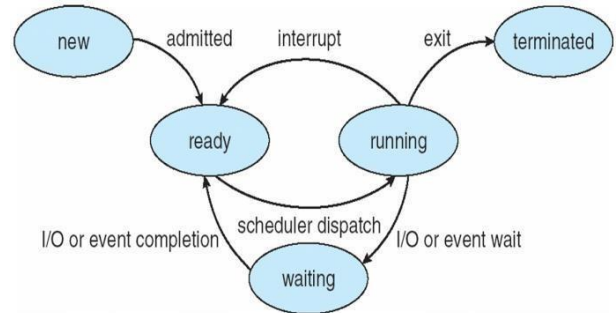
- As a process executes, its changes state.
- The state of a process is defined in part by the current activity of that process.

Each process may be in one of the following states:

- **new:** The process is being created
- **running:** Instructions are being executed

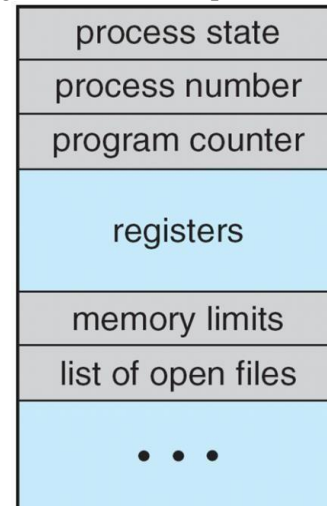
- **waiting:** The process is waiting for some event to occur
- **ready:** The process is waiting to be assigned to a processor
- **terminated:** The process has finished execution

#### Process state transitions / Life Cycle of a process



#### Process Control Block (PCB)

- Each process is represented in the operating system by a process control block
- It is also called as task control block
- It contains many piece of information associated with a specific process
- Below figure illustrate the process control block



- **Process state:** The state may be new, ready, running, waiting, etc...
- **Program Counter:** The counter indicates the address of the next instruction to be executed for this process
- **CPU Registers:** Includes index registers, stack pointers, and general purpose registers etc
- **CPU-Scheduling information:** Includes priorities, scheduling queue pointers etc..

- **Memory Management Information:** Includes information about memory allocated to the process
- **Accounting Information:** CPU used, clock time elapsed since start, time limits etc
- **I/O Status Information:** I/O devices allocated to process, list of open files

### Context Switching

A context switch occurs when a computer's CPU switches from one process to a different process or from one thread to a different thread.

- Context switching allows for one CPU to handle numerous processes or threads without the need for additional processors.
- 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.
- Any operating system that allows for multitasking relies heavily on the use of context switching to allow different processes to run at the same time.
- There are three situations that a context switch is necessary, as shown below.
  - **Multitasking** - When the CPU needs to switch processes in and out of memory, so that more than one process can be running.
  - **Kernel/User Switch** - When switching between user mode to kernel mode, it may be used (but isn't always necessary).
  - **Interrupts** - When the CPU is interrupted to return data from a disk read.

### Threads

- Thread is a single sequence stream within a process. Threads have same properties as of the process so they are called as light weight processes.
- Threads are executed one after another but give the illusion as if they are executing in parallel.
- Each thread has different states.
- Each thread has
  1. A program counter
  2. A register set
  3. A stack space

### **Multithreads**

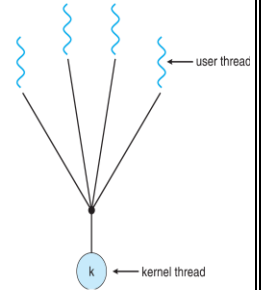
- A thread is also known as lightweight process. The idea is to achieve parallelism by dividing a process into multiple threads.

- For example, in a browser, multiple tabs can be different threads. MS Word uses multiple threads: one thread to format the text, another thread to process inputs, etc.

### **Multithread Models**

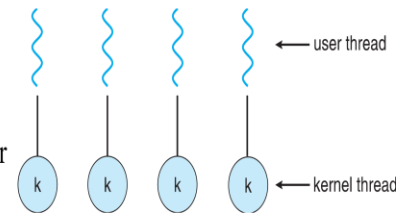
#### **1. Many-to-one Model**

- Many user-level threads mapped to single kernel thread
- One thread blocking causes all to block
- Multiple threads may not run in parallel on multicore system because only one may be in kernel at a time
- Few systems currently use this model
- Examples:
  - Solaris Green Threads
  - GNU Portable Threads



#### **2. One-to-one Model**

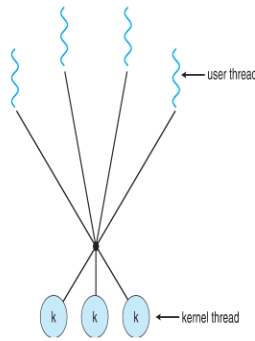
- Each user-level thread maps to kernel thread
- Creating a user-level thread creates a kernel thread
- More concurrency than many-to-one
- Number of threads per process sometimes restricted due to overhead
- Examples
  - Windows
  - Linux
  - Solaris 9 and later





### 3. Many-to-many Model

- Allows many user level threads to be mapped to many kernel threads
- Allows the operating system to create a sufficient number of kernel threads
- Solaris prior to version 9
- Windows with the *ThreadFiber* package



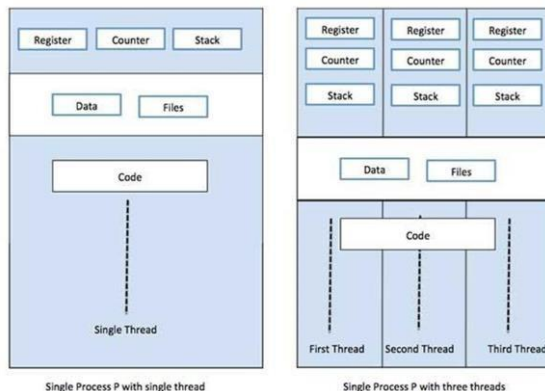
#### ○ Similarity between Threads and Processes –

- Only one thread or process is active at a time
- Within process both execute sequential
- Both can create children

#### ○ Differences between Threads and Processes –

Sl. No	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 processes each process operates independently of the others.	One thread can read, write or change another thread's data.
4	processes are independent	Threads are not independent

#### Example:



### Advantages of Thread

- **Responsiveness:** If the process is divided into multiple threads, if one thread completes its execution, then its output can be immediately returned.
- **Faster context switch:** Context switch time between threads is lower compared to process context switch. Process context switching requires more overhead from the CPU.
- **Effective utilization of multiprocessor system:** If we have multiple threads in a single process, then we can schedule multiple threads on multiple processor. This will make process execution faster.
- **Resource sharing:** Resources like code, data, and files can be shared among all threads within a process.  
Note: stack and registers can't be shared among the threads. Each thread has its own stack and registers.
- **Communication:** Communication between multiple threads is easier, as the threads share common address space. while in process we have to follow some specific communication technique for communication between two process.

### Types of Threads:

#### 1. User Level thread (ULT) –

Is implemented in the user level library, they are not created using the system calls. Thread switching does not need to call OS and to cause interrupt to Kernel. Kernel doesn't know about the user level thread and manages them as if they were single-threaded processes.

#### Advantages

- Can be implemented on an OS that doesn't support multithreading.
- Simple representation since thread has only program counter, register set, stack space.
- Simple to create since no intervention of kernel.
- Thread switching is fast since no OS calls need to be made.

#### Disadvantages of ULT –

- No or less co-ordination among the threads and Kernel.
- If one thread causes a page fault, the entire process blocks.

## 2. Kernel Level Thread (KLT) –

Kernel knows and manages the threads. Instead of thread table in each process, the kernel itself has thread table (a master one) that keeps track of all the threads in the system. In addition kernel also maintains the traditional process table to keep track of the processes. OS kernel provides system call to create and manage threads.

### Advantages

- Since kernel has full knowledge about the threads in the system, scheduler may decide to give more time to processes having large number of threads.
- Good for applications that frequently block.

### Disadvantages

- Slow and inefficient.
- It requires thread control block so it is an overhead.

## UNIT III

### Process Synchronization

#### Inter process communication

Inter Process Communication (IPC) is a mechanism that involves communication of one process with another process. This usually occurs only in one system.

Communication can be of two types –

- Between related processes initiating from only one process, such as parent and child processes.
- Between unrelated processes, or two or more different processes.

Following are some important terms that we need to know before proceeding further on this topic.

- **Pipes** – Communication between two related processes. The mechanism is half duplex meaning the first process communicates with the second process. To achieve a full duplex i.e., for the second process to communicate with the first process another pipe is required.
- **FIFO** – Communication between two unrelated processes. FIFO is a full duplex, meaning the first process can communicate with the second process and vice versa at the same time.
- **Message Queues** – Communication between two or more processes with full duplex capacity. The processes will communicate with each other by posting a message and retrieving it out of the queue.
- **Shared Memory** – Communication between two or more processes is achieved through a shared piece of memory among all processes
- **Semaphores** – Semaphores are meant for synchronizing access to multiple processes. When one process wants to access the memory (for reading or writing), it needs to be locked (or protected) and released when the access is removed. This needs to be repeated by all the processes to secure data.
- **Signals** – Signal is a mechanism to communication between multiple processes by way of signaling.

A process can be of two type:

- Independent process.
- Co-operating process.

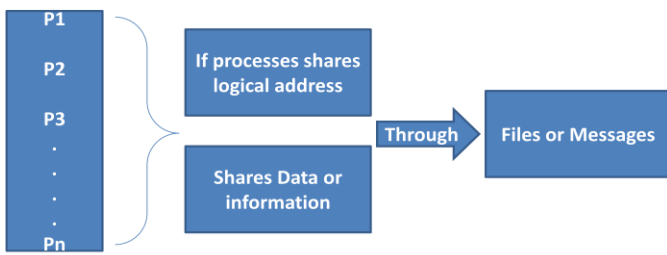
#### **Independent process**

An independent process is not affected by the execution of other processes while a co-operating process can be affected by other executing processes.

#### **Cooperating Processes:**

- A Cooperating Process is one, that can effect or to be affected by other processes executing in the system
- Cooperating Processes can either directly share a logical address space or be allowed to share data only through file or messages.

### • Example



### System

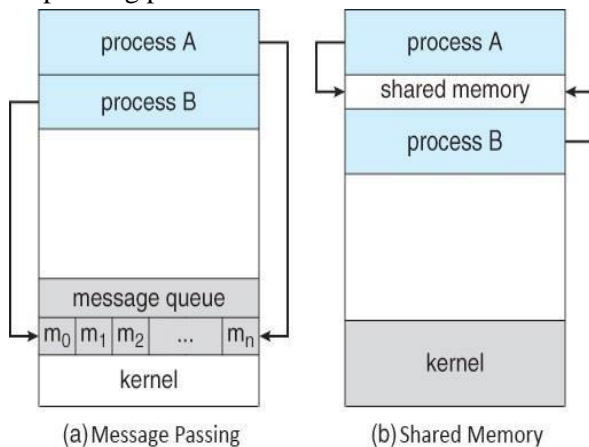
- If one process fails it will effect to all the processes.

Processes can communicate with each other using these two ways:

1. Shared Memory
2. Message passing

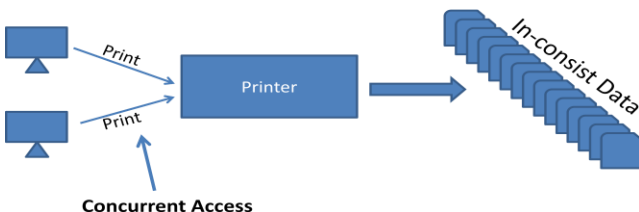
In the shared-memory model, a region of memory which is shared by cooperating processes gets established. Processes can be then able to exchange information by reading and writing all the data to the shared region.

In the message-passing form, communication takes place by way of messages exchanged among the cooperating processes.



### Process Synchronization

Problem arises in concurrent access to shared data and it may lead to inconsistency.



Process Synchronization needs between processes, whether, when and how to access the particular shared resource and also for better utilization of process.

**Process Synchronization** means sharing system resources by processes in such a way that, Concurrent access to shared data is handled thereby minimizing the chance of inconsistent data. Maintaining data

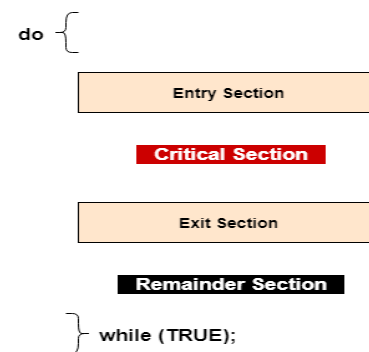
consistency demands mechanisms to ensure synchronized execution of cooperating processes.

### Race Condition

A situation, where several processes access and manipulate the same data concurrently and the outcome of the execution depends on the particular order in which the access takes place is called a race condition

### Critical Section

- The critical section is a code segment where the shared variables can be accessed.
- An atomic action is required in a critical section i.e. only one process can execute in its critical section at a time.
- All the other processes have to wait to execute in their critical sections.
- A diagram that demonstrates the critical section is as follows:



In the above diagram,

- The entry section handles the entry into the critical section. It acquires the resources needed for execution by the process.
- The exit section handles the exit from the critical section. It releases the resources and also informs the other processes that the critical section is free.

### Solution to the Critical Section Problem

The critical section problem needs a solution to synchronize the different processes.

The solution to the critical section problem must satisfy the following conditions:

#### • Mutual Exclusion

Mutual exclusion implies that only one process can be inside the critical section at any time. If any other processes require the critical section, they must wait until it is free.

#### • Progress

Progress means that if a process is not using the critical section, then it should not stop any other process from accessing it. In other words, any process can enter a critical section if it is free.

#### • Bounded Waiting

Bounded waiting means that each process must have a limited waiting time. It should not wait endlessly to access the critical section.

## **Mutual Exclusion:**

### Requirements for Mutual Exclusion

- Only one process at a time is allowed in the critical section for a resource
- A process that halts in its noncritical section must do so without interfering with other processes
- A process must not be delayed access to a critical section when there is no other process using it
- No assumptions are made about relative process speeds or number of processors
- A process remains inside its critical section for a finite time only

### **Mutual Exclusion Using Hardware Support**

#### • **Interrupt Disabling**

- A process runs until it invokes an operating system service or until it is interrupted
- Disabling interrupts guarantees mutual exclusion

#### • **Disadvantages:**

- Processor is limited in its ability to interleave programs
- Will not work in multiprocessor architecture

#### • **Compare&Swap Instruction**

int compareAndSwap (int \*word, int testval, int newval)

```
{
    int oldval;
    oldval = *word;
    if (oldval == testval) *word = newval;
    return oldval;
}
```

#### • **Exchange instruction**

void exchange (int \*register, int \*memory)

```
{
    int temp;
    temp = *memory;
    *memory = *register;
    *register = temp;
}
```

## **Peterson's Solution**

- Two process solution
- Assume that the LOAD and STORE instructions are atomic; that is, cannot be interrupted.
- The two processes share two variables:
  - int turn;
  - Boolean flag[2]
- The variable turn indicates whose turn it is to enter the critical section.
- The flag array is used to indicate if a process is ready to enter the critical section. flag[i] = true implies that process Pi is ready!

## **Algorithm for Process Pi**

```
do
{
    flag[i] = TRUE;
    turn = j;
    while (flag[j] && turn == j);

    critical section

    flag[i] = FALSE;

    remainder section

} while (true)
```

### Peterson's Solution preserves all three conditions:

- Mutual Exclusion is assured as only one process can access the critical section at any time.
- Progress is also assured, as a process outside the critical section does not block other processes from entering the critical section.
- Bounded Waiting is preserved as every process gets a fair chance.

### Disadvantages of Peterson's Solution

- It involves Busy waiting
- It is limited to 2 processes.

## **Semaphores:**

- Considered the simplest of synchronization tools.
- A semaphore S is an integer variable that, apart from initialization, is accessed only through two standard atomic operations: wait() and signal().
- The wait() operation was originally termed P (from the Dutch proberen, —to test!);
- signal() was originally called V (from verhogen, —to increment!). The definition of wait() is as follows:

```
wait(S)
{
    while (S <= 0) ; // busy wait
    S--;
}
```

```
signal(S)
{
    S++;
}
```

- All modifications to the integer value of the semaphore in the wait() and signal() operations must be executed indivisibly.
- That is, when one process modifies the semaphore value, no other process can simultaneously modify that same semaphore value.
- In addition, in the case of wait(S), the testing of the integer value of S ( $S \leq 0$ ), as well as its possible modification ( $S--$ ), must be executed without interruption.
- Operating systems often distinguish between counting and binary semaphores.

- The value of a counting semaphore can range over an unrestricted domain.
- The value of a binary semaphore can range only between 0 and 1.
- Thus, binary semaphores behave similarly to mutex locks. Binary semaphores can be used instead for providing mutual exclusion.
- Counting semaphores can be used to control access to a given resource consisting of a finite number of instances. The semaphore is initialized to the number of resources available.
- Each process that wishes to use a resource performs a wait() operation on the semaphore (thereby decrementing the count). When a process releases a resource, it performs a signal() operation (incrementing the count).

#### Disadvantage

- **Busy waiting time** : When a process is in its critical section, any other process that tries to enter its critical section must loop continuously in the entry code.

#### Classical Problems of Synchronization

Below is some of the classical problem of process synchronization in systems where cooperating processes are present.

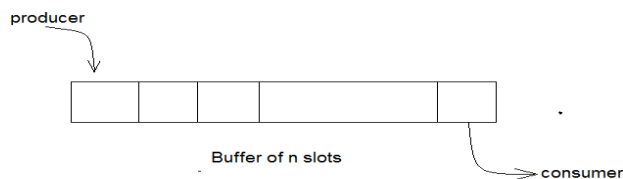
1. Bounded Buffer (Producer-Consumer) Problem
2. Dining Philosophers Problem
3. The Readers Writers Problem

#### 1. Bounded Buffer Problem

Bounded buffer problem, which is also called **producer consumer problem**, is one of the classic problems of synchronization.

##### Problem Statement

- There is a buffer of n slots and each slot is capable of storing one unit of data.
- There are two processes running, namely, producer and consumer, which are operating on the buffer.



- A producer tries to insert data into an empty slot of the buffer.
- A consumer tries to remove data from a filled slot in the buffer.
- Assume that we have a shared resource counter (Number of elements in the buffer at that time).
- Initially the counter value is 3

- If producer access the counter then producer will increase the Counter value (Counter ++)
- If consumer access the counter then consumer will decrease the Counter value (Counter --)

#### Solution using semaphore:

- Assume that the pool consists of **n** buffers, each capable of holding one value/item.
- The **—mutex** semaphore provides mutual exclusion for accesses to the buffer pool and is initialized to the value 1, i.e: mutex = 1.
- The **—empty** and **—full** semaphores count the number of empty and full buffers.
- The semaphore **empty** is initialized to the value n; The semaphore **full** is initialized to the value 0.

##### Producer

```
do
{
    Wait(empty);
    Wait(mutex);
    // Add item to buffer
    Signal(mutex);
    Signal(full);
}while(TRUE)
```

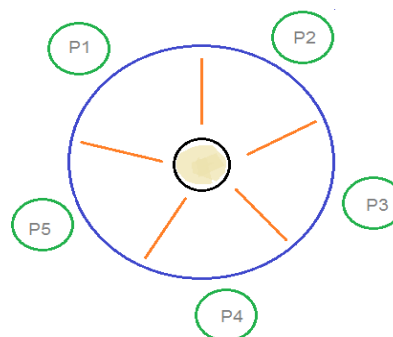
##### Consumer

```
do
{
    Wait(full);
    Wait(mutex);
    // Consume item
    Signal(mutex);
    Signal(empty);
}while(TRUE)
```

#### 2. Dining Philosophers Problem

##### Problem Statement

Consider there are five philosophers sitting around a circular dining table. The dining table has five chopsticks and a bowl of rice in the middle as shown in the below figure.



- At any instant, a philosopher is either eating or thinking.
- When a philosopher wants to eat, he uses two chopsticks - one from their left and one from their right.
- When a philosopher wants to think, he keeps down both chopsticks at their original place.

#### Solution using semaphore:

- A philosopher can think for an indefinite amount of time. But when a philosopher starts eating, he has to stop at some point of time.
- The philosopher is in an endless cycle of thinking and eating.



- An array of five semaphores, stick[5], for each of the five chopsticks.
- The code for each philosopher looks like:

```
do
{
    wait(stick[i]);
    wait(stick[(i+1) % 5]);
        /* eat */

    signal(stick[i]);
    signal(stick[(i+1) % 5]);
        /* think */
} while(TRUE)
```

Consider the situation when all five philosophers are hungry simultaneously, and each of them pick up one chopstick, then a deadlock situation occurs because they will be waiting for another chopstick forever.

The possible solutions for this are:

- A philosopher must be allowed to pick up the chopsticks only if both the left and right chopsticks are available.
- Allow only four philosophers to sit at the table. That way, if all the four philosophers pick up four chopsticks, there will be one chopstick left on the table. So, one philosopher can start eating and eventually, two chopsticks will be available. In this way, deadlocks can be avoided.

### **3. Readers Writer Problem**

**Problem Statement**

- There is a shared resource which should be accessed by multiple processes.
- There are two types of processes in this context. They are reader and writer.
- Any number of readers can read from the shared resource simultaneously, but only one writer can write to the shared resource.
- When a writer is writing data to the resource, no other process can access the resource.
- A writer cannot write to the resource if there are nonzero numbers of readers accessing the resource at that time.

**Solution using semaphore:**

- From the above problem statement, If a writer wants to write to the resource, it must wait until there are no readers currently accessing that resource.
- Here, we use one mutex = 1 and a semaphore S=1.

- An integer variable read\_count is used to maintain the number of readers currently accessing the resource.
- The variable read\_count is initialized to 0.

**Writer**

```
do
{
    wait(S);
    /* perform the write
operation */
    signal(S);
} while(TRUE)
```

**Reader**

```
do
{
    //acquire lock
    wait(mutex);
    read_count++;
    if(read_count == 1)
        wait(S);
    //release lock
    signal(mutex);
    /* perform the reading
operation */
    // acquire lock
    wait(mutex);
    read_count--;
    if(read_count == 0)
        signal(S);
    // release lock
    signal(mutex);
} while(TRUE)
```

**Code explanation**

- As seen above in the code for the writer, the writer just waits on the w semaphore until it gets a chance to write to the resource.
- After performing the write operation, it increments w so that the next writer can access the resource.
- On the other hand, in the code for the reader, the lock is acquired whenever the read\_count is updated by a process.
- When a reader wants to access the resource, first it increments the read\_count value, then accesses the resource and then decrements the read\_count value.
- The semaphore w is used by the first reader which enters the critical section and the last reader which exits the critical section.
- The reason for this is, when the first readers enters the critical section, the writer is blocked from the resource. Only new readers can access the resource now.
- Similarly, when the last reader exits the critical section, it signals the writer using the w semaphore because there are zero readers now and a writer can have the chance to access the resource.

### Monitor:

- It is characterized as a set of programmer defined operators. Its representation consists of declaring of variables, whose value defines the state of an instance.
- The syntax of monitor is as follows.

```
Monitor monitor_name
{
    Shared variable declarations
    Procedure body P1 (.....)
    {
        .....
    }
    Procedure body P2 (.....)
    {
        .....
    }
    .
    .
    .
    Procedure body Pn (.....)
    {
        .....
    }
    Initialization Code
}
```

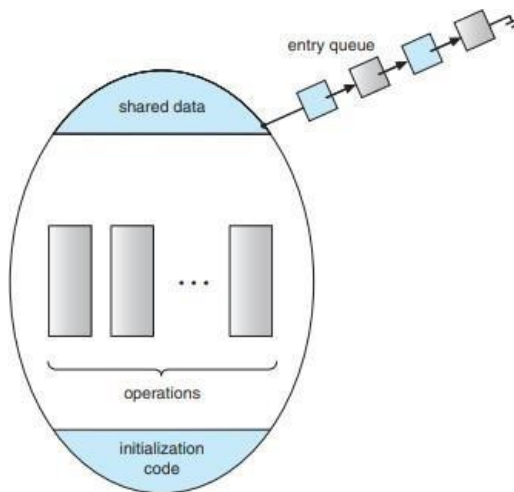


Figure 5.16 Schematic view of a monitor.

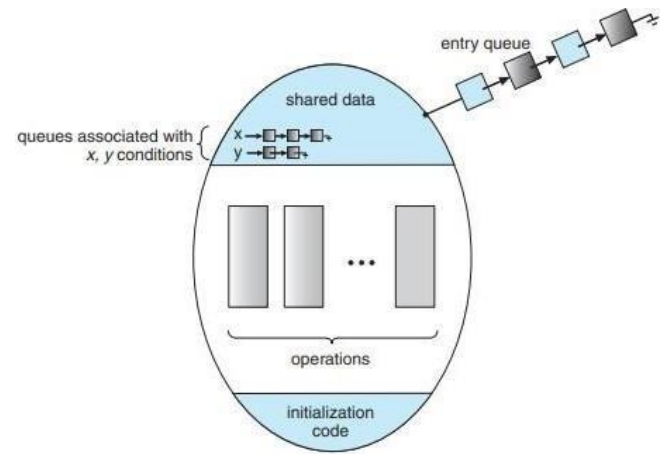


Figure 5.17 Monitor with condition variables.

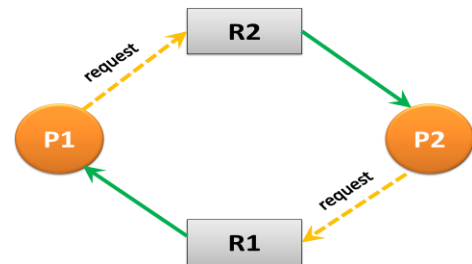
### Introduction to Deadlock

Every process needs some resources to complete its execution. However, the resource is granted in a sequential order.

1. The process requests for some resource.
2. OS grant the resource if it is available otherwise let the process waits.
3. The process uses it and release on the completion.

**Deadlock** is a situation where a set of processes are blocked because each process is holding a resource and waiting for another resource acquired by some other process.

#### Example:



Here,

- Process P1 holds resource R1 and waits for resource R2 which is held by process P2.
- Process P2 holds resource R2 and waits for resource R1 which is held by process P1.
- None of the two processes can complete and release their resource.
- Thus, both the processes keep waiting infinitely.

### Necessary conditions for Deadlocks

- **Mutual Exclusion**

At least one resource must be held in a non-sharable mode; that is, only one process at a time can use the resource. If another process requests that resource, the requesting process must be delayed until the resource has been released.

○ **Hold and Wait**

A process must be holding at least one resource and waiting to acquire additional resources that are currently being held by other processes.

○ **No preemption**

Resources cannot be preempted; that is, a resource can be released only voluntarily by the process holding it, after that process has completed its task.

○ **Circular Wait**

A set  $\{P_0, P_1, \dots, P_n\}$  of waiting processes must exist such that  $P_0$  is waiting for a resource held by  $P_1$ ,  $P_1$  is waiting for a resource held by  $P_2$ , ...,  $P_{n-1}$  is waiting for a resource held by  $P_n$ , and  $P_n$  is waiting for a resource held by  $P_0$ .

**Deadlock Prevention:**

Deadlock prevention is a set of methods for ensuring that at least one of these necessary conditions **cannot** hold.

**Mutual Exclusion:**

- ✓ The mutual exclusion condition holds for non sharable resources.
- ✓ The example is a printer cannot be simultaneously shared by several processes.
- ✓ Sharable resources do not require mutual exclusive access and thus cannot be involved in a dead lock.
- ✓ The example is read only files which are in sharing condition. If several processes attempt to open the read only file at the same time they can be guaranteed simultaneous access.

**Hold and wait:**

- ✓ To ensure that the hold and wait condition never occurs in the system, we must guaranty that whenever a process requests a resource it does not hold any other resources.
- ✓ There are two protocols to handle these problems such as

- One protocol that can be used requires each process to request and be allocated all its resources before it begins execution.
- The other protocol allows a process to request resources only when the process has no resource.
- ✓ These protocols have two main disadvantages.
  - First, resource utilization may be low, since many of the resources may be allocated but unused for a long period.
  - Second, starvation is possible.
- ✓ A process that needs several popular resources may have to wait indefinitely, because at least one of the resources that it needs is always allocated to some other process.

**No Preemption:**

- ✓ To ensure that this condition does not hold, a protocol is used.
- ✓ If a process is holding some resources and request another resource, that cannot be immediately allocated to it.
- ✓ The preempted one added to a list of resources for which the process is waiting. The process will restart only when it can regain its old resources, as well as the new ones that it is requesting.
- ✓ Alternatively if a process requests some resources, we first check whether they are available. If they are, we allocate them. If they are not available, we check whether they are allocated to some other process that is waiting for additional resources. If so, we preempt the desired resources from the waiting process and allocate them to the requesting process.
- ✓ If the resources are not either available or held by a waiting process, the requesting process must wait.

**Circular Wait:**

- ✓ One way to avoid circular wait is to number all resources, and to require that processes request resources only in strictly increasing (or decreasing ) order.
- ✓ In other words, in order to request resource  $R_j$ , a process must first release all  $R_i$  such that  $i \geq j$ .
- ✓ One big challenge in this scheme is determining the relative ordering of the different resources
- ✓ For example: Set priorities for  $R_1=1$ ,  $R_2=2$ ,  $R_3=3$  and  $R_4=4$ . With these priorities, if process P

wants to use  $R_1$  and  $R_3$ , it should first request  $R_1$ , then  $R_3$ . Another protocol is —Whenever a process requests a resource  $R_j$ , it must have released all resources  $R_k$  with  $\text{priority}(R_k) \geq \text{priority}(R_j)$ .

### **Deadlock avoidance**

- ✓ Deadlock prevention algorithm may lead to low device utilization and reduces system throughput.
- ✓ Avoiding deadlocks requires additional information about how resources are to be requested.
- ✓ With the knowledge of the complete sequences of requests and releases we can decide for each requests whether or not the process should wait.
- ✓ A deadlock avoidance algorithm dynamically examines the resources allocation state to ensure that a circular wait condition never exists.
- ✓ The resource allocation state is defined by the number of available and allocated resources and the maximum demand of each process.

### **Safe State:**

- ✓ A state is a safe state in which there exists at least one order in which all the process will run completely without resulting in a deadlock.
- ✓ A system is in safe state if there exists a safe sequence.
- ✓ A sequence of processes  $\langle P_1, P_2, \dots, P_n \rangle$  is a safe sequence for the current allocation state if for each  $P_i$  the resources that  $P_i$  can request can be satisfied by the currently available resources.
- ✓ If the resources that  $P_i$  requests are not currently available then  $P_i$  can obtain all of its needed resource to complete its designated task.
- ✓ A safe state is not a deadlock state.
- ✓ Whenever a process request a resource i.e., currently available, the system must decide whether resources can be allocated immediately or whether the process must wait. The request is granted only if the allocation leaves the system in safe state.

In this, if a process requests a resource i.e., currently available it must still have to wait. Thus resource utilization may be lower than it would be without a deadlock avoidance algorithm.

### **Resource Allocation Graph Algorithm:**

- ✓ This algorithm is used only if we have one instance of a resource type.
- ✓ In addition to the request edge and the assignment edge a new edge called claim edge is used.
- ✓ For eg:-A claim edge  $P_i, R_j$  indicates that process  $P_i$  may request  $R_j$  in future. The claim edge is represented by a dotted line.
  - When a process  $P_i$  requests the resource  $R_j$ , the claim edge is converted to a request edge. x When resource  $R_j$  is released by process  $P_i$ , the assignment edge  $R_j \rightarrow P_i$  is replaced by the claim edge  $P_i, R_j$ .
- ✓ When a process  $P_i$  requests resource  $R_j$  the request is granted only if converting the request edge  $P_i R_j$  to as assignment edge  $R_j \rightarrow P_i$  do not result in a cycle.
- ✓ Cycle detection algorithm is used to detect the cycle. If there are no cycles then the allocation of the resource to process leave the system in safe state

### **Banker's Algorithm:**

- ✓ This algorithm is applicable to the system with multiple instances of each resource types, but this is less efficient than the resource allocation graph algorithm.
- ✓ When a new process enters the system it must declare the maximum number of resources that it may need. This number may not exceed the total number of resources in the system.
- ✓ The system must determine that whether the allocation of the resources will leave the system in a safe state or not. If it is so resources are allocated else it should wait until the process release enough resources.
- ✓ Several data structures are used to implement the banker's algorithm.
- ✓ Let  $_n$  be the number of processes in the system and  $_m$  be the number of resources types. We need the following data structures:
  - **Available:-** A vector of length  $m$  indicates the number of available resources. If  $\text{Available}[i]=k$ , then  $k$  instances of resource type  $R_j$  is available.

- **Max:-** An  $n \times m$  matrix defines the maximum demand of each process if  $Max[i,j]=k$ , then  $P_i$  may request at most  $k$  instances of resource type  $R_j$ .
- **Allocation:-** An  $n \times m$  matrix defines the number of resources of each type currently allocated to each process. If  $Allocation[i,j]=k$ , then  $P_i$  is currently  $k$  instances of resource type  $R_j$ .
- **Need:-** An  $n \times m$  matrix indicates the remaining resources need of each process. If  $Need[i,j]=k$ , then  $P_i$  may need  $k$  more instances of resource type  $R_j$  to complete its task. So  $Need[i,j]=Max[i,j]-Allocation[i,j]$

$Available = Available - Request(i)$   
 $Allocation(i) = Allocation(i) + Request(i)$   
 $Need(i) = Need(i) - Request(i)$

- If the resulting resource allocation state is safe, the transaction is complete and  $P_i$  is allocated its resources. If the new state is unsafe then  $P_i$  must wait for  $Request(i)$  and old resource allocation state is restored.

### **Safety Algorithm:**

This algorithm is used to find out whether or not a system is in safe state or not.

**Step 1.** Let work and finish be two vectors of length  $M$  and  $N$  respectively. Initialize work = available and  $Finish[i]=false$  for  $i=1,2,3,\dots,n$

**Step 2.** Find  $i$  such that both  $Finish[i]=false$   $Need[i] \leq work$  If no such  $i$  exist then go to step 4

**Step 3.**  $Work = work + Allocation[i]$   $Finish[i]=true$  Go to step 2

**Step 4.** If  $finish[i]=true$  for all  $i$ , then the system is in safe state.

This algorithm may require an order of  $m \times n \times n$  operation to decide whether a state is safe.

### **Resource Request Algorithm:**

- ✓ Let  $Request(i)$  be the request vector of process  $P_i$ .
- ✓ If  $Request[i][j]=k$ , then process  $P_i$  wants  $K$  instances of the resource type  $R_j$ .
- ✓ When a request for resources is made by process  $P_i$  the following actions are taken.
  - If  $Request(i) \leq Need(i)$  go to step 2 otherwise raise an error condition since the process has exceeded its maximum claim. x
  - If  $Request(i) \leq Available$  go to step 3 otherwise  $P_i$  must wait. Since the resources are not available.
  - If the system want to allocate the requested resources to process  $P_i$  then modify the state as follows.



## Unit IV

### Memory Management

#### Memory Management

- Memory consists of a large array of words or bytes, each with its own address.
- The CPU fetches instructions from memory according to the value of the program counter. These instructions may cause additional loading from and storing to specific memory addresses.
- Memory unit sees only a stream of memory addresses. It does not know how they are generated.
- Program must be brought into memory and placed within a process for it to be run.
- Input queue – collection of processes on the disk that are waiting to be brought into memory for execution.
- User programs go through several steps before being run.

#### Base and Limit Register

- Each process has a separate memory space.
- Separate per-process memory space protects the processes from each other and is fundamental to having multiple processes loaded in memory for concurrent execution.
- To separate memory spaces, we need the ability to determine the range of legal addresses that the process may access and to ensure that the process can access only these legal addresses.
- We can provide this protection by using two registers, usually a base and a limit, as illustrated in Figure 8.1
- The **base register** holds the smallest legal physical memory address
- The **limit register** specifies the size of the range.
- **For example**, if the base register holds 300040 and the limit register is 120900, then the program can legally access all addresses from 300040 through 420939 (inclusive).

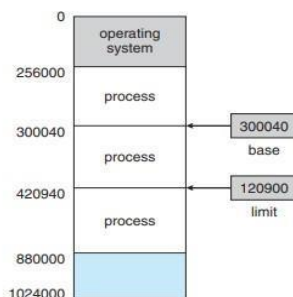
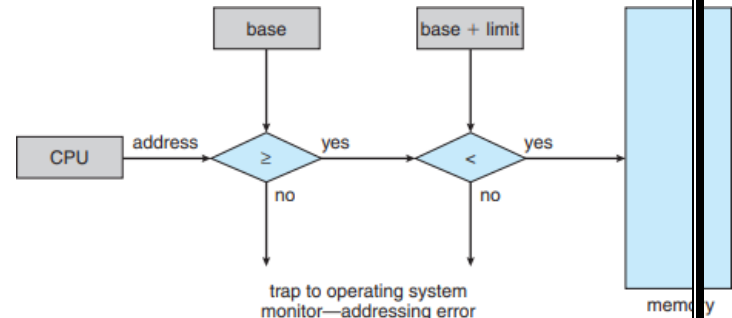


Figure 8.1 A base and a limit register define a logical address space.

- Protection of memory space is accomplished by having the CPU hardware compare every address generated in user mode with the registers.
- Any attempt by a program executing in user mode to access operating-system memory or other users' memory results in a trap to the operating system, which treats the attempt as a fatal error as shown in below figure.

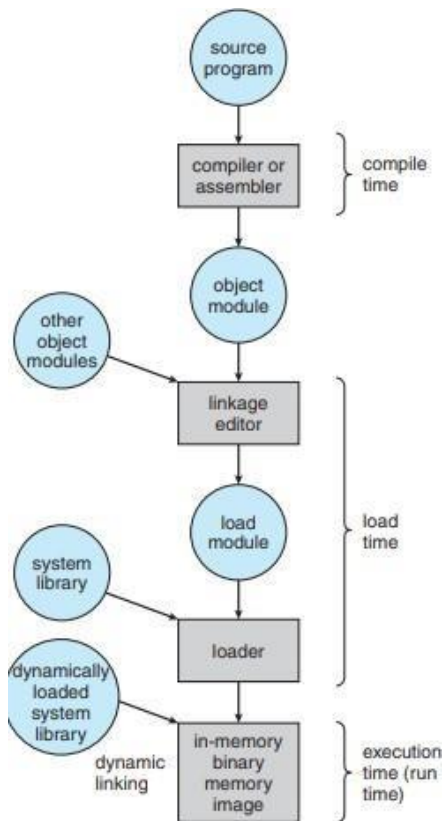


- This scheme prevents a user program from (accidentally or deliberately) modifying the code or data structures of either the operating system or other users.

#### Address Binding

- Usually, a program resides on a disk as a binary executable file. To be executed, the program must be brought into memory and placed within a process.
- Depending on the memory management in use, the process may be moved between disk and memory during its execution.
- **The processes on the disk that are waiting to be brought into memory for execution form the input queue.**
- Addresses in the source program are generally symbolic (such as the variable count).
- A compiler typically binds these symbolic addresses to relocatable addresses.
- The linkage editor or loader in turn binds the relocatable addresses to absolute.
- Each binding is a mapping from one address space to another.
- Address binding of instructions and data to memory addresses can happen at three different stages.
  - ✓ **Compile time:** If memory location known a priori, absolute code can be generated; must recompile code if starting location changes.  
**Example:** .COM-format programs in MS-DOS.
  - ✓ **Load time:** Must generate relocatable code if memory location is not known at compile time.

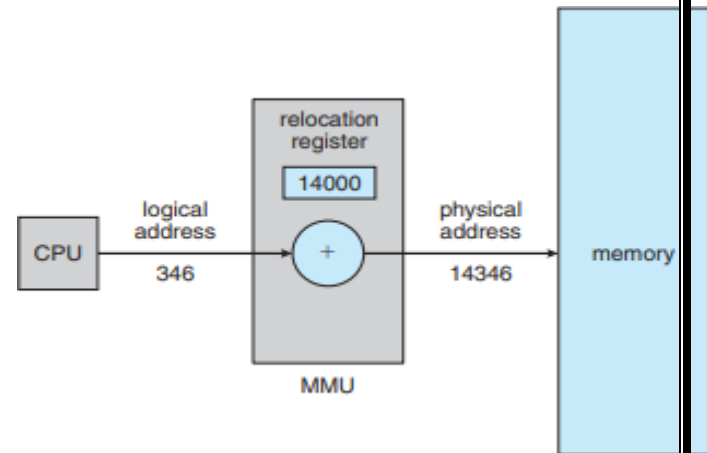
- ✓ **Execution time:** Binding delayed until run time if the process can be moved during its execution from one memory segment to another. Need hardware support for address maps (e.g., relocation registers).



### Logical Versus Physical Address Space

- The concept of a logical address space that is bound to a separate physical-address space is central to proper memory management.
  - ✓ **Logical address** – address generated by the CPU; also referred to as virtual address.
  - ✓ **Physical address** – address seen by the memory unit.
- The set of all logical addresses generated by a program is a logical address space; the set of all physical addresses corresponding to these logical addresses are a physical address space.
- Logical and physical addresses are the same in compile-time and load-time address-binding schemes; logical (virtual) and physical addresses differ in execution-time address-binding scheme.
- The run-time mapping from virtual to physical addresses is done by a hardware device called the memory management unit (MMU).

- This method requires hardware support slightly different from the hardware configuration. The base register is now called a relocation register. The value in the relocation register is added to every address generated by a user process at the time it is sent to memory.



- The user program never sees the real physical addresses. The program can create a pointer to location 346, store it in memory, manipulate it and compare it to other addresses.
- The user program deals with logical addresses. The memory mapping hardware converts logical addresses into physical addresses.
- The final location of a referenced memory address is not determined until the reference is made.

### Dynamic Loading

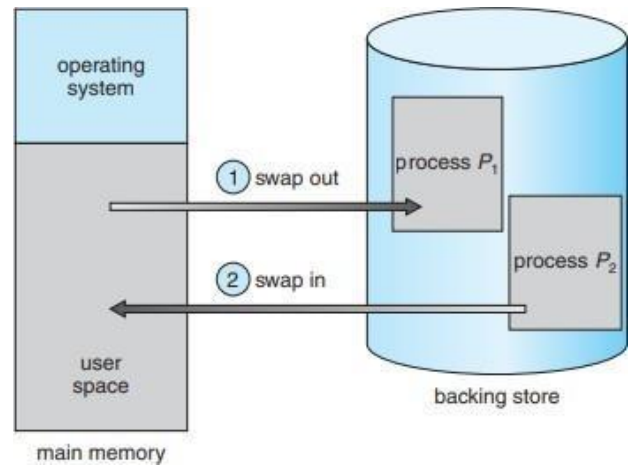
- Routine is not loaded until it is called.
- All routines are kept on disk in a relocatable load format.
- The main program is loaded into memory and is executed. When a routine needs to call another routine, the calling routine first checks to see whether the other the desired routine into memory and to update the program's address tables to reflect this change. Then control is passed to the newly loaded routine.
- **Advantages**
  - ✓ Better memory-space utilization; unused routine is never loaded.
  - ✓ Useful when large amounts of code are needed to handle infrequently occurring cases.
  - ✓ No special support from the operating system is required.
  - ✓ Implemented through program design.

## Dynamic Linking

- Linking is postponed until execution time.
- Small piece of code, stub, is used to locate the appropriate memory-resident library routine, or to load the library if the routine is not already present.
- When this stub is executed, it checks to see whether the needed routine is already in memory. If not, the program loads the routine into memory.
- Stub replaces itself with the address of the routine, and executes the routine.
- Thus the next time that code segment is reached, the library routine is executed directly, incurring no cost for dynamic linking.
- Operating system is needed to check if routine is in processes' memory address.
- Dynamic linking is particularly useful for libraries.

## Swapping

- A process must be in memory to be executed.
- A process can be swapped temporarily out of memory to a backing store and then brought back into memory for continued execution.
- Swapping makes it possible for the total physical address space of all processes to exceed the real physical memory of the system, thus increasing the degree of multiprogramming in a system.
- **Roll out, roll in** – swapping variant used for priority-based scheduling algorithms. If a higher priority process arrives and wants service, the memory manager can swap out the lower priority process so that it can load and execute lower priority process can be swapped back in and continued. This variant is sometimes called roll out, roll in.
- **Backing store:** The backing store is commonly a fast disk. It must be large enough to accommodate copies of all memory images for all users, and it must provide direct access to these memory images.
- Major part of swap time is transfer time; total transfer time is directly proportional to the amount of memory swapped.
- Modified versions of swapping are found on many systems (i.e., UNIX, Linux, and Windows).



- **For example,** assume a multiprogramming environment with a round robin CPU scheduling algorithm. When a quantum expires, the memory manager will start to swap out the process that just finished, and to swap in another process to the memory space that has been freed. In the mean time, the CPU scheduler will allocate a time slice to some other process in memory. When each process finished its quantum, it will be swapped with another process

## Memory Allocation

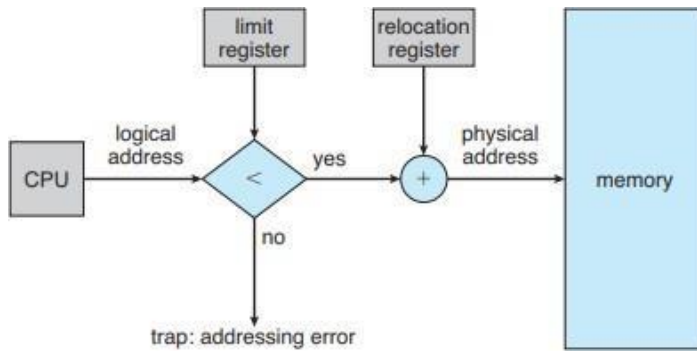
- Memory allocation is a process by which computer programs and services are assigned with physical or virtual memory space.
- Memory allocation has two core types;
  - ✓ Static Memory Allocation: The program is allocated memory at compile time.
  - ✓ Dynamic Memory Allocation: The programs are allocated with memory at run time.

## Contiguous Memory Allocation

- Main memory is usually divided into two partitions:
  - ✓ Resident operating system, usually held in low memory with interrupt vector.
  - ✓ User processes, held in high memory.
- In contiguous memory allocation, each process is contained in a single contiguous section of memory

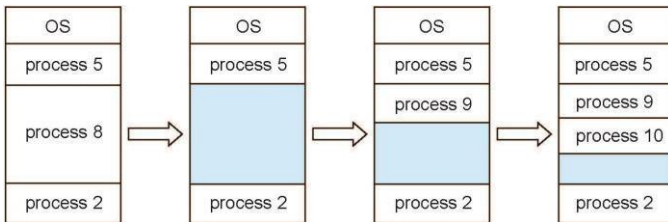
### 1. Single-partition allocation

- Relocation-register scheme used to protect user processes from each other, and from changing operating-system code and data.
- Relocation register contains value of smallest physical address; limit register contains range of logical addresses – each logical address must be less than the limit register.



## 2. Multiple-partition allocation

- Hole – block of available memory; holes of various size are scattered throughout memory.
- When a process arrives, it is allocated memory from a hole large enough to accommodate it.
- Operating system maintains information about:
  - a) allocated partitions
  - b) free partitions (hole)
- When a process arrives and needs memory, the system searches this set for a hole that is large enough for this process.
- If the hole is too large, it is split into two: one part is allocated to the arriving process; the other is returned to the set of holes.
- When a process terminates, it releases its block of memory, which is then placed back in the set of holes.



- This procedure is a particular instance of the general dynamic storage allocation problem, which is how to satisfy a request of size  $n$  from a list of free holes.
- There are many solutions to this problem. The set of holes is searched to determine which hole is best to allocate.
- The first-fit, best-fit and worst-fit strategies are the most common ones used to select a free hole from the set of available holes.
  - ✓ **First fit:** Allocate the first hole that is big enough. Searching can start either at the beginning of the set of holes or at the location where the previous first-fit search ended. We can stop searching as soon as we find a free hole that is large enough.

- ✓ **Best fit:** Allocate the smallest hole that is big enough. We must search the entire list, unless the list is ordered by size. This strategy produces the smallest leftover hole.
- ✓ **Worst fit:** Allocate the largest hole. Again, we must search the entire list, unless it is sorted by size. This strategy produces the largest leftover hole, which may be more useful than the smaller leftover hole from a best-fit approach.

## Fragmentation

- As processes are loaded and removed from memory, the free memory space is broken into little pieces.
- It happens after sometimes that processes cannot be allocated to memory blocks considering their small size and memory blocks remains unused. This problem is known as Fragmentation.
- There are two types of Fragmentation:-
  1. External Fragmentation
  2. Internal Fragmentation
- **External Fragmentation** – total memory space exists to satisfy a request, but it is not contiguous.
- **Internal Fragmentation** – allocated memory may be slightly larger than requested memory; this size difference is memory internal to a partition, but not being used.
- **Compaction**
  - ✓ Reduce external fragmentation by compaction
  - ✓ Shuffle memory contents to place all free memory together in one large block.
  - ✓ Compaction is possible only if relocation is dynamic, and is done at execution time.

Fragmented memory before compaction



Memory after compaction

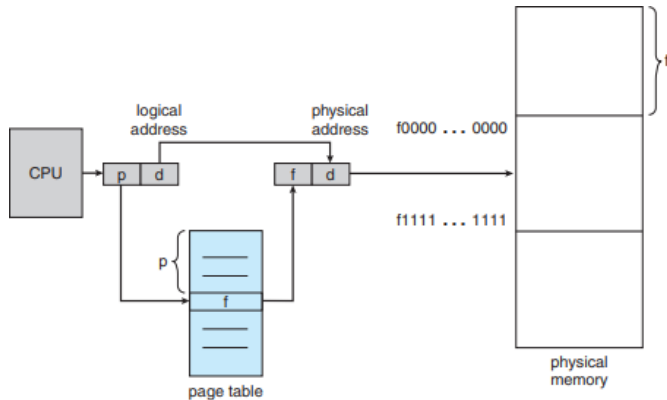


## Paging

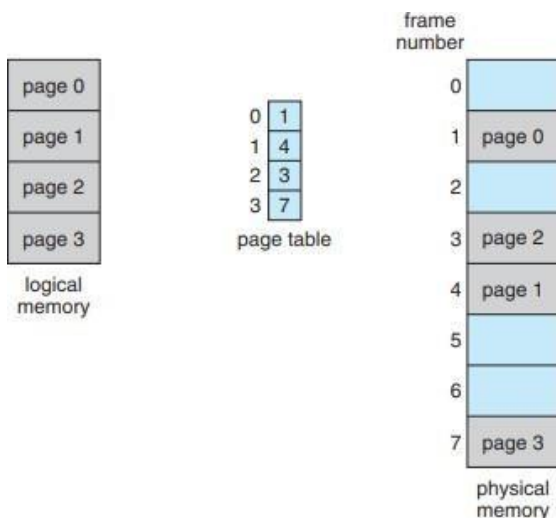
- Paging is a memory management scheme that permits the physical address space of a process to be non contiguous.
- Divides physical memory into fixed-sized blocks called **frames**.



- Divide logical memory into blocks of same size called **pages**.
- When a process is to be executed, its pages are loaded into any available memory frames from the backing store.
- The backing store is divided into fixed sized blocks that are of the same size as the memory frames.
- The hardware support for paging is illustrated in below figure.

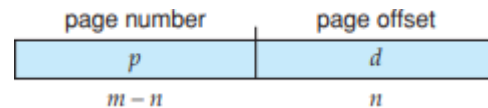


- Every address generated by the CPU is divided into two parts: a page number (p) and a page offset (d).
- The page number is used as an index into a page table. The page table contains the base address of each page in physical memory.
- This base address is combined with the page offset to define the physical memory address that is sent to the memory unit.
- The paging model of memory is shown in Figure

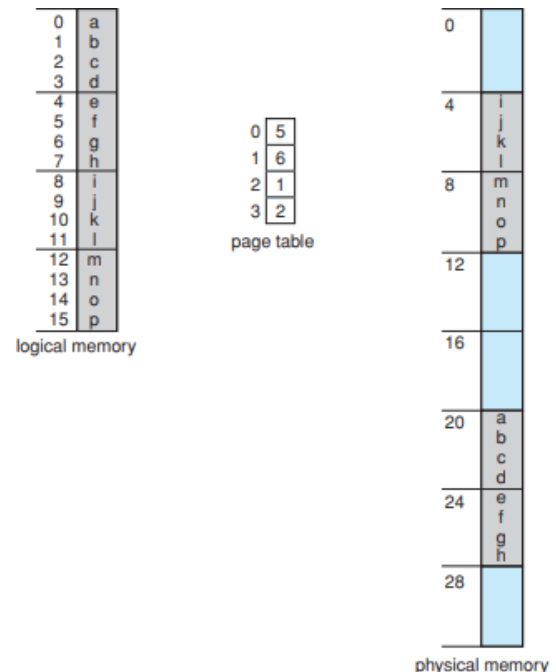


- The page size (like the frame size) is defined by the hardware.
- The size of a page is a power of 2, varying between 512 bytes and 1 GB per page, depending on the computer architecture.

- The selection of a power of 2 as a page size makes the translation of a logical address into a page number and page offset particularly easy.
- If the size of the logical address space is  $2^m$ , and a page size is  $2^n$  bytes, then the high-order  $m - n$  bits of a logical address designate the page number, and the  $n$  low-order bits designate the page offset.
- Thus, the logical address is as follows:



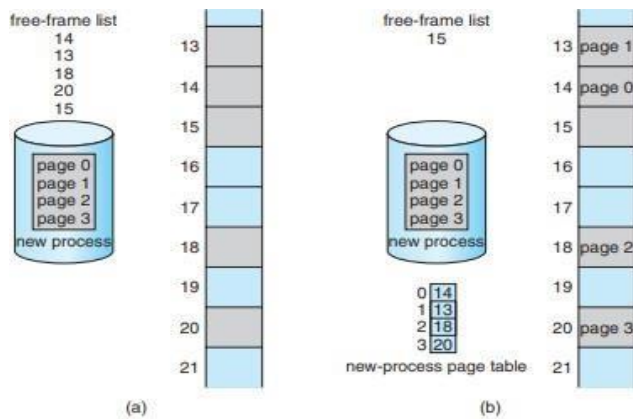
- For example, consider the memory in below Figure,
  - ✓ Here, in the logical address,  $n = 2$  and  $m = 4$ .
  - ✓ Using a page size of 4 bytes and a physical memory of 32 bytes (8 pages).



- ✓ Logical address 0 is page 0, offset 0.
- ✓ Indexing into the page table, we find that page 0 is in frame 5. Thus, logical address 0 maps to physical address 20  $[(5 \times 4) + 0]$ .
- ✓ Logical address 3 (page 0, offset 3) maps to physical address 23  $[(5 \times 4) + 3]$ .
- ✓ Logical address 4 is page 1, offset 0; according to the page table, page 1 is mapped to frame 6. Thus, logical address 4 maps to physical address 24  $[(6 \times 4) + 0]$ .
- ✓ There for , Physical address =  $[(\text{page size of logical memory} \times \text{frame number}) + \text{offset}]$
- When a process arrives in the system to be executed, its size expressed in pages is examined.



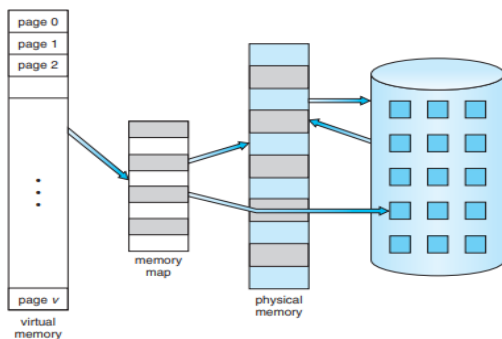
- Each page of the process needs one frame. Thus if the process requires  $n$  pages, at least  $n$  frames must be available in memory.
- If  $n$  frames are available, they are allocated to this arriving process.
- The first page of the process is loaded into one of the allocated frames, and the frame number is put in the page table for this process. The next page is loaded into another frame, and its frame number is put into the page table and so on as in below figure.



Free frames (a) before allocation and (b) after allocation.

## Virtual Memory

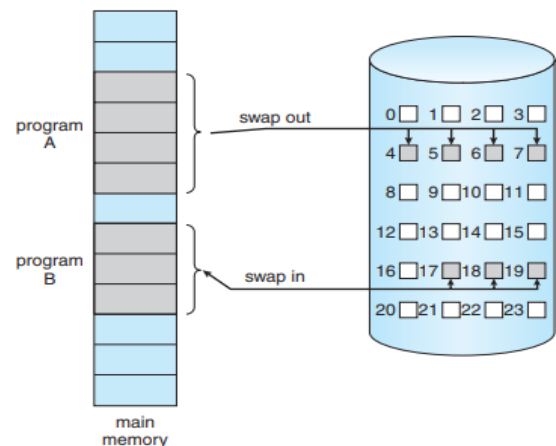
- It is a technique which allows execution of process that may not be compiled within the primary memory.
- It separates the user logical memory from the physical memory. This separation allows an extremely large memory to be provided for program when only a small physical memory is available.
- Virtual memory makes the task of programming much easier because the programmer no longer needs to working about the amount of the physical memory is available or not.
- The virtual memory allows files and memory to be shared by different processes by page sharing.
- It is most commonly implemented by demand paging.



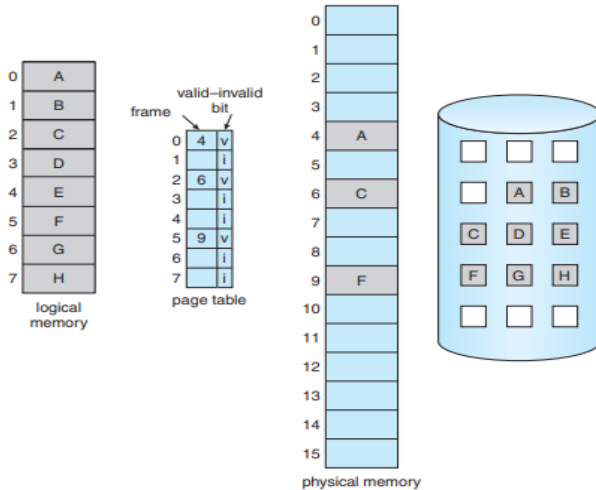
- Advantages of Virtual Memory
  - ✓ The degree of Multiprogramming will be increased.
  - ✓ User can run large application with less real RAM.
  - ✓ There is no need to buy more memory RAMs.
- Disadvantages of Virtual Memory
  - ✓ The system becomes slower since swapping takes time.
  - ✓ It takes more time in switching between applications.
  - ✓ The user will have the lesser hard disk space for its use.

## 1. 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 a **lazy swapper**, although a **pager** is a more accurate term.
- A demand paging system is similar to the paging system with swapping feature.
- When we want to execute a process we swap it into the memory. A swapper manipulates entire process where as a pager is concerned with the individual pages of a process.
- The demand paging concept is using pager rather than swapper.
- When a process is to be swapped in, the pager guesses which pages will be used before the process is swapped out again.
- Instead of swapping in a whole process, the pager brings only those necessary pages into memory.
- The transfer of a paged memory to contiguous disk space is shown in below figure.



- Thus it avoids reading into memory pages that will not be used anyway, decreasing the swap time and the amount of physical memory needed.
- In this technique we need some hardware support to distinguish between the pages that are in memory and those that are on the disk.
- A valid and invalid bit is used for this purpose.
- When this bit is set to valid it indicates that the associated page is in memory. If the bit is set to invalid it indicates that the page is either not valid or is valid but currently not in the disk.



- Marking a page invalid will have no effect if the process never attempts to access that page. So while a process executes and accesses pages that are memory resident, execution proceeds normally.
- Access to a page marked invalid causes a page fault trap. It is the result of the OS's failure to bring the desired page into memory.
- **Procedure to handle page fault**

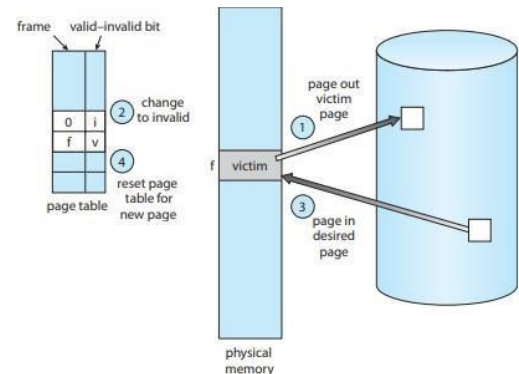
If a process refers to a page that is not in physical memory then

- ✓ We check an internal table (page table) for this process to determine whether the reference was valid or invalid.
- ✓ If the reference was invalid, we terminate the process, if it was valid but not yet brought in, we have to bring that from main memory.
- ✓ Now we find a free frame in memory.
- ✓ Then we read the desired page into the newly allocated frame.
- ✓ When the disk read is complete, we modify the internal table to indicate that the page is now in memory.

- ✓ We restart the instruction that was interrupted by the illegal address trap. Now the process can access the page as if it had always been in memory.

## 2. Page Replacement

- Each process is allocated frames (memory) which hold the process's pages (data)
- Frames are filled with pages as needed – this is called demand paging
- Over-allocation of memory is prevented by modifying the page-fault service routine to replace pages
- The job of the page replacement algorithm is to decide which page gets victimized to make room for a new page
- Page replacement completes separation of logical and physical memory.



## Basic Page Replacement

- Page replacement takes the following approach.
- If no frame is free, we find one that is not currently being used and free it.
- We can free a frame by writing its contents to swap space and changing the page table (and all other tables) to indicate that the page is no longer in memory (Figure 9.10).

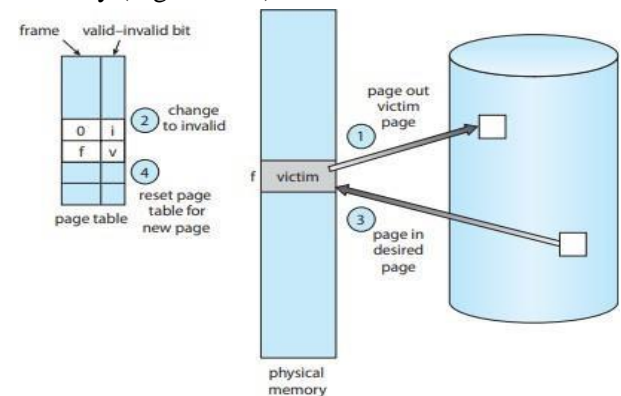


Figure 9.10 Page replacement.

- We can now use the freed frame to hold the page for which the process faulted.
- We modify the page-fault service routine to include page replacement:
  - ✓ Find the location of the desired page 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 a **victim frame**.
    - Write the victim frame to the disk; change the page and frame tables accordingly.
  - ✓ Read the desired page into the newly freed frame; change the page and frame tables.
  - ✓ Continue the user process from where the page fault occurred.

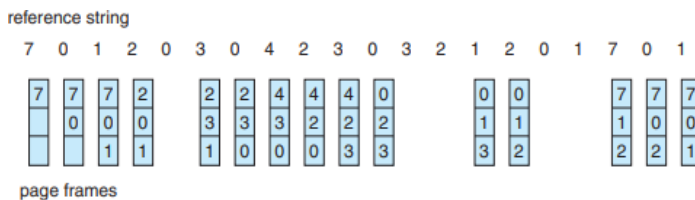
## Page Replacement Algorithms

### I. First In First Out (FIFO) Algorithm

- Replaces pages based on their order of arrival: oldest page is replaced
- The simplest page-replacement algorithm is a first-in, first-out (FIFO) algorithm.
- When a page must be replaced, the oldest page is chosen.
- We replace the page at the head of the queue.
- When a page is brought into memory, we insert it at the tail of the queue.
- **For example:**  
Reference string : 7,0,1,2,0,3,0,4,2,3,0,3,2,1,2,0,1,7,0,1.  
Number of Frames : 3

#### Solution:

Three frames are initially empty.



Number of page faults

$$= (3+1+1+1+1+1+1+1+1+1+1+1) = 15 \text{ page faults}$$

#### Explanation:

- ✓ The first three references (7, 0, 1) cause page faults and are brought into these empty frames.
- ✓ The next reference (2) replaces page 7, because page 7 was brought in first.
- ✓ Since 0 is the next reference and 0 is already in memory, we have no fault for this reference.

- ✓ The first reference to 3 results in replacement of page 0, since it is now first in line. Because of this replacement, the next reference, to 0, will fault. Page 1 is then replaced by page 0.
- ✓ This process continues as shown in above Figure.
- ✓ Every time a fault occurs, we show which pages are in our three frames.
- ✓ There are fifteen faults altogether.

### II. Optimal Page Replacement

- Replace the page that will not be used for the longest period of time.
- Use of this page-replacement algorithm guarantees the lowest possible page fault rate for a fixed number of frames.

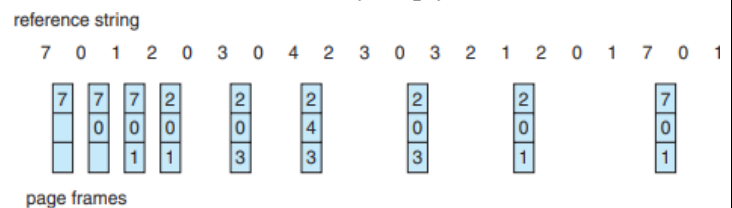
#### For example:

Reference string : 7,0,1,2,0,3,0,4,2,3,0,3,2,1,2,0,1,7,0,1.

Number of Frames : 3

#### Solution:

Three frames are initially empty.



Number of page faults =  $(3+1+1+1+1+1+1) = 9$ .

#### Explanation:

- ✓ The first three references cause faults that fill the three empty frames.
- ✓ The reference to page 2 replaces page 7, because page 7 will not be used until reference 18, whereas page 0 will be used at 5, and page 1 at 14.
- ✓ The reference to page 3 replaces page 1, as page 1 will be the last of the three pages in memory to be referenced again.
- ✓ In fact, no replacement algorithm can process this reference string in three frames with fewer than nine faults

### III. LRU Page Replacement

- If we use the recent past as an approximation of the near future, then we can replace the page that has not been used for the longest period of time. This approach is the least recently used (LRU) algorithm.
- Replaces pages based on their most recent reference – replace the page with the greatest backward distance in the reference string

reference string

7 0 1 2 0 3 0 4 2 3 0 3 2 1 2 0 1 7 0 1

7	7	7	2		2		4	4	4	0		1		1		1			
	0	0	0		0		0	0	3	3		3		0		0			
		1	1		3		3	2	2	2		2		2		7			

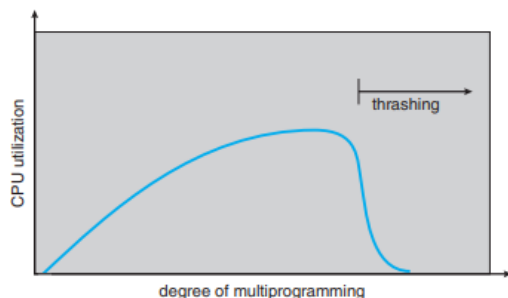
page frames

### Explanation:

- The LRU algorithm produces twelve faults. When the reference to page 4 occurs, however, LRU replacement sees that, of the three frames in memory, page 2 was used least recently. Thus, the LRU algorithm replaces page 2, not knowing that page 2 is about to be used.
- When it then faults for page 2, the LRU algorithm replaces page 3, since it is now the least recently used of the three pages in memory.
- Despite these problems, LRU replacement with twelve faults.

### Thrashing

- If a process does not have —enoughll pages, the page-fault rate is very high
  - ✓ low CPU utilization
  - ✓ OS thinks it needs increased multiprogramming
  - ✓ adds another process to system
- Thrashing is when a process is busy swapping pages in and out
- Thrashing results in severe performance problems. Consider the following scenario, which is based on the actual behavior of early paging systems.



- The operating system monitors CPU utilization. If CPU utilization is too low, we increase the degree of multiprogramming by introducing a new process to the system.
- A global page replacement algorithm is used; it replaces pages with no regard to the process to which they belong.
- Now suppose that a process enters a new phase in its execution and needs more frames.

## UNIT V

### Input Output (I/O) Management

#### DISK STRUCTURE

- Disks provide the bulk of secondary storage for modern computer systems.
- Magnetic tape was used as an early secondary-storage medium, but the access time is much slower than for disks.
- Modern disk drives are addressed as large one-dimensional arrays of logical blocks, where the logical block is the smallest unit of transfer.
- The size of a logical block is usually 512 bytes, although some disks can be low-level formatted to choose a different logical block size, such as 1,024 bytes.
- The one-dimensional array of logical blocks is mapped onto the sectors of the disk sequentially. Sector 0 is the first sector of the first track on the outermost cylinder.
- The mapping proceeds in order through that track, then through the rest of the tracks in that cylinder, and then through the rest of the cylinders from outermost to innermost.

#### DISK SCHEDULING

- One of the responsibilities of the OS is to use the hardware efficiently. This will help in achieving fast access time and disk bandwidth.
- The access time has two major components:
  - ✓ The seek time is the time for the disk arm to move the heads to the cylinder containing the desired sector.
  - ✓ The rotational latency is the additional time waiting for the disk to rotate the desired sector to the disk head.
- The disk bandwidth is the total number of bytes transferred, divided by the total time between the first request for service and the completion of the last transfer.
- We can improve both the access time and the bandwidth by scheduling the servicing of disk I/O requests in a good order.

- Whenever a process needs I/O to or from the disk, it issues a system call to the operating system. The request specifies several pieces of information:
  - ✓ Whether this operation is input or output
  - ✓ What the disk address for the transfer is
  - ✓ What the memory address for the transfer is
  - ✓ What the number of bytes to be transferred is
- If the desired disk drive and controller are available, the request can be serviced immediately. If the drive or controller is busy, any new requests for service will be placed on the queue of pending requests for that drive.
- For a multiprogramming system with many processes, the disk queue may often have several pending requests. Thus, when one request is completed, the operating system chooses which pending request to service next.

## Disk Scheduling Algorithms

### I. FCFS Scheduling

- The simplest form of disk scheduling is, of course, the first-come, first-served (FCFS) algorithm.
- This algorithm is intrinsically fair, but it generally does not provide the fastest service.

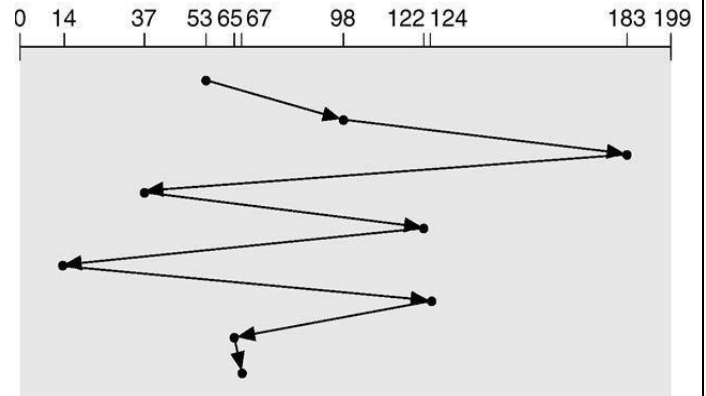
#### Example:

Consider a disk queue with requests for I/O to blocks on cylinders: 98, 183, 37, 122, 14, 124, 65, 67 in that order. There are 200 cylinders numbered from 0 to 199. The disk head is initially at the cylinder 53. Compute total head movements.

#### Solution:

Starting with cylinder 53, it will first move from 53 to 98, then to 183, 37, 122, 14, 124, 65, and finally to 67 as shown in Figure.

Head movement from 53 to 98 = 45  
 Head movement from 98 to 183 = 85  
 Head movement from 183 to 37 = 146  
 Head movement from 37 to 122 = 85  
 Head movement from 122 to 14 = 108  
 Head movement from 14 to 124 = 110  
 Head movement from 124 to 65 = 59  
 Head movement from 65 to 67 = 2  
 Total head movement = 640



### II. SSTF Scheduling

- The SSTF (shortest-seek-time-first) algorithm selects the request with the minimum seek time from the current head position.
- Since seek time increases with the number of cylinders traversed by the head, SSTF chooses the pending request closest to the current head position.

#### Example:

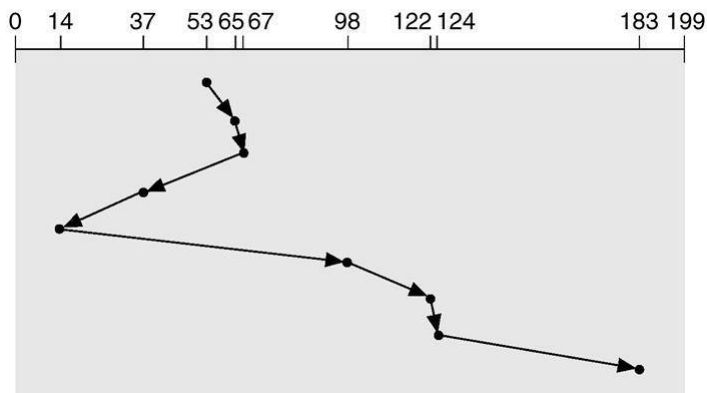
Consider a disk queue with requests for I/O to blocks on cylinders: 98, 183, 37, 122, 14, 124, 65, 67 in that order. There are 200 cylinders numbered from 0 to 199. The disk head is initially at the cylinder 53. Compute total head movements.

#### Solution:

The closest request to the initial head position 53 is at cylinder 65. Once we are at cylinder 65, the next closest request is at cylinder 67. From there, the request at cylinder 37 is closer than 98, so 37 is served next. Continuing, we service the request at cylinder 14, then 98, 122, 124, and finally 183. It is shown in Figure.

Head movement from 53 to 65 = 12  
 Head movement from 65 to 67 = 2  
 Head movement from 67 to 37 = 30  
 Head movement from 37 to 14 = 23  
 Head movement from 14 to 98 = 84  
 Head movement from 98 to 122 = 24  
 Head movement from 122 to 124 = 2  
 Head movement from 124 to 183 = 59  
 Total head movement = 236





## II. SCAN Scheduling

- In the SCAN algorithm, the disk arm starts at one end of the disk, and moves toward the other end, servicing requests as it reaches each cylinder, until it gets to the other end of the disk.
- At the other end, the direction of head movement is reversed, and servicing continues. The head continuously scans back and forth across the disk.

### Example:

Consider a disk queue with requests for I/O to blocks on cylinders: 98, 183, 37, 122, 14, 124, 65, 67 in that order. There are 200 cylinders numbered from 0 to 199. The disk head is initially at the cylinder 53.

Compute total head movements.

Solution:

- Before applying SCAN algorithm, we need to know the current direction of head movement. Assume that disk arm is moving toward 0, the head will service 37 and then 14.
- At cylinder 0, the arm will reverse and will move toward the other end of the disk, servicing the requests at 65, 67, 98, 122, 124, and 183. It is shown in Figure.

Head movement from 53 to 37 = 16

Head movement from 37 to 14 = 23

Head movement from 14 to 0 = 14

Head movement from 0 to 65 = 65

Head movement from 65 to 67 = 2

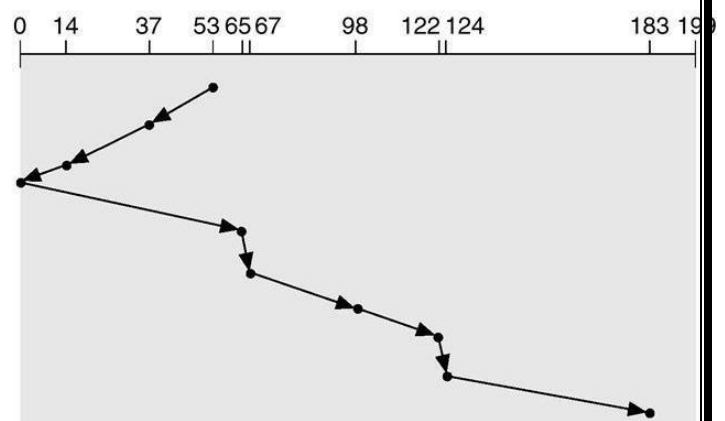
Head movement from 67 to 98 = 31

Head movement from 98 to 122 = 24

Head movement from 122 to 124 = 2

Head movement from 124 to 183 = 59

Total head movement = 236



## IV. C-SCAN Scheduling

- Circular SCAN (C-SCAN) scheduling is a variant of SCAN designed to provide a more uniform wait time.
- Like SCAN, C-SCAN moves the head from one end of the disk to the other, servicing requests along the way.
- When the head reaches the other end, however, it immediately returns to the beginning of the disk, without servicing any requests on the return trip.
- The C-SCAN scheduling algorithm essentially treats the cylinders as a circular list that wraps around from the final cylinder to the first one.

### Example:

Consider a disk queue with requests for I/O to blocks on cylinders: 98, 183, 37, 122, 14, 124, 65, 67 in that order. There are 200 cylinders numbered from 0 to 199. The disk head is initially at the cylinder 53.

Compute total head movements.

Solution:

Before applying C - SCAN algorithm, we need to know the current direction of head movement.

Assume that disk arm is moving toward 199, the head will service 65, 67, 98, 122, 124, 183. Then it will move to 199 and the arm will reverse and move towards 0. While moving towards 0, it will not serve. But, after reaching 0, it will reverse again and then serve 14 and 37. It is shown in Figure

Head movement from 53 to 65 = 12

Head movement from 65 to 67 = 2

Head movement from 67 to 98 = 31

Head movement from 98 to 122 = 24

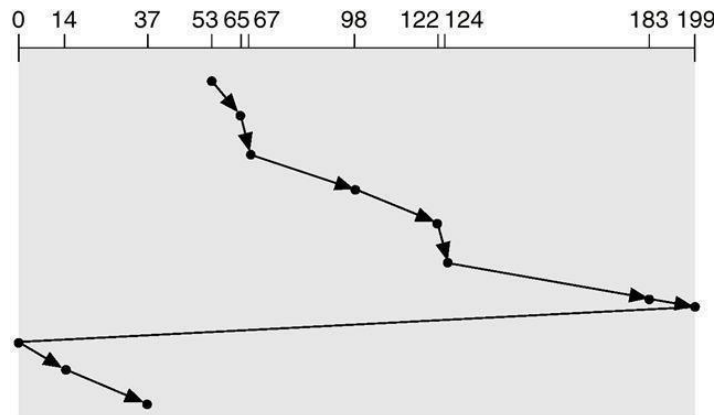
Head movement from 122 to 124 = 2

Head movement from 124 to 183 = 59

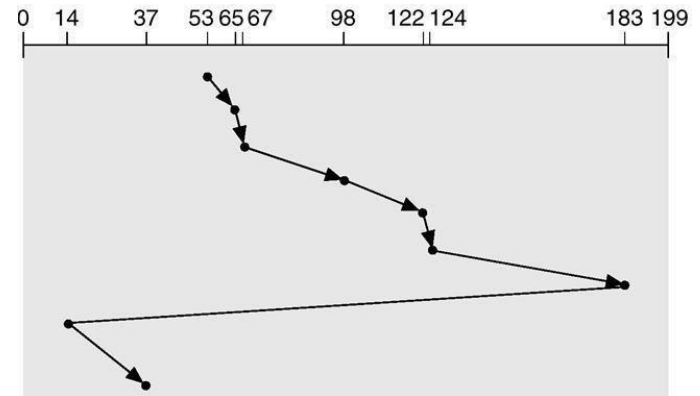
Head movement from 183 to 199 = 16

Head movement from 199 to 0 = 199

Head movement from 0 to 14 = 14  
 Head movement from 14 to 37 = 23  
 Total head movement = 382



Head movement from 14 to 37 = 23  
 Total head movement = 322



## V. Look Scheduling

- As we described them, both SCAN and C-SCAN move the disk arm across the full width of the disk.
- In practice, neither algorithm is implemented this way. More commonly, the arm goes only as far as the final request in each direction then, it reverses direction immediately, without going all the way to the end of the disk.
- These versions of SCAN and C-SCAN are called LOOK and C-LOOK scheduling, because they look for a request before continuing to move in a given direction.

### Example:

Consider a disk queue with requests for I/O to blocks on cylinders: 98, 183, 37, 122, 14, 124, 65, 67 in that order. There are 200 cylinders numbered from 0 to 199. The disk head is initially at the cylinder 53. Compute total head movements.

### Solution:

Assume that disk arm is moving toward 199, the head will service 65, 67, 98, 122, 124, 183. Then the arm will reverse and move towards 14. Then it will serve 37. It is shown in Figure

Head movement from 53 to 65 = 12  
 Head movement from 65 to 67 = 2  
 Head movement from 67 to 98 = 31  
 Head movement from 98 to 122 = 24  
 Head movement from 122 to 124 = 2  
 Head movement from 124 to 183 = 59  
 Head movement from 183 to 14 = 169

## DISK MANAGEMENT

The OS is responsible for several other aspects of disk management as well.

### Disk Formatting

- A new magnetic disk is a blank slate: It is just platters of a magnetic recording material.
- Before a disk can store data, it must be divided into sectors that the disk controller can read and write. This process is called low-level formatting (or physical formatting).
- Low-level formatting fills the disk with a special data structure for each sector.
- To use a disk to hold files, the OS needs to record its own data structures on the disk.
- It does so in two steps.
  - ✓ The first step is to partition the disk into one or more groups of cylinders. The OS treats each partition as though it were a separate disk.
  - ✓ After partitioning, the second step is logical formatting (or creation of a file system). In this step, the OS stores the initial file-system data structures onto the disk. These data structures may include maps of free and allocated space and an initial empty directory.

### Boot Blocks

- For a computer to start running, it needs to have an initial program to run. This bootstrap program initializes all aspects of the system, from CPU registers to device controllers and the contents of main memory, and then starts the OS.

- To do its job, the bootstrap program finds the OS kernel on disk, loads that kernel into memory, and jumps to an initial address to begin the operating-system execution.

### Bad Blocks

- Because disks have moving parts and small tolerances, they are prone to failure.
- Sometimes the failure is complete, and the disk needs to be replaced, and its contents restored from backup media to the new disk.
- More frequently, one or more sectors become defective. Most disks even come from the factory with bad blocks.
- Depending on the disk and controller in use, these blocks are handled in a variety of ways:
  - ✓ On simple disks with IDE, bad blocks are handled manually (like formatting the disk)
  - ✓ The controller maintains a list of bad blocks on the disk. The list is initialized during the low-level format at the factory, and is updated over the life of the disk.

### SWAP SPACE MANAGEMENT

- Swap-space — Virtual memory uses disk space as an extension of main memory.
- Swap-space can be carved out of the normal file system, or, more commonly, it can be in a separate disk partition.
- BSD allocates swap space when process starts; holds text segment (the program) and data segment.
- Kernel uses swap maps to track swap-space use. Solaris 2 allocates swap space only when a page is forced out of physical memory, not when the virtual memory page is first created.

### File concept:

- A file is a collection of related information that is stored on secondary storage.
- Information stored in files must be persistent i.e. not affected by power failures & system reboots. Files may be of free from such as text files or may be formatted rigidly.
- Files represent both programs as well as data.
- Part of the OS dealing with the files is known as file system.

- The important file concepts include:

### 1. File attributes:

A file has certain attributes which vary from one operating system to another.

- ✓ **Name:** Every file has a name by which it is referred.
- ✓ **Identifier:** It is unique number that identifies the file within the file system.
- ✓ **Type:** This information is needed for those systems that support different types of files.
- ✓ **Location:** It is a pointer to a device & to the location of the file on that device
- ✓ **Size:** It is the current size of a file in bytes, words or blocks.
- ✓ **Protection:** It is the access control information that determines who can read, write & execute a file.
- ✓ **Time, date & user identification:** It gives information about time of creation or last modification & last use.

### 2. File operations:

The operating system can provide system calls to create, read, write, reposition, delete and truncate files.

- ✓ **Creating files:** Two steps are necessary to create a file. First, space must be found for the file in the file system. Secondly, an entry must be made in the directory for the new file.
- ✓ **Reading a file:** Data & read from the file at the current position. The system must keep a read pointer to know the location in the file from where the next read is to take place. Once the read has been taken place, the read pointer is updated.
- ✓ **Writing a file:** Data are written to the file at the current position. The system must keep a write pointer to know the location in the file where the next write is to take place. The write pointer must be updated whenever a write occurs.
- ✓ **Repositioning within a file (seek):** The directory is searched for the appropriate entry & the current file position is set to a given value. After repositioning data can be read from or written into that position.
- ✓ **Deleting a file:** To delete a file, we search the directory for the required file. After deletion, the space is released so that it can be reused by other files.

- ✓ **Truncating a file:** The user may erase the contents of a file but allows all attributes to remain unchanged except the file length which is reset to 0 & the space is released

### 3. File types:

- The file name is split into 2 parts, Name & extension. Usually these two parts are separated by a period. The user & the OS can know the type of the file from the extension itself.
- Listed below are some file types along with their extension:

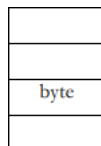
<u>File Type</u>	<u>Extension</u>
✓ Executable File	exe, bin, com
✓ Object File	obj, o (compiled)
✓ Source Code file	C, C++, Java, pas
✓ Batch File	bat, sh
✓ Text File	txt, doc
✓ Archive File	arc, zip, tar
✓ Multimedia File	mpeg

### 4. File structure:

Files can be structured in several ways. Three common possible are:

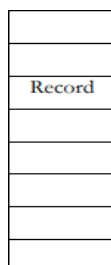
#### a) Byte sequence:

- The figure shows an unstructured sequence of bytes. The OS doesn't care about the content of file. It only sees the bytes.
- This structure provides maximum flexibility.
- Users can write anything into their files & name them according to their convenience.
- Both UNIX & windows use this approach.



#### b) Record sequence:

- In this structure, a file is a sequence of fixed length records.
- Here the read operation returns one record & the write operation overwrites or appends a record.



#### c) Tree:

- In this organization, a file consists of a tree of records of varying lengths.
- Each record consists of a key field.
- The tree is stored on the key field to allow first searching for a particular key.

### 5. Access methods:

Basically, access method is divided into 2 types:

#### **Sequential access:**

- It is the simplest access method. Information in the file is processed in order i.e. one record after another.
- A process can read all the data in a file in order starting from beginning but can't skip & read arbitrarily from any location.
- Sequential files can be rewound.
- It is convenient when storage medium was magnetic tape rather than disk.

#### **Direct access:**

- A file is made up of fixed length-logical records that allow programs to read & write records rapidly in no particular order.
- This method can be used when disks are used for storing files.
- This method is used in many applications e.g. database systems.
- If an airline customer wants to reserve a seat on a particular flight, the reservation program must be able to access the record for that flight directly without reading the records before it.
- In a direct access file, there is no restriction in the order of reading or writing.
- **For example,** we can read block 14, then read block 50 & then write block 7 etc. Direct access files are very useful for immediate access to large amount of information.

#### **Directory structure:**

- The file system of computers can be extensive. Some systems store thousands of files on disk. To manage all these data, we need to organize them.

The organization is done in 2 steps. The file system is broken into partitions. Each partition contains information about files within it.

### Operation on a directory:

- ✓ **Search for a file:** We need to be able to search a directory for a particular file.
- ✓ **Create a file:** New files are created & added to the directory.
- ✓ **Delete a file:** When a file is no longer needed, we may remove it from the directory.
- ✓ **List a directory:** We should be able to list the files of the directory.
- ✓ **Rename a file:** The name of a file is changed when the contents of the file changes.
- ✓ **Traverse the file system:** It is useful to be able to access every directory & every file within a directory.

### Structure of a directory:

The most common schemes for defining the structure of the directory are:

#### 1. Single level directory:

- It is the simplest directory structure.
- All files are present in the same directory.
- So it is easy to manage & understand. Limitation: A single level directory is difficult to manage when the no. of files increases or when there is more than one user.
- Since all files are in same directory, they must have unique names. So, there is confusion of file names between different users.

#### 2. Two level directories:

- The solution to the name collision problem in single level directory is to create a separate directory for each user.
- In a two level directory structure, each user has its own user file directory. When a user logs in, then master file directory is searched. It is indexed by user name & each entry points to the UFD of that user.
- **Limitation:** It solves name collision problem. But it isolates one user from another.
- It is an advantage when users are completely independent. But it is a disadvantage when the users need to access each other's files & co-operate among themselves on a particular task.

### 3. Tree structured directories:

- It is the most common directory structure.
- A two level directory is a two level tree. So, the generalization is to extend the directory structure to a tree of arbitrary height.
- It allows users to create their own subdirectories & organize their files.
- Every file in the system has a unique path name.
- It is the path from the root through all the sub-directories to a specified file.
- A directory is simply another file but it is treated in a special way. One bit in each directory entry defines the entry as a file (O) or as sub-directories.