Chapter 3
Deadlocks

3.1. Resource
3.2. Introduction to deadlocks
3.3. The ostrich algorithm
3.4. Deadlock detection and recovery
3.5. Deadlock avoidance
3.6. Deadlock prevention
3.7. Other issues

Resources

• Examples of computer resources
  – printers
  – tape drives
  – Tables in a database

• Processes need access to resources in reasonable order

• Suppose a process holds resource A and requests resource B
  – at same time another process holds B and requests A
  – both are blocked and remain so

Resources

• Deadlocks occur when ...
  – processes are granted exclusive access to devices
  – we refer to these devices generally as resources

• Preemptable resources
  – can be taken away from a process with no ill effects

• Nonpreemptable resources
  – will cause the process to fail if taken away

Introduction to Deadlocks

• Formal definition:
  A set of processes is deadlocked if each process in the set is waiting for an event that only another process in the set can cause

• Usually the event is release of a currently held resource

• None of the processes can ...
  – run
  – release resources
  – be awakened

Example Resource usage

```c
semaphore res_1, res_2;
void proc_A() {
  down(&res_1);
  down(&res_2);
  use_both_res();
  up(&res_2);
  up(&res_1);
}
void proc_B() {
  down(&res_1);
  down(&res_2);
  use_both_res();
  up(&res_1);
  up(&res_2);
}
```
Four Conditions for Deadlock

1. Mutual exclusion condition
   - each resource assigned to 1 process or is available
2. Hold and wait condition
   - process holding resources can request additional
3. No preemption condition
   - previously granted resources cannot forcibly taken away
4. Circular wait condition
   - must be a circular chain of 2 or more processes
   - each is waiting for resource held by next member of the chain

Deadlock Modeling

- Modeled with directed graphs

- resource R assigned to process A
- process B is requesting/waiting for resource S
- process C and D are in deadlock over resources T and U

Strategies for dealing with Deadlocks

1. just ignore the problem altogether
2. detection and recovery
3. dynamic avoidance
   - careful resource allocation
4. prevention
   - negating one of the four necessary conditions

The Ostrich Algorithm

- Pretend there is no problem
- Reasonable if
  - deadlocks occur very rarely
  - cost of prevention is high
    - Example of “cost”, only one process runs at a time
- UNIX and Windows takes this approach
- It’s a trade off between
  - Convenience (engineering approach)
  - Correctness (mathematical approach)
Detection with One Resource of Each Type

- Note the resource ownership and requests
- A cycle can be found within the graph, denoting deadlock

What about resources with multiple units?

- We need an approach for dealing with resources that consist of more than a single unit.

Detection with Multiple Resources of Each Type

Data structures needed by deadlock detection algorithm

Note the following invariant

\[ \sum_{i=1}^{n} C_{ij} + A_{j} = E_{j} \]

Detection Algorithm

1. Look for an unmarked process \( P_i \), for which the \( i \)-th row of \( R \) is less than or equal to \( A \)
2. If found, add the \( i \)-th row of \( C \) to \( A \), and mark \( P_i \). Go to step 1
3. If no such process exists, terminate. Remaining processes are deadlocked
Example Deadlock Detection

\[ E = \begin{pmatrix} 4 & 2 & 3 & 1 \end{pmatrix}, \quad A = \begin{pmatrix} 2 & 1 & 0 & 0 \end{pmatrix} \]

\[ C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}, \quad R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix} \]
Example Deadlock Detection

\[ E = (4 \quad 2 \quad 3 \quad 1) \quad A = (4 \quad 2 \quad 2 \quad 1) \]

\[ C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix} \quad R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix} \]

Example 2: Deadlock Detection

• Suppose, \( P3 \) needs a CD-ROM as well as 2 Tapes and a Plotter

\[ E = (4 \quad 2 \quad 3 \quad 1) \quad A = (2 \quad 1 \quad 0 \quad 0) \]

\[ C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix} \quad R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 1 \end{pmatrix} \]

Recovery from Deadlock

• Recovery through preemption
  – take a resource from some other process
  – depends on nature of the resource

• Recovery through rollback
  – checkpoint a process periodically
  – use this saved state
  – restart the process if it is found deadlocked

• Recovery through killing processes
  – crudest but simplest way to break a deadlock
  – kill one of the processes in the deadlock cycle
  – the other processes get its resources
  – choose process that can be rerun from the beginning
Deadlock Avoidance

• Instead of detecting deadlock, can we simply avoid it?
  – YES, but only if enough information is available in advance.
  • Maximum number of each resource required

Safe and Unsafe States

• A state is safe if
  – The system is not deadlocked
  – There exists a scheduling order that results in every process running to completion, even if they all request their maximum resources immediately

Safe and Unsafe State

• Unsafe states are not necessarily deadlocked
  – With a lucky sequence, all process may complete
  – However, we cannot guarantee that they will complete (not deadlock)
• Safe states guarantee we will eventually complete all processes
• Deadlock avoidance algorithm
  – Only allow safe states
Bankers Algorithm

• Modelled on a Banker with Customers
  – The banker has a limited amount of money to loan customers
  • Limited number of resources
  – Each customer can borrow money up to the customer’s credit limit
  • Maximum number of resources required

• Basic Idea
  – Keep the bank in a safe state
    • So all customers are happy even if they all request to borrow up to their credit limit at the same time.
    • A state is safe if we can satisfy some customer.
  – Customers wishing to borrow such that the bank would enter an unsafe state must wait until somebody else repays their loan such that the the transaction becomes safe.

The Banker’s Algorithm for a Single Resource

<table>
<thead>
<tr>
<th>Res.</th>
<th>Req.</th>
<th>Max.</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>0</td>
<td>8</td>
</tr>
<tr>
<td>B</td>
<td>0</td>
<td>5</td>
</tr>
<tr>
<td>C</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td>D</td>
<td>0</td>
<td>7</td>
</tr>
</tbody>
</table>

Free: 10

(a)

<table>
<thead>
<tr>
<th>Res.</th>
<th>Req.</th>
<th>Max.</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>1</td>
<td>6</td>
</tr>
<tr>
<td>B</td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>C</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>D</td>
<td>4</td>
<td>7</td>
</tr>
</tbody>
</table>

Free: 2

(b)

<table>
<thead>
<tr>
<th>Res.</th>
<th>Req.</th>
<th>Max.</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>1</td>
<td>6</td>
</tr>
<tr>
<td>B</td>
<td>2</td>
<td>5</td>
</tr>
<tr>
<td>C</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>D</td>
<td>4</td>
<td>7</td>
</tr>
</tbody>
</table>

Free: 1

(c)

• Three resource allocation states
  – safe
  – safe
  – unsafe

Banker’s Algorithm for Multiple Resources

Example of banker’s algorithm with multiple resources

<table>
<thead>
<tr>
<th>Process</th>
<th>Resource 1</th>
<th>Resource 2</th>
<th>Resource 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>3</td>
<td>8</td>
<td>1</td>
</tr>
<tr>
<td>B</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>C</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>D</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>E</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Resources assigned

<table>
<thead>
<tr>
<th>Resource Used</th>
<th>Resource 1</th>
<th>Resource 2</th>
<th>Resource 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>B</td>
<td>0</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>C</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>D</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>E</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Resources still needed

<table>
<thead>
<tr>
<th>Resource 1</th>
<th>Resource 2</th>
<th>Resource 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>8</td>
<td>1</td>
</tr>
</tbody>
</table>

Bankers Algorithm is used rarely in practice

• It is difficult (sometime impossible) to know in advance
  – the resources a process will require
  – the number of processes in a dynamic system

Deadlock Prevention

Attacking the Mutual Exclusion Condition

• Not feasible in general
  – Some devices/resource are intrinsically not shareable.

Attacking the Hold and Wait Condition

• Require processes to request resources before starting
  – a process never has to wait for what it needs

• Problems
  – may not know required resources at start of run
  – also ties up resources other processes could be using

• Variation:
  – process must give up all resources
  – then request all immediately needed
Attacking the No Preemption Condition

- This is not a viable option
- Consider a process given the printer
  - halfway through its job
  - now forcibly take away printer
  - !?!

Attacking the Circular Wait Condition

- Normally ordered resources
- A resource graph

Summary of approaches to deadlock prevention

<table>
<thead>
<tr>
<th>Condition</th>
<th>Approach</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mutual Exclusion</td>
<td>Not feasible</td>
</tr>
<tr>
<td>Hold and Wait</td>
<td>Request resources initially</td>
</tr>
<tr>
<td>No Preemption</td>
<td>Take resources away</td>
</tr>
<tr>
<td>Circular Wait</td>
<td>Order resources</td>
</tr>
</tbody>
</table>

Nonresource Deadlocks

- Possible for two processes to deadlock
  - each is waiting for the other to do some task
- Can happen with semaphores
  - each process required to do a `down()` on two semaphores (`mutex` and another)
  - if done in wrong order, deadlock results

Starvation

- Example: An algorithm to allocate a resource
  - may be to give to shortest job first
- Works great for multiple short jobs in a system
- May cause long job to be postponed indefinitely
  - even though not blocked
- Solution:
  - First-come, first-serve policy