Operating Systems Scheduler and Dispatcher

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Process Switching

- Dispatcher
- Scheduling

Scheduling Methods (Algorithms)

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Dispatching and Scheduling

Tasks of multitasking operating systems are among others:

- Dispatching: Assign the CPU to another process (process switching)
- Scheduling: Determine the order of process execution and the exact point in time when the process switch occurs
- The dispatcher carries out the state transitions of the processes

Performance

- The scheduler may run ...
 - periodically (e.g., on Linux)
 - for every interrupt (e.g., on RIOT)
- \Rightarrow Is called frequently and hence, should be as efficient as possible
 - Every call to the scheduler may trigger the dispatcher to run
- \Rightarrow Must be efficient as well

The Dispatcher

We already know...

- During process switching, the dispatcher removes the CPU from the running process and assigns it to the
 process, which is the first one in the queue
- For transitions between the states ready and blocked, the dispatcher removes the corresponding process control blocks from the status lists and accordingly inserts them new
- Transitions from or to the state running always imply a switch of the process, which is currently executed by the CPU

If a process switches into the state running or from the state running to another state, the dispatcher needs to...

- back up the context (register contents) of the executed process in the process control block
- assign the CPU to another process
- import the context (register contents) of the process, which will be executed next, from its process control block

Idle Process

- Modern processors provide an idle state
- If no process is in the state ready an idle process gets the CPU assigned
- The idle process is always ready to run and has the lowest priority
- On most operating systems the idle process puts the CPU into a power-saving mode
- For each CPU core (in hyperthreading systems for each logical CPU) a system idle process exists

8	Windows Ta	isk Mar	nager				
File	File Options View Shut Down Help						
Ap	Applications Processes Performance Networking Users						
	Image Name		User Name		CPU	Mem Usage	e 🔼
	System Idle P	rocess	SYSTEM		99	16 k	
	spoolsv.exe		SYSTEM		00	4,236 k	
	wscntfy.exe		BNC		00	1,904 K	
	svchost.exe		LOCAL SERVIC	E	00	4,292 k	
	taskmgr.exe		BNC		00	3,816 K	
	svchost.exe		NETWORK SER	VICE	00	3,320 k	
	explorer.exe		BNC		00	12,876 K	
	wuaudt.exe		SYSTEM		00	8,196 k	
	svchost.exe		SYSTEM		00	25,212 k	
	alg.exe		LOCAL SERVIC		00	3,348 k	
	svchost.exe		NETWORK SER	VICE	00	3,960 k	
	svchost.exe		SYSTEM		00	4,604 k	
	lsass.exe		SYSTEM		00	4,220 k	
	services.exe		SYSTEM		00	3,056 k	
	winlogon.exe	•	SYSTEM		00	1,352 K	
	csrss.exe		SYSTEM		00	2,872 k	
	wmiprvse.exe	е	SYSTEM		00	4,988 k	
	smss.exe		SYSTEM		00	356 K	
	msiexer.exe		SYSTEM		00	5.504 k	
	Show processes from all users						
Proc	esses: 20	CPU Us	age: 0%	Con	imit Cha	rge: 97M / 3	943M





Scheduling Methods (Algorithms)

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Scheduling Criteria and Scheduling Strategies

- The scheduler of an operating system specifies the execution order of the processes in the state ready
- The best scheduling strategy depends on the use case
 - No scheduling strategy...
 - is optimally suited for every system and
 - can take all scheduling criteria optimal into account.
- The scheduling strategy is always a tradeoff between different scheduling criteria

Scheduling criteria

Scheduling criteria are among others CPU load, response time (latency), turnaround time, throughput, efficiency, real-time behavior (compliance with deadlines), waiting time, overhead, fairness, consideration of priorities, even resource utilization...

Non-preemptive and preemptive Scheduling

- Two types of scheduling strategies exist
 - Non-preemptive scheduling or cooperative scheduling
 - Any running process will either run until completion or voluntarily yields
 - Problematic: A process may occupy the CPU for as long as it wants
 - Examples: Windows 3.x, MacOS 8/9, Windows 95/98/Me (for 16-Bit processes)
 - Preemptive scheduling
 - The CPU may be removed from a process before its execution is completed
 - Drawback: Higher overhead compared with non-preemptive scheduling
 - Examples: Linux, MacOS X, Windows 95/98/Me (for 32-Bit processes), Windows NT (incl. XP/Visa/7/8/10/11), FreeBSD, RIOT

Preemptive Scheduling in RIOT

In RIOT a running process is only removed from the run queue if a process with a higher priority becomes ready to run.

Performance Metrics

- Waiting Time The time a process has to wait before getting the CPU assigned
- CPU Time The time that the process needs to access the CPU to complete its execution
- Runtime = "lifetime" = time period between the creation and the termination of a process = (CPU time + waiting time)

Impact on the overall Performance of a Computer

- This example demonstrates the impact of the scheduling method used on the overall performance of a computer
 - The processes P_A and P_B are to be executed one after the other

Process	CPU time
A	24 ms
В	2 ms

- If a short-running process runs before a long-running process, the runtime and waiting time of the long process process get slightly worse
- If a long-running process runs before a short-running process, the runtime and waiting time of the short process get significantly worse

Execution	Run	time	Average	Waitiı	ng time	Average
order	Α	В	runtime	Α	В	waiting time
P_A, P_B	24 ms	26 ms	$\frac{24+26}{2} = 25 \text{ms}$	0 ms	24 ms	$\tfrac{0+24}{2}=12\text{ms}$
P_B, P_A	26 ms	2 ms	$rac{2+26}{2} = 14{ m ms}$	2 ms	0 ms	$rac{0+2}{2}=1{ m ms}$



Process Switching

- Dispatcher
- Scheduling

Scheduling Methods (Algorithms)

Scheduling Methods

- Several scheduling methods (algorithms) exist
 - Each method tries to comply with the well-known scheduling criteria and principles in varying degrees
- Some scheduling methods:
 - Priority-driven scheduling
 - First Come First Served (FCFS) = First In First Out (FIFO)
 - Last Come First Served (LCFS)
 - **Round Robin** (RR) with time quantum
 - Shortest/Longest Job First (SJF/LJF)
 - Shortest/Longest Remaining Time First (SRTF/LRTF)
 - Highest Response Ratio Next (HRRN)
 - Earliest Deadline First (EDF)
 - Static multilevel scheduling
 - Multilevel feedback scheduling
 - **Completely Fair Scheduler** (CFS)

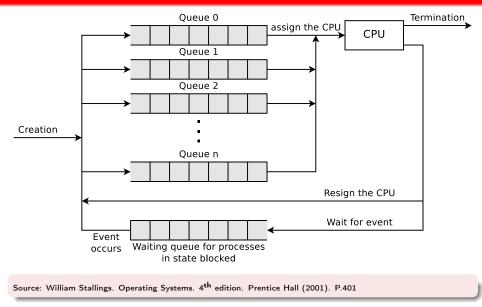
Modern operating systems often implement several scheduling methods

- In Linux e.g., each processes is assigned to a specific scheduling method
- For real-time processes...
 - SCHED_FIF0 (priority-driven scheduling, non-preemptive)
 - SCHED_RR (preemptive)
 - SCHED_DEADLINE (EDF scheduling, preemptive)
- For "normal" processes...
 - SCHED_OTHER (default Linux time-sharing scheduling) implemented as...
 - Multilevel Feedback Scheduling (until Kernel 2.4)
 - O(1) scheduler (Kernel 2.6.0 until 2.6.22)
 - Completely Fair Scheduler (since Kernel 2.6.23)

Priority-driven Scheduling

- Processes are executed according to their priority (= importance or urgency)
- The highest priority process in state ready gets the CPU assigned
 - The priority may depend on various criteria, such as static (assigned) priority level, required resources, rank of the user, demanded real-time criteria,...
- Can be preemptive and non-preemptive
- The priority values can be assigned static or dynamic
 - Static priorities remain unchanged throughout the lifetime of a process and are often used in real-time systems
 - Dynamic priorities are adjusted from time to time ⇒ Multilevel feedback scheduling (see slide 43)
- Risk of (static) priority-driven scheduling: Processes with low priority values may starve (⇒ this is not fair)

Priority-driven Scheduling



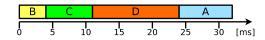
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Priority-driven Scheduling – Example

- Four processes shall be processed on a system with a single CPU
- All processes are at time point 0 in state ready
- Execution order of the processes as Gantt chart (timeline)

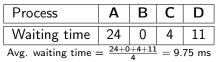
Process	CPU time	Priority
А	8 ms	15
В	4 ms	3
С	7 ms	4
D	13 ms	8



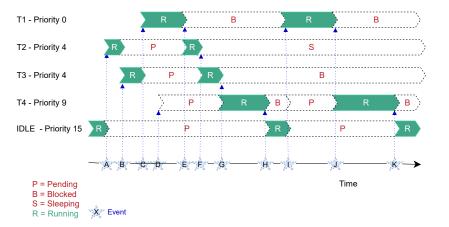
Runtime of the processes

Process	Α	В	С	D	
Runtime	32	4	11	24	Avg.
runtime = $\frac{32+4+11+24}{4} = 17.75$ ms					

Waiting time of the processes



The RIOT Scheduler – Example



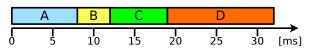
First Come First Served (FCFS)

- Works according to the principle First In First Out (FIFO)
- Running processes are not interrupted
 - It is non-preemptive scheduling
- FCFS is fair
 - All processes are executed
- The average waiting time may be very high under certain circumstances
 - Processes with short execution time may need to wait for a long time if processes with long execution times have arrived before
- FCFS/FIFO can be used for \implies batch processing
- FIFO is used in Linux for non-preemptive real-time processes

First Come First Served – Example

- Four processes shall be processed on a system with a single CPU
- Execution order of the processes as Gantt chart

Process	CPU time	Creation time
A	8 ms	0 ms
В	4 ms	1 ms
С	7 ms	3 ms
D	13 ms	5 ms



Runtime of the processes

Process	Α	В	С	D	
Runtime	8	11	16	27	Avg.
runtime = $\frac{8+11+16+27}{4} = 15.5$ ms					

Waiting time of the processes

Process	Α	В	С	D
Waiting time	0	7	9	14
Avg. waiting time = $\frac{0+7+9+14}{4} = 7.5$ ms				

Last Come First Served (LCFS)

- Works according to the principle Last In First Out (LIFO)
- Processes are executed in the reverse order of creation
 - The concept is equal with a stack
- Running processes are not interrupted
 - The processes have the CPU assigned until process termination or voluntary resigning
- LCFS is not fair
 - The case of continuous creation of new processes, the old processes are not taken into account and thus may starve
- FCFS/FIFO can be used for ⇒ batch processing
 - Is seldom used in pure form

Last Come First Served – Example

 Four processes shall be processed on a system with a single CPU

Process	CPU time	Creation time
A	8 ms	0 ms
В	4 ms	1 ms
С	7 ms	3 ms
D	13 ms	5 ms

Execution order of the processes as Gantt chart

B D 20 15 25 10 30 [ms] Runtime of the processes Waiting time of the processes В Process Α D Process Α В С D Runtime 8 31 25 16 Waiting time 0 27 18 3 $\frac{8+31+25+16}{1} = 20 \text{ ms}$ $\frac{0+27+18+3}{1} = 12 \text{ ms}$

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Last Come First Served – Preemptive Variant (LCFS-PR)

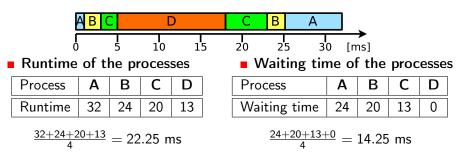
- A new process in state ready replaces the currently executed processes from the CPU
 - Processes, which get the CPU resigned, are inserted at the end of the queue
 - If no new processes are created, the running process has the CPU assigned until process termination or voluntary resigning
- Prefers processes with a short execution time
 - The execution of a process with a short execution time may be completed before new process are created
 - Processes with a long execution time may get the CPU resigned several times and thus significantly delayed
- LCFS-PR is not fair
 - Processes with a long execution time may never get the CPU assigned and starve
- Is seldom used in pure form

Last Come First Served Example – Preemptive Variant

 Four processes shall be processed on a system with a single CPU

Process	CPU time	Creation time
А	8 ms	0 ms
В	4 ms	1 ms
С	7 ms	3 ms
D	13 ms	5 ms

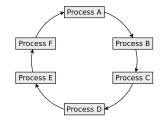
Execution order of the processes as Gantt chart



Process Switching

Round Robin – RR (1/2)

- Time slices with a fixed duration (may be ∞!) are specified
- The processes are queued in a cyclic queue according to the FIFO principle
 - The first process of the queue gets the CPU assigned for the duration of a time slice
 - After the expiration of the time slice, the process gets the CPU resigned and it is positioned at the end of the queue
 - Whenever a process is completed successfully, it is removed from the queue
 - New processes are inserted at the end of the queue
 - The CPU time is distributed fair among the processes
 - \blacksquare RR with time slice size ∞ behaves like \longrightarrow FCFS



Round Robin – RR (2/2)

- The longer the execution time of a process is, the more rounds are required for its complete execution
- The size of the time slices influences the performance of the system
 - The shorter they are, the more process switches must take place ⇒ Increased overhead
 - The longer they are, the more gets the simultaneousness lost ⇒ The system hangs/becomes jerky
- The size of the time slices is usually in single or double-digit millisecond range
- Prefers processes with short execution time
- Preemptive scheduling method
- Round Robin scheduling can be used for interactive systems
- Round Robin is used in Linux for preemptive *real-time* processes

Process Switching

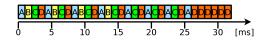
Scheduling Methods (Algorithms)

Round Robin – Example

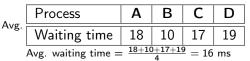
- Four processes shall be processed on a system with a single CPU
- All processes are at time point 0 in state ready
- Time quantum q = 1 ms
- Execution order of the processes as Gantt chart
- Runtime of the processes

Process	Α	В	С	D
Runtime	26	14	24	32
runtime = $\frac{26+14+24+32}{4}$ = 24 ms				

Process	CPU time
A	8 ms
В	4 ms
С	7 ms
D	13 ms



Waiting time of the processes



Shortest Job First (SJF) / Shortest Process Next (SPN)

- The process with the shortest execution time get the CPU assigned first
- Non-preemptive scheduling method
- Problem: The runtime of each process needs to be known in advance
- Solution: Execution time is estimated by analyzing its behavior in the past
- SJF is not fair
 - Prefers processes, which have a short execution time
 - Processes with a long execution time may get the CPU assigned only after a very long waiting period or starve
- If the execution time of the processes can be estimated, SJF can be used for batch processing)

Shortest Job First – Example

- Four processes shall be processed on a system with a single CPU
- All processes are at time point 0 in state ready

Process	CPU time
А	8 ms
В	4 ms
С	7 ms
D	13 ms

Execution order of the processes as Gantt chart

В А D 15 20 10 25 30 [ms] Runtime of the processes Waiting time of the processes В Process Α В D Process Α D С Runtime 19 11 32 Waiting time 11 0 4 19 4 $\frac{19+4+11+32}{4} = 16.5$ ms $\frac{11+0+4+19}{4} = 8.5 \text{ ms}$

Shortest Remaining Time First (SRTF)

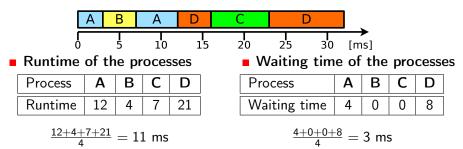
- Preemptive SJF is called Shortest Remaining Time First (SRTF)
- If a new process is created, the remaining execution time of the running process is compared with each process in state ready in the queue
 - If the currently running process has the shortest remaining execution time, the CPU remains assigned to this process
 - If one or more processes in state ready have a shorter remaining execution time, the process with the shortest remaining execution time gets the CPU assigned
- Estimation of runtime is required
- As long as no new process is created, no running process gets interrupted
 - The processes in state ready are compared with the running process only when a new process is created!
- Processes with a long execution time may starve (\implies not fair)

Shortest Remaining Time First – Example

 Four processes shall be processed on a system with a single CPU

Process	CPU time	Creation time
А	8 ms	0 ms
В	4 ms	3 ms
С	7 ms	16 ms
D	13 ms	11 ms

Execution order of the processes as Gantt chart



Longest Job First (LJF)

- The process with the longest execution time get the CPU assigned first
- Non-preemptive scheduling method
- Estimation of runtime is required
- LJF is not fair
 - Prefers processes, which have a long execution time
 - Processes with a short execution time may get the CPU assigned only after a very long waiting period or starve
- If the execution time of the processes can be estimated, LJF can be used for batch processing)

Longest Job First – Example

- Four processes shall be processed on a system with a single CPU
- All processes are at time point 0 in state ready

Process	CPU time
А	8 ms
В	4 ms
С	7 ms
D	13 ms

Execution order of the processes as Gantt chart

B D А 15 20 25 10 30 [ms] Runtime of the processes Waiting time of the processes Process Α В D Process В С Α С D Runtime 21 32 28 13 Waiting time 13 28 21 0 $\frac{21+32+28+13}{2} = 23.5 \text{ ms}$ $\frac{13+28+21+0}{15.5} = 15.5$ ms

Longest Remaining Time First (LRTF)

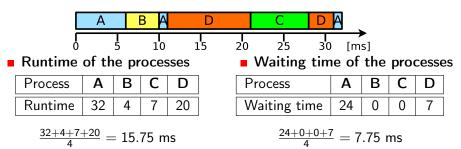
- Preemptive LJF is called Longest Remaining Time First (LRTF)
- If a new process is created, the remaining execution time of the running process is compared with each process in state ready in the queue
 - If the currently running process has the longest remaining execution time, the CPU remains assigned to this process
 - If one or more processes in state ready have a longer remaining execution time, the process with the longest remaining execution time gets the CPU assigned
- Estimation of runtime is required
- As long as no new process is created, no running process gets interrupted
 - The processes in state ready are compared with the running process only when a new process is created!
- Processes with a short duration may starve (\implies not fair)

Longest Remaining Time First - Example

 Four processes shall be processed on a system with a single CPU

Process	CPU time	Creation time
A	8 ms	0 ms
В	4 ms	6 ms
С	7 ms	21 ms
D	13 ms	11 ms

Execution order of the processes as Gantt chart



Highest Response Ratio Next (HRRN)

- Fair variant of SJF/SRTF/LJF/LRTF
 - Takes the age of the process into account in order to avoid starvation
- The response ratio is calculated for each process

 $\label{eq:Response} \text{Response ratio} = \frac{\text{Estimated execution time} + \text{Waiting time}}{\text{Estimated execution time}}$

- Response ratio value of a process after creation: 1.0
 - The value rises fast for short processes
 - Objective: Response ratio should be as small as possible for each process
 - Then the scheduling operates efficiently
- After termination of a process or if a process becomes blocked, the CPU is assigned to the process with the highest response ratio
- Just as with SJF/SRTF/LJF/LRTF, the execution times of the processes must be estimated via by statistical recordings
- It is impossible that processes starve \implies HRRN is fair

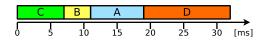
Earliest Deadline First (EDF)

- Used in *real-time operating operating systems* (RTOS)
- Objective: processes should comply with their *deadlines* when possible
- Processes in ready state are arranged according to their deadline
 - The process with the closest deadline gets the CPU assigned next
- The queue is reviewed and reorganized whenever...
 - a new process switches into state ready
 - or an active process terminates
- Can be implemented as preemptive and non-preemptive scheduling
 - Preemptive EDF can be used in real-time operating systems
 - Non-preemptive EDF can be used for batch processing
- EDF is used in Linux for preemptive real-time processes

Earliest Deadline First – Example

- Four processes shall be processed on a system with a single CPU
- All processes are at time point 0 in state ready
- Execution order of the processes as Gantt chart

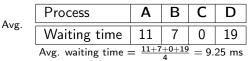
Process	CPU time	Deadline
A	8 ms	25
В	4 ms	18
C	7 ms	9
D	13 ms	34



Runtime of the processes

Process	A B		С	D
Runtime	19	11	7	32
runtime = $\frac{19+11+7+32}{4} = 17.25$ ms				

Waiting time of the processes

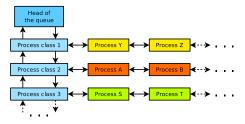


Multilevel Scheduling

- With each scheduling policy, compromises concerning the different scheduling criteria must be made
 - Procedure in practice: Several scheduling strategies are combined
 Static or dynamic multilevel scheduling

Static Multilevel Scheduling

- The list of processes of ready state is split into multiple sublists
 - For each sublist, a different scheduling method may be used
- The sublists have different priorities or time multiplexes (e.g., 80%:20% or 60%:30%:10%)
 - Makes it possible to separate time-critical from non-time-critical processes



 Example of allocating the processes to different process classes (sublists) with different scheduling strategies:

Priority	Process class	Scheduling method
3	Real-time processes (time-critical)	Priority-driven scheduling
2	Interactive processes	Round Robin
1	Compute-intensive batch processes	First Come First Served

Static Multilevel Scheduling (2/2)

Example of allocating the processes to different process classes (sublists) with different scheduling strategies:

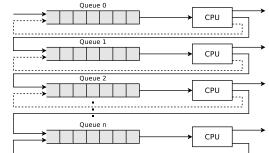
Priority	Process class	Scheduling method
3	Real-time processes (time-critical)	Priority-driven scheduling
3	Interactive processes	Round Robin
2	I/O-intensive processes	Round Robin
1	Compute-intensive batch processes	First Come First Served

Multilevel Feedback Scheduling (1/2)

- It is impossible to predict the execution time precisely in advance
 - Solution: Processes, which utilized much execution time in the past, get sanctioned
- Multilevel feedback scheduling works with multiple queues
 - Each queue has a different priority or time multiplex (e.g., 70%:15%:10%:5%)
- Each new process is added to the top queue
 - This way it has the highest priority
- Each queue uses Round Robin
 - If a process returns the CPU on voluntary basis, it is added to the same queue again
 - If a process utilized its entire time slice, it is inserted in the next lower queue, with has a lower priority
 - The priorities are therefore dynamically assigned with this method
- Multilevel feedback scheduling is preemptive scheduling

Multilevel Feedback Scheduling (2/2)

- Benefit:
 - No complicated estimations!
 - New processes are quickly assigned to a priority category
- Prefers new processes over older (longer-running) processes



- Processes with many I/O operations are preferred because they typically yield when waiting for I/O
- Older, longer-running processes are delayed

Source: William Stallings. Operating Systems. 4th edition. Prentice Hall (2001). P.413

Many modern operating systems use variants of multilevel feedback scheduling for the scheduling of the processes. Examples: Linux for "normal" processes (until Kernel 2.4), Mac OS X, FreeBSD, NetBSD and the Windows NT family

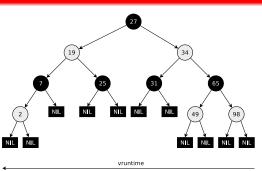
Completely Fair Scheduler (Linux since 2.6.23) – Part 1/3

- The kernel implements a CFS scheduler for every CPU core and maintains a variable vruntime (virtual runtime) for every SCHED_OTHER process
 - The value represents a virtual processor runtime in nanoseconds

Most need of CPU time vruntime indicates how long the particular process has already used the CPU core

The process with the lowest vruntime gets access to the CPU core next

- The management of the processes is done using a red-black tree (self-balancing binary search tree)
 - The processes are sorted in the tree by their *vruntime* values



Least need of CPU time

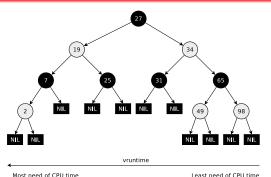
Completely Fair Scheduler (Linux since 2.6.23) – Part 2/3

- Goal: All processes should get a similar (fair) share of core they are assigned to \implies For *n* processes, each process should get 1/n of the CPU time
- computing time of the CPU

If a process got the CPU core assigned, it can run until its vruntime value has reached the targeted portion of 1/n of the available CPU time

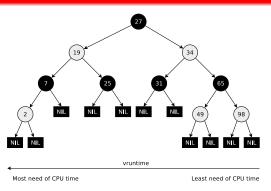
The scheduler aims for an equal vruntime value for all processes

The CFS scheduler only takes care of the scheduling of the "normal" (non-real-time) processes that are assigned to the scheduling method SCHED_OTHER



Completely Fair Scheduler (Linux since 2.6.23) – Part 3/3

- If a process gets replaced from the CPU core, the vruntime value is increased by the time the process did run on the CPU core
- The nodes (processes) in the tree move continuously from right to left
 - \implies fair distribution of
 - CPU resources
- The scheduler takes into account the static process priorities (nice) values) of the processes
- The vruntime values are weighted differently depending on the nice value
 - In other words: The virtual clock can run at different speeds



Scheduling Methods (Algorithms)

Classic and modern Scheduling Methods

	Schee NP	duling P	Fair	CPU time must be known	Takes priorities into account
Priority-driven scheduling	Х	Х	no	no	yes
First Come First Served = FIFO	Х		yes	no	no
Last Come First Served	Х	Х	no	no	no
Round Robin		Х	yes	no	no
Shortest/Longest Job First	Х		no	yes	no
Shortest Remaining Time First		Х	no	yes	no
Longest Remaining Time First		Х	no	yes	no
Highest Response Ratio Next	Х		yes	yes	no
Earliest Deadline First	Х	Х	yes	no	no
Static multilevel scheduling		Х	no	no	yes (static)
Multilevel feedback scheduling		Х	yes	no	yes (dynamic)
Completely Fair Scheduler		Х	yes	no	yes

NP = non-preemptive scheduling, P = preemptive scheduling

- A scheduling method is "fair" when each process gets the CPU assigned at some point
- It is impossible to calculate the execution time precisely in advance

You should now be able to answer the following questions:

- What steps does the dispatcher need to carry out for switching between processes?
- What is scheduling?
- How do preemptive scheduling and non-preemptive scheduling work?
- Explain the functioning of several common scheduling methods?
- How does scheduling in modern operating systems works in detail?

