Logistics

- Office hours
  - Monday, Oct. 27 changed to Wednesday, Oct. 29
- Project 1 due next Monday, October 27, midnight
- Assignment 1 handed in lab tomorrow
Outline

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

- System consists of resources
- 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
  - Use
  - Release
Deadlock Characterization

- Deadlock can arise if four conditions hold simultaneously:
  1. *Mutual exclusion*: only one process at a time can use a resource
  2. *Hold and wait*: a process holding at least one resource is waiting to acquire additional resources held by other processes
  3. *No preemption*: a resource can be released only voluntarily by the process holding it, after that process has completed its task using the resource
  4. *Circular wait*: there exists a set \( \{P_0, P_1, \ldots, P_n\} \) 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 $P_i \rightarrow R_j$
- Assignment edge – directed edge $R_j \rightarrow P_i
Resource-Allocation Graph Graphics

- 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

- $P_1$ is requesting $R_1$ and holding an instance of $R_2$
- $P_2$ is holding an instance of $R_1$ and $R_2$ and is requesting $R_3$
- $P_3$ is holding an instance of $R_3$
- Hold and wait conditions
- Deadlock?
Resource-Allocation Graph With A Deadlock

- Hold and wait conditions with a circular wait
- Every process is waiting on a resource that is being held by another process in the cycle
- No process can proceed
- Every process is waiting
Why is this not a deadlock?

There exist a resource that is held by a process that is not in the cycle

A resource can be released by a process that is not in the cycle, allowing for a process in the cycle to proceed
Basic Facts

- If graph contains no cycles:
  - There can be no deadlock
- If graph contains a cycle:
  - If only one instance per resource type
    ⇒ deadlock
  - If several instances per resource type
    ⇒ possibility of deadlock
Methods for Handling Deadlocks

- Basically, need to ensure that the system will never enter a deadlock state:
  - Deadlock prevention
  - Deadlock avoidance

- You could also 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

- Restrained the ways request can be made

- Mutual exclusion
  - Not required for sharable resources (e.g., read-only files)
  - Must hold for non-sharable resources

- Hold and wait
  - Must guarantee that whenever a process requests a resource, it does not hold any other resources (strict)
  - Require process to request and be allocated ALL of its resources before it begins execution
  - Allow process to request resources only when the process has none allocated to it
  - Low resource utilization and starvation possible
Deadlock Prevention

- **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.
Example using Pthread Mutex Locks

- Think of the mutex locks as representing a resource being requested
- Does this code generate a deadlock?
- Why or why not?
- What is wrong?
- Hint: order matters

```c
/* thread one runs in this function */
void *do_work_one(void *param) {
    pthread_mutex_lock(&first_mutex);
    pthread_mutex_lock(&second_mutex);
    /** * Do some work */
    pthread_mutex_unlock(&second_mutex);
    pthread_mutex_unlock(&first_mutex);
    pthread_exit(0);
}

/* thread two runs in this function */
void *do_work_two(void *param) {
    pthread_mutex_lock(&second_mutex);
    pthread_mutex_lock(&first_mutex);
    /** * Do some work */
    pthread_mutex_unlock(&first_mutex);
    pthread_mutex_unlock(&second_mutex);
    pthread_exit(0);
}
```
An Account Transaction Example

- Transactions 1 and 2 execute concurrently
  - Transaction 1 transfers $25 from account A to account B
  - Transaction 2 transfers $50 from account B to account A
- Locks are locked in an order, unlocked in reverse

```c
void transaction(Account from, Account to, double amount) {
    mutex lock1, lock2;
    lock1 = get_lock(from);
    lock2 = get_lock(to);
    acquire(lock1);
    acquire(lock2);
    withdraw(from, amount);
    deposit(to, amount);
    release(lock2);
    release(lock1);
}
```
Does it work?
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, must decide if immediate allocation leaves the system in a safe state.
- System is in safe state if there exists a sequence

\[ <P_1, P_2, \ldots, P_n> \]

of ALL the processes in the system 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 \( j < i \)

- 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.
Basic Facts

- If a system is in safe state
  ⇒ no deadlocks

- If a system is in unsafe state
  ⇒ possibility of deadlock

- Avoidance achieved by ensuring that a system will never enter an unsafe state
State Relationships

- A resource-allocation graph can be in 2 mutually exclusive states: safe, unsafe
- In the unsafe state, a resource-allocation graph can be vulnerable to deadlock or in a deadlocked condition
Avoidance Algorithms

- Avoidance algorithms prevent deadlocks from ever happening.
- Approaches depend on assumptions about the resource allocation graph.
- Single instance of a resource type
  - Use a resource-allocation graph to evaluate.
- 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

Is this in a safe state?
Unsafe State In Resource-Allocation Graph

- Why is this unsafe?
Resource-Allocation Graph Algorithm

- Suppose that process $P_i$ requests a resource $R_j$
- The request can be granted only if converting the request edge to an assignment edge does not result in the formation of a cycle in the resource allocation graph
- Cycles are evaluated using all types of edges, including claim edges
Banker’s Algorithm

- Suppose we have multiple instances
- Requirements:
  - 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
- Banker’s algorithms is a bookkeeping method for tracking and assigning resources
Data Structures for 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

1. Let Work and Finish be vectors of length \( m \) and \( n \), respectively. Initialize:
   
   \[
   Work = Available \\
   Finish[i] = false \text{ for } i = 0, 1, \ldots, n-1
   \]

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
Resource-Request Algorithm for Process $P_i$

- $Request_i = \text{request vector for process } P_i$
- 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 $P_i$: 
     \begin{align*}
     Available &= Available - Request_i; \\
     Allocation_i &= Allocation_i + Request_i; \\
     Need_i &= Need_i - Request_i;
     \end{align*}
     If safe $\Rightarrow$ the resources are allocated to $P_i$
     If unsafe $\Rightarrow$ $P_i$ must wait, restore old resource allocation
Example of Banker’s Algorithm

- 5 processes $P_0$ through $P_4$
- 3 resource types:
  - A (10 instances), B (5 instances), C (7 instances)
- Snapshot at time $T_0$:

<table>
<thead>
<tr>
<th>Process</th>
<th>Allocation</th>
<th>Max</th>
<th>Available</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>$P_0$</td>
<td>0 1 0</td>
<td>7 5 3</td>
<td>3 3 2</td>
</tr>
<tr>
<td>$P_1$</td>
<td>2 0 0</td>
<td>3 2 2</td>
<td></td>
</tr>
<tr>
<td>$P_2$</td>
<td>3 0 2</td>
<td>9 0 2</td>
<td></td>
</tr>
<tr>
<td>$P_3$</td>
<td>2 1 1</td>
<td>2 2 2</td>
<td></td>
</tr>
<tr>
<td>$P_4$</td>
<td>0 0 2</td>
<td>4 3 3</td>
<td></td>
</tr>
</tbody>
</table>
Check for Safety

Matrix \textit{Need} is defined to be \textit{Max} – \textit{Allocation}

\begin{align*}
\text{Process} & \quad \text{Need} & \quad \text{Allocation} & \quad \text{Max} & \quad \text{Available} \\
\text{A} & \quad \text{B} & \quad \text{C} & \quad \text{A} & \quad \text{B} & \quad \text{C} & \quad \text{A} & \quad \text{B} & \quad \text{C} \\
P_0 & \quad 7 & \quad 4 & \quad 3 & \quad 0 & \quad 1 & \quad 0 & \quad 7 & \quad 5 & \quad 3 & \quad 3 & \quad 3 & \quad 2 \\
P_1 & \quad 2 & \quad 0 & \quad 0 & \quad 2 & \quad 0 & \quad 0 & \quad 3 & \quad 2 & \quad 2 \\
P_2 & \quad 3 & \quad 0 & \quad 2 & \quad 3 & \quad 0 & \quad 2 & \quad 9 & \quad 0 & \quad 2 \\
P_3 & \quad 2 & \quad 1 & \quad 1 & \quad 2 & \quad 1 & \quad 1 & \quad 2 & \quad 2 & \quad 2 \\
P_4 & \quad 0 & \quad 0 & \quad 2 & \quad 0 & \quad 0 & \quad 2 & \quad 4 & \quad 3 & \quad 3 \\
\end{align*}

- The system is in a safe state since the sequence \( < P_1, P_3, P_4, P_2, P_0 > \) satisfies safety criteria
P1 Requests (1,0,2)

- Let’s advance the system
- Check that Request $\leq$ Available (that is, \((1,0,2) \leq (3,3,2) \Rightarrow true\)

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<th>Need</th>
<th>Available</th>
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</thead>
<tbody>
<tr>
<td>P₀</td>
<td>0 1 0</td>
<td>7 4 3</td>
<td>2 3 0</td>
</tr>
<tr>
<td>P₁</td>
<td>3 0 2</td>
<td>0 2 0</td>
<td></td>
</tr>
<tr>
<td>P₂</td>
<td>3 0 2</td>
<td>6 0 0</td>
<td></td>
</tr>
<tr>
<td>P₃</td>
<td>2 1 1</td>
<td>0 1 1</td>
<td></td>
</tr>
<tr>
<td>P₄</td>
<td>0 0 2</td>
<td>4 3 1</td>
<td></td>
</tr>
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</table>

- Executing safety algorithm shows that sequence \(< P₁, P₃, P₄, P₀, P₂ >\) satisfies safety requirement
- Can request for (3,3,0) by P₄ be granted?
- Can request for (0,2,0) by P₀ 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
  - If there is a cycle, there exists a deadlock

- 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 and Wait-for Graph

(a) Resource-Allocation Graph

(b) 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 $\text{Request}[i][j] = k$, 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 $i = 1,2, \ldots, n$, 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

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
   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 P₀ through P₄
- Three resource types
  - A (7 instances), B (2 instances), and C (6 instances)
- Snapshot at time T₀:

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<td>A B C</td>
</tr>
<tr>
<td>P₀</td>
<td>0 1 0</td>
<td>0 0 0</td>
<td>0 0 0</td>
</tr>
<tr>
<td>P₁</td>
<td>2 0 0</td>
<td>2 0 2</td>
<td></td>
</tr>
<tr>
<td>P₂</td>
<td>3 0 3</td>
<td>0 0 0</td>
<td></td>
</tr>
<tr>
<td>P₃</td>
<td>2 1 1</td>
<td>1 0 0</td>
<td></td>
</tr>
<tr>
<td>P₄</td>
<td>0 0 2</td>
<td>0 0 2</td>
<td></td>
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</tbody>
</table>

- Sequence <P₀, P₂, P₃, P₁, P₄> gives Finish[i] = true for all i
Deadlock?

- $P_2$ requests an additional instance of type C

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</tr>
<tr>
<td>$P_2$</td>
<td>0 0 1</td>
</tr>
<tr>
<td>$P_3$</td>
<td>1 0 0</td>
</tr>
<tr>
<td>$P_4$</td>
<td>0 0 2</td>
</tr>
</tbody>
</table>

- 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 disjoint 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
Deadlock Recovery: 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?
Deadlock Recovery: Resource Preemption

- Selecting a victim
  - Attempt to 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
Next Class

- Memory management