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based on the lecture series of Dr. Dayou Li
by I.M.Flynn and A.McIver McHoes (2006)

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Introduction
PROCESS MANAGEMENT CONCEPTS

- Concept of a process
  - Terminology
    - **Job** (also known as program) is an inactive unit such as a file in disk
    - This entity contains at least two types of elements: program code and a set of data
    - **Process** (also called task) is an executed program code on the processor, that is, a part of an active entity
    - a **Thread** is a portion of a process that can be run independently
  - In multiprogramming environment, the processor is used by multiple programs/processes
  - Process manager needs to arrange the execution of the programs/processes (to make a schedule for them) to promote the most efficient use of resources (including hardware and software) and to avoid competition and deadlock
SCHEDULING
Job and Process Scheduling

- **Schedulers**
  - **Job scheduler**
    - Initialise each job
    - Only concerned with selecting jobs from a queue of incoming jobs
    - Places them in a process queue (READY queue)
  - **Process scheduler**
    - Determines which jobs get the CPU, when, and for how long.
    - Also decides when processing should be interrupted
    - decides when each step will be executed
    - recognises when a job has concluded and should be terminated

- **Hierarchy**
  - Job scheduler is the high-level scheduler
  - Process scheduler is the low-level scheduler
Process Scheduler

- Common trait among most computer programs: they alternate between CPU cycles and IO cycles
- Process scheduler is a low-level scheduler that assigns CPU the execute the processes of those jobs placed in the ready queue by the job scheduler.
- Although CPU cycles vary from program to program, there are some general types of jobs:
  - **IO-Bound** jobs e.g. printing a series of documents. Many brief CPU cycles and long IO cycles.
  - **CPU-Bound** jobs e.g. finding the first 300 prime numbers. Long CPU cycles and shorter IO cycles.
  - Total statistical effect approximates a Poisson distribution.
- Highly interactive environment has a third level - begin a middle-level scheduler - finding it advantageous to remove active jobs from memory; allowing jobs to complete faster.
Process status
• Process queue
  • Processes are divided into threads
  • The threads form a “ready queue” waiting for being processed in the processor

• Two-state model
  • A process is in “running” state if it is executed on the processor
  • It is in “not running” state otherwise
**PROCESS STATUS**

- **Five-state model**
  - **States**
    - **Running**: the process is currently executed on the processor
    - **Ready**: a process is prepared to execute
    - **Waiting**: a process waits for resources
    - **Hold**: a process is just created
    - **Exit**: a process is released from pool of executable programs by OS

![Process Status Diagram]
PROCESS STATUS

- State transitions:
  1. **HOLD to READY:**
     - When OS is prepared to take an additional process. Initiated by job scheduler; availability of memory and devices checked.
  2. **READY to RUNNING:**
     - Process scheduler chooses a ready process to execute.
  3. **RUNNING to EXIT:**
     - Currently executed process has completed or a run time error. Initiated by job or process scheduler.
  4. **RUNNING to WAIT:**
     - Handled by process scheduler, initiated by job instruction for I/O or other resources request.
  5. **WAIT to READY:**
     - Handled by process scheduler, initiated when I/O or other resources become available.
  6. **RUNNING to READY:**
     - Handled by process scheduler; maximum allowable time is reached or other criterion e.g. a priority interrupt.
Process control block
Process Control Blocks

Process control block (PCB): Any process is uniquely characterised by a list of elements:

- **Identifier**: a unique identifier which distinguishes a process from others
- **State**: a process can have different states
- **Priority**: this shows the priority level of a process relative to other process
- **Program counter**: the address of the instruction to be executed next of a process (program code)
- **Memory pointers**: include those point to program code and data associated of a process, plus any memory blocks shared with other processes
- **Context data**: These are data that are presented in registers in the processor while a process is running
- **I/O status information**: includes I/O requests and the availability of files and I/O devices
- **Accounting information**: includes time and number countered
Process State

- This contains all of the information needed to indicate the current state of the job such as:
  - **process status word** current instruction counter and register contents when a job isn’t running.
  - **register contents** if the job has been interrupted and is waiting.
  - **main memory** information including the address where the job is stored.
  - **resources** information about all resources allocated to the job, being hardware units or files.
  - **process priority** used by systems with priority scheduling algorithm.
Accounting

- Information for billing purposes and performance measurement. Typical charges include:
  - Amount of CPU time used from beginning to end of execution.
  - Total time the job was in the system until exited.
  - Main storage occupancy - how long the job stayed in memory until it finished execution.
  - Secondary storage used during execution.
  - System programs used (compilers, editors, utilities, etc.)
  - Number and type of IO operations, including IO transmission time (includes use of channels, control units, devices)
  - Time spent waiting for IO completion
  - Number of input records read, and number of output records written
Multithreading
**Multithreading**
- A process can be divided into multiple threads
  - Multithreading is a “condition” for a processor manager to make a schedule for multi-processes
- An example of a process and threads

- Get input for Job A
- Identify resources
- Execute the process
- Interrupt
- Switch to Job B
- Get input for Job B
- Identify resources
- Execute the process
- Terminate Job B
- Switch back to Job A
- Resume executing interrupted process
- Terminate Job A
Process scheduling policies
Process scheduling policies

- A good process scheduling policy:
  - **Maximise throughput** - run as many jobs as possible in a given amount of time
  - **Minimise response time** - quickly turn around interactive requests
  - **Minimise turnaround time** - move entire jobs in and out of the system quickly
  - **Minimise waiting time** - move jobs out of the ready queue as quickly as possible
  - **Maximise CPU efficiency** - keep the CPU busy 100% of the time
  - **Ensure fairness for all jobs** - give every job an equal amount of CPU and IO time

- A scheduling strategy that interrupts the processing of a job and transfers the CPU to another job is **preemptive scheduling policy**

- The alternative is **nonpreemptive scheduling policy** which functions without external interrupts
Process scheduling algorithms
Batch environment

- Jobs/processes arrive at the times that are too close to one another
- Those jobs/processes are collected in batches
- First-come-first-serve (FCFS)
  - A READY queue for storing ready processes that are initialised by Job scheduler
  - When a process is in RUNNING state, its execution will be completed in one go, that is, there is no waiting state in this algorithm

Average turnaround time ($\tau$)

- Total time needed for every process completed divided by the number of processes in the queue
- Depends on how the processes are queued in the READY queue
Process scheduling algorithms

FCFS - First-come-first-served

- Example:
  - Process A has CPU cycle \( t_a = 5 \text{ ms} \)
  - Process B has CPU cycle \( t_b = 2 \text{ ms} \)
  - Process C has CPU cycle \( t_c = 1 \text{ ms} \)
  - When the 3 processes become ready in the order of ABC

\[
\tau = \frac{(5 + 7 + 8)}{3} = 6.67
\]

- When the 3 processes become ready in the order of BCA

\[
\tau = \frac{(2 + 3 + 8)}{3} = 4.33
\]
Process scheduling algorithms
SJF - Shortest job First

- Shortest job first [next] (SJF) [SJN]
- Process that uses the shortest CPU cycle will be selected for running first
- Example:

<table>
<thead>
<tr>
<th>Processes:</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPU cycle ($t_i$):</td>
<td>5</td>
<td>2</td>
<td>6</td>
<td>4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Proc B</th>
<th>Proc D</th>
<th>Proc A</th>
<th>Proc C</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>6</td>
<td>11</td>
<td>17</td>
</tr>
</tbody>
</table>

\[ T_b = 2, \ T_d = 6, \ T_a = 11, \ T_c = 17 \]
\[ \tau = \frac{T_b + T_d + T_a + T_c}{4} = 9 \]
Process scheduling algorithms
SJF - Shortest job First

- Optimal in terms of occupying the least CPU time

<table>
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<tr>
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<th>B</th>
<th>C</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPU cycle (t_i):</td>
<td>5</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

\[ \tau = \frac{(1 + 3 + 8)}{3} = 4 \]

\[ \tau = \frac{1}{n} \sum_{j=1}^{n} T_j = \frac{1}{n} \left( \sum_{j=1}^{n} T_j + \sum_{k=1}^{i-1} t_k + t_i + \sum_{k=1}^{i-1} t_k + t_i + t_{i+1} + \sum_{j=i+2}^{n} T_j \right) \]

\[ \tau' = \frac{1}{n} \left( \sum_{j=1}^{i-1} T_j + \sum_{k=1}^{i-1} t_k + t_{i+1} + \sum_{k=1}^{i-1} t_k + t_i + t_{i+1} + \sum_{j=i+2}^{n} T_j \right) \]

\[ t_i > t_{i+1} \]
\[ \tau' < \tau \]
**Real-time environment**

- **Shortest remaining time (SRT)**
  - Process that the mostly close to complete will be process first, and even this process can be pre-empted if a newer process in READY queue has a shorter complete time.

**Example**

<table>
<thead>
<tr>
<th>Arrival time:</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process:</td>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
</tr>
<tr>
<td>CPU cycle:</td>
<td>6</td>
<td>3</td>
<td>1</td>
<td>4</td>
</tr>
</tbody>
</table>

$$\tau = (14 + 4 + 1 + 6)/4 = 6.25$$
• Round robin
  • Time is divided into slices called **time quantum**
  • Processes in the READY queue will be processed in FIFO
  • Process scheduler will pick up a process from the front of the READY queue and allocate it to CPU when a time slide starts
  • When the time slide ends but the processing has not been complete, the scheduler will send the remaining part of the process back to the end of the READY queue
  • It can only be resumed when it gets to the front of the queue
Process scheduling algorithms

Round-Robin

Example

<table>
<thead>
<tr>
<th>Arrival time:</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process:</td>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
</tr>
<tr>
<td>CPU cycle:</td>
<td>8</td>
<td>4</td>
<td>9</td>
<td>5</td>
</tr>
</tbody>
</table>

\[ \tau = (20 + 7 + 24 + 22)/4 = 18.25 \]
Process scheduling algorithms
Priority scheduling

- Priority scheduling
  - Allowing process with the highest priority to be processed first
  - The processing is not interrupted unless the CPU cycle of the process is completed or a natural wait occurs
  - If more than one process has the same priority, the one which joins the ready queue first is processed first
  - Priorities:
    - Memory requirements - jobs requiring large amounts of memory could be allocated lower priorities than those requiring small amounts of memory
    - Number and type of device - jobs requiring many devices would be allocated lower priorities
    - Total CPU time - jobs having long CPU cycle, or estimated run time, would be given lower priorities
    - Amount of time already spent in the system - some systems increase priority of jobs that have been in the system for an unusually long time. This is known as aging
Process scheduling algorithms
Multilevel feedback queue

- Multilevel feedback queue
  - When time out for a high-priority process, it is added to the tail of the queue consisting of lower priority level processes

Priority

```
<table>
<thead>
<tr>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>1</td>
</tr>
</tbody>
</table>
```
Priority inversion and inheritance

- Priority inversion problem: a high-priority process waits on a low-priority process that is starved by a medium-priority process (for example, releasing some resources)

Example

- Three processes, a, b and c with p(a)=2, p(b)=3 and p(c)=4
- Process c waits on a
- a is starved by b (b is never put in waiting state)
- Process a cannot compete with b and therefore b is always running and a and c never get chance to run
- It looks like c with p(c)=4 had lower priority than b with p(b)=3
• Solution – priority inheritance
  • Elevating the priority of process a to 4 so that it can compete with b and win in competition
process scheduling algorithms - comparison

- FCFS - nonpreemptive - batch - unpredictable turnaround - Easy to implement
- SJN - nonpreemptive - batch - indefinite postponement - minimise average waiting
- Priority scheduling - nonpreemptive - batch - indefinite postponement - fast completion of important jobs
- SRT - Preemptive - batch - overhead from context switching - fast completion of short jobs
- Round robin - Preemptive - interactive - requires selection of good time quantum - fair CPU allocation and reasonable response times for interactive users
- Multiple-level queues - Preemptive/nonpreemptive - batch/interactive - overhead from monitoring queues - flexible, counteracts indefinite postponement with aging, fair treatment of CPU-bound jobs by incrementing time quantums on lower priority queues
SUMMARY
Key Terms

- aging
- context switching
- CPU-bound
- first come, first served
- high-level scheduler
- IO-bound
- indefinite postponement
- interrupt
- interrupt handler
- job scheduler
- job status
- low-level scheduler
- middle-level scheduler
- multiple-level queues
- natural wait
Key Terms

- nonpreemptive scheduling policy
- preemptive scheduling policy
- priority scheduling
  - process
- process control block (PCB)
- process scheduler
- process scheduling algorithm
- process scheduling policy
- process status
  - round robin
- shortest job next (SJN)
- shortest remaining time (SRT)
- task
- thread