

# 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



# Learning Outcomes

- Understand what deadlock is and how it can occur when giving mutually exclusive access to multiple resources.
- Understand several approaches to mitigating the issue of deadlock in operating systems.
  - Including deadlock *detection and recovery*, deadlock *avoidance*, and deadlock *prevention*.



# 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



# Resources

- Sequence of events required to use a resource
  1. request the resource
  2. use the resource
  3. release the resource
- Must wait if request is denied
  - requesting process may be blocked
  - may fail with error code



# Example Resource usage

```
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_2);
    up(&res_1);
}
```

```
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_2);
    down(&res_1);
    use_both_res();
    up(&res_1);
    up(&res_2);
}
```



# 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



# Four Conditions for Deadlock

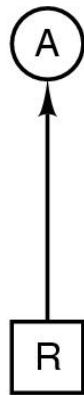
1. Mutual exclusion condition
  - each resource assigned to 1 process or is available
2. Hold and wait condition
  - process holding resources can request additional
3. No preemption condition
  - previously granted resources cannot forcibly taken away
4. Circular wait condition
  - must be a circular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



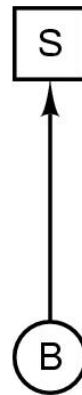


# Deadlock Modeling

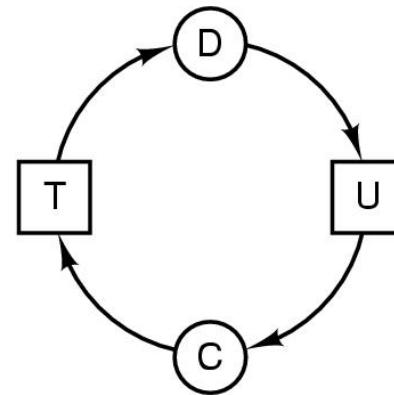
- Modeled with directed graphs



(a)



(b)



(c)

- 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



# Deadlock

## 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



# Deadlock Modeling

**A**  
Request R  
Request S  
Release R  
Release S

(a)

**B**  
Request S  
Request T  
Release S  
Release T

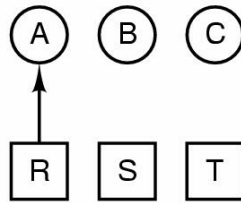
(b)

**C**  
Request T  
Request R  
Release T  
Release R

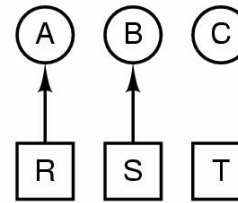
(c)

1. A requests R
2. B requests S
3. C requests T
4. A requests S
5. B requests T
6. C requests R

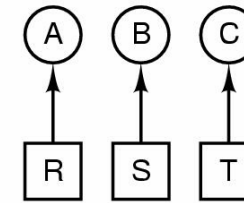
(d)



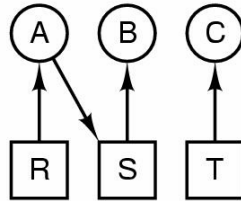
(e)



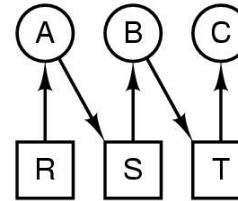
(f)



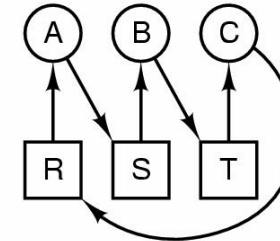
(g)



(h)



(i)



(j)

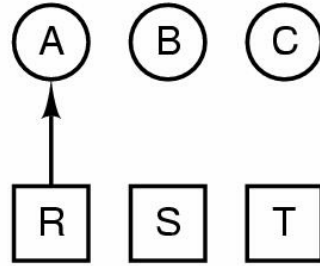
How deadlock occurs



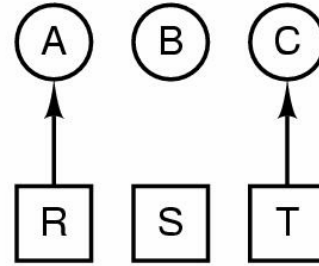
# Deadlock Modeling

1. A requests R
  2. C requests T
  3. A requests S
  4. C requests R
  5. A releases R
  6. A releases S
- no deadlock

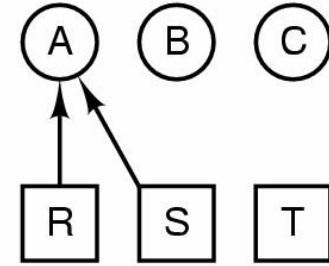
(k)



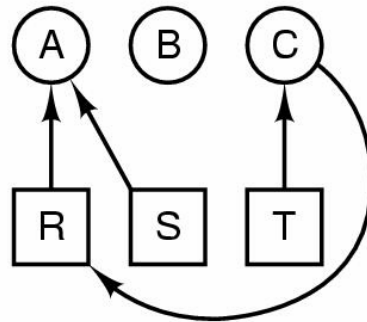
(l)



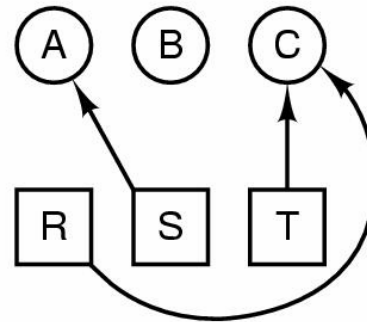
(m)



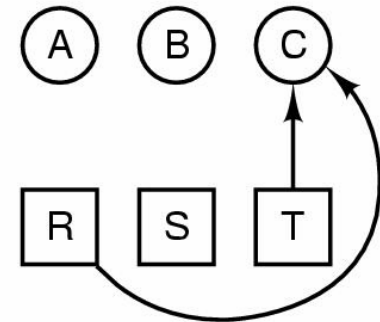
(n)



(o)



(p)



(q)

How deadlock can be avoided

# Approach 1: 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 for some of the more complex resources to manage
- It's a trade off between
  - Convenience (engineering approach)
  - Correctness (mathematical approach)



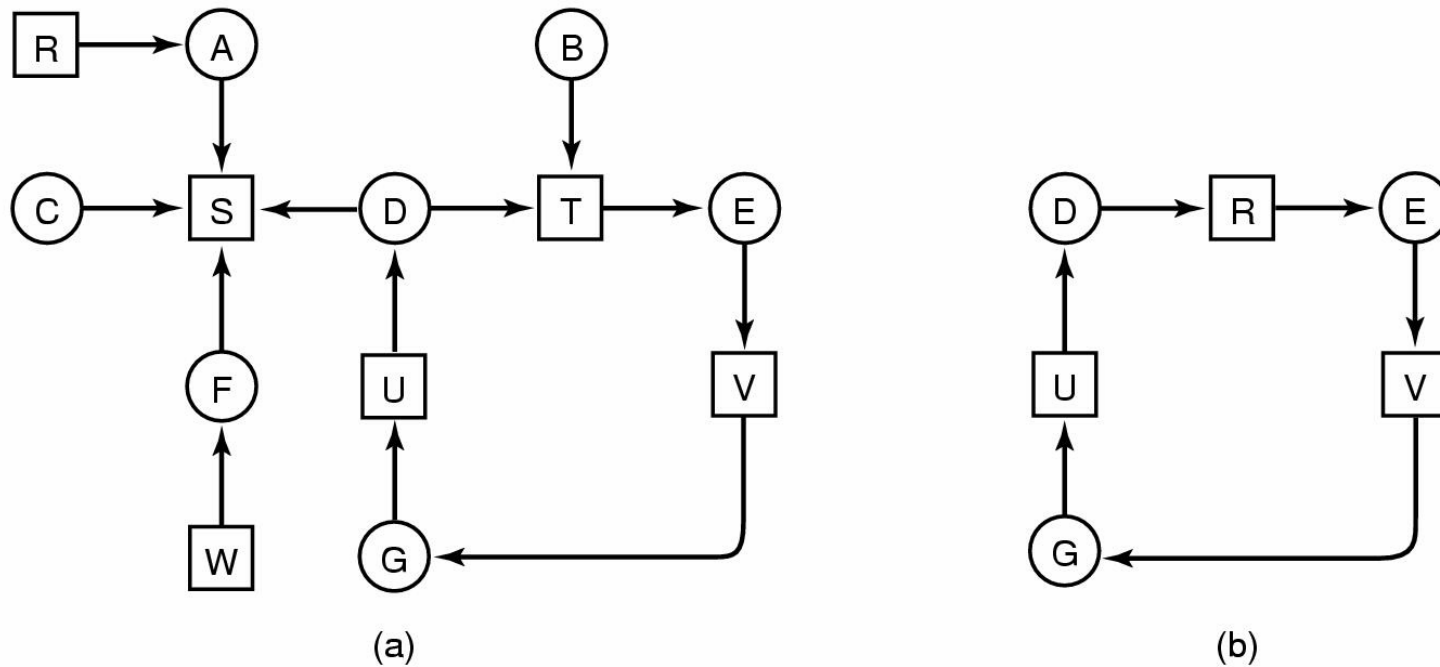
# Approach 2: Detection and Recovery

- Need a method to determine if a system is deadlocked.
- Assuming deadlocked is detected, we need a method of recovery to restore progress to the system.



# Approach 2

## 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

Resources in existence  
( $E_1, E_2, E_3, \dots, E_m$ )

Resources available  
( $A_1, A_2, A_3, \dots, A_m$ )

Current allocation matrix

$$\begin{bmatrix} C_{11} & C_{12} & C_{13} & \cdots & C_{1m} \\ C_{21} & C_{22} & C_{23} & \cdots & C_{2m} \\ \vdots & \vdots & \vdots & & \vdots \\ C_{n1} & C_{n2} & C_{n3} & \cdots & C_{nm} \end{bmatrix}$$

Row n is current allocation  
to process n

Request matrix

$$\begin{bmatrix} R_{11} & R_{12} & R_{13} & \cdots & R_{1m} \\ R_{21} & R_{22} & R_{23} & \cdots & R_{2m} \\ \vdots & \vdots & \vdots & & \vdots \\ R_{n1} & R_{n2} & R_{n3} & \cdots & R_{nm} \end{bmatrix}$$

Row 2 is what process 2 needs

## Data structures needed by deadlock detection algorithm



# Note the following invariant

Sum of current resource allocation +  
resources available = resources that exist

$$\sum_{i=1}^n C_{ij} + A_j = E_j$$



# Detection with Multiple Resources of Each Type

$$E = \begin{pmatrix} 4 & 2 & 3 & 1 \end{pmatrix}$$

Tape drives  
Plotters  
Scanners  
CD Roms

$$A = \begin{pmatrix} 2 & 1 & 0 & 0 \end{pmatrix}$$

Tape drives  
Plotters  
Scanners  
CD Roms

Current allocation matrix

$$C = \begin{bmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{bmatrix}$$

Request matrix

$$R = \begin{bmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{bmatrix}$$

An example for the deadlock detection algorithm



# 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

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (2 \quad 1 \quad 0 \quad 0)$$

$$C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$

$$R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix}$$



# Example Deadlock Detection

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (2 \quad 1 \quad 0 \quad 0)$$

$$C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$




$$R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix}$$



# Example Deadlock Detection

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (2 \quad 2 \quad 2 \quad 0)$$

$$C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$



$$R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix}$$



# Example Deadlock Detection

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (2 \quad 2 \quad 2 \quad 0)$$


$$C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$



$$\begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix}$$

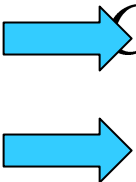




# Example Deadlock Detection

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (4 \quad 2 \quad 2 \quad 1)$$


$$C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$



$$\begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix}$$



# Example Deadlock Detection

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (4 \quad 2 \quad 2 \quad 1)$$

$$\begin{array}{l} \longrightarrow \\ \longrightarrow \end{array} C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$

$$R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix}$$



# Example Deadlock Detection

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (4 \quad 2 \quad 2 \quad 1)$$

$$\begin{array}{l} \rightarrow \\ \rightarrow \end{array} C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$

$$\begin{array}{c} \rightarrow \\ R = \end{array} \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix}$$



# Example Deadlock Detection

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (4 \quad 2 \quad 3 \quad 1)$$

$$\begin{array}{l} \longrightarrow \\ \longrightarrow \\ \longrightarrow \end{array} C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$

$$R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 0 \end{pmatrix}$$



# Example Deadlock Detection

- Algorithm terminates with no unmarked processes
  - We have no dead lock



# Example 2: Deadlock Detection

- Suppose,  $P3$  needs a CD-ROM as well as 2 Tapes and a Plotter

$$E = (4 \quad 2 \quad 3 \quad 1)$$

$$A = (2 \quad 1 \quad 0 \quad 0)$$

$$C = \begin{pmatrix} 0 & 0 & 1 & 0 \\ 2 & 0 & 0 & 1 \\ 0 & 1 & 2 & 0 \end{pmatrix}$$

$$R = \begin{pmatrix} 2 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 2 & 1 & 0 & 1 \end{pmatrix}$$



# 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 from Deadlock

- 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





# Approach 3

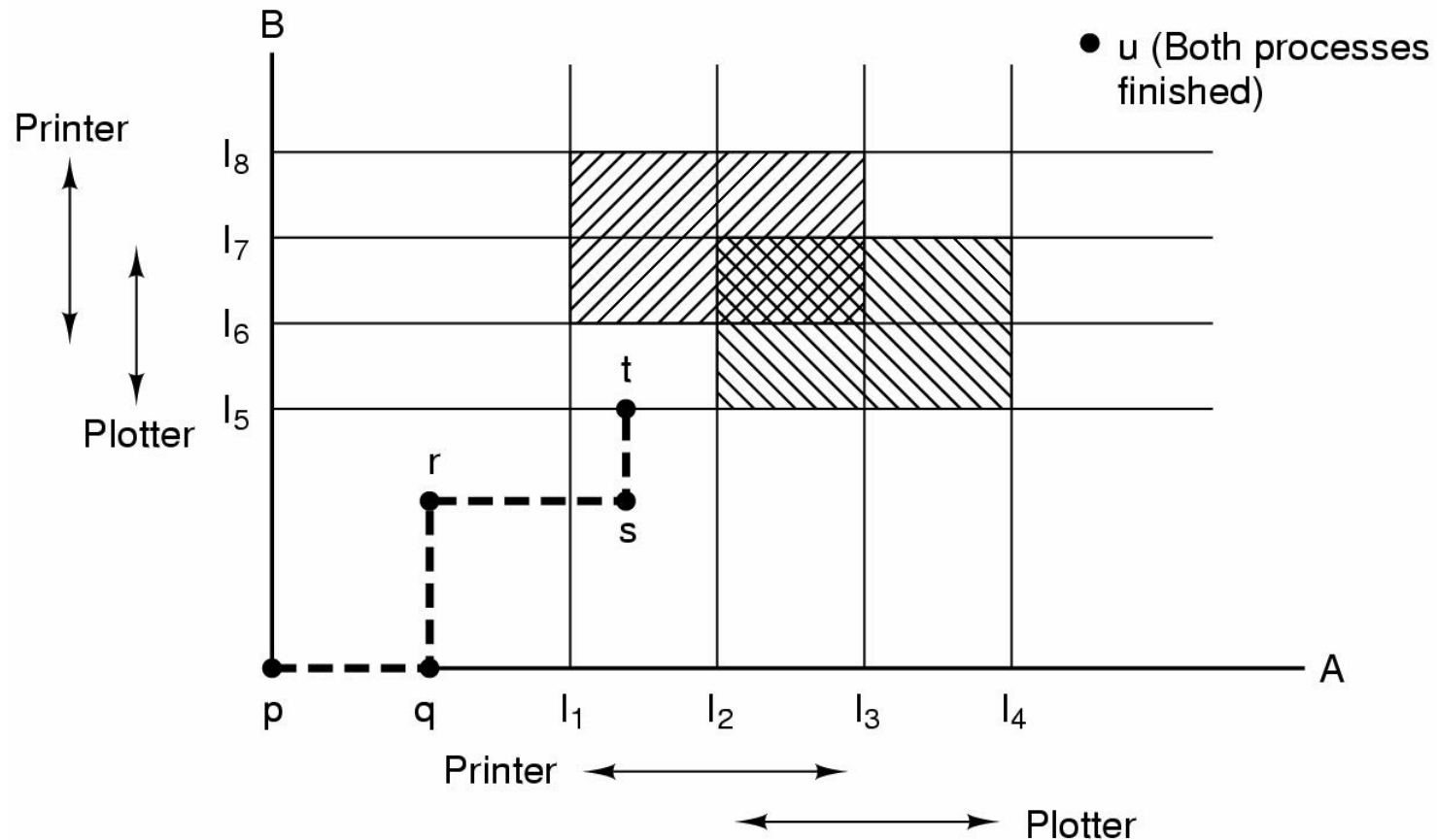
## Deadlock Avoidance

- 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



# Deadlock Avoidance

## Resource Trajectories



Two process resource trajectories



# 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 States

Note: We have 10 units of the resource

	Has	Max
A	3	9
B	2	4
C	2	7

Free: 3

(a)

	Has	Max
A	3	9
B	4	4
C	2	7

Free: 1

(b)

	Has	Max
A	3	9
B	0	-
C	2	7

Free: 5

(c)

	Has	Max
A	3	9
B	0	-
C	7	7

Free: 0

(d)

	Has	Max
A	3	9
B	0	-
C	0	-

Free: 7

(e)

Demonstration that the state in (a) is safe



# Safe and Unsafe States

A requests one extra unit resulting in (b)

	Has	Max
A	3	9
B	2	4
C	2	7

Free: 3

(a)

	Has	Max
A	4	9
B	2	4
C	2	7

Free: 2

(b)

	Has	Max
A	4	9
B	4	4
C	2	7

Free: 0

(c)

	Has	Max
A	4	9
B	—	—
C	2	7

Free: 4

(d)

Demonstration that the state in b is not safe



# 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 grant requests that result in 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.
  - 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

Has Max

A	0	6
B	0	5
C	0	4
D	0	7

Free: 10

(a)

Has Max

A	1	6
B	1	5
C	2	4
D	4	7

Free: 2

(b)

Has Max

A	1	6
B	2	5
C	2	4
D	4	7

Free: 1

(c)

- Three resource allocation states
  - safe
  - safe
  - unsafe





# Banker's Algorithm for Multiple Resources

	Process	Tape drives	Plotters	Scanners	CD ROMs
A	3	0	1	1	
B	0	1	0	0	
C	1	1	1	0	
D	1	1	0	1	
E	0	0	0	0	

Resources assigned

	Process	Tape drives	Plotters	Scanners	CD ROMs
A	1	1	0	0	
B	0	1	1	2	
C	3	1	0	0	
D	0	0	1	0	
E	2	1	1	0	

Resources still needed

E = (6342)  
P = (5322)  
A = (1020)

Example of banker's algorithm with multiple resources

Should we allow a request by B & E for 1 scanner to succeed??



# 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



# Approach 4: Deadlock Prevention

- Resource allocation rules prevent deadlock by prevent one of the four conditions required for deadlock from occurring
  - Mutual exclusion
  - Hold and wait
  - No preemption
  - Circular Wait



# Approach 4

## Deadlock Prevention

### Attacking the Mutual Exclusion Condition

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



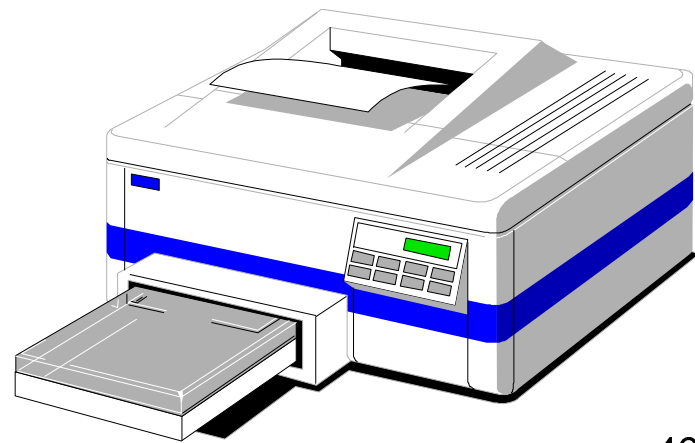
# Attacking the Hold and Wait Condition

- Require processes to request resources before starting
  - a process never has to wait for what it needs
- Issues
  - may not know required resources at start of run
    - $\Rightarrow$  not always possible
  - also ties up resources other processes could be using
- Variations:
  - process must give up all resources if it would block hold a resource
  - then request all immediately needed
  - prone to starvation



# Attacking the No Preemption Condition

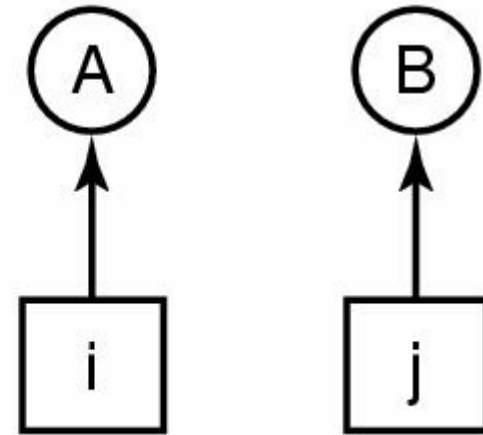
- This is not a viable option
- Consider a process given the printer
  - halfway through its job
  - now forcibly take away printer
  - !!??



# Attacking the Circular Wait Condition

1. Imagesetter
2. Scanner
3. Plotter
4. Tape drive
5. CD Rom drive

(a)



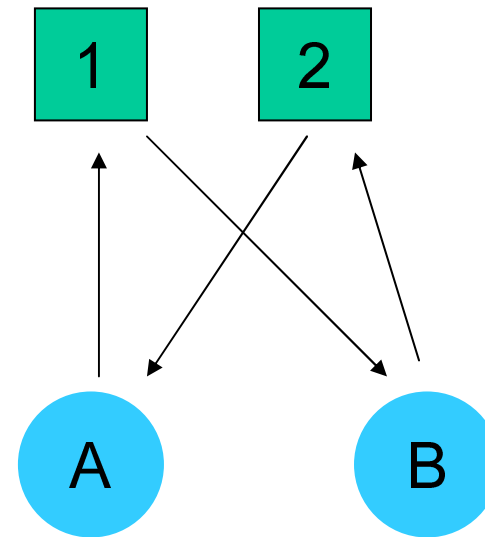
(b)

- Numerically ordered resources



# Attacking the Circular Wait Condition

- The displayed deadlock cannot happen
  - If A requires **1**, it must acquire it before acquiring **2**
  - Note: If B has **1**, all higher numbered resources must be free or held by processes who doesn't need **1**
- Resources ordering is a common technique in **practice!!!!**





# Summary of approaches to deadlock prevention

## Condition

- Mutual Exclusion
- Hold and Wait
- No Preemption
- Circular Wait

## Approach

- Not feasible
- Request resources initially
- Take resources away
- Order resources



# 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

- Starvation is where the overall system makes progress, but one or more processes never make progress.
  - 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

