Lecture 3: Process and threads
Contents

- What is process
- Context Switch
- Processes hierarchy
- Process creation and termination
- Threads
- Threads implementation
- Scheduling
What is a process?

Textbooks use the terms *job* and *process* almost interchangeably.

Process – a program in execution; process execution must progress in sequential fashion.

A process includes:
- program counter
- stack
- data section.

Information associated with each process:
- Process state
- Program counter
- CPU registers
- CPU scheduling information
- Memory-management information
- Accounting information
- I/O status information (“process environment”)
C Program Forking Separate Process

```c
int main()
{
    Pid_t pid;
    /* fork another process */
    pid = fork();
    if (pid < 0) { /* error occurred */
        fprintf(stderr, "Fork Failed");
        exit(-1);
    }
    else if (pid == 0) { /* child process */
        execlp("/bin/ls", "ls", NULL);
    }
    else { /* parent process */
        /* parent will wait for the child to complete */
        wait (NULL);
        printf("Child Complete");
        exit(0);
    }
}
```
Process Creation Illustrated

Tree of processes

POSIX parent process waiting for its child to finish
Process Termination

- Process executes last statement and asks the operating system to delete it (**exit**)
  - Output data from child to parent (via **wait**)
  - Process’ resources are deallocated by operating system

- Parent may terminate execution of children processes (**abort**)
  - Child has exceeded allocated resources
  - Task assigned to child is no longer required
  - If parent is exiting
    - Some operating system do not allow children to continue if the parent terminates – the problem of ‘zombie’
    - All children terminated - *cascading termination*
Process State

- As a process executes, it changes its state:
  - **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 CPU
  - **terminated**: The process has finished execution
Context Switch

- When CPU switches to another process, the system must save the state of the old process and load the saved state for the new process.

- Context-switch time is *overhead*; the system does no do useful work while switching.

- Time dependent on hardware support:
  - Hardware designers try to support routine context-switch actions like saving/restoring all CPU registers by one pair of machine instructions.
Context switch

Duration of context switch should be short
- system overheads

Process "B" ended waiting and process "C" is preempted
CPU Switch From Process to Process

Context switch is similar to handling an interrupt

Context switch steps:
1. Save current process to PCB
2. Decide which process to run
3. Reload of new process from PCB

Context switch should be fast, because it is overhead.
Process Control Block (PCB)

Information associated with each process
- Process state
- Program counter
- CPU registers
- CPU scheduling information
- Memory-management information
- Accounting information
- I/O status information ("process environment")
Simplified Model of Process Scheduling

Diagram:
- Ready queue
- CPU
- I/O
- I/O queue
- I/O request
- Time slice expired
- Child executes
- Fork a child
- Interrupt occurs
- Wait for an interrupt
Ready Queue and Various I/O Device Queues

- Queue header
- PCB7
- PCB2
- Mag tape unit 0
- Mag tape unit 1
- Disk unit 0
- Terminal unit 0

Diagram showing the structure of various I/O device queues and PCBs.
Benefits of Multi-threading

- Responsiveness
- Easy Resource Sharing
- Economy
- Utilization of Multi-processor Architectures
Threads

- Advantages
  - Create thread is faster than to create process
  - Context switch is faster for threads
  - Better design of parallel applications with threads

- Examples
  - File server in LAN
    - Many demands from different users
    - For each demand new thread
  - Symmetric Multiprocessor (SMP)
    - Different thread can use different cores
  - Output displayed in parallel with data computation
  - Parallel algorithm on multi-CPU systems

- More transparent algorithms with threads
Data sharing with threads

Processes and threads
- process: unit that contains resources (memory, open files, user rights)
- thread: unit for scheduling
- One process can have more threads

<table>
<thead>
<tr>
<th>Category</th>
<th>Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program code</td>
<td>processes</td>
</tr>
<tr>
<td>Local and working variables</td>
<td>thread</td>
</tr>
<tr>
<td>Global data</td>
<td>process</td>
</tr>
<tr>
<td>System resources</td>
<td>process</td>
</tr>
<tr>
<td>Stack</td>
<td>thread</td>
</tr>
<tr>
<td>Memory management</td>
<td>process</td>
</tr>
<tr>
<td>PC – program counter</td>
<td>thread</td>
</tr>
<tr>
<td>CPU register</td>
<td>thread</td>
</tr>
<tr>
<td>Scheduling state</td>
<td>thread</td>
</tr>
<tr>
<td>User identification and rights</td>
<td>process</td>
</tr>
</tbody>
</table>
User threads - Many-to-One Model

- Thread management done by user-level threads library

- Three primary thread libraries:
  - POSIX Pthreads
  - Win32 threads
  - Java threads

- Only old operating systems without thread support
One-to-one Model

- Supported by the Kernel
- Better scheduling – one waiting thread cannot block other threads from the same process
- Examples: Windows XP/2000, Solaris, Linux, Tru64 UNIX, Mac OS X
Threads in JavaAPI

class CounterThread extends Thread {
    public void run() {
        for(int i = 0; i < 10; i++) {
            System.out.println(i);
        }
    }
}

Thread counterThread = new CounterThread();
counterThread.start();

class Counter implements Runnable {
    public void run() {
        for(int i = 0; i < 10; i++) {
            System.out.println(i);
        }
    }
}

Runnable counter = new Counter();
Thread counterThread = new Thread(counter);
counterThread.start();
Schedulers

- **Long-term scheduler** (or job scheduler) — selects which processes should be brought into the ready queue
  - Long-term scheduler is invoked very infrequently (seconds, minutes) ⇒ (may be slow)
  - The long-term scheduler controls the *degree of multiprogramming*

- **Mid-term scheduler** (or tactic scheduler) — selects which process swap out to free memory or swap in if the memory is free
  - Partially belongs to memory manager

- **Short-term scheduler** (or CPU scheduler) — selects which process should be executed next and allocates CPU
  - Short-term scheduler is invoked very frequently (milliseconds) ⇒ (must be fast)
Process states with swapping

- **New process**
  - Start
  - Start

- **Ready**
  - Swap in
  - Swap out
  - Event

- **Waiting**
  - Swap in
  - Swap out
  - Event

- **Running**
  - Run
  - Switch
  - Exit

- **Terminated**

**States:**
- **Start**
- **Ready**
- **Waiting**
- **Running**
- **Terminated**

**Events:**
- Swap in
- Swap out
- Event
- Run
- Switch
- Exit

**Scheduling:**
- **Long-term scheduling**
- **Short-term scheduling**
- **Mid-term scheduling**

- Swap out – process Needs more memory
- Swap out – process

**Processes:**
- New process
- Ready
- Waiting
- Running
- Terminated
CPU Scheduler

- Selects from among the processes in memory that are ready to execute, and allocates the CPU to one of them

- CPU scheduling decisions may take place when a process:
  1. Switches from running to waiting state
  2. Switches from running to ready state
  3. Switches from waiting to ready
  4. Terminates

- Scheduling under 1 and 4 is nonpreemptive
- 2 and 3 scheduling are preemptive
Dispatcher

- Dispatcher module gives control of the CPU to the process selected by the short-term scheduler; this involves:
  - switching context
  - switching to user mode
  - jumping to the proper location in the user program to restart that program

- **Dispatch latency** – time it takes for the dispatcher to stop one process and start another running – overhead
Scheduling Criteria & Optimization

- **CPU utilization** – keep the CPU as busy as possible
  - Maximize CPU utilization

- **Throughput** – # of processes that complete their execution per time unit
  - Maximize throughput

- **Turnaround time** – amount of time to execute a particular process
  - Minimize turnaround time

- **Waiting time** – amount of time a process has been waiting in the ready queue
  - Minimize waiting time

- **Response time** – amount of time it takes from when a request was submitted until the first response is produced, **not** output (for time-sharing and interactive environment)
  - Minimize response time
First-Come, First-Served (FCFS) Scheduling

- Most simple nonpreemptive scheduling.

<table>
<thead>
<tr>
<th>Process</th>
<th>Burst Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>$P_1$</td>
<td>24</td>
</tr>
<tr>
<td>$P_2$</td>
<td>3</td>
</tr>
<tr>
<td>$P_3$</td>
<td>3</td>
</tr>
</tbody>
</table>

- Suppose that the processes arrive in the order: $P_1$, $P_2$, $P_3$

The Gantt Chart for the schedule is:

<table>
<thead>
<tr>
<th></th>
<th>$P_1$</th>
<th>$P_2$</th>
<th>$P_3$</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td>24</td>
<td>27</td>
</tr>
</tbody>
</table>

- Waiting time for $P_1 = 0$; $P_2 = 24$; $P_3 = 27$
- Average waiting time: $\frac{0 + 24 + 27}{3} = 17$
FCFS Scheduling (Cont.)

Suppose that the processes arrive in the order 
\( P_2, P_3, P_1 \)

- The Gantt chart for the schedule is:

```
  P2   P3   P1
  0   3    6   30
```

- Waiting time for \( P_1 = 6; P_2 = 0; P_3 = 3 \)
- Average waiting time: \( (6 + 0 + 3)/3 = 3 \)
- Much better than previous case
- *Convoy effect* short process behind long process
Shortest-Job-First (SJF) Scheduling

- Associate with each process the length of its next CPU burst. Use these lengths to schedule the process with the shortest time

- Two schemes:
  - nonpreemptive – once CPU given to the process it cannot be preempted until completes its CPU burst
  - preemptive – if a new process arrives with CPU burst length less than remaining time of current executing process, preempt. This scheme is know as the Shortest-Remaining-Time (SRT)

- SJF is optimal – gives minimum average waiting time for a given set of processes
Shortest-Job-First (SJF) Scheduling

- Associate with each process the length of its next CPU burst. Use these lengths to schedule the process with the shortest time.

- Two schemes:
  - nonpreemptive – once CPU given to the process it cannot be preempted until completes its CPU burst
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- SJF is optimal – gives minimum average waiting time for a given set of processes
Example of Non-Preemptive SJF

<table>
<thead>
<tr>
<th>Process</th>
<th>Arrival Time</th>
<th>Burst Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>( P_1 )</td>
<td>0.0</td>
<td>7</td>
</tr>
<tr>
<td>( P_2 )</td>
<td>2.0</td>
<td>4</td>
</tr>
<tr>
<td>( P_3 )</td>
<td>4.0</td>
<td>1</td>
</tr>
<tr>
<td>( P_4 )</td>
<td>5.0</td>
<td>4</td>
</tr>
</tbody>
</table>

- SJF (non-preemptive)

```
  P_1  P_3  P_2  P_4
  0    3    7    8
  12   16
```

- Average waiting time = \( \frac{(0 + 6 + 3 + 7)}{4} \) = 4
### Example of Preemptive SJF

<table>
<thead>
<tr>
<th>Process</th>
<th>Arrival Time</th>
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</tr>
</thead>
<tbody>
<tr>
<td>$P_1$</td>
<td>0.0</td>
<td>7</td>
</tr>
<tr>
<td>$P_2$</td>
<td>2.0</td>
<td>4</td>
</tr>
<tr>
<td>$P_3$</td>
<td>4.0</td>
<td>1</td>
</tr>
<tr>
<td>$P_4$</td>
<td>5.0</td>
<td>4</td>
</tr>
</tbody>
</table>

#### SJF (preemptive)

![Process Schedule](chart)

- **Average waiting time** = \( \frac{(9 + 1 + 0 + 2)}{4} = 3 \)
Basic Concepts

- Maximum CPU utilization obtained with multiprogramming
- CPU–I/O Burst Cycle – Process execution consists of a *cycle* of CPU execution and I/O wait
- CPU burst distribution

![Graph](image)
Determining Length of Next CPU Burst

- Can only estimate the length
- Can be done by using the length of previous CPU bursts, using exponential averaging

1. \( t_n = \) actual length of \( n^{th} \) CPU burst
2. \( \tau_{n+1} = \) predicted value for the next CPU burst
3. \( \alpha, 0 \leq \alpha \leq 1 \)
4. Define: \( \tau_{n+1} = \alpha t_n + (1 - \alpha) \tau_n \).
Examples of Exponential Averaging

- $\alpha = 0$
  - $\tau_{n+1} = \tau_n$
  - Recent history does not count

- $\alpha = 1$
  - $\tau_{n+1} = \alpha \tau_n$
  - Only the actual last CPU burst counts

- If we expand the formula, we get:
  $$\tau_{n+1} = \alpha t_n + (1 - \alpha)\alpha t_{n-1} + \ldots$$
  $$+ (1 - \alpha)^i\alpha t_{n-i} + \ldots$$
  $$+ (1 - \alpha)^{n+1}\tau_0$$

- Since both $\alpha$ and $(1 - \alpha)$ are less than or equal to 1, each successive term has less weight than its predecessor
Priority Scheduling

- A priority number (integer) is associated with each process.
- The CPU is allocated to the process with the highest priority (smallest integer = highest priority).
  - Preemptive
  - Nonpreemptive
- SJF is a priority scheduling where priority is the predicted next CPU burst time.
- Problem = Starvation – low priority processes may never execute (When MIT shut down in 1973 their IBM 7094 - the biggest computer - they found process with low priority waiting from 1967).
- Solution: Aging – as time progresses increase the priority of the process.
Round Robin (RR)

- Each process gets a small unit of CPU time (time quantum), usually 10-100 milliseconds. After this time has elapsed, the process is preempted and added to the end of the ready queue.

- If there are \( n \) processes in the ready queue and the time quantum is \( q \), then each process gets \( 1/n \) of the CPU time in chunks of at most \( q \) time units at once. No process waits more than \( (n-1)q \) time units.

- Performance

  - \( q \) large \( \Rightarrow \) FCFS
  - \( q \) small \( \Rightarrow \) \( q \) must be large with respect to context switch, otherwise overhead is too high
Round Robin (RR)

- Each process gets a small unit of CPU time (time quantum), usually 10-100 milliseconds. After this time has elapsed, the process is preempted and added to the end of the ready queue.

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- Performance
  - $q$ large $\Rightarrow$ FCFS
  - $q$ small $\Rightarrow$ $q$ must be large with respect to context switch, otherwise overhead is too high
Example of RR with Time Quantum = 20

<table>
<thead>
<tr>
<th>Process</th>
<th>Burst Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>$P_1$</td>
<td>53</td>
</tr>
<tr>
<td>$P_2$</td>
<td>17</td>
</tr>
<tr>
<td>$P_3$</td>
<td>68</td>
</tr>
<tr>
<td>$P_4$</td>
<td>24</td>
</tr>
</tbody>
</table>

The Gantt chart is:

```
  P1  P2  P3  P4  P1  P3  P4  P1  P3  P3
0    20  37  57  77  97 117 121 134 154 162
```

Typically, higher average turnaround than SJF, but better *response*
Multilevel Queue

- Ready queue is partitioned into separate queues: foreground (interactive) background (batch)
- Each queue has its own scheduling algorithm
  - foreground – RR
  - background – FCFS
- Scheduling must be done between the queues
  - Fixed priority scheduling; (i.e., serve all from foreground then from background). Danger of starvation.
  - Time slice – each queue gets a certain amount of CPU time which it can schedule amongst its processes; i.e., 80% to foreground in RR
  - 20% to background in FCFS
Multilevel Queue Scheduling

highest priority

system processes

interactive processes

interactive editing processes

batch processes

student processes

lowest priority
Multilevel Feedback Queue

- A process can move between the various queues; aging can be treated this way

- Multilevel-feedback-queue scheduler defined by the following parameters:
  - number of queues
  - scheduling algorithms for each queue
  - method used to determine when to upgrade a process
  - method used to determine when to demote a process
  - method used to determine which queue a process will enter when that process needs service
Example of Multilevel Feedback Queue

- Three queues:
  - $Q_0$ – RR with time quantum 8 milliseconds
  - $Q_1$ – RR time quantum 16 milliseconds
  - $Q_2$ – FCFS

- Scheduling
  - A new job enters queue $Q_0$. When it gains CPU, job receives 8 milliseconds. If it exhausts 8 milliseconds, job is moved to queue $Q_1$.
  - At $Q_1$, the job receives 16 additional milliseconds. If it still does not complete, it is preempted and moved to queue $Q_2$. 
Multiple-Processor Scheduling

- CPU scheduling more complex when multiple CPUs are available
  - Multiple-Processor Scheduling has to decide not only which process to execute but also where (i.e. on which CPU) to execute it

- Homogeneous processors within a multiprocessor

- Asymmetric multiprocessing – only one processor accesses the system data structures, alleviating the need for data sharing

- Symmetric multiprocessing (SMP) – each processor is self-scheduling, all processes in common ready queue, or each has its own private queue of ready processes

- Processor affinity – process has affinity for the processor on which it has been recently running
  - Reason: Some data might be still in cache
  - Soft affinity is usually used – the process can migrate among CPUs
Windows XP Priorities

Priority classes (assigned to each process)

<table>
<thead>
<tr>
<th>Class</th>
<th>real-time</th>
<th>high</th>
<th>above normal</th>
<th>normal</th>
<th>below normal</th>
<th>idle priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>time-critical</td>
<td>31</td>
<td>15</td>
<td>15</td>
<td>15</td>
<td>15</td>
<td>15</td>
</tr>
<tr>
<td>highest</td>
<td>26</td>
<td>15</td>
<td>12</td>
<td>10</td>
<td>8</td>
<td>6</td>
</tr>
<tr>
<td>above normal</td>
<td>25</td>
<td>14</td>
<td>11</td>
<td>9</td>
<td>7</td>
<td>5</td>
</tr>
<tr>
<td>normal</td>
<td>24</td>
<td>13</td>
<td>10</td>
<td>8</td>
<td>6</td>
<td>4</td>
</tr>
<tr>
<td>below normal</td>
<td>23</td>
<td>12</td>
<td>9</td>
<td>7</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>lowest</td>
<td>22</td>
<td>11</td>
<td>8</td>
<td>6</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>idle</td>
<td>16</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

- Relative priority “normal” is a base priority for each class – starting priority of the thread
- When the thread exhausts its quantum, the priority is lowered
- When the thread comes from a wait-state, the priority is increased depending on the reason for waiting
  - A thread released from waiting for keyboard gets more boost than a thread having been waiting for disk I/O
Linux Scheduling

- Two algorithms: time-sharing and real-time

- Time-sharing
  - Prioritized credit-based – process with most credits is scheduled next
  - Credit subtracted when timer interrupt occurs
  - When credit = 0, another process chosen
  - When all processes have credit = 0, recrating occurs
    - Based on factors including priority and history

- Real-time
  - Soft real-time
  - POSIX.1b compliant – two classes
    - FCFS and RR
    - Highest priority process always runs first
Real-Time Systems

- A **real-time system** requires that results be not only correct but **in time**
  - produced within a specified deadline period
- An **embedded system** is a computing device that is part of a larger system
  - automobile, airliner, dishwasher, ...
- A **safety-critical system** is a real-time system with catastrophic results in case of failure
  - e.g., airplanes, racket, railway traffic control system
- A hard real-time system **guarantees** that real-time tasks be completed within their required deadlines
  - mainly single-purpose systems
- A **soft real-time system** provides priority of real-time tasks over non real-time tasks
  - a “standard” computing system with a real-time part that takes precedence
Real-Time CPU Scheduling

- Periodic processes require the CPU at specified intervals (periods)
- $p$ is the duration of the period
- $d$ is the deadline by when the process must be serviced (must finish within $d$) – often equal to $p$
- $t$ is the processing time
### Scheduling of two and more tasks

Can be scheduled if

\[
r = \sum_{i=1}^{N} \frac{t_i}{p_i} \leq 1 \quad (N = \text{number of processes})
\]

\(r\) – CPU utilization

Process P\(_1\): service time = 20, period = 50, deadline = 50

Process P\(_2\): service time = 35, period = 100, deadline = 100

\[
r = \frac{20}{50} + \frac{35}{100} = 0.75 < 1 \Rightarrow \text{schedulable}
\]

When P\(_2\) has a higher priority than P\(_1\), a failure occurs:

<table>
<thead>
<tr>
<th>Deadlines</th>
<th>P(_1)</th>
<th>P(_1), P(_2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10-20</td>
<td>P(_2)</td>
<td></td>
</tr>
<tr>
<td>20-50</td>
<td></td>
<td></td>
</tr>
<tr>
<td>50-60</td>
<td>P(_1)</td>
<td></td>
</tr>
<tr>
<td>60-120</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

![Diagram illustrating scheduling](image-url)
Rate Monotonic Scheduling (RMS)

- A process priority is assigned based on the inverse of its period
- Shorter periods = higher priority;
- Longer periods = lower priority

- $P_1$ is assigned a higher priority than $P_2$.

Process $P_1$: service time = 20, period = 50, deadline = 50
Process $P_2$: service time = 35, period = 100, deadline = 100

works well
Missed Deadlines with RMS

Process $P_1$: service time = 25, period = 50, deadline = 50
Process $P_2$: service time = 35, period = 80, deadline = 80

$$r = \frac{25}{50} + \frac{35}{80} = 0.9375 < 1 \Rightarrow \text{schedulable}$$

RMS is guaranteed to work if

$$r = \sum_{i=1}^{N} \frac{t_i}{p_i} \leq N \left( \frac{N}{\sqrt{2}} - 1 \right) ;$$

$N = \text{number of processes}$

$$\lim_{N \to \infty} N \left( \frac{N}{\sqrt{2}} - 1 \right) = \ln 2 \approx 0.693147$$

<table>
<thead>
<tr>
<th>$N$</th>
<th>$N \left( \frac{N}{\sqrt{2}} - 1 \right)$</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>0.828427</td>
</tr>
<tr>
<td>3</td>
<td>0.779763</td>
</tr>
<tr>
<td>4</td>
<td>0.756828</td>
</tr>
<tr>
<td>5</td>
<td>0.743491</td>
</tr>
<tr>
<td>10</td>
<td>0.717734</td>
</tr>
<tr>
<td>20</td>
<td>0.705298</td>
</tr>
</tbody>
</table>
Earliest Deadline First (EDF) Scheduling

- Priorities are assigned according to deadlines: the earlier the deadline, the higher the priority; the later the deadline, the lower the priority.

### Diagram

**Deadlines**

<table>
<thead>
<tr>
<th></th>
<th>P_1</th>
<th>P_2</th>
<th>P_1</th>
<th>P_2</th>
<th>P_1</th>
<th>P_2</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>P_1</td>
<td>P_2</td>
<td>P_1</td>
<td>P_2</td>
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Process P_1: service time = 25, period = 50, deadline = 50
Process P_2: service time = 35, period = 80, deadline = 80

Works well even for the case when RMS failed
PREEMPTION may occur
RMS and EDF Comparison

- **RMS:**
  - Deeply elaborated algorithm
  - Deadline guaranteed if the condition $r \leq N\left(\frac{\sqrt{2}}{2} - 1\right)$ is satisfied (sufficient condition)
  - Used in many RT OS

- **EDF:**
  - Periodic processes deadlines kept even at 100% CPU load
  - Consequences of the overload are unknown and unpredictable
  - When the deadlines and periods are not equal, the behaviour is unknown
End of Lecture 4