# Algorithms for Dynamic Right-Sizing in Data Centers

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May 6, 2017

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#### 1 Introduction

TODO: Hardware prices vs. energy costs in data centres and purpose of this paper (offline algorithm, approximation algorithm,...).

#### 1.1 Model description

We want to address the issue of the above-mentioned ever-growing energy consumption by examing a scheduling problem commonly arising in data centres. More specifically, we consider a model consisting of a fixed amount of homogeneous servers denoted by  $m \in \mathbb{N}$  and a fixed amount of time slots denoted by  $T \in \mathbb{N}$ . In turn, each server possesses two power states, i.e. each server is either powered on (active state) or powered off (sleep state).

Better name than sleep state?

For any time slot  $t \in [T]$  we have a mean arrival rate denoted by  $\lambda_t$ , i.e. the amount of expected load to process in time slot t. We expect the arrival rates to be normalised such that each server  $i \in [m]$  can handle a load between zero and one in any time step. We denote the assigned load for server i in time slot t by  $\lambda_{i,t} \in [0,1]$ . Consequently, for any time slot t we expect an arrival rate between 0 and m, i.e.  $\lambda_t \in [0,m]$ ; otherwise, we would not be able to process the given load in time.

The incurred energy costs of a single machine can be described by the sum of the machine's (power state) switching costs specified by  $\beta \in \mathbb{R}_{\geq 0}$  as well as its operating costs specified by  $f:[0,1] \to \mathbb{R}$ . Further, we assume convexity for f; this may seem like a notable restriction at first, but indeed captures the behaviour of most modern server models. We want to stress that f may not only pose as a depiction of energy costs. For example, f may also allow for costs incurred by delays, like lost revenue as users need to wait for their responses. Similarly,  $\beta$  may also allow for delay costs, wear and tear costs or the like. [1] As we are dealing with homogeneous servers,  $\beta$  and f are the same for all machines.

For convenience, we assume all machines sleeping at time t=0 and force all machines to sleep after the scheduling process, i.e. at times t>T. This justifies the consolidation of power up and power down costs into  $\beta$  because it allows us to model both costs as being incurred when powering up a server; that is, a model with power up costs  $\beta_{\uparrow}$  and power down costs  $\beta_{\downarrow}$  can simply be transferred to our model by setting  $\beta := \beta_{\uparrow} + \beta_{\downarrow}$ . We can now proceed to define our problem statement.

#### 1.2 Problem statement

Using above definitions, we can define the input of our model by  $\mathcal{I} := (m, T, \Lambda, \beta, f)$  where  $\Lambda = (\lambda_1, \ldots, \lambda_T)$  is the sequence of arrival rates. Naturally, given an input  $\mathcal{I}$ , we want to schedule our servers in such a way that we minimise the sum of incurred costs while warranting that we are processing the given loads in time.

For this, consider the two sequences

$$S := (s_{1,1}, s_{2,1}, \dots, s_{m,1}, s_{1,2}, \dots, s_{m,T}) \in \{0, 1\}^{m*T}$$
  
$$\mathcal{L} := (\lambda_{1,1}, \lambda_{2,1}, \dots, \lambda_{m,1}, \lambda_{1,2}, \dots, \lambda_{m,T}) \in [0, 1]^{m*T}$$

where  $s_{i,t} \in \{0,1\}$  denotes whether server i at time t is sleeping (0) or active (1). Next, let  $\mathcal{X}$  denote the sequence of the sum of active servers at each time slot t, that is:

$$\mathcal{X} := (x_1 = \sum_{i=1}^m s_{i,1}, \dots, x_T = \sum_{i=1}^m s_{i,T}) \in \{0, \dots, m\}^T$$

Recall that we assume all machines sleeping at times  $t \notin [T]$ ; consequently, for  $t \notin [T]$  we set  $x_t = 0$ .

Our goal is to find S and L that satisfy the following optimisation:

minimise 
$$\underbrace{\sum_{t=1}^{T} \sum_{i=1}^{m} f(\lambda_{i,t}) * s_{i,t}}_{\text{operating costs}} + \underbrace{\beta * \sum_{t=1}^{T} \min\{0, x_{t} - x_{t-1}\}}_{\text{power up costs}}$$
subject to 
$$\sum_{i=1}^{m} \lambda_{i,t} * s_{i,t} = \lambda_{t}, \forall t \in [T]$$

#### **Preliminaries** 2

#### 2.1Feasible schedules

#### 2.2 Input

- $m \in \mathbb{N}$ ...the number of homogeneous servers
- $\beta \in \mathbb{R}_{\geq 0}$ ...the power-up costs of a single server
- $T \in \mathbb{N}$ ...the number of time steps
- $\Lambda = (\lambda_1, \dots, \lambda_T) \in [0, m]^T \dots$  the sequence of arrival rates

#### Definitions and conventions 2.3

**Definition 2.1.** Let  $\mathcal{X} = (x_0, \dots, x_T)$  be the sequence of active servers of a schedule. We call a schedule and its sequence **feasible** if

$$\forall t \in \{0, \dots, T\} : x_t \ge \lambda_t$$

We call a feasible schedule optimal if its incurred costs are minimal under all feasible schedules.

**Lemma 2.2.** Given a convex cost function f, x active servers and an arrival rate  $\lambda$ , the optimal strategy is to assign each server a load of  $\lambda/x$ .

*Proof.* 
$$\forall x \in \mathbb{N}, \mu_i \in [0,1] : \sum_{i=1}^{x} \mu_i = 1 :$$

$$f\left(\frac{\lambda}{x}\right) = f\left(\sum_{i=1}^{x} \frac{\mu_i \lambda}{x}\right)$$

$$\Rightarrow \qquad f\left(\frac{\lambda}{x}\right) \le \sum_{i=1}^{x} \frac{1}{x} f(\mu_i \lambda) \qquad \text{by Jensen's inequality}$$

$$\iff \qquad x f\left(\frac{\lambda}{x}\right) \le \sum_{i=1}^{x} f(\mu_i \lambda)$$

Lemma 2.2 allows us to uniquely identify an optimal schedule by its sequence of numbers of active servers  $\mathcal{X}$ .

**Definition 2.3.** Define the minimum costs function of a feasible sequence  $\mathcal{X}$  between time steps t and t' with  $0 \le t < t' \le T$  as

$$costs(\mathcal{X}, t, t') := \beta \max\{0, x_{t'} - x_t\} + x_{t'} f(\lambda_{t'} / x_{t'}) \tag{1}$$

Then the minimum costs of a feasible sequence  $\mathcal{X}$  at time  $0 < t \le T$  are given by

$$costs(\mathcal{X}, t - 1, t) := costs(\mathcal{X}, t) = \underbrace{\beta \max\{0, x_t - x_{t-1}\}}_{power up costs} + x_t f(\lambda_t / x_t)$$

and the total costs by

$$costs(\mathcal{X}) := \sum_{t=1}^{T} \beta \max\{0, x_t - x_{t-1}\} + x_t f(\lambda_t / x_t)$$

#### Optimal scheduling for m homogeneous servers $\mathbf{3}$

TODO: introduction text

#### 3.1Graph for an optimal schedule

We construct a directed acyclic graph as follows:

 $\forall t \in [T-1] \text{ and } i,j \in \{0,\ldots,m\}$  we add vertices (t,i) modelling the number of active servers at time t. Moreover, we add vertices (0,0) and (T,0) for our initial and final state

In order to warrant that there are at least  $\lambda_t$  active servers  $\forall t \in [T-1]$ , we define an auxiliary function which calculates the costs for handling an arrival rate  $\lambda$  with x active servers:

$$c(x,\lambda) := \begin{cases} 0, & \text{if } x = 0\\ xf(\lambda/x), & \text{if } x \neq 0 \land \lambda \leq x\\ \infty, & \text{otherwise} \end{cases}$$
 (2)

Then,  $\forall t \in [T-2]$  and  $i, j \in \{0, \dots, m\}$ , we add edges from (t, i) to (t+1, j) with weight

$$d(i,j,\lambda_{t+1}) := \beta \max\{0,j-i\} + c(j,\lambda_{t+1}) \tag{3}$$

Finally, for  $0 \le i \le m$  we add edges from (0,0) to (1,i) with weight  $d(0,i,\lambda_1)$  and from (T-1,i) to (T,0) with weight  $d(i,0,\lambda_T)=0$ .

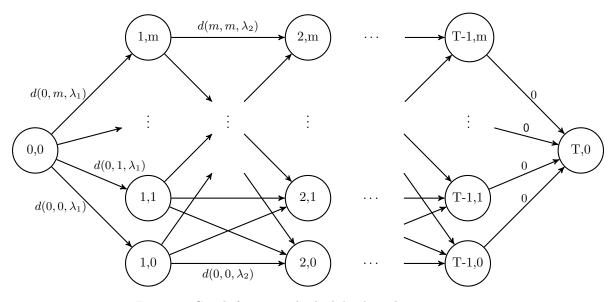


Figure 1: Graph for optimal schedule algorithm.

**Note:** All edges from (t,i) to (t+1,j) have weight  $d(i,j,\lambda_{t+1})$ 

**Proposition 3.1.** Any given optimal schedule  $\mathcal{X}$  corresponds to a shortest path P from (0,0) to (T,0) with  $costs(\mathcal{X}) = costs(P)$  and vice versa.

Proof.

" $\Rightarrow$ ": We construct a feasible path in our graph from  $\mathcal{X}$  as follows:

First set 
$$e_t := ((t, \mathcal{X}(t)), (t+1, \mathcal{X}(t+1))), \quad \forall t \in \{0, \dots, T-1\}$$
  
then set  $P := (e_0, \dots, e_{T-1})$ 

As each edge  $e_t$  in our graph has weight  $d(\mathcal{X}(t-1), \mathcal{X}(t), \lambda_t)$ , it corresponds to the costs of switching from  $\mathcal{X}(t-1)$  to  $\mathcal{X}(t)$  servers and processing  $\lambda_t$  with  $\mathcal{X}(t)$  active servers. Hence, it directly follows that P is a shortest path of the graph with  $costs(P) = costs(\mathcal{X})$ .

" $\Leftarrow$ ": Let  $P = ((0,0) = v_0, \ldots, v_T = (T,0))$  with  $v_t \in \{(t,i) \mid 0 \le i \le m\}$  be a shortest path of the graph.

We can construct an optimal schedule from P by setting  $\mathcal{X} := (v_0(1), \dots, v_T(1))$ By definition (2) it is guaranteed that P only traverses edges such that there are enough active servers  $\forall t \in [T]$ . Therefore, the created schedule is feasible. Its optimality directly follows from the definition of the edges' weights and so does the equality  $costs(\mathcal{X}) = costs(P)$ .

#### 3.2 A pseudo-polynomial minimum cost algorithm

#### Algorithm 1 Calculate costs for m homogeneous servers

```
Require: Convex cost function f, \lambda_0 = \lambda_T = 0, \forall t \in [T-1] : \lambda_t \in [0, m]
 1: function SCHEDULE(m, T, \beta, \lambda_1, \dots, \lambda_{T-1})
         if T < 2 then return
 3:
         let p[2 \dots T-1, m] and M[1 \dots T-1, m] be new arrays
         for j \leftarrow 0 to m do
 4:
             M[1,j] \leftarrow d(0,j,\lambda_1)
 5:
         for t \leftarrow 1 to T-2 do
 6:
             for j \leftarrow 0 to m do
 7:
                  opt \leftarrow \infty
 8:
                  for i \leftarrow 0 to m do
 9:
                      M[t+1,j] \leftarrow M[t,i] + d(i,j,\lambda_{t+1})
10:
                      if M[t+1,j] < opt then
11:
12:
                           opt \leftarrow M[t+1,j]
                          p[t+1,j] \leftarrow i
13:
                  M[t+1,j] \leftarrow opt
14:
         return p and M
15:
```

#### **Algorithm 2** Extract schedule for m homogeneous servers

```
1: function Extract(m, p, M, T)
       let x[0...T] be a new array
2:
       x[0] \leftarrow x[T] \leftarrow 0
3:
       if T < 2 then return x
                                            ▶ Trivial solution
4:
       x[T-1] \leftarrow arg \ min\{M[T-1,i]\}
5:
                      0 \le i \le m
       for t \leftarrow T - 2\,\bar{\text{to}}\,1 do
6:
           x[t] \leftarrow p[t+1, x[t+1]]
7:
8:
       return x
```

#### 3.2.1 Runtime analysis

The algorithm visits every vertex and every edge of the graph exactly once. As the number of vertices is bounded by  $\mathcal{O}(Tm)$  and the number of edges is bounded by  $\mathcal{O}(Tm^2)$  the running time is given by:

$$\mathcal{O}(Tm + Tm^2) = \mathcal{O}(Tm^2)$$

As we need  $\log_2(m)$  bits to encode m, the running time is polynomial in the numeric value of the input but exponential in the length of the input. Hence, the algorithm is pseudo-polynomial.

#### 3.2.2 A memory optimized algorithm

TODO: use only array with size 2m

## 4 A polynomial 4-approximation algorithm for monotonically increasing convex f

We consider a modification of the problem discussed in chapter 3. Assuming that f is convex and monotonically increasing, we can modify our algorithm to obtain a polynomial time 4-approximation algorithm.

#### 4.1 Graph for a 4-optimal schedule

We modify our graph from chapter 3.1 to the reduce the number of vertices. For this, we stop adding m vertices for each timestep, but use vertices that approximate the number of active servers instead. First, let  $b := \lceil \log_2(m) \rceil$ . We add vertices (t,0) and  $(t,2^i), \forall t \in [T-1], 0 \le i \le b$ . All edges and weights are added analogous to chapter 3.1.

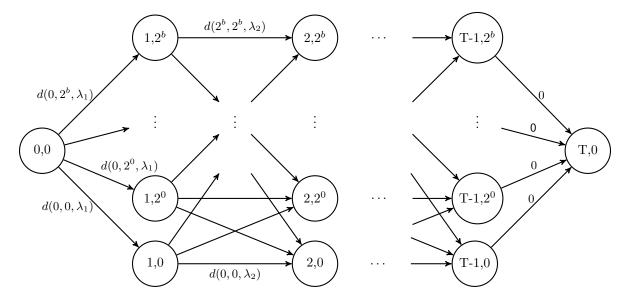


Figure 2: Graph for a 4-approximation algorithm

**Definition 4.1.** Let  $\mathcal{X} = (x_0, \dots, x_T)$  be a schedule and t > 0. We say that  $\mathcal{X}$  changes its **state** at time t if

$$x_t \neq x_{t-1}$$

and that  $\mathcal{X}$  changes its **2-state** at time t if

$$x_t = 0$$
 or  $x_t \notin (2^{\lfloor \log_2(x_{t-1}) \rfloor}, 2^{\lceil \log_2(x_{t-1}) \rceil})$ 

#### Proposition 4.2.

- 1. Any given optimal schedule  $\mathcal{X}$  can be transformed to a 4-optimal schedule  $\mathcal{X}'$  which corresponds to a path P from (0,0) to (T,0) with  $costs(\mathcal{X}') = costs(P)$ .
- 2. Any shortest path P from (0,0) to (T,0) corresponds to a 4-optimal schedule  $\mathcal{X}$  with  $costs(P) = costs(\mathcal{X})$ .

#### Proof.

1. Assume we have an optimal schedule identified by  $\mathcal{X} = (x_0, \dots, x_T)$ . For  $0 \le t < T$  we inductively set:

$$x'_{0} \coloneqq 0, \qquad x'_{t+1} \coloneqq \begin{cases} \min\left\{2^{\lfloor \log_{2}(2x_{t+1})\rfloor}, 2^{b}\right\}, & \text{if } 0 < x_{t} \le x_{t+1} \\ 2^{\lceil \log_{2}(2x_{t+1})\rceil}, & \text{if } 0 < x_{t+1} < x_{t} \text{ and } x'_{t} \ge 4x_{t+1} \\ x'_{t}, & \text{if } 0 < x_{t+1} < x_{t} \text{ and } x'_{t} < 4x_{t+1} \\ 0, & \text{otherwise} \end{cases}$$
(4)

Then let  $\mathcal{X}' := (x'_0, \dots, x'_T)$  be the modified sequence of active servers. Notice that  $x_t \leq x'_t \leq 4x_t$  holds as  $x'_t$  is at most the smallest power of two larger than  $2x_t$  which implies that  $\mathcal{X}'$  is feasible.

We can now construct a feasible path in our graph from  $\mathcal{X}'$  as follows:

First set 
$$e_t := ((t, \mathcal{X}'(t)), (t+1, \mathcal{X}'(t+1))), \quad \forall t \in \{0, \dots, T-1\}$$
  
then set  $P := (e_0, \dots, e_{T-1})$ 

By the definition of the edges' weights it follows that  $costs(\mathcal{X}') = costs(P)$ .

Next, let  $(t_0 = 0, t_1, \dots, t_n = 0)$  be the sequence of times where the optimal schedule  $\mathcal{X}$  changes its 2-state. Notice that the modified schedule  $\mathcal{X}'$  changes its state only at times  $t_i$  and that  $2x_{t_i} \leq x'_{t_i}$  holds (TODO: only if not discrete but continuous time steps). This can be seen exemplarily in figure 3 by obvserving that  $\mathcal{X}'$  changes its state only if  $\mathcal{X}$  crosses or touches a bordering power of two.

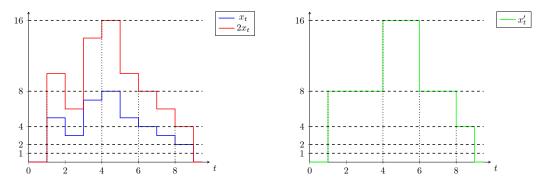


Figure 3: Adaption of an optimal schedule

For this reason, we now only have to consider the fraction of costs of  $\mathcal{X}'$  and  $\mathcal{X}$  between time steps  $t_{i-1}$  and  $t_i$ 

$$\frac{costs(\mathcal{X}', t_{i-1}, t_i)}{costs(\mathcal{X}, t_{i-1}, t_i)} \tag{5}$$

For  $x_{t_i} = 0$  it follows from (1) that  $costs(\mathcal{X}', t_{i-1}, t_i) = costs(\mathcal{X}, t_{i-1}, t_i) = 0$ . Hence, we can restrict ourselves to  $0 < t_i < T$  with  $x_{t_i} \neq 0$ . The costs incurred by  $\mathcal{X}'$  are given by

$$costs(\mathcal{X}', t_{i-1}, t_i) = \beta \max\{0, x'_{t_i} - x'_{t_{i-1}}\} + x'_{t_i} f(\lambda_{t_i} / x'_{t_i})$$
 by (1)  

$$\leq \beta \max\{0, x'_{t_i} - x'_{t_{i-1}}\} + 4x_{t_i} f(\lambda_{t_i} / x'_{t_i})$$
 by (4)  

$$\leq \beta \max\{0, x'_{t_i} - x'_{t_{i-1}}\} + 4x_{t_i} f(\lambda_{t_i} / x_{t_i})$$
 f monotonically increasing  

$$costs(\mathcal{X}', t_{i-1}, t_i) \leq \beta \max\{0, x'_{t_i} - x'_{t_{i-1}}\} + 4x_{t_i} f(\lambda_{t_i} / x_{t_i})$$
 (6)

and the costs of  $\mathcal{X}$  by

$$costs(\mathcal{X}, t_{i-1}, t_i) = \beta \max\{0, x_{t_i} - x_{t_{i-1}}\} + x_{t_i} f(\lambda_{t_i} / x_{t_i})$$
(7)

W.l.o.g. we may assume  $x_{t_i} f(\lambda_{t_i}/x_{t_i}) > 0$ , otherwise the claim follows trivially. (TODO: is it really trivial?)

(i)  $x_{t_i} \leq x_{t_{i-1}}$ : From (4) it follows that  $x'_{t_i} \leq x'_{t_{i-1}}$ . Thus, we can simplify (5):

$$\frac{\cos ts(\mathcal{X}', t_{i-1}, t_i)}{\cos ts(\mathcal{X}, t_{i-1}, t_i)} \leq \frac{\beta \max\{0, x'_{t_i} - x'_{t_{i-1}}\} + 4x_{t_i} f(\lambda_{t_i} / x_{t_i})}{\beta \max\{0, x_{t_i} - x_{t_{i-1}}\} + x_{t_i} f(\lambda_{t_i} / x_{t_i})} \qquad \text{by (6),(7)}$$

$$= \frac{4x_{t_i} f(\lambda_{t_i} / x_{t_i})}{x_{t_i} f(\lambda_{t_i} / x_{t_i})} \qquad (x_{t_i} \leq x_{t_{i-1}} \text{ and } x'_{t_i} \leq x'_{t_{i-1}})$$

$$= 4$$

(ii)  $x_{t_i} > x_{t_{i-1}}$ : From (4) it follows that  $x'_{t_i} \ge x'_{t_{i-1}}$ . Thus, we can simplify (5):

$$\frac{\cos ts(\mathcal{X}', t_{i-1}, t_i)}{\cos ts(\mathcal{X}, t_{i-1}, t_i)} \leq \frac{\beta \max\{0, x'_{t_i} - x'_{t_{i-1}}\} + 4x_{t_i} f(\lambda_{t_i} / x_{t_i})}{\beta \max\{0, x_{t_i} - x_{t_{i-1}}\} + x_{t_i} f(\lambda_{t_i} / x_{t_i})}$$
 by (6),(7) 
$$= \frac{\beta(x'_{t_i} - x'_{t_{i-1}}) + 4x_{t_i} f(\lambda_{t_i} / x_{t_i})}{\beta(x_{t_i} - x_{t_{i-1}}) + x_{t_i} f(\lambda_{t_i} / x_{t_i})}$$
 
$$= \frac{\beta(\min\{2^{\lfloor \log_2(2x_{t_i}) \rfloor}, 2^b\} - x'_{t_{i-1}}) + 4x_{t_i} f(\lambda_{t_i} / x_{t_i})}{\beta(x_{t_i} - x_{t_{i-1}}) + x_{t_i} f(\lambda_{t_i} / x_{t_i})}$$
 by (4) 
$$\leq \frac{\beta(2^{\lfloor \log_2(2x_{t_i}) \rfloor} - x'_{t_{i-1}}) + 4x_{t_i} f(\lambda_{t_i} / x_{t_i})}{\beta(x_{t_i} - x_{t_{i-1}}) + x_{t_i} f(\lambda_{t_i} / x_{t_i})}$$
 
$$\leq \frac{\beta(2x_{t_i} - x'_{t_{i-1}}) + 4x_{t_i} f(\lambda_{t_i} / x_{t_i})}{\beta(x_{t_i} - x_{t_{i-1}}) + x_{t_i} f(\lambda_{t_i} / x_{t_i})}$$
 by 
$$(2x_{t_{i-1}} \leq x'_{t_{i-1}})$$
 
$$\leq 4 \frac{\frac{1}{2}\beta(x_{t_i} - x_{t_{i-1}}) + x_{t_i} f(\lambda_{t_i} / x_{t_i})}{\beta(x_{t_i} - x_{t_{i-1}}) + x_{t_i} f(\lambda_{t_i} / x_{t_i})}$$
 
$$\leq 4 \frac{\frac{1}{2}\beta(x_{t_i} - x_{t_{i-1}}) + x_{t_i} f(\lambda_{t_i} / x_{t_i})}{\beta(x_{t_i} - x_{t_{i-1}}) + x_{t_i} f(\lambda_{t_i} / x_{t_i})}$$

From (i) and (ii) it follows:

$$costs(\mathcal{X}') \le 4costs(\mathcal{X})$$

2. From 1 we obtain that we can construct a 4-optimal path P' from any optimal schedule. Now, let P be a shortest path. We have  $costs(P) \leq costs(P') < \infty$ , and since every path P with  $costs(P) < \infty$  corresponds to a feasible schedule  $\mathcal{X}$  with  $costs(P) = costs(\mathcal{X})$ ,  $\mathcal{X}$  must also be at least 4-optimal.

## References

[1] Minghong Lin, Adam Wierman, Lachlan L. H. Andrew, and Eno Thereska. Dynamic right-sizing for power-proportional data centers. *IEEE/ACM Transactions on Networking (TON)*, 21:1378–1391, 2013.

## **Appendix**

Below, we give an overview of just given definitions and conventions commonly referred to in our paper:

- $m \in \mathbb{N}$ ... number of homogeneous servers
- $T \in \mathbb{N}$ ...number of time slots
- $\lambda_1, \ldots, \lambda_T \in [0, m] \ldots$  arrival rates
- $\Lambda := (\lambda_1, \dots, \lambda_T) \dots$  sequence of arrival rates
- $\beta \in \mathbb{R}_{>0}$ ... switching costs of a server
- $f:[0,1] \to \mathbb{R}...$  convex operating costs function of a server
- $\mathcal{I} := (m, T, \Lambda, \beta, f)...$ input of problem instance
- $\lambda_{i,t} \in [0,1]$ ... assigned load for server i at time t
- $\mathcal{L} := (\lambda_{0,1}, \lambda_{2,1}, \dots, \lambda_{m,1}, \lambda_{1,2}, \dots, \lambda_{m,T}) \dots$  sequence of assigned loads
- $s_{i,t}$ ... state of server i at time t, i.e. sleeping (0) or active(1)
- $S := (s_{1,1}, s_{2,1}, \dots, s_{m,1}, s_{1,2}, \dots, s_{m,T}) \in \{0, 1\}^{m*T} \dots$  sequence of states
- $x_t$ ... number of active servers at time t
- $\mathcal{X} := (x_1, \dots, x_T) \dots$  sequence of number of active servers
- $\lambda_t = 0$  for all  $t \notin [T]$
- All servers are powered down at time t = 0