

I.-C. Lin, Assistant Professor. Textbook: Operating System  
Principles 7ed

# CHAPTER 7: DEADLOCKS



# Chapter 7: Deadlocks



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

# Chapter Objectives



- To develop a description of deadlocks, which prevent sets of concurrent processes from completing their tasks.
- To present a number of different methods for preventing or avoiding deadlocks in a computer system.

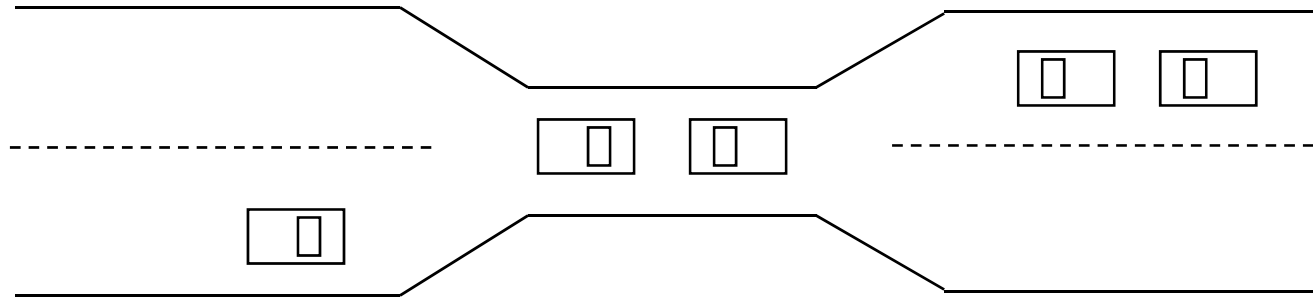
# The Deadlock Problem

- 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

$P_0$   
*wait (A);*  
*wait (B);*

$P_1$   
*wait(B)*  
*wait(A)*

# The 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  $R_1, R_2, \dots, R_m$ 
  - *E.g. 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 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  $\{P_0, P_1, \dots, P_0\}$  of waiting processes
    - $P_0 \rightarrow P_1 \rightarrow \dots \rightarrow P_0$

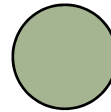
# Resource-Allocation Graph

- A set of vertices  $V$  and a set of edges  $E$
- $V$  is partitioned into two types:
  - ▣  $P = \{P_1, P_2, \dots, P_n\}$ , 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  $P_1 \rightarrow R_i$
- assignment edge – directed edge  $R_i \rightarrow P_i$



# Resource-Allocation Graph (Cont.)

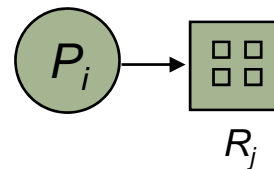
□ Process



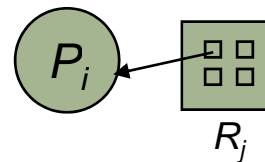
□ Resource Type with 4 instances



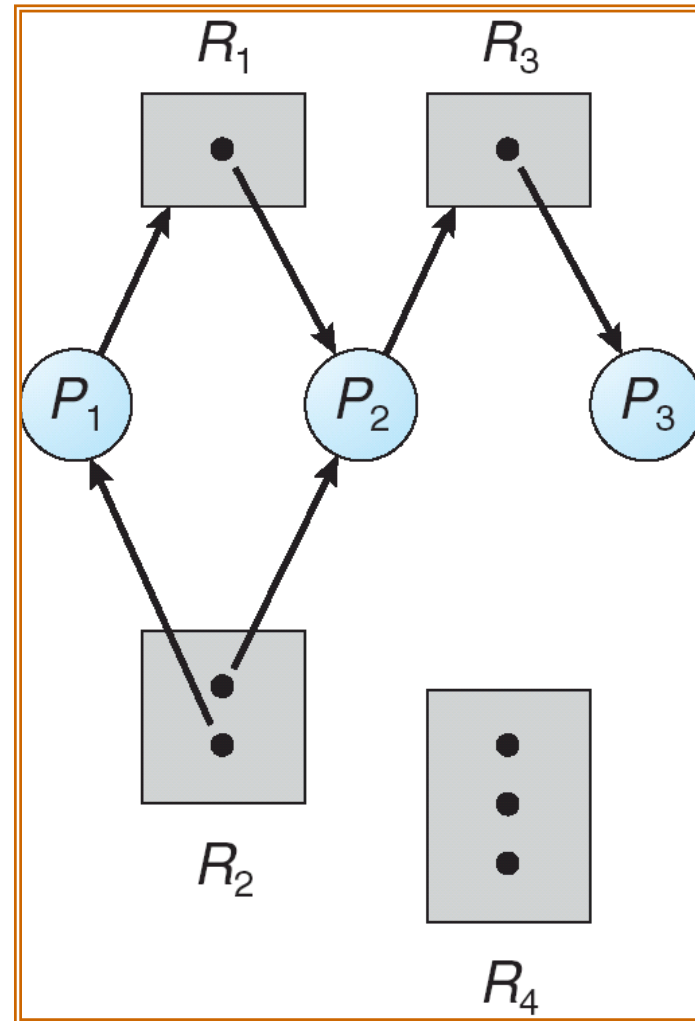
□  $P_i$  requests instance of  $R_j$



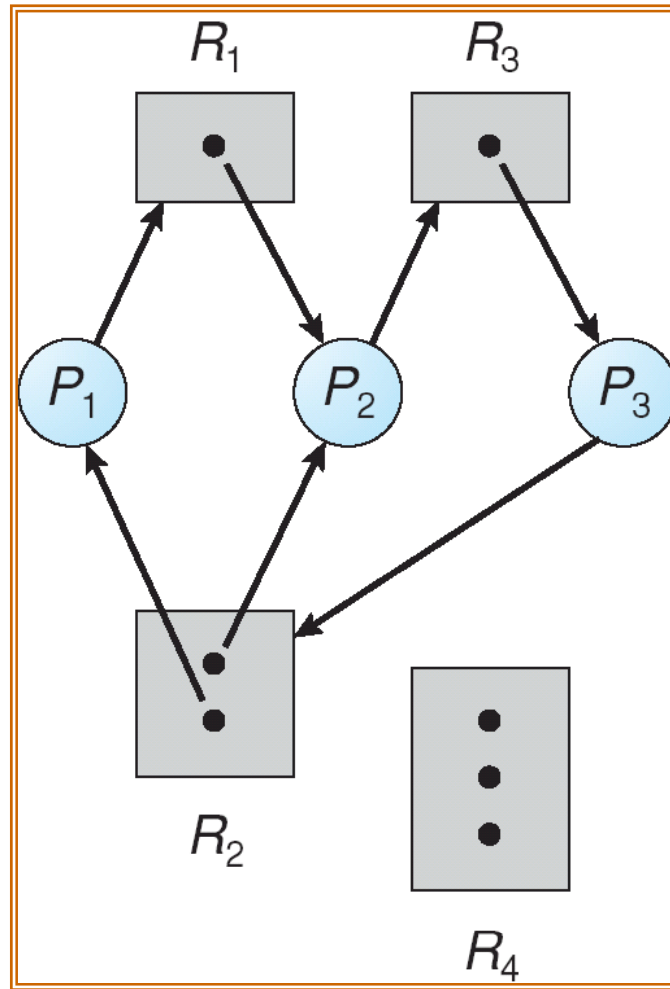
□  $P_i$  is holding an instance of  $R_j$



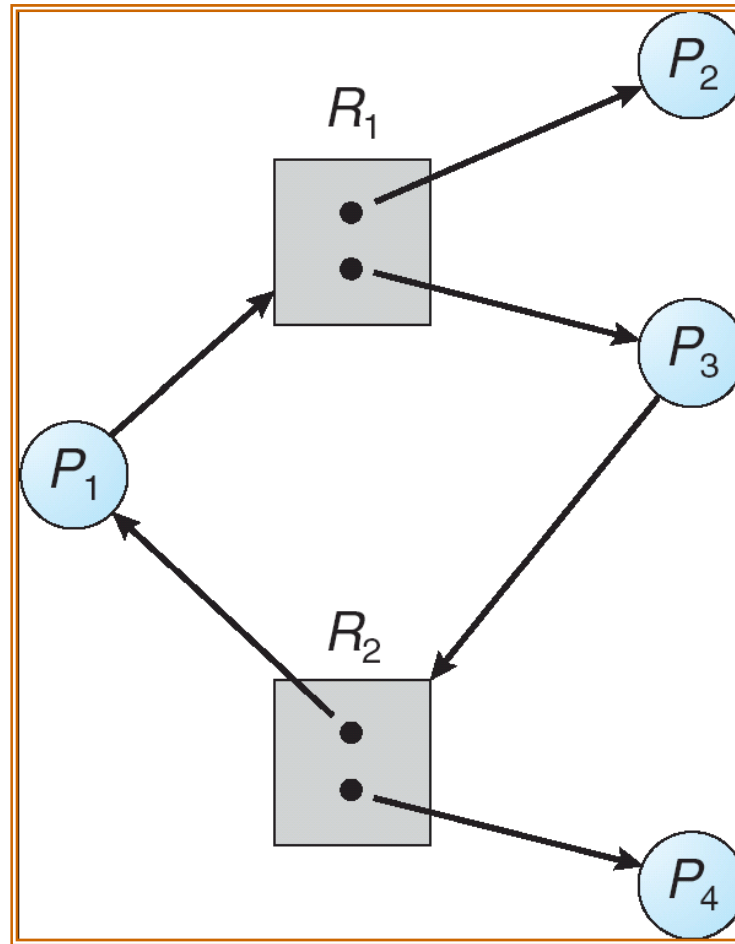
# Example of a Resource Allocation Graph



# Resource Allocation Graph With A Deadlock



# How about This One ?



# 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



- 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; used by most operating systems, including UNIX.

# Deadlock Prevention

□ Restrain the ways that requests can be made.

▣ **Mutual Exclusion**

- not required for sharable resources; must hold for nonsharable resources.

▣ **Hold and Wait**

- must guarantee that whenever a process requests a resource, it does not hold any other resources.
- Require a 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

- 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 safe sequence of all processes.

# Safe State (cont.)

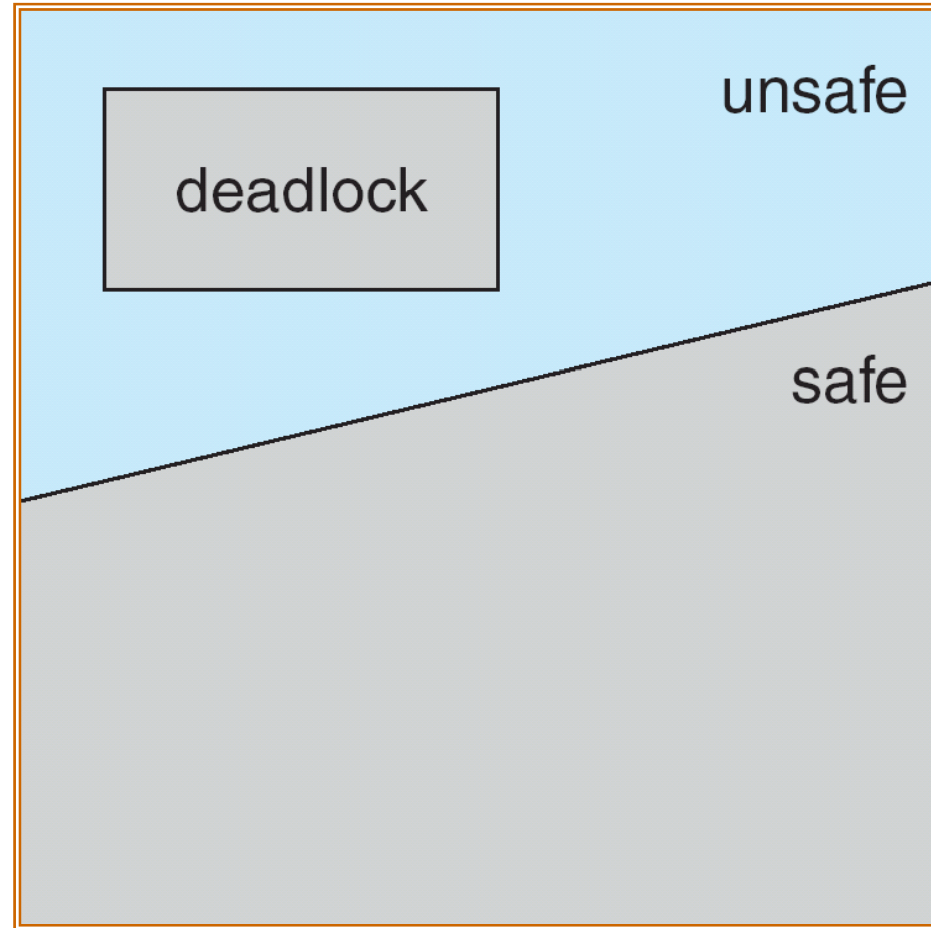
- Sequence  $\langle P_1, P_2, \dots, P_n \rangle$  is safe if for each  $P_i$ , the resources that  $P_i$  can still request can be satisfied by currently available resources + resources held by all the  $P_j$ , with  $j < i$ .
- If  $P_i$  resource needs are not immediately available, then  $P_i$  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.

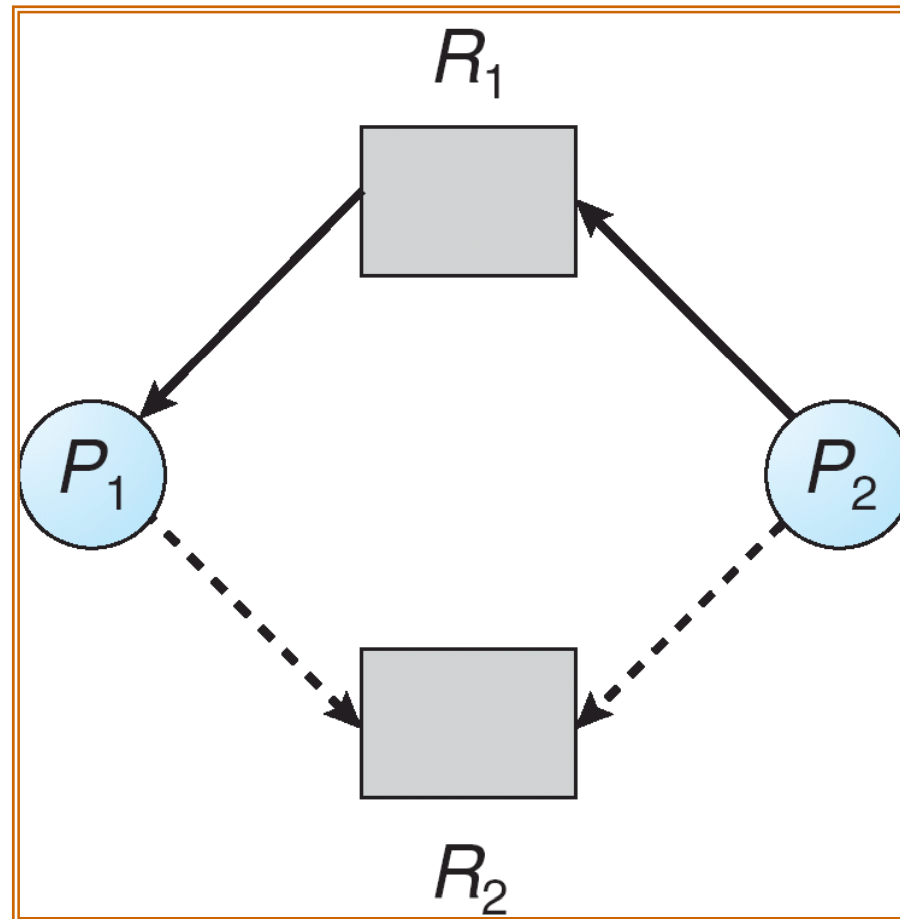
# Safe, Unsafe , Deadlock State



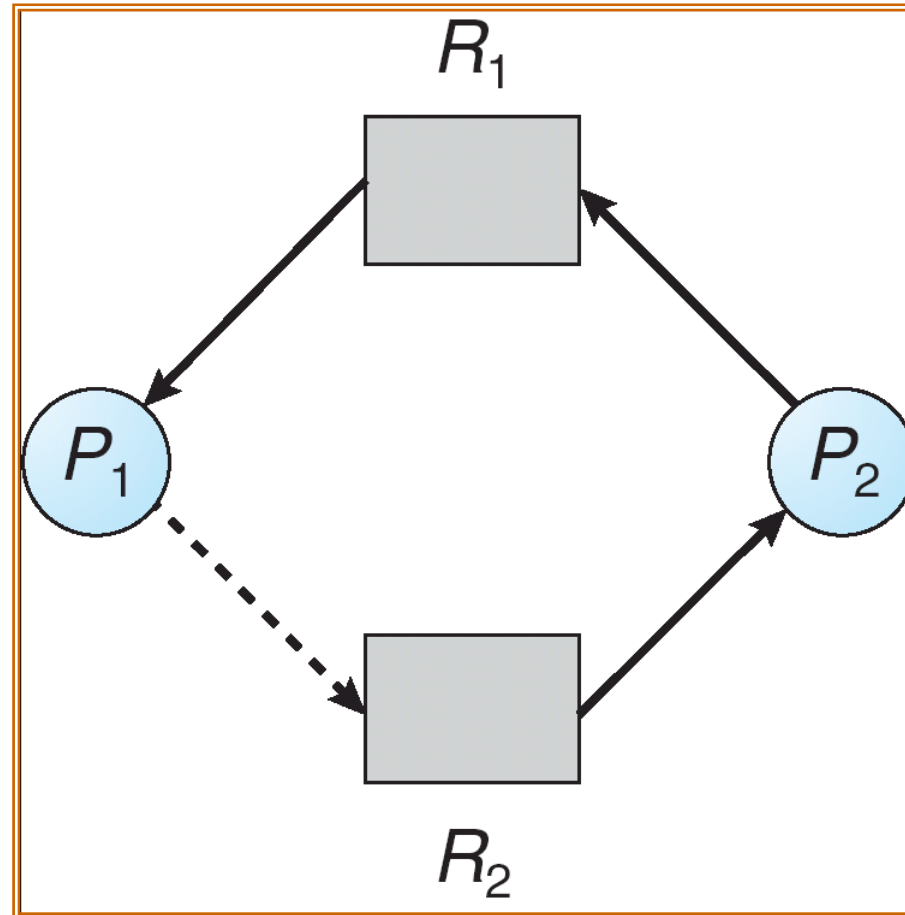
# Resource-Allocation Graph Algorithm

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





# Banker's Algorithm



- 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.

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

# Data Structures for the Banker's Algorithm

- These data structures vary over time in both size and value.
- Definition “ $\leq$ ” for vectors of length  $n$ 
  - $X \leq Y \leftrightarrow X[i] \leq Y[i]$  for  $i = 1 \sim n$
  - $(0,3,2,1) \leq (1,7,3,2)$

# Safety Algorithm

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

Initialize:

$Work = Available$

$Finish[i] = false$  for  $i = 1, 3, \dots, n$ .

2. Find  $i$  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.

# Resource-Request Algorithm for Process $P_i$

*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:
  - $Available = Available - Request_i$
  - $Allocation_i = Allocation_i + Request_i$
  - $Need_i = Need_i - Request_i$
  - If *safe*  $\Rightarrow$  the resources are allocated to  $P_i$ .
  - If *unsafe*  $\Rightarrow P_i$  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  $T_0$ :

	<u>Allocation</u>	<u>Max</u>	<u>Available</u>
	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  $\text{Max} - \text{Allocation}$ .

	<u>Allocation</u>	<u>Max</u>	<u>Available</u>	<u>Need</u>
	A B C	A B C	A B C	A B C
$P_0$	0 1 0	7 5 3	3 3 2	7 4 3
$P_1$	2 0 0	3 2 2		1 2 2
$P_2$	3 0 2	9 0 2		6 0 0
$P_3$	2 1 1	2 2 2		0 1 1
$P_4$	0 0 2	4 3 3		4 3 1

- The system is in a safe state since the sequence  $\langle P_1, P_3, P_4, P_2, P_0 \rangle$  satisfies safety criteria.

# Example $P_1$ Request (1,0,2) (Cont.)

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

	<u>Allocation</u>	<u>Need</u>	<u>Available</u>
	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  $\langle P_1, P_3, P_4, P_0, P_2 \rangle$  satisfies safety requirement.
- Can request for (3,3,0) by  $P_4$  be granted?
- Can request for (0,2,0) by  $P_0$  be granted?



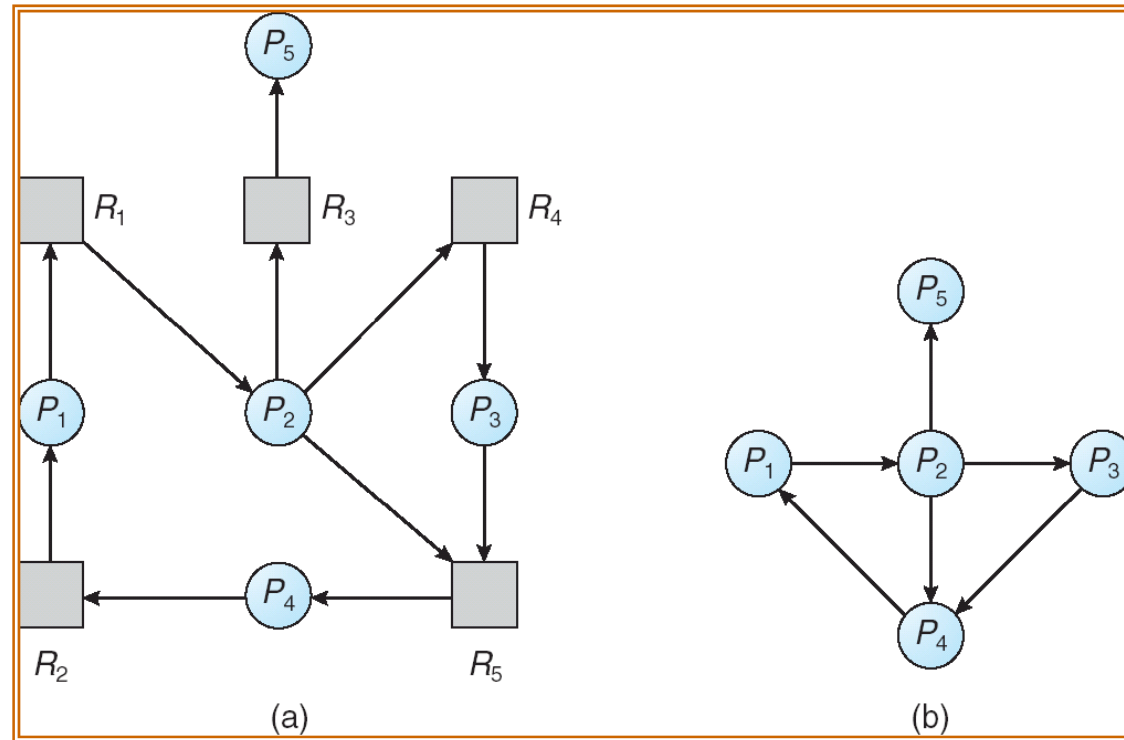
# Deadlock Detection

- 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

# Several Instances of a Resource Type

- *Available*: A vector of length  $m$  indicates the number of available resources of each type.
- *Allocation*: An  $n \times m$  matrix defines the number of resources of each type currently allocated to each process.
- *Request*: An  $n \times m$  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  $i = 1, 2, \dots, n$ , 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.  $Work = Work + Allocation;$   
 $Finish[i] = true$   
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  $O(m \times n^2)$  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  $T_0$ :

	<u>Allocation</u>	<u>Request</u>	<u>Available</u>
	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	

- Sequence  $\langle P_0, P_2, P_3, P_1, P_4 \rangle$  will result in  $Finish[i] = \text{true}$  for all  $i$ .

# Example (Cont.)

- $P_2$  requests an additional instance of type C.

	<u>Request</u>		
	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

- 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?
    - one for each cycle
  
- 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.

# 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 Approaches to Deadlock Handling

- Combine the three basic approaches

- prevention
- avoidance
- detection

allowing the use of the optimal approach for each of resources in the system.

- Use most appropriate technique for handling deadlocks within each class.

END OF CHAPTER 7

