Prepartition: Load Balancing Approach for Virtual Machine Reservations in a Cloud Data Center

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Abstract Load balancing is vital for the efficient and long-term operation of cloud data centers. With virtualization, post (reactive) migration of virtual machines (VMs) after allocation is the traditional way for load balancing and consolidation. However, it is not easy for reactive migration to obtain predefined load balance objectives and it may interrupt services and bring instability. Therefore, we provide a new approach, called Prepartition, for load balancing. It partitions a VM request into a few sub-requests sequentially with start time, end time and capacity demands, and treats each sub-request as a regular VM request. In this way, it can proactively set a bound for each VM request on each physical machine and makes the scheduler get ready before VM migration to obtain the predefined load balancing goal, which supports the resource allocation in a fine-grained manner. Simulations with real-world trace and synthetic data show that our proposed approach with offline version (PrepartitionOff) scheduling has 10%–20% better performance than the existing load balancing baselines under several metrics, including average utilization, imbalance degree, makespan and Capacity_makespan. We also extend Prepartition to online load balancing. Evaluation results show that our proposed approach also outperforms state-of-the-art online algorithms.

Keywords cloud computing, physical machine (PM), virtual machine (VM), reservation, load balancing, Prepartition

1 Introduction

Cloud data centers have become the foundation for modern IT services, ranging from general-purpose web services to many critical applications, such as online banking and health systems. The service operator of a cloud data center always faces with a difficult trade-off between high performance and low operational cost1, 2. On the one hand, to maintain high-quality services, a data center is usually over-engineered to be capable of handling peak workload. Such up-bound configuration can bring high expense on

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maintenance and energy as well as low utilization to data centers\(^3\). On the other hand, to reduce cost, the data center needs to increase server utilization and shut down idle servers\(^4\). The key tuning knob in making the above trade-off is data center load balancing.

Due to the importance of data center load balancing, tremendous research and development have been devoted to this domain in the past decades\(^5\). Yet, load balancing for cloud data centers is still one of the prominent challenges that need more attention. The difficulty is compounded by several issues such as virtual machine (VM) migration, service availability, algorithm complexity, and resource utilization. The complexity in cloud data center load balancing has fostered a new industry dedicating to offer load balance services\(^6\).

Ignoring the subtle differences in detailed implementation of load balancing, let us first have a high-level view of how cloud data centers perform resource scheduling and load balancing. The process is illustrated in Fig. 1, which includes the following main steps.

1) **Initializing Requests.** A user submits a VM request through a provider’s web portal.

2) **Matching Suitable Resources.** Based on the user’s features (such as geographic location, VM quantity and quality requirements), the scheduling center sends the VM request to an appropriate data center, in which the management program submits the request to a scheduling domain. In the scheduling domain, a scheduling algorithm is performed and resources are allocated to the request.

3) **Sending Feedback (e.g., Whether or Not the Request Has Been Satisfied) to Users.**

4) **Scheduling Tasks.** This step determines when a VM should run on which physical machine (PM).

5) **Optimization.** The scheduling center executes optimization in the back-end and makes decisions (e.g., VM migration) for load balancing.

In the above process, most existing work on load balancing is reactive, i.e., performing load balancing with VM migration when unbalancing or other exceptional things happen after VM deployment. Reactive migration of VMs is one of the practical methods for load balancing and traffic consolidation such as in VMWare. Nevertheless, it is well known that reactive VM migration is not easy to obtain predefined load balance objectives and may interrupt services and bring instability\(^5\). Our observation is that if load balancing is considered as one of the key criteria before VM allocation, we should not only reduce the frequency of (post) VM migration (thus less service interruption), but also reach a better balanced VM allocation among different physical machines (PMs).

Motivated by the above observation, we propose a new load balancing approach called Prepartition. By combining interval scheduling and lifecycles characteristics of both VMs and PMs, Prepartition handles load balancing from a different angle. Starkly different from previous approaches like in \(7\) and \(8\), it handles the VM load balancing in a more proactive way.

Fig. 2 shows the illustrative example based on the above observation and motivation. At the requests submission stage, the users firstly submit their reserved VM requests, including the capacity and duration information. Based on the information, then the service provider can generate the original VM request at the requests generation stage (e.g., VM1, VM2 and VM3). Our approach focuses on the prepartition stage where the original VM requests can be partitioned into sub-requests and allocated to PMs before the VM migration stage, for instance, VM1 is partitioned into VM1-1 and VM1-2, and allocated to PM1. And finally, to further optimize VM locations, VM migration can be further applied.

As the prepartition process happens before the final requests generation stage, and it does not need to execute the jobs, the costs are rather low compared with the overall job execution. The prepartition costs
will not be the bottleneck of the system if the algorithm complexity is low. The prepartition operations can be done on the master node with powerful capability in a short time (e.g., several seconds), which is much shorter compared with the execution time of jobs.

The novelty of Prepartition is that it proactively sets a process-time bound (as per Capacity makespan defined in Section 3) by pre-partitioning each VM request and therefore helps the scheduler get ready before the VM migration to achieve the predefined load balancing goal. Pre-partitioning here means that a VM request may be partitioned into a few sub-requests sequentially with start time, end time and capacity demands, where the scheduler treats each sub-request as a regular VM request and may allocate the sub-requests to different PMs. In this way, the scheduler can prepare in advance, without waiting for the VM migration signals as in traditional VM allocation/migration schemes. In addition, the resources can be allocated at the fine granularity and the migration costs can be reduced.

To the best of our knowledge, we are the first to introduce the concept of pre-partitioning VM requests to achieve better load balancing performance in cloud data centers. This paper has the following key contributions:

- proposing a modeling approach to schedule VM reservation with sharing capacity by combining interval scheduling and lifecycles characteristics of both VMs and PMs;
- designing novel prepartition-based algorithms for both offline and online scheduling which can prepare migration in advance and set process time bound for each VM on a PM; thus the resource allocation can be made in a more fine-grained manner;
- deriving computational complexity and quality analysis for both offline and online prepartition-based approaches;
- carrying out performance evaluation in terms of average utilization, imbalance degree, makespan, time costs as well as Capacity makespan (a metric to represent loads, whose details will be given in Section 3) by simulating different algorithms with trace-driven and synthetic data.

The organization of the remaining paper is as follows. Section 2 presents related work on load balancing in cloud data centers, and Section 3 introduces problem formulation. Section 4 presents the prepartition-based approach in detail for both offline and online algorithms. Performance evaluations are demonstrated in Section 5. Finally, conclusions and future work are given in Section 6.

2 Related Work

As introduced in several popular surveys, resource scheduling and load balancing in cloud computing have been widely studied. Xu et al. had a survey for the state-of-the-art VM placement algorithms. Ghomi et al. have recently made a comprehensive survey on load balancing algorithms in cloud computing. A taxonomic survey related to load balancing in cloud is studied by Thakur and Goraya. Noshy et al. reviewed the latest optimization technology dedicated to developing live VM migration. They also emphasized a further investigation, which aims to optimize the VMs migration process. [12] dis-

\footnote{Note that in practice we need to copy data and running state information from a VM (corresponding to a sub-request) to another VM (corresponding to the next sub-request), i.e., the operations for VM migration. But since the scheduler knows the information of all sub-requests, it can prepare early so that the VM state/data transition can be finished smoothly. The implementation detail is beyond the focus of this paper.}
discusses the issues and challenges associated with existing load balancing techniques. In general, approaches for VM load balancing can be categorized into two categories: online and offline. The online ones assume that only the current requests and PMs status are known, while the offline ones assume all the information is known in advance.

**Online Approach for VM Loading Balancing.** Song et al.\(^8\) proposed a VM migration method to dynamically balance VM loads for high-level application federations. Thiruvenkadam and Kamalakkannan\(^{13}\) showed a hybrid genetic VMs balancing algorithm, which aims to minimize the times of migration. Cho et al.\(^{14}\) tried to maximize the balance of loads in cloud computing by combining ant colony with particle swarm optimization. Xu et al.\(^{15}\) proposed iAware, which is a lightweight interference model for VM migration. iAware can capture the relationship between VM performance interference and the important factors. Zhou et al.\(^{16}\) presented a carbon-aware online approach based on Lyapunov optimization to achieve geographical load balancing. Mathematical analysis and experiments based on realistic traces have validated the effectiveness of the proposed approach. Liu et al.\(^{17}\) proposed a framework to characterize and optimize the trade-offs between power and performance in cloud platforms, which can improve operating profits while reducing energy consumption.

**Offline Approach for VM Load Balancing.** Tian et al.\(^{18}\) presented an offline algorithm on VM allocation within the reservation mode, in which VM information is known before placement. Derived from the ant colony optimization, Wen et al.\(^{19}\) proposed a distributed VM load balancing strategy with the goals of utilizing resources in a balanced manager and minimizing the times of migration. By estimating resource usage, Chhabra and Singh\(^{20}\) developed a VMs placement method for loading balancing according to maximum likelihood estimation for parallel and distributed applications. Bala and Chana\(^{21}\) presented an approach to improving proactive load balancing by predicting multiple resource types in the cloud. Ebadfard and Babamir\(^{22}\) developed a task scheduling approach derived from a particle swarm optimization algorithm and the tasks are independent and non-preemptive. Ray et al.\(^{23}\) presented a genetic-based load balancing approach to distribute VM requests uniformly among the PMs. Deng et al.\(^{24}\) introduced a server consolidation approach to achieve energy efficient server consolidation in a reliable and profitable manner.

Different from all the above approaches, 1) we investigate the reservation model where makespan and VM capacity are considered together for optimization instead of considering them separately; 2) our approach can be applied to both online and offline scenarios rather than a single scenario; 3) we also perform theoretical analysis for the proposed approach; 4) we evaluate comprehensive performance in terms of metrics. A qualitative comparison between our approach and others is listed in Table 1.

| Approach | Algorithm Type | VM Type | Resource Type | Theoretical Analysis | Metric |
|----------|----------------|---------|---------------|----------------------|--------|
| Song et al.\(^8\) | Online | Homogeneous | Single | No | Utilization |
| Thiruvenkadam and Kamalakkannan\(^{13}\) | Online | Heterogeneous | Multiple | Yes | Utilization, service level agreement violations |
| Cho et al.\(^{14}\) | Offline | Heterogeneous | Multiple | No | Utilization |
| Xu et al.\(^{15}\) | Online | Heterogeneous | Multiple | No | Utilization, total cost |
| Zhou et al.\(^{16}\) | Online | Heterogeneous | Single | Yes | Service level agreement violations |
| Liu et al.\(^{17}\) | Online | Heterogeneous | Single | Yes | Total cost |
| Tian et al.\(^{18}\) | Offline | Heterogeneous | Multiple | Yes | Imbalance degree, makespan |
| Wen et al.\(^{19}\) | Offline | Heterogeneous | Multiple | No | Service level agreement violations |
| Chhabra and Singh\(^{20}\) | Online | Heterogeneous | Single | No | Utilization, imbalance degree |
| Bala and Chana\(^{21}\) | Offline | Heterogeneous | Multiple | No | Utilization, imbalance degree, service level agreement violations |
| Ebadfard and Babamir\(^{22}\) | Offline | Homogeneous | Multiple | Yes | Utilization, makespan |
| Ray et al.\(^{23}\) | Offline | Heterogeneous | Multiple | No | Imbalance degree |
| Deng et al.\(^{24}\) | Offline | Homogeneous | Multiple | No | Total cost, service level agreement violations |
| Our approach (Prepartition) | Online, offline | Heterogeneous | Multiple | Yes | Utilization, imbalance degree, makespan, total cost, Capacity makespan |

Table 1. Comparison of Closely Related Work
3 Problem Description and Formulation

VMs reservation is considered as that users submit their VM requests by specifying required capacity and duration. The VM allocations are modeled as a fixed processing time problem based on a modified interval scheduling problem (MISP). Details on traditional interval scheduling problems with fixed processing time are introduced in [25]. In the following, a general formulation of the MISP is introduced and evaluated against some known algorithms. The key symbols used throughout this work are summarized in Table 2.

| Table 2. Key Notations in This Paper |
|--------------------------------------|
| T                                    | Whole observation time period |
| sl₀                                  | Length of each time slot |
| n                                    | Maximum number of requests |
| si                                   | Start time of request i |
| fi                                   | Finishing time of request i |
| A(i)                                 | Set of VMs requests scheduled to PM i |
| d_j                                 | Capacity demand of VM j |
| CMI_j                               | Capacity makespan of VM request j |
| CM_i                                | Capacity makespan of PM i |
| PCPU_i                              | CPU capacity of PM i |
| PMem_i                              | Memory capacity of PM i |
| PStoi                               | Storage capacity of PM i |
| VCPU_j                              | CPU demand of VM j |
| VMem_j                              | Memory demand of VM j |
| VStoi                               | Storage demand of VM j |
| Tstart                               | Start time of VM request j |
| Tend                               | Finishing time of VM request j |
| Tr                                  | Time span between time slot t_{i-1} and t_i |
| CMp                                | Maximum Capacity makespan of all PMs |
| IMD                                 | Imbalance degree |
| k                                   | Partition value |
| P0                                  | Lower bound of the optimal solution OPT |
| B_d                                 | Dynamic balance value based on Capacity makespan |
| L                                   | Amount of VM requests that have already arrived |
| m                                   | Number of PMs in use |
| I                                    | Set of VM requests |
| CM_b                                | Predefined Capacity makespan threshold for partition |
| f                                    | Constant value to avoid too frequent partitions |

3.1 Assumptions

The key assumptions are as follows.

1) The time is given in a discrete fashion; all data is given deterministically. The whole time period [0, T] is partitioned into equal-length (sl₀), and the total number of slots is then t=T/sl₀. The start time s_i and the end time f_i are the multiples of the minimum slot. Then the interval of demand can be expressed in a slot fashion with (start time, end time). For instance, if sl₀ = 10 min, an interval [5, 12] represents that the task starts at the 5th time slot and finishes at the 12th time slot. The duration of this demand is (12 - 5) × 10 = 70 min.

2) For all VM requests generated by users, they have the start time and the end time to represent their life-cycles, and the capacity to show the required amount of resources.

3) The capacity of a single PM is normalized to be 1 and the required capacity of a VM can be 1/8, 1/4, 1/2 or other portions of the total capacity of a PM. This is consistent with applications in Amazon EC2[26] and [27].

3.2 Key Definitions

A few key definitions are given here.

Definition 1 (Traditional Interval Scheduling Problem (TISP) with Fixed Processing Time). In a batch of demands \{1, 2, ..., n\}, the i-th demand refers to an interval of time starting at s_i and ending at f_i, (\forall i, s_i < f_i). Besides each demand requires a capacity of 100\%, i.e., utilizing the full capacity of a server during the interval.

Definition 2 (Interval Scheduling with Capacity Sharing, ISWCS). Different from TISP, ISWCS can share the capacities among demands if the sum of all demands scheduled on the single server at any time is still not fully utilized.

Definition 3 (Compatible Sharing Intervals for ISWCS, CSI-ISWCS). A batch of intervals with requested capacities below the whole capacity of a PM during the intervals can be compatibly scheduled on a PM. Compared against ISWCS, the requests in CSI-ISWCS can be modelled as the ones with lifecycles, which can be represented as sharing the subset of intervals.

In the existing literature[18], makespan, i.e., the maximum total load (processing time) on any machine, is applied to measure load balancing.

In this paper, we aim to solve the problem based on the ISWCS manner and apply a new metric Capacity makespan.

Definition 4 (Capacity makespan of PM). In the schedule of VM requests to PMs, A(i) is denoted as the set of VM requests scheduled to PM. With this scheduling, PM_i will have load as the sum of the prod-
uct of each requested capacity and its duration, called Capacity makespan (CM), as shown in (1):
\[
CM_i = \sum_{j \in A(i)} d_j t_j, \quad (1)
\]
where \( d_j \) is the capacity demand (some portion of total capacity) of VM\(_j\) from a PM where the capacity can be CPU or memory or storage in this paper. \( d_j \) can also be simplified as a capacity based on assumption 3, and \( t_j \) represents the span of demand \( j \), being the length of processing time of the demand \( j \).

Similarly, the Capacity makespan of a given VM request is simply the product of the requested capacity and its duration.

3.3 Optimization Objective

Then, the objective of load balancing is to minimize the maximum load (Capacity makespan) on all PMs as noted in (2). Considering that \( m \) PMs are in the data center, we can formulate the problem as:
\[
\min \left( \max_{1 \leq i \leq m} (CM_i) \right), \quad (2)
\]
subject to \( \forall \) slot \( s \), \( \sum_{j \in A(i)} d_j \leq 1 \), \( (3) \)
where (3) shows the sharing capacity constraint that in any time interval, the shared resources should not use up all the provisioned resources (100%).

From (1) and (2), we see that lifecycle and capacity sharing are key metrics different from traditional ones like makespan which focuses on the process time. Traditionally Longest Process Time first (LPT)\(^{(28)}\) is widely adopted in offline multi-processor load balancing. Reactive migration of VMs is another way to compensate after allocation.

3.4 Metrics for ISWCS Load Balancing

The key metrics based on \([29]\) for ISWCS load balancing are given in the following.

1) PM resources: PM\(_i(i, PCPU_i, PMem_i, PSto_i)\), where PCPU\(_i\), PMem\(_i\), and PSto\(_i\) are the CPU, memory, and storage capacity that a PM can offer respectively.

2) VM resources: VM\(_j(j, VCPU_j, VMem_j, VSto_j, T_j^{\text{start}}, T_j^{\text{end}})\), where VCPU\(_j\), VMem\(_j\), and VSto\(_j\) are the CPU, memory, and storage demand of VM\(_j\) respectively, and \( T_j^{\text{start}}, T_j^{\text{end}} \) are the start time and the end time respectively.

3) Discrete time: a time span can be partitioned into equal length of slots. The slots with size \( s \) can be considered as \( [(t_0, t_1), (t_1, t_2), \ldots, (t_{s-1}, t_s)] \), and each time slot \( T_r \) represents the time span \( (t_{r-1}, t_r) \).

4) Average CPU utilization of PM\(_i\) during slot 0 and \( T_r \): it is defined in (4):
\[
PCPU_i^U = \frac{\sum_{r=0}^{s} (PCPU_i^{Tr} \times T_r)}{\sum_{r=0}^{s} T_r}, \quad (4)
\]
where \( PCPU_i^{Tr} \) is the average CPU utilization monitored and computed in slot \( T_r \) which may be a few minutes long, and it can be obtained by monitoring CPU utilization in slot \( T_r \). Average memory utilization (PMem\(_i^U\)) and storage utilization (PSto\(_i^U\)) of PMs can be calculated similarly. Similarly, the average CPU (memory and storage) utilization of a VM can be calculated.

5) Makespan: it represents the whole length of the scheduled VM reservations, i.e., the difference between the start time of the first request\(^{(2)}\) and the end time of the last request.

6) The maximum Capacity makespan (CM\(_m^U\)) of all PMs is calculated in (5) as below:
\[
CM_m^U = \max_i (CM_i), \quad (5)
\]
which we can apply CPU, memory and storage utilization to substitute CM\(_i\) too.

7) Imbalance degree (IMD): it is a metric that measures how far a set of values are spread out from each other in statistics. Imbalance degree is the normalized variance (regarding its average) of CPU, memory and storage utilization for all PMs. It measures load imbalance effect and is defined as shown in (6):
\[
IMD = \left( \frac{1}{m} \sum_{i=0}^{m} \left( \frac{(Avg_i - CPU_i^U)^2}{3} + \frac{(Avg_i - Mem_i^U)^2}{3} \right) \right) / m, \quad (6)
\]
where \( Avg_i \) is defined in (7) as:
\[
Avg_i = \frac{PCPU_i^U + PMem_i^U + PSto_i^U}{3}, \quad (7)
\]
and CPU\(_i^U\), Mem\(_i^U\), Sto\(_i^U\) are the average utilization of CPU, memory and storage in a cloud data center re-

\(^{(2)}\)In this paper, we interchange demands and requests, both of which are referred to as VM requests.
respectively and can be computed using utilization of all PMs in a cloud data center.

**Theorem 1.** Minimizing the makespan in the offline scheduling problem is NP-hard\[29\].

The proof was provided in our previous work\[29\] and we omit it here. Our approach in this paper differs from \[29\] in several perspectives: 1) we consider that the multiple VM requests are allowed to be executed on the same host simultaneously rather than a single VM request in \[29\]; 2) our objective is minimizing the Capacity makespan rather than the longest processing time; 3) we extend \[29\] to be suitable for both the offline and online scenarios rather than for only the online one.

Combining the properties of both fixed process time intervals and capacity sharing, we present new offline and online algorithms in Section 4.

### 4 Prepartition Algorithms

In the following, we introduce one algorithm for the offline scenario and two algorithms for the online scenario. These algorithms can handle both the offline and online requests, and achieve good performance in load balancing.

#### 4.1 Algorithm PrepartitionOff

First, we introduce the PrepartitionOff algorithm that aims to partition the VM requests under the situation that the information of all VM requests is known in advance. The processed order of VM requests and the prepartition operations can be managed by the algorithm.

Considering a set of VM reservations, there are \( m \) PMs in a data center and we denote \( OPT \) as the optimal solution with regard to minimizing Capacity makespan. Firstly we define

\[
P_0 = \frac{1}{m} \sum_{j=1}^{J} CM_j < OPT,
\]

where \( J \) denotes the total number of allocated VMs, and \( P_0 \) denotes the lower bound for \( OPT \) as shown in (8).

Algorithm 1 gives the pseudocodes of the PrepartitionOff algorithm which measures the ideal load balancing among \( m \) PMs. The algorithm firstly calculates the balancing value by (8), sets a partition value \( (k) \) and computes the length of each partition, i.e., \( \lceil P_0/k \rceil \), representing the maximum VM's CM that can be allocated on a PM (line 1). For every demand, PrepartitionOff divides it into multiple \( \lceil P_0/k \rceil \) subintervals when its CM is equal to or larger than \( P_0 \), and each subinterval is treated as a new request (lines 2–4). Then the algorithm sorts the newly generated requests in decreasing order based on the CM for further scheduling (line 5). After sorting of requests, the algorithm will pick up the VM with the earliest start time, and allocate the VM to the PM with the lowest average CM and enough available resources (lines 6–8), thus achieving the load balancing objective. The CM of PM will also be updated accordingly (line 9). Finally, the algorithm calculates the CM of each PM when all requests are assigned and finds the total partition number (line 10). In practice, the scheduler records all possible subintervals and their hosting PMs so that the migration of VMs can be prepared beforehand to alleviate overheads.

#### Algorithm 1. PrepartitionOff

- **Input:** \( m \): the total number of PMs; \( n \): the total number of VM requests; \( CM_j \): the CM of request \( j \); \( CM_i \): the CM of PM \( i \);
- **Output:** assign PM IDs to all requests and their partitions

1. **Initialization:** computing the bound value \( P_0 \) and partition value \( k \) (e.g., 1, 2,...);
2. **forall** \( i \) from 1 to \( m \) do
3.   **if** \( CM_i \geq P_0 \) **then**
4.     **Divide it by \( \lceil P_0/k \rceil \) subintervals equally and treat each subinterval as a new request**
5. **All intervals are sorted in decreasing order of CM, and ties are broken arbitrarily;**
6. **forall** \( j \) from 1 to \( n \) do
7.     **Pick up the VM with the earliest start time in the VM queue for execution;**
8.     **Allocate \( j \) to the PM with the smallest load and enough capacity;**
9.     **Update load (CM) of the PM;**
10. **Calculate CM of every PM and find the total number of partitions**

#### Theorem 2. Applying the priority queue data structure, the PrepartitionOff algorithm has a computational complexity of \( O(n\log m) \), where \( n \) is the number of VM requests after pre-partition and \( m \) is the total number of PMs used.

**Proof.** The priority queue is adopted so that each PM has a priority value (average Capacity makespan), and each time when the algorithm chooses an item from it, the algorithm selects the one with the highest priority. It costs \( O(n) \) time to sort \( n \) elements, and \( O(\log n) \) steps for insertion and the extraction of minima in a priority queue\[25\]. Then, by adopting a priority queue, the algorithm picks a PM with the lowest average Capacity makespan in \( O(\log m) \) time. In total, the time complexity of the PrepartitionOff algorithm is \( O(n\log m) \) for \( n \) demands.

#### Theorem 3. The PrepartitionOff algorithm has the
approximation ratio of $1 + \epsilon$ regarding the Capacity makespan where $\epsilon=1/k$ and $k$ is the partition value (a preset constant).

Proof. It can be seen that every demand has bounded Capacity makespan by Prepartion applying the lower bound $F_0$. Every request has start time $s_i$, end time $e_i$, and process time $p_i = e_i - s_i$. The start time of the last completion job (later than all the other jobs) is $T_0$. We also assume that all the other servers are allocated with VM requests and denote the maximum Capacity makespan as $CM_m$, that is, $CM_m \leq OPT$. Since, for all requests $i \in J$, we have $CM_i \leq \epsilon OPT$ (by the setting of the PrepartionOff algorithm in (9)), this job finishes with load $(CM_m + \epsilon OPT)$. Therefore, the schedule with Capacity makespan $CM_m + \epsilon OPT \leq (1 + \epsilon)OPT$.

4.2 Algorithm PrepartionOn1

Apart from the offline scenario, the online scenario is also quite common in a realistic environment. For online VM allocations, scheduling decisions must be made without complete information about the entire job instances because jobs arrive one by one. We firstly extend the PrepartionOff algorithm to the online scenario as the PrepartionOn1 algorithm, which can only have the information of VM requests when the requests come into the system.

Given $m$ PMs and $L$ VMs (including the one that just came) in a data center, we can have the dynamic balance value as shown in (9):

$$B_d = \min \left( \max_{i \in I} \frac{CM_i}{2}, \sum_{j=1}^{L} \frac{CM_j}{m} \right), \quad (9)$$

where $B_d$ is one half of the maximum Capacity makespan of all current PMs or the ideal load balance value of all current PMs in the system, and $L$ is the number of VMs requests that have already arrived. Notice that the reason to set $B_d$ as one half of the maximum Capacity makespan of all current PMs is to avoid the extra management costs caused by a large number of partitions.

Algorithm 2 shows the pseudocodes of the PrepartionOn1 algorithm. Since in an online scenario, the requests come one by one, the system can only capture the information of arrived requests. The algorithm firstly predefines the prepartition value of $k$ and the total partition number $P$ as 0 (line 1). When a new request comes into the system, the algorithm picks up the VM with the earliest start time in the queue for scheduling and computes dynamic balance value ($B_d$) by (9) (lines 2 and 3). After $B_d$ is computed, if the Capacity makespan of the VM request is too large (larger than $[(B_d/k)]$), then the initial request is partitioned into several requests (segments) based on the partition value $k$. In these partitioned requests, if some requests are still with large Capacity makespan, they would be put back into the queue waiting to be executed, and follow the same partition and allocation process (lines 4 and 5). The VM requests with small Capacity makespan after partition would be executed when their start time begins, and will be assigned to the PM that has the minimum value of Capacity makespan (lines 6–8). After all demands are allocated, the PrepartionOn1 algorithm calculates the Capacity makespan value of all the PMs and outputs all the partition values for $n$ demands (line 9). Since the numbers of partitions and segments of each VM request are known at the moment of allocation, the system can prepare VM migration in advance so that the processing time and instability of migration can be reduced.

### Algorithm 2. PrepartionOn1

| Input: | \(m\): the total number of PMs; \(n\): the total number of VM requests; \(CM_j\): the CM of request \(j\); \(CM_i\): the CM of PM \(i\) |
|--------|--------------------------------------------------------------------------------------------------|
| Output: | assign PM IDs to all requests and their partitions |
| 1     | Set the partition value \(k\), total partition number \(P = 0\); |
| 2     | for each arrived job \(j\) do |
| 3     | Pick up the VM with the start time equal to the system time in the VM queue to schedule; compute \(CM_j\) of VM\(j\) and \(B_0\) using (9); |
| 4     | if \(CM_j > [(B_d/k)]\) then |
| 5     | Partition VM\(j\) into multiple \([(B_d/k)]\) equal subintervals, treat each subinterval as a new demand and add them into the VM queue, \(P = P + \lceil CM_j \rceil\); |
| 6     | else |
| 7     | Allocate \(j\) to PM with the minimum load and enough capacity; |
| 8     | Update load (CM) of the PM; |
| 9     | Output the total number of partitions \(P\). |

To analyze algorithm performance based on theoretical analysis, we conduct competitive ratio analysis that represents the performance ratio between an online algorithm and an optimal offline algorithm. An online algorithm is competitive if its competitive ratio is bounded.

**Theorem 4.** The PrepartionOn1 algorithm has a competitive ratio of \((1 + (1/k) - (1/mk))\) with regard to the Capacity makespan.

**Proof.** Without loss of generality, we label PMs in order of non-decreasing final loads (CM) in the PrepartionOn1 algorithm. \(OPT\) and \(PrepartionOn1(I)\) are denoted as the optimal load balance value of corresponding offline scheduling and
the load balance value of PrepartitionOn1 for a given set of jobs $I$, respectively. Then the load of $PM_m$ defines the Capacity\_makespan. Each of the $m - 1$ PMs processes a subset of the jobs and then experiences an (possibly none) idle period. All PMs together finish a total Capacity\_makespan $\sum_{i=1}^{n} CM_i$ during their busy periods. Let us consider the allocation of the last job $j$ to $PM_m$. By the scheduling rule of the PrepartitionOn1 algorithm, $PM_m$ has the minimum load at the time of allocation. Hence, any idle period on the first $m - 1$ PMs cannot be bigger than the Capacity\_makespan of the last job allocated on $PM_m$ and hence cannot exceed the maximum Capacity\_makespan divided by $k$ (partition value), i.e., $\max_{1 \leq i \leq n} CM_i/k$. Based on (10), we have

$$m \times \text{PrepartitionOn1}(I) \leq \sum_{i=1}^{n} CM_i + (m - 1) \frac{\max(CM_i)}{k},$$

which is equivalent to (11) as below:

$$\text{PrepartitionOn1}(I) \leq \sum_{i=1}^{n} \frac{CM_i}{m} + (m - 1) \frac{\max(CM_i)}{mk},$$

which is also equivalent to (12):

$$\text{PrepartitionOn1}(I) \leq \left( \text{OPT} + \left( \frac{1}{k} - \frac{1}{mk} \right) \text{OPT} \right).$$

Note that $\sum_{i=1}^{n} CM_i/m$ is the lower bound on $\text{OPT}(I)$ because the optimum Capacity\_makespan cannot be smaller than the average Capacity\_makespan on all PMs. Besides $\text{OPT}(I) \geq \max_{1 \leq i \leq n} CM_i$ since the largest job must be processed on a PM. We therefore have $\text{PrepartitionOn1}(I) \leq (1 + (1/k) - (1/mk))\text{OPT}$. □

**Theorem 5.** By using the priority queue, the computational complexity of the PrepartitionOn1 algorithm is $O(n \log m)$, where $n$ is the number of VM requests after the pre-partition operations and $m$ is the total number of used PMs.

**Proof.** It is similar to the proof for Theorem 2, and we omit it here. □

### 4.3 Algorithm PrepartitionOn2

Observing that the PrepartitionOn1 algorithm may bring too many partitions in some cases, we present the PrepartitionOn2 algorithm by introducing a parameter to control the number of partitions in a more flexible manner. The differences between the PrepartitionOn1 algorithm and the PrepartitionOn2 algorithm are the followings.

1) To avoid a large number of partitions, we bring a constant value $f$ (for instance 0.125, 0.25) for measuring load balancing.

2) Setting a CM bound for each PM, for instance, each PM has a CM as $1 \times 24$ in each day within 24 h, but we consider a PM can at most run with 100% CPU utilization in 16 hours, i.e., we set a CM bound for each PM for each day as $CM_b = 16$. If overloading happens to a PM according to predefined thresholds $1 + f$ and $CM_B$, then a new request should be partitioned into $x$ (the number of active PMs) subintervals equally and the scheduler allocates each subinterval to every PM.

The pseudocodes of the PrepartitionOn2 algorithm are shown in Algorithm 3. The algorithm firstly initializes the predefined Capacity\_makespan bound of PMs and the constant value $f$ as introduced above (line 1). For the arrived VMs, the algorithm picks up the VM with the earliest start time for execution, and calculates the Capacity\_makespan of both VMs and PMs (lines 2–4). The picked VM will be supposed to be allocated to the PM with the minimum Capacity\_makespan value, and the Capacity\_makespan of the PM and the PM with the minimum Capacity\_makespan are calculated with that supposition (lines 5–7). If the increased Capacity\_makespan of the PM is too large (line 8), the VM will be partitioned into the number of active PMs, and the partitioned VMs are allocated to PMs one by one (line 9). Otherwise, the VM can be allocated directly to the PM with the minimum loads (lines 10 and 11). Finally, the scheduling results and the number of partitions can be obtained (line 12).

**Theorem 6.** PrepartitionOn2 has a computational complexity of $O(n \log m)$ by applying a priority queue, where $n$ is the number of VM requests after the pre-partition operations and $m$ is the total number of used PMs.

**Proof.** It is also similar to the proof for Theorem 2, and we omit it here. □

**Theorem 7.** The competitive ratio of the PrepartitionOn2 algorithm is at most $1 + f$ and each PM has maximum CM as $CM_b$.

**Proof.** According to Algorithm 3, whenever a PM has CM larger than $CM_b$ or the competitive ratio of the algorithm is larger than $1 + f$, the allocating VMs...
will be pre-partitioned into multiple sub-instances and allocated. Therefore, the competitive ratio of the PrepartitionOn2 algorithm is at most $1 + f$. □

Table 3. Eight Types of VMs Derived from Amazon EC2

| VM Type (No.) | Computing Capacity (Cores) | Memory (GB) | Storage (GB) |
|---------------|---------------------------|-------------|--------------|
| 1-1(1)        | 1.0                       | 1.875       | 211.25       |
| 1-2(2)        | 4.0                       | 7.500       | 845.00       |
| 1-3(3)        | 8.0                       | 15.000      | 1 690.00     |
| 2-1(4)        | 6.5                       | 17.100      | 422.50       |
| 2-2(5)        | 13.0                      | 34.200      | 845.00       |
| 2-3(6)        | 26.0                      | 68.400      | 1 690.00     |
| 3-1(7)        | 5.0                       | 1.875       | 422.50       |
| 3-2(8)        | 20.0                      | 7.000       | 1 690.00     |

All simulations are conducted on a computer configured with an Intel i5 processor at 2.5 GHz and 4 GB memory. All VM requests are generated by following normal distribution. To compare the offline algorithms, Round-Robin (R-R) algorithm, LPT algorithm and post migration (PMG) algorithm are implemented.

1) R-R Algorithm. It is a load balancing scheduling algorithm by allocating the VM demands in turn to each PM that can offer demanded resources.

2) LPT Algorithm. LPT is one of the best practices for offline scheduling algorithms without migration, which has an approximation ratio of 4/3. All the VM demands are sorted by processing time in decreasing order firstly. Then demands are allocated to the PM with the minimum load in the sorted order. The minimum load indicates the minimum Capacity中药材 among all the PMs.

3) PMG Algorithm. The PMG algorithm comes from the VMware distributed resource scheduling (DRS) algorithm[31], which adopts migration to achieve load balancing regarding makespan. In the beginning, it allocates the demands in the same way as LPT does. Here we replace makespan by Capacity中药材. Then the algorithm calculates the average Capacity中药材 of all demands. In the PMG algorithm, the up-threshold and the low-threshold are configured to achieve the load balancing effects, which are configured based on the average Capacity中药材 and factor. In our experiments, we configure the factor as 0.1 (which can be configured dynamically to meet the demands), which represents that the up-threshold is 1.1 times of the average Capacity中药材 and the low-threshold is 0.9 times the average Capacity中药材. The algorithm also maintains a migration list containing the VMs on the PMs with higher Capacity中药材 values than the low-threshold. The VM migration is triggered to make the Capacity中药材 smaller than the low-threshold. Thereafter, the VMs in the migration list will be re-allocated to a PM with Capacity中药材 smaller than the up-threshold. Migrating VMs to a new PM is triggered if the operation would not lead the Capacity中药材 of the
PM to be higher than the up-threshold. To be noted, some VMs can be left in the list; thus finally the algorithm allocates the left VMs to the PMs with the minimum Capacity makespan in sequence to balance the loads.

VMs and PMs have the same configuration with Amazon EC2. The configurations are shown in Table 3 and Table 4, in which one unit (core) of computing capacity is equivalent to 1.0 GHz–1.2 GHz 2007 Xeon or 2007 Opteron processors[26].

Remarks. We adopt the typical recommended VM types suggested by Amazon EC2. Amazon EC2 has a variety of VM types, and it classifies them into general purpose, compute optimized (computational intensive VMs), memory optimized (memory-intensive VMs), and storage optimized (storage-intensive VMs). Although we adopt the Amazon EC2 classification, our approach can still be extended to other classifications.

5.1.1 Replay with ESL Data Trace

To reflect realistic data generation, we utilize the data derived from Hebrew University Experimental System Lab (ESL)[32] that has been widely used for realistic data. The data with monthly records collected by the Linux cluster has characteristics that can be fitted into our reservation model. In the log file, each line contains 18 elements where we only need parts of them, such as the requested ID, start time, duration and the number of processors (capacity demands) in our simulation. Because the time slot length mentioned previously is set to 5 min, the time units of the original data are converted from seconds to minutes.

Fig.3 shows the comparison of different algorithms in average utilization, imbalance degree, makespan and Capacity makespan. According to the results, we can observe that the PrepartitionOff algorithm can achieve better performance than the other algorithms in four aspects. For average utilization, the PrepartitionOff algorithm is 10%–20% higher than PMG, LPT, and R-R. The reason for different algorithms to have different average CPU utilization lies in that we consider heterogeneous PMs and different algorithms may use the different numbers of total PMs. For makespan and Capacity makespan, the PrepartitionOff algorithm is 10%–20% lower than PMG and LPI, and 30%–40% lower than R-R. And for imbalance degree, it is 30%–40% lower than LPT.

Observation 1. As shown in the above performance evaluations, PMG is one of the best heuristic approaches to balancing loads; however, it cannot assure a bounded or predefined target.

Observation 2. PMG does not obtain the same good performance as PrepartitionOff in terms of average utilization, makespan and Capacity makespan, no matter how many times of migration have been taken.

The main reason is that PrepartitionOff takes actions in a much more refined and desired scale by prepartition based on reservation data while PMG is just a best-effort trial by migration. In addition, PrepartitionOff is much more precise and desired with the aid of prepartition while PMG is just a trial to balance load as much as possible. To compare imbalance degree (IMD) change as time goes, we also conduct the tests about consecutive imbalance degree using 1 000 VMs and 2 000 VMs among four different offline algorithms as shown in Fig.4. In Fig.4(a) and Fig.4(b), the X-axis is for time and the Y-axis is for imbalance degree. We can see that PrepartitionOff (with $k = 8$) has the minimum makespan and minimum imbalance degree most of the time during tests, except for the initial period. Notice that the value of $k$ can be set differently. Here we just present the results for $k = 8$.

5.1.2 Results Comparison by Synthetic Data

We configure the time slot to be 5 minutes as mentioned before; therefore, an hour has 12 slots and a day has 288 slots. All requests are subject to normal distribution with mean $\mu$ as 864 (three days) and standard deviation $\delta$ as 288 (one day) respectively. After requests are generated in this way, we start the simulator to simulate the scheduling effects of different algorithms and the comparison results are collected. For data collection, first we set $k$ of the PrepartitionOff algorithm as 4 (we configure the value as 4 because in previous research[18], this value has been validated to be an effective value to improve performance). Besides the different types of VMs are with equal probabilities. We also vary the number of VMs from 100 to 200, 400 and 800 to analyze the trend. Each dataset is an average of 10 runs.

Fig.5 displays the comparison of different algorithms in average utilization, imbalance degree, makespan and Capacity makespan. From Figs.5(a)–5(d), we can know that for average utilization, the PrepartitionOff algorithm is 10%–20% higher than
Fig. 3. Comparison of offline algorithms with ESL trace. (a) Average utilization. (b) Imbalance degree with ESL trace. (c) Makespan with ESL trace. (d) Capacity makespan.

Fig. 4. Consecutive imbalance degree under different numbers of VMs of four different offline algorithms. (a) 1000 VMs. (b) 2000 VMs.
PMG and LPT, and 40%–50% higher than R-R. As for makespan and Capacity_makespan, the PrepartitionOff algorithm is 8%–13% lower than PMG and LPT, and 40%–50% lower than R-R. We also note that the PMG algorithm can improve the performance of the LPT algorithm as it configures the up-threshold and low-threshold based on the Capacity_makespan value. The LPT algorithm is better than the R-R algorithm. Similar results are observed for the comparison of makespan.

5.2 PrepartitionOn1 Algorithm Performance Evaluation

We demonstrate the simulation results of the PrepartitionOn1 algorithm and the other three algorithms in this subsection. All VM requests are generated by following the normal distribution, and the online algorithms including Random, R-R, and Online Resource Scheduling Algorithm (OLRSA)\textsuperscript{33} that has a good competitive ratio \(2 - (1/m)\), where \(m\) is the number of PMs) are compared with PrepartitionOn1. OLRSA calculates the Capacity_makespan of all the PMs and sorts PM by Capacity_makespan in descending order, which assigns the VM request to the PM with the minimum Capacity_makespan and required resources.

5.2.1 Replay with ESL Data Trace with PrepartitionOn1

The ESL dataset aforementioned is also used in the experiments. Fig.6 illustrates the comparisons of the average utilization, imbalance degree, makespan,
and Capacity_makespan. According to Figs.5(a)–5(d), we can see that the PrepartitionOn1 algorithm demonstrates the highest average utilization, the minimum imbalance degree, and the minimum makespan. As for Capacity_makespan, OLRSA shows much better performance compared with the Random algorithm and the R-R algorithm, and the PrepartitionOn1 algorithm still out performs 10%–15% in average utilization, 20%–30% in imbalance degree, and 5%–20% in makespan than OLRSA.

5.2.2 Results Comparison by Synthetic Data with PrepartitionOn1

The requests are configured as the same as in Subsection 5.1 based on the normal distribution. We set that VMs with different types have equal probabilities, and we modify the requests generation approach to produce different sizes of requests to trace the tendency. From Fig.7, we can see that the PrepartitionOn1 algorithm has better performance in average utilization, imbalance degree, makespan, and Capacity_makespan. Compared with OLRSA, the PrepartitionOn1 algorithm still improves about 10% in average utilization, 30%–40% in imbalance degree, 10%–20% in makespan, and 10%–20% in Capacity_makespan.

LPT is one kind of the best approaches for offline load balance algorithms without migration, which has an approximation ratio of 4/3. Therefore, we suggest setting the value of $k$ as 4, which can obtain an approximation ratio as $1 + \frac{1}{k} = \frac{5}{4}$. Under this configuration, a better approximation ratio could be obtained. With a higher $k$, better load balancing effects

![Graphs](image-url)
could be achieved. While there exist trade-offs between load balancing effect and time cost. For online load balance algorithms, we also suggest setting $k$ as 4, and cloud service providers could reconfigure the value to be higher as suitable as the load balancing effects they desired.

Let us consider that we have $m = 100$ PMs and the value of $k$ is set as 4, and then according to the analysis in [33], the complexity ratio of OLRSA is $2 - (1/m) = 2 - (1/100)$, and the complexity ratio of PrepartitionOn1 is $1 + (1/k) - (1/mk) = 1 + (1/400)$ based on Subsection 4.2. This proves that the PrepartitionOn1 algorithm can achieve better performance than OLRSA theoretically.

5.3 Performance Evaluation of the PrepartitionOn2 Algorithm

In this subsection, we display the simulation results of the PrepartitionOn2 algorithm and other three algorithms: Random, R-R, and OLRSA.

We still use the log data from ESL and normal distribution for experiments. Fig.7 and Fig.8 illustrate the comparisons of the average utilization, imbalance degree, makespan, and Capacity makespan between the PrepartitionOn2 and the other online algorithms and the results show that PrepartitionOn2 performs the best in terms of compared metrics.

In Fig.9, we provide the consecutive imbalance degree comparison for four algorithms in online schedul-
ing with 1,000 VMs and 2,000 VMs respectively. In Fig.9(a) and Fig.9(b), the X-axis is for time and Y-axis is for imbalance degree. We can see that the PrepartitionOn2 algorithm has the minimum makespan and minimum imbalance degree most of the time during tests.

The large values of $k$ may bring side effects since it will need more partitions. In Fig.10, we compare the time costs (simulated with ESL data and the time unit is millisecond) under different partition values of $k$. The PrepartitionOn1 algorithm with $k=3$ takes about 10% less running time than that with $k=4$, and PrepartitionOn1 with $k=2$ takes 15% less running time than that with $k=4$. A larger value of $k$ will lead to a better load balance with a longer process time. We also observe that a larger value of $k$ will induce a lower Capacity_makespan value. Similarly, with a larger value of $k$, a larger average utilization as well as a lower imbalance degree and a lower makespan can be obtained.

To evaluate the number of partitions triggered by different prepartition-based algorithms, Table 5 shows the number of partitions during our tests. Since the PrepartitionOff algorithm is offline, the number is much smaller than those of the online algorithms. And the partitions of PrepartitionOn2 are smaller than those of PrepartitionOn1, as PrepartitionOn2 has brought predefined parameters to avoid too many partitions as discussed in Subsection 4.3.

6 Conclusions

Load balancing for cloud administrators is a challenging problem in data centers. To address this issue,
we proposed a novel VM reservation paradigm to balance the VM loads for PMs. Through prepartition operations before allocation for VMs, our algorithms can achieve better load balancing effects compared with well-known load balancing algorithms. In this paper, we presented both offline (PrepartitionOff) and online (PrepartitionOn1 and PrepartitionOn2) load balancing algorithms to reveal the feature of fixed interval constraints of VM scheduling and capacity sharing. Theoretically, we proved that PrepartitionOff is an algorithm with \(1+\epsilon\) approximation ratio, where \(\epsilon = 1/k\) and \(k\) is a positive integer. It is possible that the PrepartitionOff algorithm can be very close to the optimal solution via increasing the value of \(k\), i.e., through setting up \(k\), it is also attainable to achieve a desired load balancing goal defined in advance because PrepartitionOff is a \((1+(1/k))\)-approximation. As for online algorithms, PrepartitionOn1 has competitive ratio \(1 + (1/k) - (1/mk)\) and PrepartitionOn2 has competitive ratio \(1 + f\) where \(f\) is a constant less than 0.5. Both the synthetic and trace-driven simulations validated theoretical observations and showed that the Prepartition algorithms can perform better than a few existing algorithms in terms of average utilization, imbalance degree, makespan, and Capacity makespan. As such, other further research issues can be considered.

- **Appropriate Choice Between Load Balance and Total Partition Numbers.** The Prepartition-based algorithm can achieve desired load balance objective by setting a suitable value of \(k\). It may need a large number of partitions so that the times of migration can be large depending on the characteristics of VM requests. For example, in Amazon EC2\(^{[26]}\), the duration of VM reservations varies from a few hours to a few months; therefore we can classify different types of VMs based on their durations (Capacity makespans) firstly, and then applying Prepartition will not have a large partition number for each type. In practice, we need to analyze traffic patterns to make the number of partitions (pre-migrations) reasonable so that the total costs, including running time and the times of migration, can be reduced.
• **Heterogeneous Configurations of PMs and VMs.** We mainly consider that a VM requires a portion of the total capacity from a PM. This is also applied in Amazon EC2 and [27]. When this is not true, multi-dimensional resources, such as CPU, memory, and bandwidth, have to be considered together or separately in the load balance.

• **Precedence Constraints Among Different VM Requests.** In reality, some VMs may be more important than others depending on applications running on them, and we would like to extend the current algorithm to consider this case.

• **Application Features Characterization with Multi-Tenancy and Resource Contention.** For instance, tightly coupled requests/applications can be partitioned on the same VM to reduce communication costs.

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