

## Chapter 8: Deadlocks

- System Model
- Deadlock Characterization
- Methods for Handling Deadlocks
- Deadlock Prevention
- Deadlock Avoidance
- Deadlock Detection
- Recovery from Deadlock
- Combined Approach to Deadlock Handling

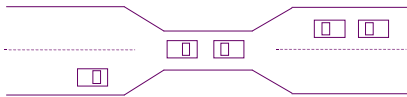
## The Deadlock Problem

- 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 tape drives.
  - ◆  $P_1$  and  $P_2$  each hold one tape drive and each needs another one.
- Example
  - ◆ semaphores  $A$  and  $B$ , initialized to 1

```

P0      P1
wait (A); wait(B)
wait (B); wait(A)
    
```

## 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.

## System Model

- Resource types  $R_1, R_2, \dots, R_m$   
*CPU cycles, memory space, I/O devices*
- Each resource type  $R_i$  has  $W_i$  instances.
- Each process utilizes a resource as follows:
  - ◆ request
  - ◆ use
  - ◆ release

## Deadlock Characterization





Deadlock can arise if four conditions hold simultaneously.

- **Mutual exclusion:** only one process at a time can use a (non-sharable) 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  $\{P_0, P_1, \dots, P_{n-1}\}$  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  $P_2, \dots, P_{n-1}$  is waiting for a resource that is held by  $P_{n-1}$ , and  $P_{n-1}$  is waiting for a resource that is held by  $P_0$ .

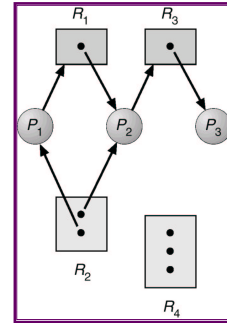
## Resource-Allocation Graph

- Deadlocks can be described more precisely in terms of the resource allocation graph
- A set of vertices  $V$  and a set of edges  $E$ .
  - $V$  is partitioned into two types:
    - ◆  $P = \{P_1, P_2, \dots, P_n\}$ , the set consisting of all the processes in the system.
    - ◆  $R = \{R_1, R_2, \dots, R_m\}$ , the set consisting of all resource types in the system.
  - **request edge** – directed edge  $P_i \rightarrow R_j$
  - **assignment edge** – directed edge  $R_j \rightarrow P_i$

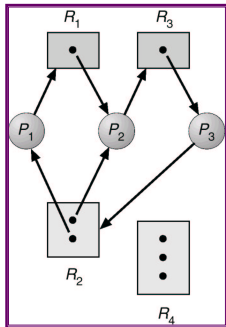
## Resource-Allocation Graph (Cont.)

- Process 
- Resource Type with 4 instances 
- $P_i$  requests instance of  $R_j$  
- $P_i$  is holding an instance of  $R_j$  

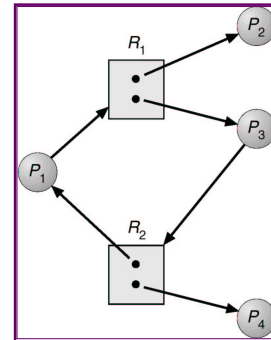
## Example of a Resource Allocation Graph



## Resource Allocation Graph With A Deadlock



## Resource Allocation Graph With A Cycle But No Deadlock



## 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.

## Methods for Handling Deadlocks

- Never enter (prevention & avoidance), detect/recover, ignore...
1. Ensure that the system will *never* enter a deadlock state.
  2. Allow the system to enter a deadlock state and then recover.
  3. Ignore the problem and pretend that deadlocks never occur in the system; used by most operating systems, including UNIX.

## Deadlock Prevention

The case of never enter.

Restrain the ways request can be made (at least one of the necessary conditions should not be true).

- **Mutual Exclusion** – not required for sharable resources; must hold for nonsharable resources. In general not possible to prevent deadlock by this, some resources are intrinsically non-sharable!
- **Hold and Wait** – must guarantee that whenever a process requests a resource, it does not hold any other resources.
  - ◆ Require process to request and be allocated all its resources before it begins execution, or allow process to request resources only when the process has none.
  - ◆ Low resource utilization; starvation possible.

## Deadlock Prevention (Cont.)

- **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.
- **Circular Wait** – impose a total ordering of all resource types, and require that each process requests resources in an increasing order of enumeration.

## Deadlock Avoidance

The case of a more fine-grained never enter (previous method can cause starvation, low device utilization).

Requires that the system has some additional a priori information available (supplied by user for example).

- 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.

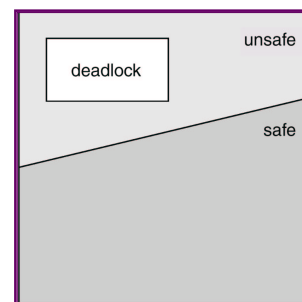
## Safe State

- 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 safe sequence of all processes.
- Sequence  $\langle P_1, P_2, \dots, P_n \rangle$  is safe if 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  $j < i$ .
  - ◆ 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.

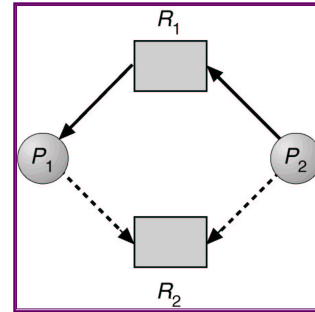
## Safe, Unsafe, Deadlock State



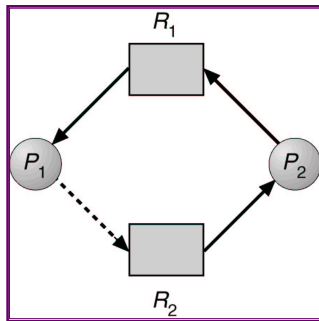
## Resource-Allocation Graph Algorithm

- Claim edge  $P_i \rightarrow R_j$  indicated that process  $P_i$  may request resource  $R_j$ , represented by a dashed line. (this is the difference compared to previous graph)
- Claim edge converts to request edge when a process requests a resource.
- 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 For Deadlock Avoidance



## Unsafe State In Resource-Allocation Graph



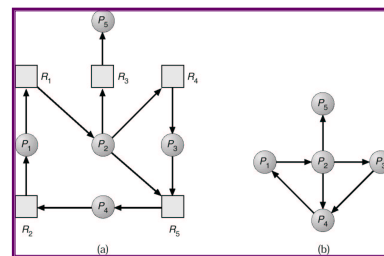
## Deadlock Detection

- Allow system to enter deadlock state
- Detection algorithm
- Recovery scheme

## 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.
- 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.

## Resource-Allocation Graph and Wait-for Graph



Resource-Allocation Graph

Corresponding wait-for graph

### Detection-Algorithm Usage

- When, and how often, to invoke depends on:
  - ◆ How often a deadlock is likely to occur?
    - ✓ If it occurs frequently then it should be invoked frequently. In the extreme we would need to run every time a request cannot be granted immediately; we can identify the process that caused the deadlock.
    - ✓ 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.
    - ✓ Or at regular times, once per hour etc..
    - ✓ Considerable overhead in general!
  - ◆ How many processes will need to be rolled back?
    - ✓ one for each disjoint cycle

### Recovery from Deadlock: Process Termination

- Abort all deadlocked processes.
- Abort one process at a time until the deadlock cycle is eliminated.
- 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

- Selecting a victim – minimize cost.
- Rollback – return to some safe state, restart process for that state.
- Starvation – same process may always be picked as victim, include number of rollback in cost factor.

### Combined Approach to Deadlock Handling

- Combine the three basic approaches
  - ◆ prevention
  - ◆ avoidance
  - ◆ detectionallowing the use of the optimal approach for each of resources in the system.
- Partition resources into hierarchically ordered classes.
- Use most appropriate technique for handling deadlocks within each class.