CIS 415: Operating Systems

Deadlocks

Prof Butler
Spring 2011
• Last class:
  ‣ Synchronization

• Today:
  ‣ Deadlocks
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.

- An event could be:
  - Waiting for a critical section
  - Waiting for a condition to change
  - Waiting for a physical resource
Conditions for Deadlock

- **Mutual exclusion:** The requesting process is delayed until the resource held by another is released.

- **Hold and wait:** A process must be holding at least 1 resource and must be waiting for 1 or more resources held by others.

- **No preemption:** Resources cannot be preempted from one and given to another.

- **Circular wait:** A set \((P_0, P_1, \ldots, P_n)\) of waiting processes must exist such that \(P_0\) is waiting for a resource held by \(P_1\), \(P_1\) is waiting for \(\ldots\) by \(P_2\), \(\ldots\) \(P_n\) is waiting for \(\ldots\) held by \(P_0\).
Resource Allocation Graph

- Vertices (V) = Processes (Pi) and Resources (Rj)
- Edges (E) = Assignments (Rj->Pi, Rj is allocated to Pi) and Request (Pi->Rj, Pi is waiting for Rj).
- For each Resource Rj, there could be multiple instances.
- A requesting process can be granted any one of those instances if available.
An example

![Diagram showing relationships between P1, P2, P3, R1, R2, R3, and R4. The diagram illustrates a network of processes and resources.]

CIS 415: Operating Systems
A deadlock

If there is a deadlock, there will be a cycle (Necessary Condition).
A cycle is NOT a sufficient condition
Strategies for Handling Deadlocks

- Ignore the problem altogether (ostrich algorithm) since it may occur very infrequently, cost of detection/prevention may not be worth it.

- Detect and recover after its occurrence.

- Avoidance by careful resource allocation

- Prevention by structurally negating one of the four necessary conditions
Deadlock Prevention

• Note that all 4 necessary conditions need to hold for deadlock to occur.

• We can try to disallow one of them from happening:
  ‣ Mutual exclusion: This is usually not possible to avoid with many resources.
  ‣ No preemption: This is again not easy to address with many resources. Possible for some resources (e.g. CPU)
  ‣ Hold and Wait:
    ▪ Allow at most 1 resource to be held/requested at any time
    ▪ Make sure all requests are made at the same time.
    ▪ …
Circular Wait

- Number the resources, and make sure requests are always made in increasing/decreasing order.
- Or make sure you are never holding a lower numbered resource when requesting a higher numbered resource.
Deadlock Avoidance

- Avoid actions that may lead to a deadlock.
- Visualize the system as a state machine moving from 1 state to another as each instruction is executed.
- A state can be: safe, unsafe or deadlocked.
- Safe state is one where
  - it is not a deadlocked state
  - there is some sequence by which all requests can be satisfied.
- To avoid deadlocks, we try to make only those transitions that will take you from one safe state to another.
- This may be a little conservative, but it avoids deadlocks
State Transitions

- **Safe**
- **Unsafe**
- **Deadlocked**

Start → Unsafe → Deadlocked → Safe → End

Diagram showing state transitions in a system.
1 resource with 12 units of that resource available.

Current State: Free = (12 − (5 + 2 + 2)) = 3

<table>
<thead>
<tr>
<th></th>
<th>Max. Needs</th>
<th>Currently Allocated</th>
<th>Still Needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>P0</td>
<td>10</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>P1</td>
<td>4</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>P2</td>
<td>9</td>
<td>2</td>
<td>7</td>
</tr>
</tbody>
</table>

Free = 3

After reducing P1, Free = 5

After reducing P0, Free = 10
Then reduce P2.

This state is **safe** because, there is a sequence (P1 followed by P0 followed by P2) by which max needs of each process can be satisfied. This is called the **reduction sequence**.
Unsafe State

What if P2 requests 1 more and is allocated 1 more?

New State:

<table>
<thead>
<tr>
<th></th>
<th>Max. Needs</th>
<th>Currently Allocated</th>
<th>Still Needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>P0</td>
<td>10</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>P1</td>
<td>4</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>P2</td>
<td>9</td>
<td>3</td>
<td>6</td>
</tr>
</tbody>
</table>

Free = 2
This is unsafe.

Only P1 can be reduced. If P0 and P2 then come and ask for their full needs, the system can become deadlocked. Hence, by granting P2’s request for 1 more, we have moved from a safe to unsafe state. Deadlock avoidance algorithm will NOT allow such a transition, and will not grant P2’s request immediately.
• Deadlock avoidance essentially allows requests to be satisfied only when the allocation of that request would lead to a safe state.

• Else do not grant that request immediately.
Banker’s algorithm

- When a request is made, check to see if after the request is satisfied, there is (at least one!) sequence of moves that can satisfy all possible requests. i.e. the new state is safe.

- If so, satisfy the request, else make the request wait.
Checking for Safe State

N processes and M resources

Data Structures:
MaxNeeds[N][M];
Allocated[N][M];
StillNeeds[N][M];
Free[M];
Temp[M];
Done[N];

while () {
    Temp[j]=Free[j] for all j
    Find an i such that
        a) Done[i] = False
        b) StillNeeds[i,j] <= Temp[j]
    if so {
        Temp[j] += Allocated[i,j] for all j
        Done[i] = TRUE  /* release Allocated[i] */
    }
    else if Done[i] = TRUE for all i then state is safe
    else state is unsafe
}

M*N^2 steps to detect if a state is safe!
An example

5 processes, 3 resource types A (10 instances), B (5 instances), C (7 instances)

<table>
<thead>
<tr>
<th>MaxNeeds</th>
<th>Allocated</th>
<th>StillNeeds</th>
<th>Free</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A  B  C</td>
<td>A  B  C</td>
<td>A  B  C</td>
</tr>
<tr>
<td>P0</td>
<td>7  5  3</td>
<td>0  1  0</td>
<td>7  4  3</td>
</tr>
<tr>
<td>P1</td>
<td>3  2  2</td>
<td>2  0  0</td>
<td>1  2  2</td>
</tr>
<tr>
<td>P2</td>
<td>9  0  2</td>
<td>3  0  2</td>
<td>6  0  0</td>
</tr>
<tr>
<td>P3</td>
<td>2  2  2</td>
<td>2  1  1</td>
<td>0  1  1</td>
</tr>
<tr>
<td>P4</td>
<td>4  3  3</td>
<td>0  0  2</td>
<td>4  3  1</td>
</tr>
</tbody>
</table>

This state is safe, because there is a reduction sequence 
<P1, P3, P4, P2, P0> that can satisfy all the requests.

Exercise: Formally go through each of the steps that update these matrices for the reduction sequence.
Handling Deadlocks

- Ignore the problem altogether (ostrich algorithm) since it may occur very infrequently, cost of detection/prevention may not be worth it.
- Detect and recover after its occurrence.
- Avoidance by careful resource allocation
- Prevention by structurally negating one of the four necessary conditions
Detection & Recovery

- If there is only 1 instance of each resource, then a cycle in the resource-allocation graph is a “sufficient” condition for a deadlock, i.e. you can run a cycle-detection algorithm to detect a deadlock.

- With multiple instances of each resource, ???
Detection Algorithm

N processes, M resources

Data structures:
- Free[M];
- Allocated[N][M];
- Request[N][M];
- Temp[M];
- Done[N];

1. Temp[i] = Free[i] for all i
   Done[i] = FALSE unless there is no resources allocated to it.

2. Find an index i such that both
   (a) Done[i] == FALSE
   (b) Request[i] <= Temp (vector comp.)
   If no such i, go to step 4.

3. Temp = Temp + Allocated[i] (vector add)
   Done[i]= TRUE; /* release Allocated[i] */
   Go to step 2.

4. If Done[i]=FALSE for some i, then there is a deadlock.

Basic idea is that there is at least 1 execution that will unblock all processes.

M*N^2 algorithm!
Example

5 processes, 3 resource types A (7 instances), B (2 instances), C (6 instances)

<table>
<thead>
<tr>
<th>Allocated</th>
<th>Request</th>
<th>Free</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A  B  C</td>
<td>A  B  C</td>
</tr>
<tr>
<td>P0</td>
<td>0 1 0</td>
<td>P0 0 0 0</td>
</tr>
<tr>
<td>P1</td>
<td>2 0 0</td>
<td>P1 2 0 2</td>
</tr>
<tr>
<td>P2</td>
<td>3 0 3</td>
<td>P2 0 0 0</td>
</tr>
<tr>
<td>P3</td>
<td>2 1 1</td>
<td>P3 1 0 0</td>
</tr>
<tr>
<td>P4</td>
<td>0 0 2</td>
<td>P4 0 0 2</td>
</tr>
</tbody>
</table>

This state is NOT deadlocked.

By applying algorithm, the sequence <P0, P2, P3, P1, P4> will result in Done[i] being TRUE for all processes.
Recovery

- Once deadlock is detected what should we do?
  - Preempt resources (whenever possible)
  - Kill the processes (and forcibly remove resources)
  - Checkpoint processes periodically, and roll them back to last checkpoint (relinquishing any resources they may have acquired since then).
Summary

• Deadlocks
  ‣ Necessary and sufficient conditions
    • Resource allocation graph
  ‣ Strategies
    • Ignore
    • Prevention
      ‣ Safe States
    • Avoidance
    • Detection and recovery
• **Exam Structure**

  ‣ **(12) Short Answer (1-3 sentences)**
    ▪ 3-4 pts each

  ‣ **(4) Long Answer (2 paragraphs max)**
    ▪ 7 pts each

  ‣ **(3) Constructions (several related, small questions)**
    ▪ 10-12 pts each
Exam Structure

- (12) Short Answer (1-3 sentences)
  - How and what questions
    - How does X work?
    - What is Y?

- (4) Long Answer (2 paragraphs max)
  - How and why questions
    - How and why does X work that way?
    - The ‘why’ may be implicit, but do not assume that I know that you know how these work

- (3) Constructions (several related, small questions)
  - Specific questions about OS mechanisms/concepts
• **Scope**
  ‣ About 1/3 to 1/2 is related to HWs/quizzes/project
  ‣ Test covers all topics that we discussed in class
    ▪ But, not all the answers are specified in the slides
  ‣ And related sections in book
    ▪ We followed pretty closely in Chs. 3-5
  ‣ Hopefully, your notes are good (or you have a good memory of what we discussed)
• Scope
  ‣ Chapter 1-5, some chapter 6, possibly a bit on chapter 7
  ‣ More emphasis on chapters 3-5 (others were review or pretty new)
• Chapter 1
  ‣ Hardware concepts
    ▪ CPU
      ‣ Internals
    ▪ Memory
      ‣ Memory hierarchy
    ▪ I/O devices
      ‣ Interaction
  ‣ Communication mechanisms
    ▪ Interrupts
    ▪ Bus
Chapter 2

- OS structure
- What is the OS?
  - Functions
- OS API
  - System call processing
  - Process and file system calls
  - (we’ll come back to mmap later)
- Process structure (address space)
- OS structures
  - Monolithic and microkernel
- Chapter 3
  - Process Structure (Address space)
    - Process creation (fork/exec)
    - Process loading (executables and libraries)
  - Process representation in kernel (structure)
    - Context switch
    - Hierarchy
  - Process states
  - Interprocess communication
    - Shared memory
    - Message passing
    - In detail -- studying actual systems will help understand the concepts
  - Remote procedure calls
Chapter 4 -- Threads

- Purpose of threads
- Threading models
- Thread context switch
- Thread system issues
- Threading system basics
  - Clone system call
  - Linux threads
  - Pthreads invocation, termination
Chapter 5 -- Scheduling

- Concepts
  - Bursts, preemption, basic criteria
- I/O bound and CPU bound processes
- Algorithms
  - FCFS, SJF, RR, priority
  - Exponential average
  - Multiqueue scheduling (combinations of above)
- Study Linux/Solaris to better understand scheduling
• Chapter 6 -- Synchronization
  ‣ Concepts
    ▪ Concurrency, critical section problem & requirements
  ‣ S/W and H/W approaches to synchronization
  ‣ Semaphores and Monitors
  ‣ Synchronization Problems
    ▪ Bounded-buffer
    ▪ Readers-Writers
    ▪ Dining Philosophers