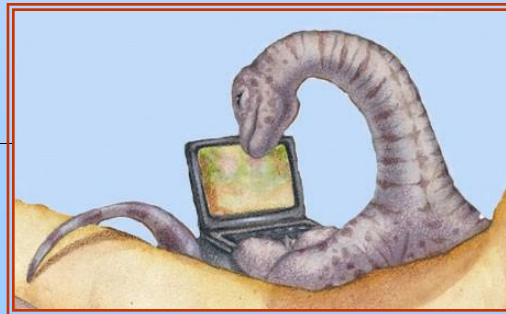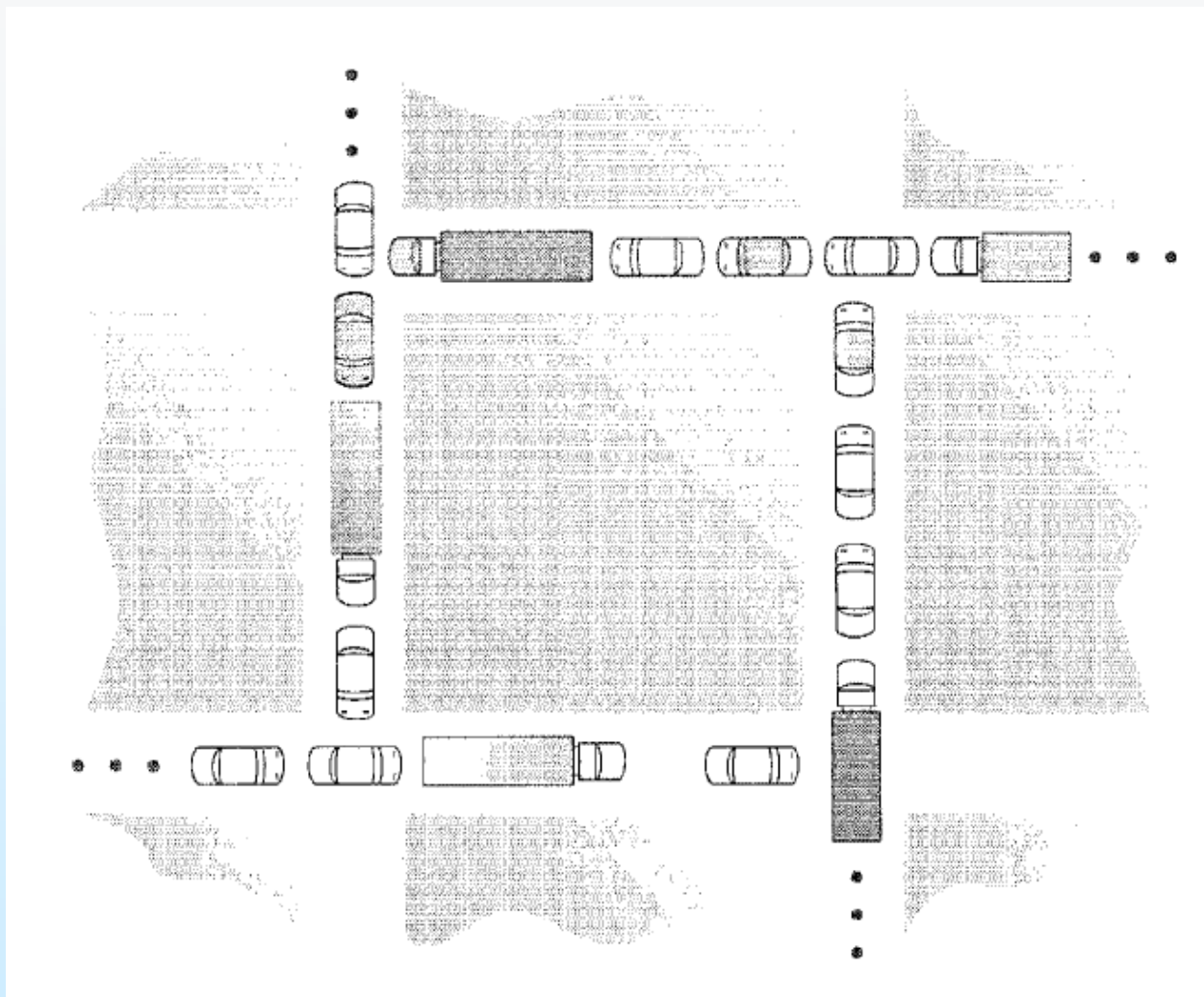# Chapter 7: Deadlocks

Chapter 7: Deadlocks

- **The Deadlock Problem**

- System Model

- Deadlock Characterization

- Methods for Handling Deadlocks

- Deadlock Prevention

- Deadlock Avoidance

- Deadlock Detection

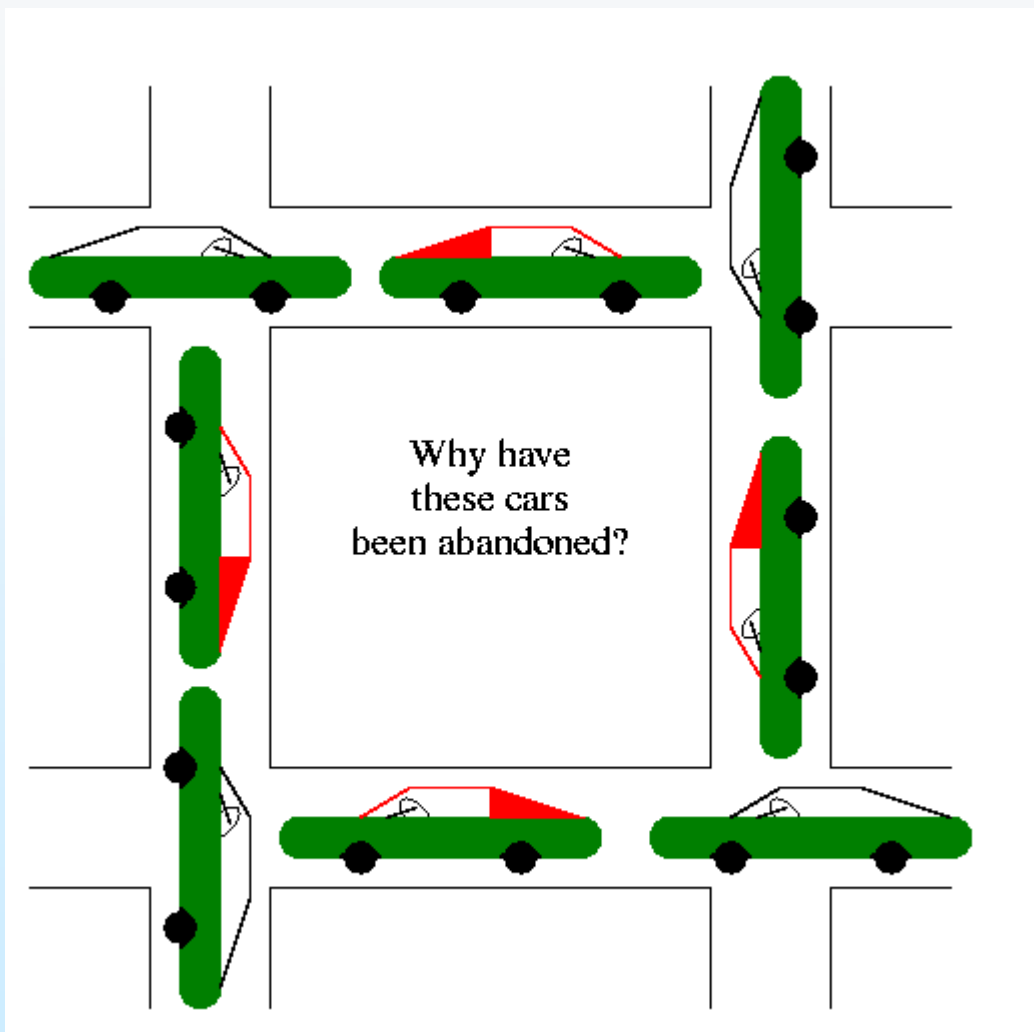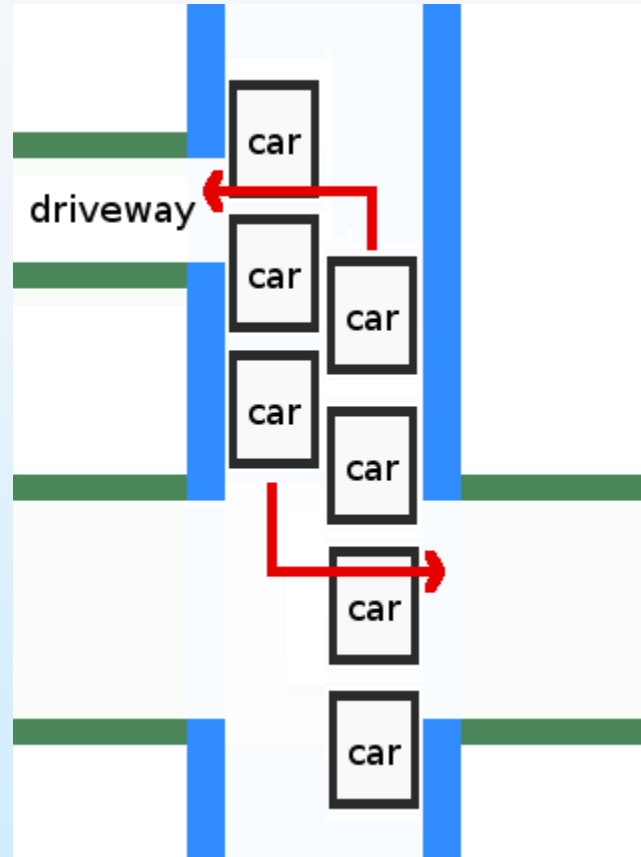- Recovery from Deadlock

Traffic deadlock

Funny deadlock

Why have these cars been abandoned?

Another deadlock

Deadlock: Game over

DEADLOCK

Game over, man, game over.

Where do u go now?

http://go.funpic.hu

Good morning to you!

Deadlocks

- In a multiprogramming environment **several** processes may compete for a **finite** number of resources.

- A process requests resources; and if the resources are **not available** at that time the process enters a **waiting state**.

- Sometimes, a waiting process is never again able to change state, because the resources it has requested are held by **other waiting processes**. This situation is called a **deadlock.**

- The best illustration of a deadlock can be drawn from a law passed by the Kansas legislature early in the 20th century. It said, in part:

  - "When two trains approach each other at a crossing, both shall come to a full stop and neither shall start up again until the other has gone." ☺

Train Deadlock

Resources

■ A system consists of a **finite** number of resources to be distributed among competing processes.

■ The resources are partitioned into **several types**, each consisting of some number of identical **instances**.

- Memory *space,* CPU cycles, files, and I/O devices (such as printers and DVD drives)

- If a system has two CPUs, then the resource type CPU has two instances. Similarly, the resource type *printer* may have five instances.

The Deadlock Problem

- **A set of blocked processes each holding a resource and waiting to acquire a resource held by another process in the set.**

- Example

  - System has 2 disk drives.

  - P_1 and P_2 each hold one disk drive and each needs another one.

Bridge Crossing Example

- Traffic only in one direction.

- Each section of a bridge can be viewed as a resource.

- If a deadlock occurs, it can be resolved if one car backs up (**preempt resources and rollback**).

- Several cars may have to be backed up if a deadlock occurs.

- Starvation is possible.

Threads in deadlock

Chapter 7: Deadlocks

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- Deadlock Avoidance
- Deadlock Detection
- Recovery from Deadlock

System Model

- Resource types $R_1, R_2, \ldots, R_m$

    CPU cycles, memory space, I/O devices

- Each resource type R_i has W_i instances.

- Each process utilizes a resource as follows:

    - **Request**. If the request **cannot be granted** immediately (for example, if the resource is being used by another process), then the requesting process must wait until it can acquire the resource.

    - **Use**. The process can operate on the resource (for example, if the resource is a printer, the process can print on the printer).

    - **Release**. The process releases the resource.

    - The request and release of resources are **system calls**.

        ▸ Examples are the request() and release() device, open() and close() file, and allocate() and free() memory system calls.

Processes in deadlock

- A set of processes is in a deadlock state when every process in the set is waiting for an event that can be caused only by another process in the set.

  - The events with which we are mainly concerned here are **resource acquisition and release**.

  - The resources may be either

    - **physical resources** (for example, printers, tape drives, memory space, and CPU cycles) or

    - **logical resources** (for example, files, semaphores, and monitors).

  - However, other types of events may result in deadlocks.

CD-RW deadlock

- To illustrate a deadlock state, consider a system with **three** CD-RW drives.

- Suppose each of three processes holds one of these CD-RW drives.

  - If each process now **requests another drive**, the three processes will be in a deadlock state.

  - Each is waiting for the event "CD-RW is released," which can be caused only by one of the other waiting processes.

  - The CD-RW example is a deadlock involving the same resource type.

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Deadlock Characterization

Deadlock can arise if four conditions hold simultaneously:

- **Mutual exclusion:** only one process at a time can use a resource.

- **Hold and wait:** a process holding at least one resource is waiting to acquire additional resources held by other processes.

- **No preemption:** a resource can be released **only voluntarily** by the process holding it, after that process has completed its task.

- **Circular wait:** there exists a set $\{P_0, P_1, \ldots, P_0\}$ of waiting processes such that P_0 is waiting for a resource that is held by P_1, P_1 is waiting for a resource that is held by
  $P_2, \ldots, P_{n-1}$ is waiting for a resource that is held by P_n, and P_n is waiting for a resource that is held by P_0.

Resource-Allocation Graph

A set of vertices V and a set of edges E.

- V is partitioned into two types:

    - $P = \{P_1, P_2, \ldots, P_n\}$, the set consisting of all the processes in the system.

    - $R = \{R_1, R_2, \ldots, R_m\}$, the set consisting of all resource types in the system.

- request edge – directed edge $P_1 \rightarrow R_j$
- assignment edge – directed edge $R_j \rightarrow P_i$

Resource-Allocation Graph (Cont.)

■ Process

■ Resource Type with 4 instances

■ P_i requests instance of R_j

R_j

■ P_i is holding an instance of R_j

R_j

Basic Facts

- If graph contains no cycles $\Rightarrow$ no deadlock.

- If graph contains a cycle $\Rightarrow$

  - if only one instance per resource type, then deadlock.

  - if several instances per resource type, **possibility of deadlock**.

Graph With A Cycle But No Deadlock

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- **Methods for Handling Deadlocks**

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Methods for Handling Deadlocks

- Ensure that the system **will never enter** a deadlock state.

- Allow the system to **enter** a deadlock state and then **recover**.

- Ignore the problem and pretend that deadlocks **never occur** in the system

From deadlock to restart

- If a system neither ensures that a deadlock will **never occur** nor provides a mechanism for deadlock **detection** and recovery, then we may arrive at a situation where the system **is in a deadlocked state yet has no way of recognizing what has happened**.

- In this case the undetected deadlock will result in deterioration of the system's performance:

  - because resources are being held by processes that **cannot run** and

  - because more and more processes, as they make requests for resources, will enter a **deadlocked state**.

- Eventually, the system will stop functioning and will need to be **restarted** manually.

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Deadlock Prevention

- For a deadlock to occur, each of the four necessary conditions must hold.

- By **ensuring** that at least one of these conditions **cannot hold**, *we* can *prevent* the occurrence of a deadlock.

  - Deadlock-prevention algorithms, prevent deadlocks by **restraining how requests can be made**.

Mutual Exclusion

- **Mutual Exclusion** – not required for sharable resources; **must hold for nonsharable resources**.

  - For example, a printer cannot be **simultaneously shared** by several processes.

  - Read-only files are a good example of a **sharable resource**. If several processes attempt to open a read-only file at the same time they can be granted simultaneous access to the file.

- A process never needs to wait for a sharable resource.

- **In general! however we cannot prevent deadlocks by denying the mutual-exclusion condition**, because some resources are intrinsically non sharable.

Hold and Wait

- **Hold and Wait** – must guarantee that whenever a process requests a resource, it does not hold any other resources.

  - **Protocol 1:** Require process to request and be allocated all its resources before it begins execution, or

  - **Protocol 2:** Allow process to request resources only when the process has none.

Hold and Wait

- Example: consider a process that copies data from a DVD drive to a file on disk, sorts the file, and then prints the results to a printer.

  - If all resources must be requested at the beginning of the process, then the process must initially request the DVD drive, disk file, and printer. **It will hold the printer for its entire execution, even though it needs the printer only at the end.**

  - The second method allows the process to **request initially only** the DVD drive and disk file. It copies from the DVD drive to the disk and then releases both the DVD drive and the disk file. The process must **then again request** the disk file and the printer. After copying the disk file to the printer, it releases these two resources and terminates.

- Disadvantages: Low **resource utilization** and **possible starvation**.

No Preemption

■ If a process that is holding some resources requests another resource that cannot be immediately allocated to it, then **all resources currently being held are released**.

- **Preempted resources** are added to the list of resources for which the process is waiting.

- Process will be **restarted** only when it can regain its old resources, as well as the new ones that it is requesting.

■ **Alternatively**, if a process requests some resources, we first check whether they are available.

- If they are, we allocate them. If they are not, we check whether they are allocated to some other process that is **waiting** for additional resources.

- If so, we **preempt the desired resources from the waiting process** and allocate them to the requesting process.

Circular wait

- One way to ensure that this condition never holds is to impose a total ordering of all resource types and to require that **each process requests resources in an increasing order of enumeration**.

- For example, if the set of resource types R includes tape drives, disk drives, and printers, then the function *F* might be defined as follows:

  ▸ *F* (tape drive) = 1

  ▸ *F* (disk drive) = 5

  ▸ *F* (printer) = 12

- **Using the function F, a process that wants to use the tape drive and printer at the same time must first request the tape drive and then request the printer.**

- Alternatively, we can require that, whenever a process requests an instance of resource type *Rj,* it has **released** any resources *Ri* such that $F(Ri) >= F(Rj)$.

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Deadlock Avoidance

Requires that the system has some additional a priori information available.

- Simplest and most useful model requires that each process declare the **maximum number** of resources of each type that it may need.

- The deadlock-avoidance algorithm dynamically examines the **resource-allocation state** to ensure that there **can never be** a circular-wait condition.

- **Resource-allocation state** is defined by the number of available and allocated resources, and the maximum demands of the processes.

Safe State

- When a process requests an available resource, system must decide if immediate allocation leaves the system in a **safe state.**

- System is in **safe state** if there exists a sequence $<P_1, P_2, ..., P_n>$ of all the processes in the systems such that for each P_i, the resources that P_i can still request can be satisfied by currently **available resources + resources held by all the P_j, with $j < i$.**

- That is:

  - If P_i resource needs are not immediately available, then P_i can wait until all P_j have finished.

  - When P_j is finished, P_i can obtain needed resources, execute, return allocated resources, and terminate.

  - When P_i terminates, P_{i+1} can obtain its needed resources, and so on.

Basic Facts

- If a system is in safe state $\Rightarrow$ no deadlocks.

- If a system is in unsafe state $\Rightarrow$ possibility of deadlock.

- Avoidance $\Rightarrow$ ensure that a system will never enter an unsafe state.

Safe, Unsafe , Deadlock State

Example

- Consider a system with 12 magnetic tape drives and three processes: *P0, P1,* and *P2.* Process P0 requires 10 tape drives, process P1 may need as many as 4 tape drives, and process *P2* may need up to 9 tape drives.

- Suppose that, at time T0 we have:

	Maximum Needs	Current Needs
P_0	10	5
P_1	4	2
P_2	9	2

- At time T0, the system is in a safe state. The sequence < P1, P0, *P2*> satisfies the safety condition.

- The system can go from a safe state to an unsafe state. Suppose that, **at time T1, P2 requests and is allocated one more tape drive.**

  - The system is no longer in a safe state.

  - Only process *P1* can be allocated all its tape drives. Suppose it returns all them and we have 4 tapes free!!!

  - P0 may request other 5 tapes and wait

  - P2 may request other 6 tapes and wait

Avoidance algorithms

- Single instance of a resource type.
  - **Use a resource-allocation graph**

- Multiple instances of a resource type.
  - **Use the banker's algorithm**

Resource-Allocation Graph Scheme

- **Claim edge** $P_i \rightarrow R_j$ indicated that process P_j **may request** resource R_j; represented by a dashed line.

- **Claim edge converts to request edge** when a process requests a resource.

- **Request edge converted to an assignment edge** when the resource is allocated to the process.

- When a resource is released by a process, assignment edge reconverts to a claim edge.

- Resources must be claimed a priori in the system.

Resource-Allocation Graph

- Suppose that process Pi requests resource *Rj.*

- The request can be granted only if converting the request edge *Pi -> Rj* to an assignment edge *Rj -> Pi* **does not result in the formation of a cycle in the resource-allocation graph.**

- Note that we check for safety by using a **cycle-detection algorithm**.

- An algorithm for detecting a cycle in this graph requires an order of n^2 operations, where *n* is the number of processes in the system.

Unsafe State In Resource-Allocation Graph

Suppose that P2 requests *R2.* Although R2 is currently free, we cannot allocate it to P2, since this action will create a cycle in the graph A cycle indicates that the system is in an unsafe state.

If *P1* requests *R2,* and *P2* requests *R1* , then a deadlock will occur.

Banker's Algorithm (Djikstra)

- Multiple instances.

- Each process must a priori claim maximum use.

- When a process requests a resource it may have to wait.

- When a process gets all its resources it must return them in a **finite amount of time**.

- The name was chosen because the algorithm could be used in a banking system to ensure that the bank never allocated its available cash in such a way that it could no longer satisfy the needs of all its customers. ☺

Data Structures for the Banker's Algorithm

Let n = number of processes, and m = number of resources types.

- **_Available_**: Vector of length m. If Available[j] = k, there are k instances of resource type R_j available.

- **_Max_**: $n \times m$ matrix. If _Max_[i,j] = k, then process P_i may request at most k instances of resource type R_j.

- **_Allocation_**: $n \times m$ matrix. If Allocation[i,j] = k then P_i is currently allocated k instances of R_j.

- **_Need_**: $n \times m$ matrix. If _Need_[i,j] = k, then P_i may need k more instances of R_j to complete its task.

$$Need\,[i,j] = Max[i,j] - Allocation\,[i,j].$$

Safety Algorithm

- To simplify the presentation of the banker's algorithm, we next establish some notation. Let X and Y be vectors of length n. We say that X <= Y if and only if X[i] <= Y[i] for all i = 1, 2, ... , 11. For example, if X (1,7,3,2) and Y = (0,3,2,1), then Y < X. Y < X if Y < X and Y /= X.

1. Let **Work** and **Finish** be vectors of length *m* and *n*, respectively. Initialize:

   Work = Available

   Finish [*i*] = *false* for *i* = 0, 1, …, *n*- 1.

2. Find an *i* such that both:

   (a) *Finish* [*i*] = *false*

   (b) *Need$_i$* $\leq$ *Work*

   If no such *i* exists, go to step 4.

3. *Work = Work + Allocation$_i$*
   Finish[*i*] = *true*
   go to step 2.

4. If *Finish* [*i*] == true for all *i*, then the system is in a safe state.

- **This algorithm may require an order of *m* x *n^2* operations to determine whether a state is safe.**

Resource-Request Algorithm for Process P_i

■ We now describe the algorithm which determines if requests can be safely granted.

■ *Request* = request vector for process P_i. If $Request_i[j] = k$ then process P_i wants k instances of resource type R_j.

1. If $Request_i \leq Need_i$ go to step 2. Otherwise, raise error condition, since process has exceeded its maximum claim.

2. If $Request_i \leq Available$, go to step 3. Otherwise P_i must wait, since resources are not available.

3. **Pretend** to allocate requested resources to P_i by modifying the state as follows:

$$Available = Available - Request;$$

$$Allocation_i = Allocation_i + Request_i;$$

$$Need_i = Need_i - Request_i;$$

● *If safe $\Rightarrow$ the resources are allocated to Pi.*

● *If unsafe $\Rightarrow$ Pi must wait, and the old resource-allocation state is restored*

Example of Banker's Algorithm

- 5 processes P_0 through P_4;

  3 resource types:

  A (10 instances), B (5 instances), and C (7 instances).

- Snapshot at time T_0:

	Allocation	Max	Available
	A B C	A B C	A B C
P_0	0 1 0	7 5 3	3 3 2
P_1	2 0 0	3 2 2	
P_2	3 0 2	9 0 2	
P_3	2 1 1	2 2 2	
P_4	0 0 2	4 3 3	

Example (Cont.)

■ The content of the matrix *Need* is defined to be *Max* – *Allocation*.

$$\underline{Need}$$

$$A\ B\ C$$

	A B C
P_0	7 4 3
P_1	1 2 2
P_2	6 0 0
P_3	0 1 1
P_4	4 3 1

■ The system is in a safe state since the sequence < P_1, P_3, P_4, P_2, P_0> satisfies safety criteria.

Example: P_1 Request (1,0,2)

■ Check that Request $\leq$ Available (that is, $(1,0,2) \leq (3,3,2) \Rightarrow$ true.

	Allocation	*Need*	*Available*
	A B C	A B C	A B C
P_0	0 1 0	7 4 3	2 3 0
P_1	3 0 2	0 2 0	
P_2	3 0 1	6 0 0	
P_3	2 1 1	0 1 1	
P_4	0 0 2	4 3 1	

■ Executing safety algorithm shows that sequence < P_1, P_3, P_4, P_0, P_2> satisfies safety requirement.

■ Can request for (3,3,0) by P_4 be granted? **No. Resources not available.**

■ Can request for (0,2,0) by P_0 be granted? **No. We go in unsafe state.**

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Deadlock Detection

- Allow system to enter deadlock state

- Detection algorithm

- Recovery scheme

- At this point, however we note that a detection-and-recovery scheme requires **overhead** that includes:

  - not only the **run-time costs** of maintaining the necessary information and executing the detection algorithm

  - but also the **potential losses** inherent in recovering from a deadlock.

Single Instance of Each Resource Type

- Maintain **wait-for** graph

  - Nodes are processes.

  - $P_i \rightarrow P_j$ if P_i is waiting for P_j.

- Periodically invoke an algorithm that searches for a cycle in the graph. If there is a cycle, there exists a deadlock.

- **Complexity: An algorithm to detect a cycle in a graph requires an order of n^2 operations, where n is the number of vertices in the graph.**

(a)

(b)

Resource-Allocation Graph   Corresponding wait-for graph

Several Instances of a Resource Type

- **Available:** A vector of length m indicates the number of available resources of each type.

- **Allocation:** An n x m matrix defines the number of resources of each type currently allocated to each process.

- **Request:** An n x m matrix indicates the current request of each process. If $Request[i, j] = k$, then process P_i is requesting k more instances of resource type. R_j.

Detection Algorithm

1. Let *Work* and *Finish* be vectors of length *m* and *n*, respectively Initialize:

   (a) *Work* = *Available*

   (b) For *i* = 1,2, …, *n*, if $Allocation_i \neq 0$, then *Finish*[i] = false;otherwise, *Finish*[i] = *true*.

2. Find an index *i* such that both:

   (a) *Finish*[*i*] == *false*

   (b) $Request_i \leq Work$

   If no such *i* exists, go to step 4.

Detection Algorithm (Cont.)

3. $Work = Work + Allocation_i$
   $Finish[i] = true$
   go to step 2.

4. If $Finish[i] ==$ false, for some i, $1 \leq i \leq n$, then the system is in deadlock state. **Moreover, if $Finish[i] == false$, then P_i is deadlocked.**

Algorithm requires an order of O(m x n^2) operations to detect whether the system is in deadlocked state.

Example of Detection Algorithm

- Five processes P_0 through P_4; three resource types A (7 instances), B (2 instances), and C (6 instances).

- Snapshot at time T_0:

	Allocation	Request	Available
	A B C	A B C	A B C
P_0	0 1 0	0 0 0	0 0 0
P_1	2 0 0	2 0 2	
P_2	3 0 3	0 0 0	
P_3	2 1 1	1 0 0	
P_4	0 0 2	0 0 2	

- No deadlock: Sequence $<P_0, P_2, P_3, P_1, P_4>$ will result in *Finish*[i] = true for all i.

Example (Cont.)

- P_2 requests an additional instance of type C.

<div align="center">

Request

$A\ B\ C$

	A	B	C
P_0	0	0	0
P_1	2	0	1
P_2	0	0	1
P_3	1	0	0
P_4	0	0	2

</div>

- State of system?
  - Can reclaim resources held by process P_0, but insufficient resources to fulfill other processes requests.
  - Deadlock exists, consisting of processes P_1, P_2, P_3, and P_4.

Detection-Algorithm Usage

- When, and how often, to invoke depends on:
  - How often a deadlock is likely to occur?
  - How many processes will need to be rolled back?

- If detection algorithm is invoked **arbitrarily**, there may be **many cycles** in the resource graph and so we would **not be able** to tell which of the many deadlocked processes **"caused"** the deadlock.

- If deadlocks occur **frequently**, then the detection algorithm should be **invoked frequently.**
  - Resources allocated to deadlocked processes will be **idle** until the deadlock can be broken.
  - In addition, the number of involved processes in the deadlock cycle **may grow**.

Detection-Algorithm Usage

- Deadlocks occur only when some process makes a request that **cannot be granted immediately**.

  - This request may be the final request that completes a chain of waiting processes.

  - In the extreme, we can invoke the deadlock detection algorithm every time a request for allocation cannot be granted immediately.

    - In this case, we can identify not only the deadlocked set of processes but also the **specific process that "caused" the deadlock**.

Detection-Algorithm Computational Overhead

■ If the deadlock-detection algorithm is invoked for every resource request, this will incur a **considerable overhead** in computation time.

- A less expensive alternative is simply to invoke the algorithm at less frequent intervals –f or example, once per hour or whenever CPU utilization drops below 40 percent.

- *(A deadlock eventually cripples system throughput and causes CPU utilization to drop.)*

- If the detection algorithm is invoked at arbitrary points in time, there may be many cycles in the resource graph.

  ▸ In this case, we would generally not be able to tell which of the many deadlocked processes **"caused" the deadlock**.

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- **Recovery from Deadlock**

Deadlock recovery

- When a detection algorithm determines that a deadlock exists, several alternatives are available.

  - One possibility is to **inform the operator** that a deadlock has occurred and to let him deal with the deadlock manually.

  - Another possibility is to let the system **recover** from the deadlock automatically.

    - There are two options for breaking a deadlock:

      - **Simply to abort one or more processes to break the circular wait.**

      - **The other is to preempt some resources from one or more of the deadlocked processes.**

Recovery from Deadlock: Process Termination

■ **Abort all** deadlocked processes.

- This method clearly will break the deadlock cycle, but at **great expense**; the deadlocked processes may have computed for a long time, and the results of these **partial computations must be discarded** and probably will have to be recomputed later.

■ **Abort one process at a time** until the deadlock cycle is eliminated.

- This method incurs considerable overhead, since, after each process is aborted, **a deadlock-detection algorithm must be invoked** to determine whether any processes are still deadlocked.

Order to abort processes

■ Aborting a process may not be easy.

- If the process was in the midst of **updating** a file, terminating it will leave that file in an incorrect state.

- Similarly, if the process was in the **midst of printing data** on a printer, the system must reset the printer to a correct state before printing the next job.

Minimum cost of process abortion

- If the partial termination method is used, then we must determine **which deadlocked process (or processes) should be terminated**.

- This determination is a policy decision, **similar to CPU-scheduling decisions**. The question is basically an economic one; we should abort those whose termination will incur the **minimum cost**.

- Unfortunately, the term **minimum cost** is not a precise one.

- In which order should we choose to abort?

    - Priority of the process.

    - How long process has computed, and how much longer to completion.

    - Resources the process has used.

    - Resources process needs to complete.

    - How many processes will need to be terminated.

    - Is process interactive or batch?

Recovery from Deadlock: Resource Preemption

■ To eliminate deadlocks using resource preemption, we:

- ● successively preempt some resources from processes and

- ● give these resources to other processes until the deadlock cycle is broken.

■ **Selecting a victim** – minimize cost.

■ **Rollback** – return to some safe state, restart process from that state.

■ **Starvation** – same process may always be picked as victim, include number of rollback in cost factor.

Selecting a victim in Resource preemption

■ **Selecting a victim.**

- Which resources and which processes are to be preempted?

- As in process termination, we must determine **the order of preemption** to minimize cost.

- Cost factors may include such parameters as:

  ‣ the **number of resources** a deadlocked process is holding

  ‣ **amount of time** the process has thus far consumed during its execution.

Rollback in Resource preemption

■ If we preempt a resource from a process, what should be done with that process?

  ● Clearly, it cannot continue with its normal execution if it is missing some needed resource.

  ● We must **roll back** the process to some **safe state** and restart it from that state.

■ Since, in general, it is difficult to determine what a safe state is, the simplest solution is a **total rollback**:

  ● Abort the process and then **restart it**.

  ● Although it is more effective to roll back the process only as far as necessary to break the deadlock, this method requires the system to **keep more information** about the state of all running processes.

Starvation in Resource preemption

- How do we ensure that starvation will not occur?

  - That is, how can we guarantee that resources will not always be **preempted from the same process**?

  - In a system where victim selection is based primarily on **cost factors**, it may happen that the same process is always picked as a victim. ☺

- As a result, this process never completes its designated task, a starvation situation that must be dealt with in any practical system.

  - Clearly, we must ensure that a process can be picked as a victim only a (small) finite number of times. The most common solution is to include the number of rollbacks in the cost factor. (**a kind of Aging**)

Readings

- **Silberschatz. Chapter 7.**

End of Chapter 7

What about deadlocks in distributed systems?

- A good question for Master students

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