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Chapter 7 Deadlocks

Deadlocks

e.g. DiningPhilosopher 每個人都在等別人的筷子

- A set of process is in a *deadlock* state when every process in the set is waiting for an event that can be caused by only another process in the set.
- A System Model
 - Competing processes – distributed?
 - Resources:
 - Physical Resources, e.g., CPU, printers, memory, etc.
 - Logical Resources, e.g., files, *semaphores*, etc.

e.g. Two processes each wait for the semaphore of each other.

Deadlocks

- A Normal Sequence
 - Request: Granted or Rejected
 - Use e.g. block()
 - Release
- Remarks
 - No request should exceed the system capacity!
 - Deadlock can involve different resource types!
 - Several instances of the same type!

Deadlocks

```
void *do_work_one(void *param) {  
1.  pthread_mutex_lock(&first_mutex);  
3.  pthread_mutex_lock(&second_mutex);  
    /* Do some work */  
    pthread_mutex_unlock(&second_mutex);  
    pthread_mutex_unlock(&first_mutex);  
    pthread_exit(0); }  
  
void *do_work_two(void *param) {  
2.  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); }  
  
...  
pthread_mutex_init(&first_mutex, NULL);  
pthread_mutex_init(&second_mutex, NULL);
```

當 P2 打算鎖住
first_mutex 時，發現
已經被 P1 鎖住，所以
切回 P1，P1 又發現
second_mutex 已經被
P2 鎖住，於是產生
deadlock。

Deadlock Characterization

- Necessary Conditions

(deadlock \rightarrow conditions or \neg conditions $\rightarrow \neg$ deadlock)

- Mutual Exclusion – At least one resource must be held in a non-sharable mode! 若 resource is sharable, 不可能會有 mutual exclusion
- Hold and Wait – P_i is holding at least one resource and waiting to acquire additional resources that are currently held by other processes!

Deadlock Characterization

- **No Preemption** – Resources are nonpreemptible!
- **Circular Wait** – There exists a set $\{P_0, P_1, \dots, P_n\}$ of waiting process such that $P_0 \xrightarrow{\text{wait}} P_1, P_1 \xrightarrow{\text{wait}} P_2, \dots, P_{n-1} \xrightarrow{\text{wait}} P_n$, and $P_n \xrightarrow{\text{wait}} P_0$.

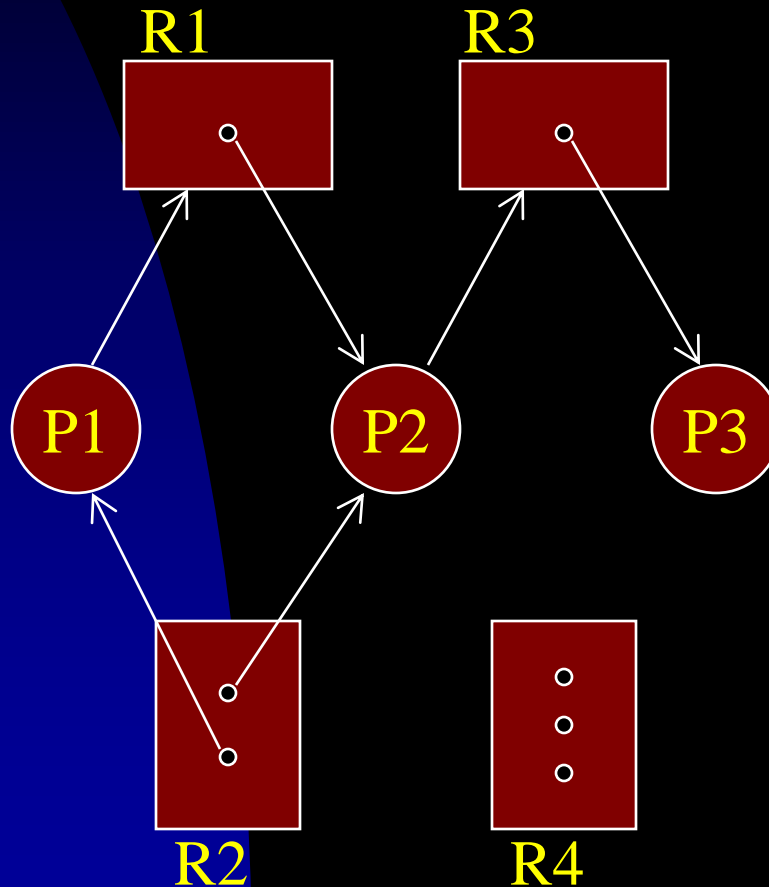
if $A \rightarrow B$, 這 4 個 condition 只要有一個 fail, 就不會有 deadlock!

- Remark:
 - Condition 4 implies Condition 2.
 - The four conditions are not completely independent!

他們之間存在關係！

Resource Allocation Graph

System Resource-Allocation Graph



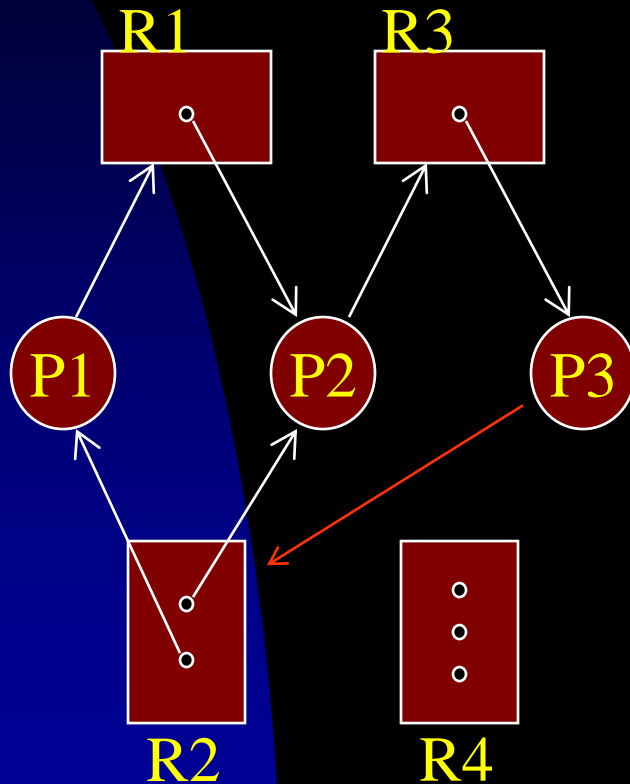
Vertices

- Processes:
 $\{P1, \dots, Pn\}$
- Resource Type :
 $\{R1, \dots, Rm\}$

Edges

- Request Edge:
 $P_i \rightarrow R_j$
- Assignment Edge:
 $R_i \rightarrow P_j$

Resource Allocation Graph



■ Example

■ No-Deadlock

■ Vertices

■ $P = \{ P1, P2, P3 \}$

■ $R = \{ R1, R2, R3, R4 \}$

■ Edges

■ $E = \{ P1 \rightarrow R1, P2 \rightarrow R3, R1 \rightarrow P2, R2 \rightarrow P2, R2 \rightarrow P1, R3 \rightarrow P3 \}$

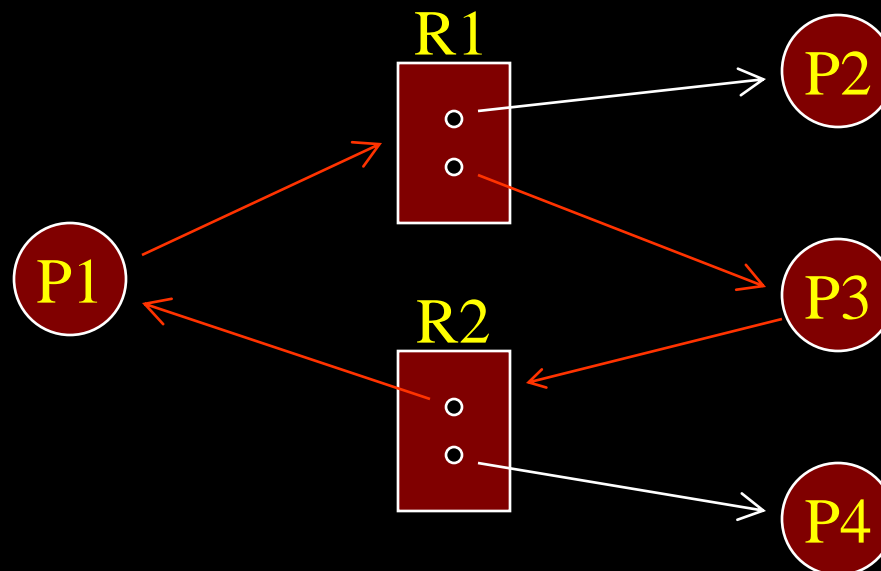
■ Resources

■ $R1:1, R2:2, R3:1, R4:3$

■ \rightarrow results in a deadlock.

Resource Allocation Graph

- Observation
 - The existence of a cycle
 - One Instance per Resource Type → Yes!!
 - Otherwise → Only A Necessary Condition!!



Methods for Handling Deadlocks

- Solutions:
 - Make sure that the system never enters a deadlock state!
 - Deadlock Prevention: Fail at least one of the necessary conditions
if $A \rightarrow B$, 這 4 個 condition 只要有一個 fail, 就不會有 deadlock!
 - Deadlock Avoidance: Processes provide information regarding their resource usage. Make sure that the system always stays at a “safe” state!

Methods for Handling Deadlocks

- Do **recovery** if the system is deadlocked.
 - Deadlock Detection
 - Recovery
- Ignore the possibility of deadlock occurrences!
 - Restart the system “manually” if the system “seems” to be deadlocked or stops functioning.
 - Note that the system may be “frozen” temporarily!

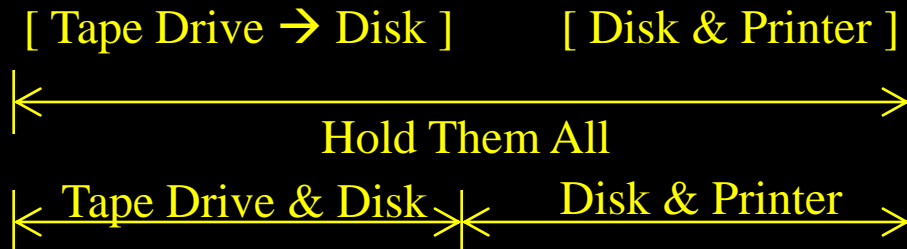
Deadlock Prevention

- Observation:
 - Try to fail anyone of the necessary condition!
$$\therefore \neg (\wedge i\text{-th condition}) \rightarrow \neg \text{deadlock}$$
- Mutual Exclusion
 - ?? Some resources, such as a printer, are intrinsically non-sharable??

Deadlock Prevention

- Hold and Wait
 - Acquire all needed resources before its execution. 拿東西，又想要別人的東西
 - Release allocated resources before request additional resources!

1. TD + Disk \rightarrow Disk + Printer
2. TD + Disk + Printer
(全部 hold 在手上，不要去 wait)



當在使用 TD & Disk 時，
Printer 沒事；同理，當在使用
Disk & Printer 時，TD 沒事

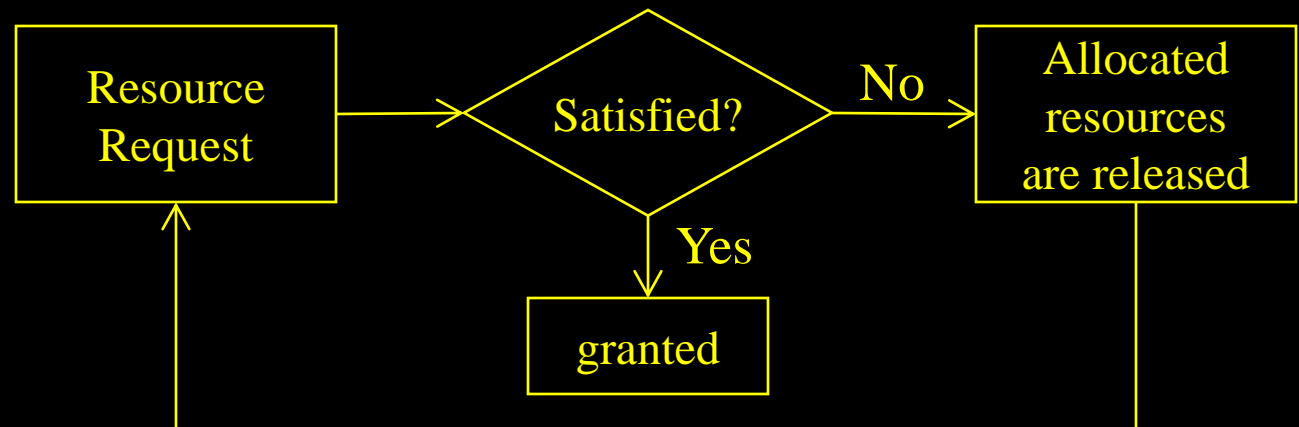
- Disadvantage:
 - Low Resource Utilization
 - Starvation

Deadlock Prevention

- No Preemption

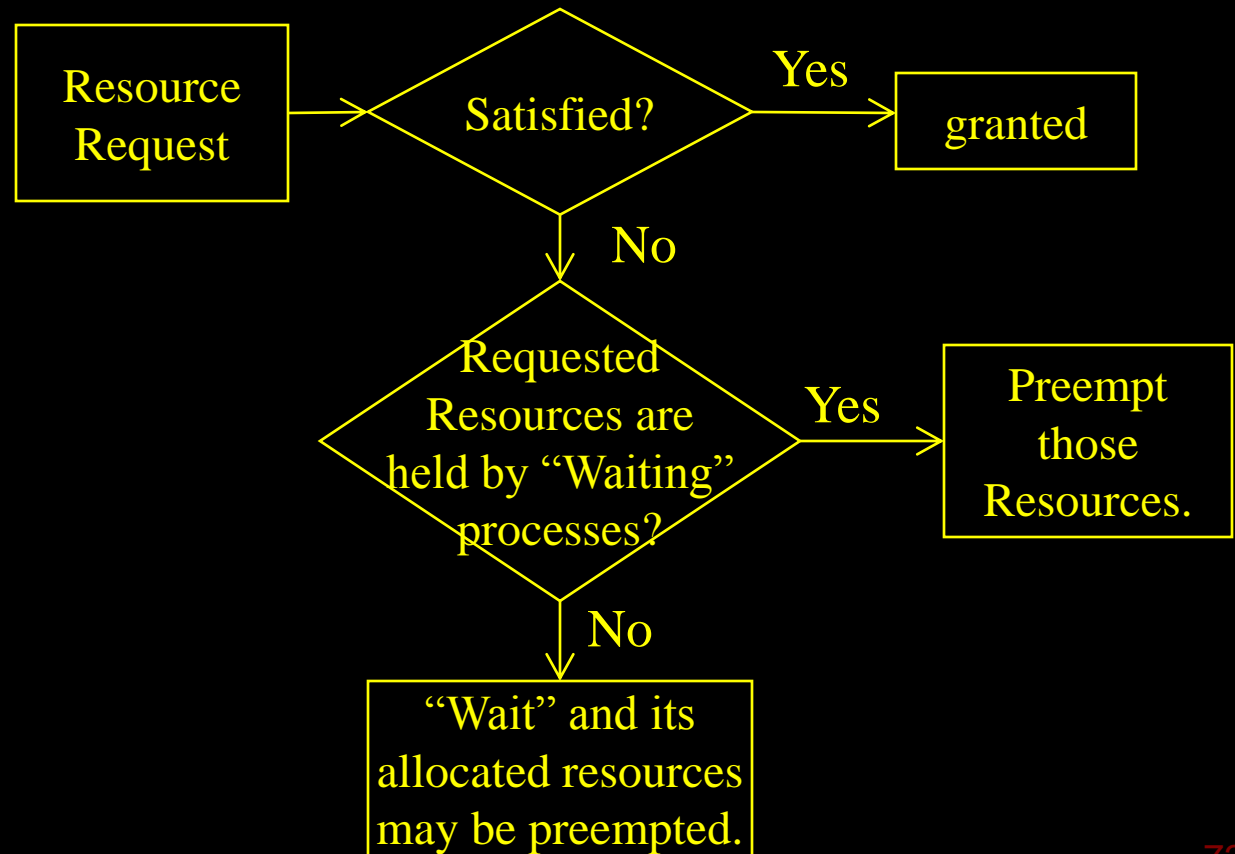
- Resource preemption causes the release of resources.
- Related protocols are only applied to resources whose states can be saved and restored, e.g., CPU register & memory space, instead of printers or tape drives.

- Approach 1: e.g. printer 印到一半，還有 100 頁：先等我把這頁印完，印完再給你印。



Deadlock Prevention

- Approach 2



Deadlock Prevention

- Circular Wait

A resource-ordering approach:

$$\left\{ \begin{array}{l} F : R \rightarrow N \\ \text{Resource requests must be made in} \\ \text{an increasing order of enumeration.} \end{array} \right.$$

- Type 1 – strictly increasing order of resource requests.
 - Initially, order any # of instances of R_i
 - Following requests of any # of instances of R_j must satisfy $F(R_j) > F(R_i)$, and so on.
 - * A single request must be issued for all needed instances of the same resources.

Deadlock Prevention

- Type 2
 - Processes must release all R_i 's when they request any instance of R_j if $F(R_i) \geq F(R_j)$
- $F : R \rightarrow N$ must be defined according to the normal order of resource usages in a system, e.g.,

$$\left. \begin{array}{l} F(\text{tape drive}) = 1 \\ F(\text{disk drive}) = 5 \\ F(\text{printer}) = 12 \end{array} \right\} \quad ?? \text{ feasible } ??$$

Deadlock Avoidance

- Motivation:
 - Deadlock-prevention algorithms can cause low device utilization and reduce system throughput!
- ➔ Acquire additional information about how resources are to be requested and have better resource allocation!
 - Processes declare their maximum number of resources of each type that it may need.

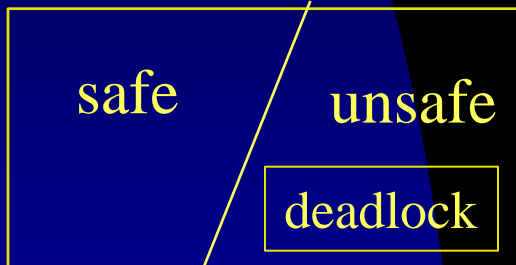
Deadlock Avoidance

- A Simple Model
 - A resource-allocation state
<# of available resources,
of allocated resources,
max demands of processes>
- A deadlock-avoidance algorithm dynamically examines the resource-allocation state and make sure that it is safe.
 - e.g., the system never satisfies the circular-wait condition.

Deadlock Avoidance

- Safe Sequence
 - A sequence of processes $\langle P_1, P_2, \dots, P_n \rangle$ is a safe sequence if

$$\forall P_i, need(P_i) \leq Available + \sum_{j < i} Allocated(P_j)$$



Deadlocks are avoided if the system can allocate resources to each process up to its maximum request in some order. If so, the system is in a safe state!

- Safe State
 - The existence of a safe sequence
 - Unsafe

Deadlock Avoidance

■ Example:

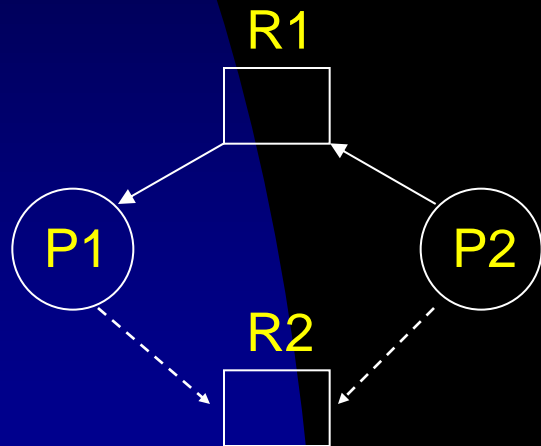
	Max Needs	Allocated	Available
P0	10	5	3
P1	4	2	
P2	9	2	

- The existence of a safe sequence $\langle P1, P0, P2 \rangle$.
- If P2 got one more, the system state is unsafe.
(P0, 5), (P1, 2), (P2, 3), (available, 2))

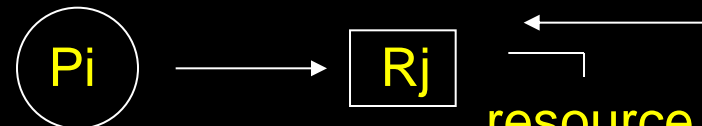
How to ensure that the system will always remain in a safe state?

Deadlock Avoidance – Resource-Allocation Graph Algorithm

- One Instance per Resource Type



•Request Edge



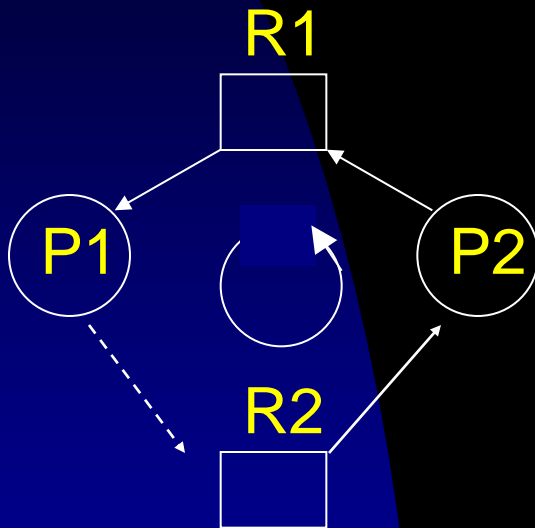
•Assignment Edge



•Claim Edge



Deadlock Avoidance – Resource-Allocation Graph Algorithm



A cycle is detected!

➔ The system state is unsafe!

- R2 was requested & granted!

Safe state: no cycle

Unsafe state: otherwise

Cycle detection
can be done
in $O(n^2)$

Deadlock Avoidance – Banker's Algorithm

n : # of processes,
 m : # of resource types

- Available [m]
 - If Available [i] = k , there are k instances of resource type R_i available.
- Max [n, m]
 - If Max [i, j] = k , process P_i may request at most k instances of resource type R_j .
- Allocation [n, m]
 - If Allocation [i, j] = k , process P_i is currently allocated k instances of resource type R_j .
- Need [n, m]
 - If Need [i, j] = k , process P_i may need k more instances of resource type R_j .



$$\text{Need } [i, j] = \text{Max } [i, j] - \text{Allocation } [i, j]$$

Deadlock Avoidance – Banker's Algorithm

n : # of
processes,
 m : # of
resource
types

- Safety Algorithm – A state is safe??
 1. $Work := Available$ & $Finish[i] := F, 1 \leq i \leq n$
 2. Find an i such that both
 1. $Finish[i] = F$
 2. $Need[i] \leq Work$**If no such i exist, then goto Step4**
 3. $Work := Work + Allocation[i]$
 $Finish[i] := T$; **Goto Step2**
 4. **If $Finish[i] = T$ for all i , then the system is in a safe state.**

Where $Allocation[i]$ and $Need[i]$ are the i -th row of $Allocation$ and $Need$, respectively, and
 $X \leq Y$ if $X[j] \leq Y[j]$ for all j ,
 $X < Y$ if $X \leq Y$ and $Y \neq X$

Deadlock Avoidance – Banker's Algorithm

- Resource-Request Algorithm

Request_i [j] = k: P_i requests k instance of resource type R_j

1. If Request_i ≤ Need_i, then Goto Step2; otherwise, Trap
2. If Request_i ≤ Available, then Goto Step3; otherwise, P_i must wait.
3. Have the system pretend to have allocated resources to process P_i by setting

Available := Available – Request_i;

Allocation_i := Allocation_i + Request_i;

Need_i := Need_i – Request_i;

Execute “Safety Algorithm”. If the system state is safe, the request is granted; otherwise, P_i must wait, and the old resource-allocation state is restored!

Deadlock Avoidance

■ An Example

	Allocation			Max			Need			Available		
	A	B	C	A	B	C	A	B	C	A	B	C
P0	0	1	0	7	5	3	7	4	3	3	3	2
P1	2	0	0	3	2	2	1	2	2			
P2	3	0	2	9	0	2	6	0	0			
P3	2	1	1	2	2	2	0	1	1			
P4	0	0	2	4	3	3	4	3	1			

- A safe state

∴ $\langle P1, P3, P4, P2, P0 \rangle$ is a safe sequence.

Deadlock Avoidance

Let P1 make a request $\text{Request}_i = (1,0,2)$

$\text{Request}_i \leq \text{Available}$ (i.e., $(1,0,2) \leq (3,3,2)$)

	Allocation			Need			Available		
	A	B	C	A	B	C	A	B	C
P0	0	1	0	7	4	3	2	3	0
P1	3	0	2	0	2	0			
P2	3	0	2	6	0	0			
P3	2	1	1	0	1	1			
P4	0	0	2	4	3	1			

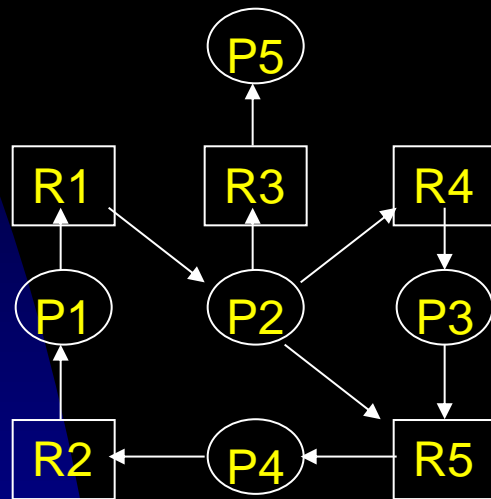
→ Safe $\because \langle P1, P3, P4, P0, P2 \rangle$ is a safe sequence!

- If $\text{Request}_4 = (3,3,0)$ is asked later, it must be rejected.
- $\text{Request}_0 = (0,2,0)$ must be rejected because it results in an unsafe state.

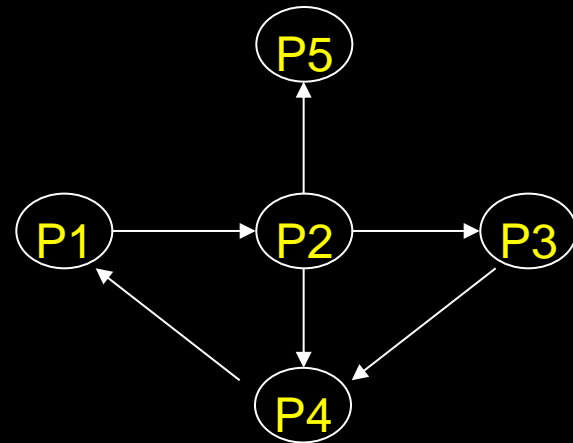
Deadlock Detection

- Motivation:
 - Have high resource utilization and “maybe” a lower possibility of deadlock occurrence.
- Overheads:
 - Cost of information maintenance
 - Cost in executing a detection algorithm
 - Potential loss inherent from a deadlock recovery

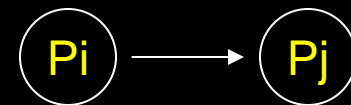
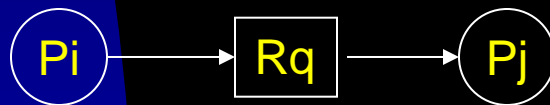
Deadlock Detection – Single Instance per Resource Type



A Resource-Allocation Graph



A Wait-For Graph



- Detect an cycle in $O(n^2)$.
- The system needs to maintain the wait-for graph

Deadlock Detection – Multiple Instance per Resource Type

n : # of processes,
 m : # of resource types

- Data Structures
 - Available[1.. m]: # of available resource instances
 - Allocation[1.. n , 1.. m]: current resource allocation to each process
 - Request[1.. n , 1.. m]: the current request of each process
 - If Request[i , j] = k , P_i requests k more instances of resource type R_j

Deadlock Detection – Multiple Instance per Resource Type

1. $Work := Available$. For $i = 1, 2, \dots, n$, **if** $Allocation[i] \neq 0$, **then** $Finish[i] = F$; **otherwise**, $Finish[i] = T$.
2. Find an i such that both
 - a. $Finish[i] = F$
 - b. $Request[i] \leq Work$**If** no such i , **Goto** Step 4
3. $Work := Work + Allocation[i]$
 $Finish[i] := T$
Goto Step 2
4. **If** $Finish[i] = F$ for some i , **then** the system is in a deadlock state. **If** $Finish[i] = F$, then process P_i is deadlocked.

Complexity =
 $O(m * n^2)$

Deadlock Detection – Multiple Instances per Resource Type

■ An Example

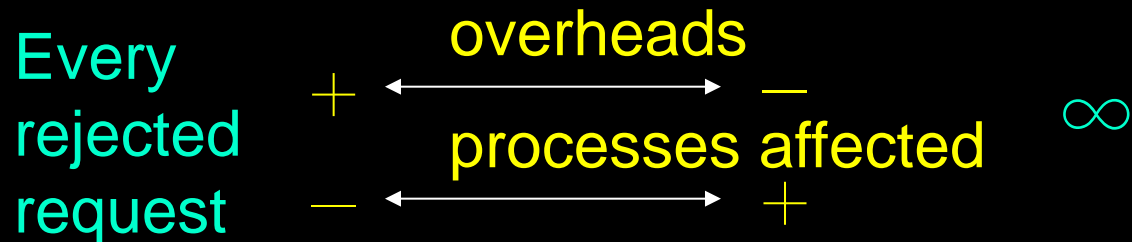
	Allocation			Request			Available		
	A	B	C	A	B	C	A	B	C
P0	0	1	0	0	0	0	0	2	0
P1	2	0	0	2	0	2			
P2	3	0	3	0	0	0			
P3	2	1	1	1	0	0			
P4	0	0	2	0	0	2			

→ Find a sequence $\langle P0, P2, P3, P1, P4 \rangle$ such that $Finish[i] = T$ for all i .

If Request2 = (0,0,1) is issued, then P1, P2, P3, and P4 are deadlocked.

Deadlock Detection – Algorithm Usage

- When should we invoke the detection algorithm?
 - How often is a deadlock likely to occur?
 - How many processes will be affected by a deadlock?



- Time for Deadlock Detection?
 - CPU Threshold? Detection Frequency? ...

Deadlock Recovery

- Whose responsibility to deal with deadlocks?
 - Operator deals with the deadlock manually.
 - The system recover from the deadlock automatically.
- Possible Solutions
 - Abort one or more processes to break the circular wait.
 - Preempt some resources from one or more deadlocked processes.

Deadlock Recovery – Process Termination

- Process Termination
 - Abort all deadlocked processes!
 - Simple but costly!
 - Abort one process at a time until the deadlock cycle is broken!
 - Overheads for running the detection again and again.
 - The difficulty in selecting a victim!

But, can we abort any process?
Should we compensate any
damage caused by aborting?

Deadlock Recovery – Process Termination

- What should be considered in choosing a victim?
 - Process priority
 - The CPU time consumed and to be consumed by a process.
 - The numbers and types of resources used and needed by a process
 - Process's characteristics such as “interactive or batch”
 - The number of processes needed to be aborted.

Deadlock Recovery – Resource Preemption

- Goal: Preempt some resources from processes and give them to other processes until the deadlock cycle is broken!
- Issues
 - Selecting a victim:
 - It must be cost-effective!
 - Roll-Back
 - How far should we roll back a process whose resources were preempted?
 - Starvation
 - Will we keep picking up the same process as a victim?
 - How to control the # of rollbacks per process efficiently?

Deadlock Recovery – Combined Approaches

- Partition resources into classes that are hierarchically ordered.
⇒ No deadlock involves more than one class
- Handle deadlocks in each class independently

Deadlock Recovery – Combined Approaches

Examples:

- Internal Resources: Resources used by the system, e.g., PCB
 - Prevention through resource ordering
- Central Memory: User Memory
 - Prevention through resource preemption
- Job Resources: Assignable devices and files
 - Avoidance ∴ This info may be obtained!
- Swappable Space: Space for each user process on the backing store
 - Pre-allocation ∴ the maximum need is known!