Deadlock and Starvation slide deck

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Housekeeping

Strike won't be affecting us too much

Principles of Deadlocks

Systems have different resources

Threads must:

- request a resource before using it
- release the resource after using it

The number of resources requested cannot exceed the total number of resources available in the system

- a thread cannot request 2 net interface if there is only 1
- can't ask for what we don't have

Request:

- Thread requests the resource
- if you can give it, then give it immediately
- If it can't be given right now then the requesting thread must wait until it can acquire the resource

Use:

- the thread can operate on the resource
- ex: use the mutex lock to access a process' critical section

Release:

resource is released and made usable again

Reusable Resources:

- can be used safely by one process at a time
- not depleted by that use
- not consumable
- ex: proessors, I/O channels, memory (main and secondary), I/O devices, data structures (files, databases, and semaphores)

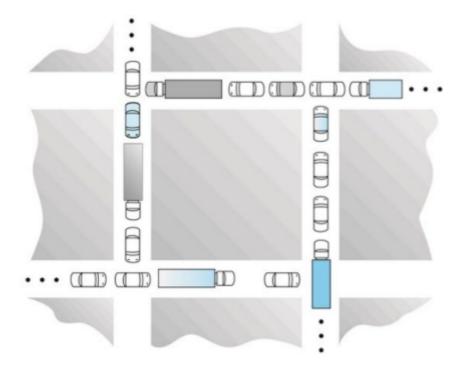
Consumable Resources:

- created/produced and destroyed/consumed
- ceases to exist after being acquired by the consuming process
- ex: interrupts, singals, messages, info in I/O buffers

Deadlock

A deadlock is the **permanent** block.

Two or more processes are waiting for the other process to release a shared resource.



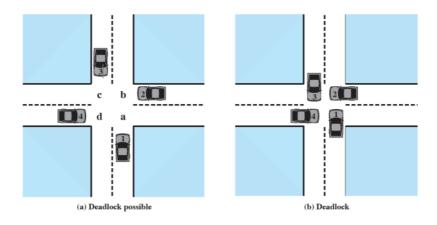
Traffic Deadlock

A set of processes is deadlocked when each process in the set is blocked awaiting an event that can only be triggered by another blocked process in the set.

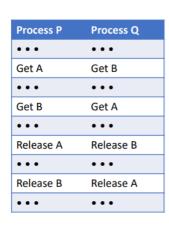
The block is permanenet because none of the events ever get triggered.

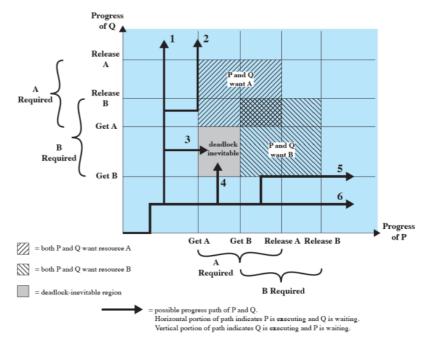
Illustration of Deadlock

 All deadlocks involve conflicting needs for resources by two or more processes.



Joint Progress Diagram – Deadlock





Trace 1 sees process ${\cal Q}$ execute all of its desire operations before process ${\cal P}$ can perform any single operation

Trace 2 sees process Q get A then make process P wait until it was done.

Trace 3 sees Q get B and P get A. 4 does the same but in reverse order

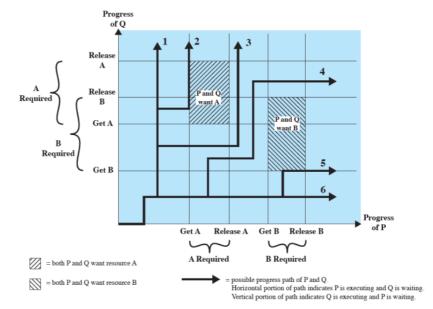
Traces 3 & 4 eventually leads to a deadlock as each process will want the other's acquired resource that they can't release until they get the resource they want.

Trace 5 sees process ${\cal P}$ get B then make process ${\cal Q}$ wait until it's done.

Trace 6 sees P exectute everything before Q gets make some meaningful progress.

Joint Progress Diagram – No Deadlock

Process P	Process Q
•••	• • •
Get A	Get B
•••	•••
Release A	Get A
•••	• • •
Get B	Release B
•••	• • •
Release B	Release A
• • •	• • •



Joint Progress Diagram

"I would like to leave that for the banking algorithm" - Prof, no one knows what she meant by that

This rearrangement is not always a possible solution since we don't know what the order of the instructions/operations will be beforehand.

Traces 1, 2, 5, and 6 are unaffected but now traces 3 and 4 don't lead to deadlock.

instead with Trace 3

- ullet Q gets B
- ullet P gets A then releases A
- ullet Q gets A, releases B, then releases A
- ullet P gets B then releases B

Similarly with trace 4

- 2 processes that compete for exclusive access to a disk file D and a tape drive T.
- Questions: Are these reusable or consumable resources? Will there be a deadlock? What sequence of execution will result in a deadlock?

Step	Process P Action	Step	Process Q Action
	Request (D)		Request (T)
P ₀		q_0	
	Lock (D)		Lock (T)
P ₁		q_1	
	Request (T)		Request (D)
P_2		q_2	
	Lock (T)		Lock (D)
P ₃		q_3	
	Perform function		Perform function
P ₄		q ₄	
	Unlock (D)		Unlock (T)
P ₅		\mathbf{q}_{5}	
	Unlock (T)		Unlock (D)
P ₆		\mathbf{q}_{6}	

These are reusable resources.

There will be a deadlock.

 $p_0q_0p_1q_1$ introduces the possibility of a deadlock

 $p_0q_0p_1q_1p_2q_2$ is where the deadlock happens.

- Memory Space is available for allocation of 200Kbytes, and the following sequence of requests occur.
- Question: Are these reusable or consumable resources? When will there be a deadlock?

P1	P2
Request 80 Kbytes;	Request 70 Kbytes;
Request 60 Kbytes;	Request 80 Kbytes;

These are reusable resources.

There will be a deadlock.

P1 and P2 can make their requests then the next requests will cause a deadlock.

P1 or P2 can make both requests but then upon the next request from the other process we will run into deadlock. That is unless there is some kind of release condition that we don't see beyond the processes' second requests.

The cause of the deadlock being that we don't have enough resources to give.

- Each process is attempting to receive a message from the other process and then send a message to the other process:
- Question: Are these reusable or consumable resources? Will there be a deadlock?

P1	P2
Receive (P2);	Receive (P1);
Send (P2, M1);	Send (P1, M2);

Consumable resource.

There is a deadlock as they are both waiting on each other.

If receive is not blocking - i.e. the processes just make themself open to receiving and don't wait - then there is no deadlock.

It depends on the nature of the receive operation.

```
Prof will tell us if it's blocking or not blocking.
```

Deadlock in Multithreaded Applications

2 mutex locks are created and initialized:

```
pthread_mutex_t first_mutex;
pthread_mutex_t second_mutex;

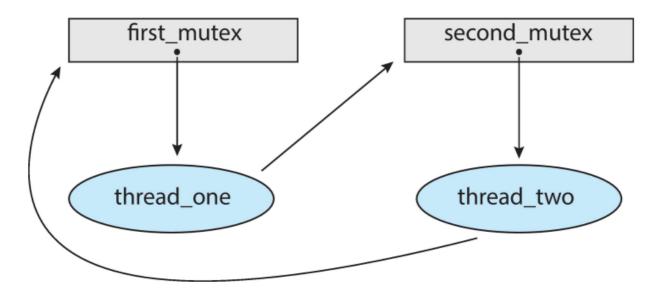
pthread_mutex_init(&first_mutex,NULL);
pthread_mutex_init(&second_mutex,NULL);
```

2 threads are created and both threads have access to both mutex locks.

```
/* 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);
}
```

Deadlock is possible if thread 1 acquires first_mutex and thread 2 acquires second_mutex

Each thread then waits for the other's mutex.



THe order depends on how the threads are scheduled by the cpu scheduler. hard to test for deadlocks as they may only occur under certain scheduling circumstances.

this is the livelock of waiting continually trying to acquire

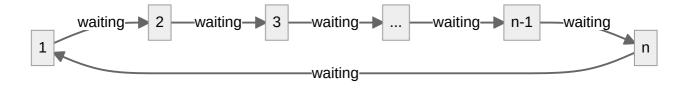
knowledge check:

- a deadlocked state occurs whenever
 - every process in a set is waiting for an event that can only be cauesd by another process in the set
- Deadlock occurs when every thread in a set is blocked waiting for an event that can be caused only by another thread in the set, while livelock occurs when a thread continuously attempts an action that fails.
 - O true
- in the dining philosophers problem, there is a possibility of deadlock but not livelock
 - O false
 - everyone picks a fork up then there is deadlock
 - if they keep picking it up and putting it down then there is livelock

Deadlock Characterization

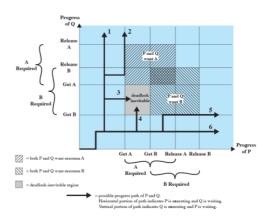
deadlock can arise if 4 conditions hold at the same time:

- mutual exclusion
 - O only one process at a time can use a resource
- hold and wait
 - a process holding at least one resource is waiting to acquire additional resources held by other processes
- no preemption (for resources no the process)
 - O resource only released by the process holding it after it's done its task
 - resource cannot be preempted
 - processor can't take resources from process and give it to other processes arbitrarily
- circular wait
 - oprocess 1 is waiting on process 2
 - O process 2 is waiting on process 3
 - 0
 - O process n-1 is waiting on process n
 - oprocess n is waiting on process 1



• All four conditions must hold for a deadlock to occur.

Possibility of Deadlock	Existence of Deadlock
1.Mutual exclusion	1.Mutual exclusion
2.No preemption	2.No preemption
3.Hold and wait	3.Hold and wait
	4.Circular wait

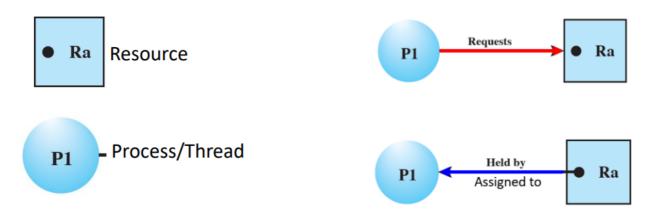


Resource Allocation Graph

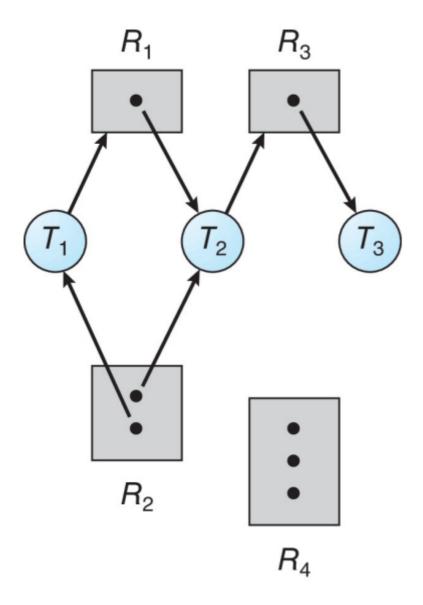
- Deadlocks can be described more precisely in terms of a directed graph called a system resource-allocation graph.
 - A set of vertices V and a set of edges E.
 - V is partitioned into two types:
 - $P = \{P_1, P_2, ..., P_n\}$, the set consisting of all the processes in the system
 - $R = \{R_1, R_2, ..., R_m\}$, the set consisting of all resource types in the system

A digraph with vertices V partitioned into P processes and R resources

request edge – directed edge $P_i \rightarrow R_j$ assignment edge – directed edge $R_i \rightarrow P_i$



1 Instance of the resource



There are 3 threads and 4 resources.

•	T_1	T_2	T_3
R_1	req	assigned	
R_2	assigned	assigned	
R_3		req	assigned
R_4			

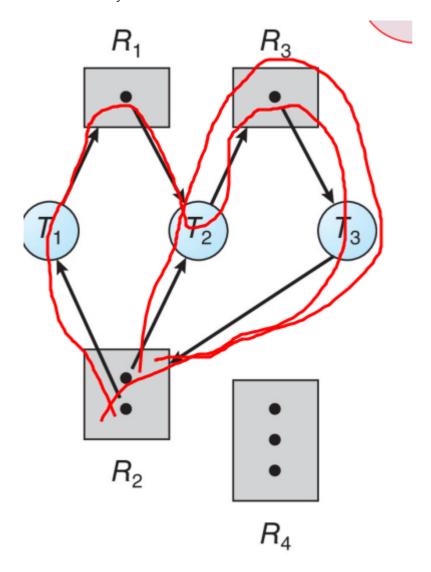
There are 1 instance of R_{1} and R_{2}

2 of R_2 and 3 of R_4

There are no cycles in the graph.

Therefore there are no deadlocks

If there is no cycle then there is no deadlock.



There are 2 cycles.

T1 is assigned R2 and wants R1

T2 is assigned R1+R2 and wants R3

T3 is assigned R3 and wants R2 which it can't get since there's no more instances of R2

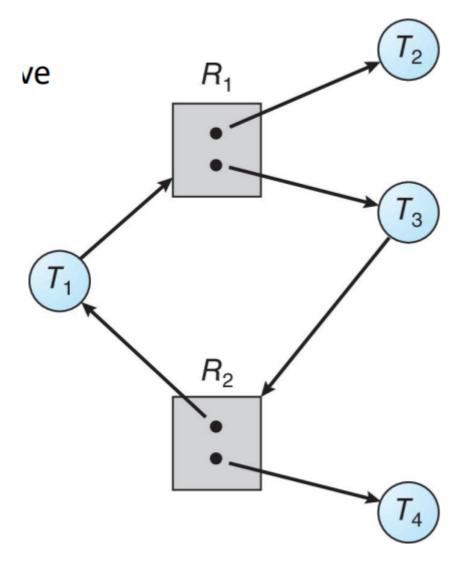
It might seem like there's no deadlock if we look at the smaller cycle.

T2 is assigned R2 and wants R3

T3 is assigned R3 and wants R2 which it can get since there's another instance of R2

T3 finishes with R3 and gives it up for T2.

This is a static situation so we have a deadlock



There is a cycle with the middle 4 nodes.

There is no deadlock.

The outter threads of T_2 and T_4 can finish and release their instances of R_1 and R_2 respectively.

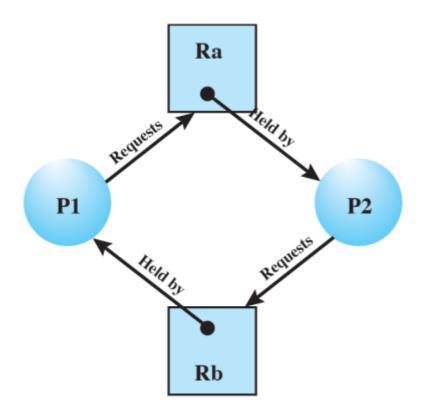
Then T_1 and T_3 can get hold of the resources and work on them.

If there is no cycle, then there is no deadlock

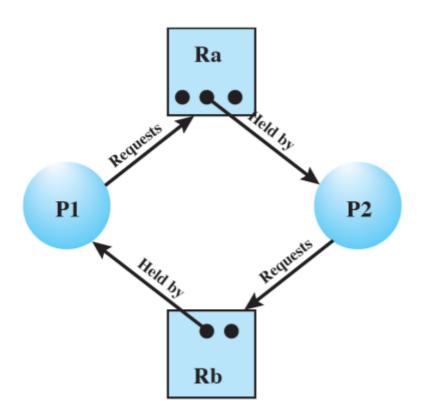
If there is a cycle then there may or may not be a deadlock

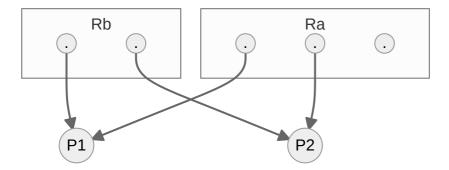
- if only one instance per resource type, then deadlock
- if there are several instances per resource type, possibility of deadlock

deadlock:

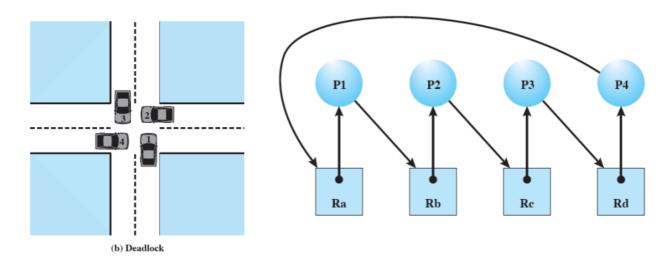


no deadlock:





Resource Allocation graph for the car deadlock example showing circular wait



We can take the numbers on the cars to be the numbers of the processes.

Car 1 is sitting lane **Ra** and wants to cross lane Rb

Car 2 is sitting lane Rb and wants to cross lane Rc

Car 3 is sitting lane Rc and wants to cross lane Rd

Car 4 is sitting lane Rd and wants to cross lane Ra

Knowledge Check

- one necessary condition for deadlock is ____, which states taht a process must be holding one resource and waiting to acquire additional resources
 - a: hold and wait
- a cycle in a resource-allocation graph is ____
 - O d. a necessary and sufficient condition for a deadlock in the case that each resource has exactly one instance
- if a resource-allocation graph has a cycle, the system must be in a deadlocked state.
 - O false

Methods for Handling Deadlocks

In general, there are 3 ways to deal with deadlocks:

- 1. prevention and avoidance
- 2. detection and recovery
- 3. ignoring it

most OSes including windows and linux just pretend that deadlocks don't happen ???

```
Prof later explained that this is just left up to the programmer/user and it's not up to the OS.

pulled a pontius pilate and washed their hands of the whole situ
```

Prevention

In order to prevent deadlocks we have to invalidate one of the 4 necessary conditions for deadlock

```
as a refresher
deadlock can arise if 4 conditions hold at the same time:
- mutual exclusion
 - only one process at a time can use a resource
- hold and wait
  - a process holding at least one resource is waiting to acquire additional
resources held by other processes
- no preemption (for resources no the process)
 - resource only released by the process holding it after it's done its task
 - resource cannot be preempted
    - processor can't take resources from process and give it to other processes
arbitrarily
- circular wait
  - process 1 is waiting on process 2
 - process 2 is waiting on process 3
  - process n-1 is waiting on process n
  - process n is waiting on process 1
```

Though there are shareable resources, we cannot invalidate mutual exclusion as a whole since some resources just cannot be shared and used at the same time.

Deny Hold and Wait

We can invalidate hold and wait by ensuring that whenever a requests a resource it won't be holding any other resources. Put another way, If the process is holding a resource then they

won't be making any requests.

how:

- require process to request and allocate all resources before execution
 - O dynamic nature of resource requesting makes this impractical
- only allow resource requests when process has no resource allocated
 - O must release resources before requesting for more

cons:

- low resource utilization
 - resources allocated but not used
- starvation possible
 - a thread may have to wait indefinitely if it needs several popular resources
 - those resources will always end up allocated to processes that will only need those resources
 - O I imagine that even with bounded wait time considerations, priority will cause this to happen as well

Deny No Preemption

reminder: non-preemptive is when a process enters into the processor and only leaves when it's finished or voluntarily leaves when waiting on something

if

- a process is holding some resources
- the process requests another resources
- that resource cannot be immediately allocated to it

then all resources currently being held are preempted, released by the processor.

Preempted resources are added to the list of resources that the process is waiting for.

The process starts again once it regains all of the resources it's requesting (the old preempted ones and the new ones).

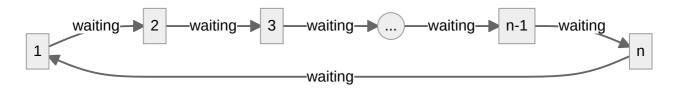
This is often selectively applied to resources whose state can be easily saved and restored later, such as cpu registers and database transactions.

cons:

- cannot be applied to resources like mutex locks and semaphores which are the type of resources where deadlock occurs most commonly
 - it's hard to save the condition of a mutex when a process wants to lock for a critical section
 - \circ not easy to store and retrieve \rightarrow not easy to preempt

Deny Circular Wait

This is the most common approach



how:

- assign each resource a unique number
- resources must be acquired in the order of their unique number

Knowledge check:

- to handle deadlocks, operating systems most often ____
 - O a. pretend that deadlocks never occur
- both deadlock prevention and deadlock avoidance techniques ensure that the system will never enter a deadlocked state
 - o true
- most operating systems choose to ignore deadlocks, because
 - d. all of the above
 - handling is expensive, they occur infrequently, livelock recovery methods can be use on deadlocks

Deadlock Avoidance

Dynamically made decision to see if an allocation request will potentially lead to a deadlock if granted.

System considers

- currently available resources
- currently allocated resources
- and the future requests and releases of each thread

requires knowledge of future process requests.

basics:

- state
 - reflects current allocation of resources to processes
- safe state

- state where there is at least one execution path where all the processes will finish
- O there will be no deadlock
- unsafe state
 - state resulting in possibility of deadlock
- avoidance
 - ensuring system will never enter an unsafe state

Safe State

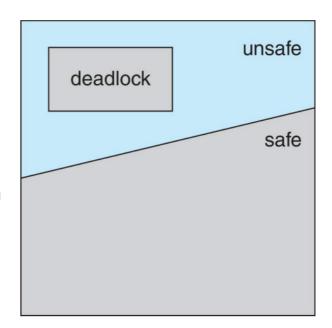
When a process requests an available resource, system must decide if immediate allocation leaves the system in a safe state.

System is in safe state if:

■ There exists a sequence $\langle P_1, P_2, ..., P_n \rangle$ of ALL the processes in the systems 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_i , with i < i

That is:

- 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, and so on..
- If a system is in safe state ⇒ no deadlocks
- If a system is in unsafe state ⇒ possibility of deadlock
- Avoidance ⇒ ensure that a system will never enter an unsafe state.



- A system has 12 resources and 3 threads T0, T1, and T2 shown below.
- At to, T0 is holding 5 resources, T1 holding two, and T2 holding two.
- Question: Does the sequence <T1, T0, T2> satisfies the safety condition?
 - T1: 2 + 2 -> done, release back 4 -> 5 available.
 - T0: 5 + 5 -> done, release back 10 -> 10 available.
 - T2: 2 + 9 → done, release back 9 → 12 available.

	Maximum Needs	Current Needs
$T_{\rm o}$	10	5
T_1	4	2
T_2	9	2

In the above example we only have 3 resources available.

For T1 we give it 2 then release back 4 once it's done.

Then the above steps just go as shown.

So we are in a safe state

- A system has 12 resources and 3 threads T0, T1, and T2 shown below.
- At t_1 , thread T2 requests and is allocated one more resource.
- Question: Is the system now in a safe state?
 - T2: 3, may request 6 -> at t₁: 2 available.
 - T0: 5, may request 5 -> at t₁: 2 available.
 - T1: 2 + 2 -> done, release back 4 -> at t₂: 4 available.

	Maximum Needs	Current Needs
T_{0}	10	5
T_1	4	2
T_2	9	3

This is the same example as seen above but now T_2 needs 1 more resource, requests the resource and receives it, resulting in only 2 resources available at the beginning.

We can start the sequence with T_1 and allocate 2 then get back 2 once done.

We end up with only 4 available resources which isn't enough to satisfy the maximum needs of T_0 and T_2

Avoidance Algos

There are 2 algos:

- 1. using a resource-allocation when there's a single instance of a resource type
- 2. use the Banker's Algo when there's multiple instances of a resource type

Resource-Allocation Graph Scheme

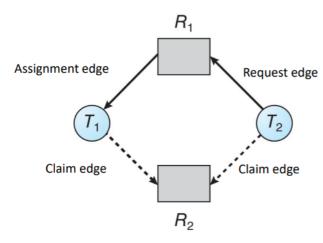
Claim edge $P_i \rightarrow R_j$ indicated that process P_i may request resource R_j represented by a dashed line

- 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

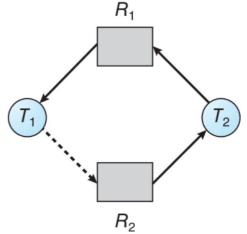
Resources must be claimed a priori in the system.

a priori = ahead of time

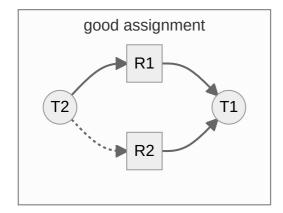
claims turn into requests which turn into assignments before turning back into claim edges



Although R2 is currently free, we cannot allocate it to T2.



An unsafe state in a resource-allocation graph.



Suppose that process P_i requests a resource R_i

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.

make sure there is no cycles forming if you convert a request edge to an assignment edge

Banker's Algorithm

prof misspells this is as Baker at some point. It's Banker.

conditions:

- multiple instances of resources
- each process must have a prior claim maximum use
- when a process requests a resource, it may have to wait
- when aprocess gets all its resources it must return them in a finite amount of time

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_i available.
- Max: n x m matrix. If Max [i,j] = k, then process P_i may request at most k instances of resource type R_i
- Allocation: $n \times m$ matrix. If Allocation[i,j] = k then P_i is currently allocated k instances of R_i .
- **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

Let Work and Finish be vectors of length m and n, respectively. Initialize:

```
Work = Available
Finish [i] = false for i = 0, 1, ..., n-1
```

- 2. Find an index *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; Finish[i] = true go to step 2
- 4. If **Finish** [i] == **true** for all i, then the system is in a **safe** state otherwise we are in **unsafe** state.

 $Request_i = request \ vector \ for \ process \ P_i \ lf \ Request_i \ [j] = k \ then \ process \ P_i \ wants \ k \ instances of resource type \ R_i$

- If Request_i ≤ Need_i go to step 2. Otherwise, raise error condition, since process has exceeded its maximum claim.
- If Request_i ≤ Available, go to step 3. Otherwise, P_i must wait, since resources are not available.
- 3. Pretend to allocate requested resources to P_i by modifying the state as follows:

```
Available = Available - Request;;
Allocation; = Allocation; + Request;;
Need; = Need; - Request;;
```

- If safe \Rightarrow the resources are allocated to P_i (use Safety alg. in the prev slide).
- If unsafe $\Rightarrow P_i$ must wait, and the old resource-allocation state is restored.

Example of Banker's Algorithm /1

- 5 processes P₀ through P₄;
- 3 resource types:

A (10 instances), B (5 instances), and C (7 instances)

Snapshot at time T₀:

	<u>Allocation</u>	<u> Max</u>	<u>Available</u>
	ABC	ABC	ABC
P_0	010	753	3 3 2
P_1	200	3 2 2	
P_2	302	902	
P_3	211	222	
P_4	002	433	

Need

ABC

 $P_0 = 743$

 P_1 122

 $P_2 = 600$

 $P_3 = 0.11$

P₄ 431

Q: Does the sequence $< P_1, P_3, P_4, P_2, P_0 >$ satisfy safety criteria?

A: yes

we start with <3,3,2>

 P_1 can be allocated and give back <5,3,2>

 P_3 can be allocated and give back <7,4,3>

 P_4 can be allocated and give back <7,4,5>

 P_2 can be allocated and give back <10,4,7> , making all instances of A and C available

Example of Banker's Algorithm /3

• Does the sequence $\langle P_1, P_3, P_4, P_2, P_0 \rangle$ satisfy safety criteria?

<u>Allo</u>	<u>cation</u>	<u>Need</u>	<u>Available</u>
	ABC	ABC	ABC
P_0	010	743	332
P_1	200	122	
P_2	302	600	
P_3	211	011	
P_4	002	431	

Executing safety algorithm shows that sequence < P₁, P₃, P₄, P₂, P₀> satisfies safety requirement.

you do the same process with this.

A: the sequence satisfies safety requirement

Example: P1 Request (1,0,2)

• Check that Request \leq Available (that is, $(1,0,2) \leq (3,3,2) \Rightarrow$ true

	<u>Allocation</u>	<u>Need</u>	<u> Available</u>
	ABC	ABC	ABC
P_0	010	743	230
P_1	302	020	
P_2	302	600	
P_3	211	011	
P_4	002	431	

- Is the new state safe?
- Executing safety algorithm shows that sequence $\langle P_1, P_3, P_4, P_0, P_2 \rangle$ satisfies safety requirement.
- Can request for (3,3,0) by P₄ be granted?
- Can request for (0,2,0) by P₀ be granted?

In essence:

- we are in a safe setaet if there is at least one sequence of resource allocations to processes that does not result in a deadlock
- ullet for $i \in [0..n]$
 - o compare the available with the need vector
 - if the available is lesser than the need vector then unsafe

- else, it can be allocated
- add allocation vector to available vector as the resources are now returned from process
- at no point should the available exceed the maximum for each entry in the vector
- if at any point in the vector of processes does the above for-loop exit then it does not satisfy the safety requirement

Knowledge Check:

- which of the following statements is true:
 - O d. An unsafe state may lead to a deadlocked state
 - we may avoid the deadlocked state
 - Suppose that there are 10 resources available to 3 processes. At t_o, the following data is collected.

Process	Maximum Needs	Currently Owned
P_{o}	10	4
P_1	3	1
P_2	6	4

- Which of the following correctly characterizes this state?
 - b. It is not safe

Suppose that there are 12 resources available to 3 processes. At t_0 , the following data is collected.

Process	Maximum Needs	Currently Owned
P_{o}	10	4
P_1	3	2
P_2	7	4

- Which of the following correctly characterizes this state?
 - O It is safe

Deadlock Detection

If we don't use deadlock prevention or avoidance then a deadlock situation may occur

in lieu of prevention and avoidance we can use detection and recovery

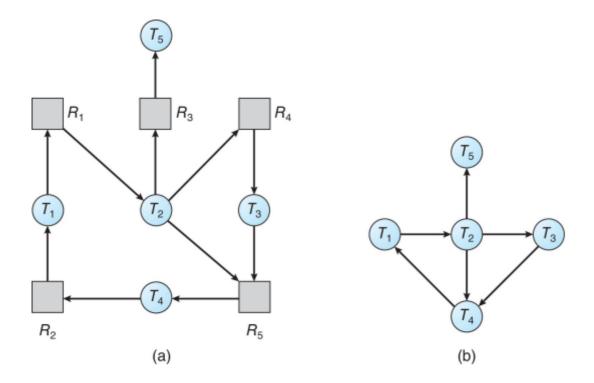
A detection algorithm to look at the system state see if a deadlock has happened.

A recovery scheme to recovery from the deadlock.

For situations where we have a single instance of each resource type:

- maintain a wait-for graph
 - nodes are processes
 - $\circ \ \ P_i \to P_j \text{ if } P_i \text{ is waiting for } P_j$
- Periodically check for a cycle in the graph
 - o if there is a cycle then there is a deadlock

• takes $O(n^2)$ where n is the number of vertices in the graph



Resource-Allocation Graph Corresponding wait-for graph

In the above, we see that there is a deadlock as there are cycles so we are in deadlock.

For situations where we have multiple instances for each resource type:

- we use something similar to the banker's algo
- all the matrices and all of that
- "it's exactly similar to the Banker's algorithm" prof

How often we invoke this depends on how likely it is to occur and how many threads would be affected by a deadlock if it happens.

The more often and the more impactful then the more frequently we should invoke.

Invoking everytime there is a resource request is expensive (except in the case of Banker's algo since we use it anyways).

A less expensive alternative is to invoke the algo at defined intervals.

Knowledge Check

- the wait-for graph scheme is not applicable to a resource allocation system with mutliple instances of each resource type
 - O True
- in a wait-for graph
 - O d. None of the above
 - O b and c are each others' contrapositive so they're both false

 The decision of when to invoke a detection algorithm depends on the likely frequency of deadlocks and the number of threads likely to be affected by a deadlock when it happens
 True

Recovery from Deadlock

We have 2 options in a deadlock:

- break circular wait by aborting one or more involved threads
- preempt some resources from one or more of the deadlocked threads
 - take some resources away

for abortion we have some options

- abort all the deadlocked processes
- abort one at a time until the deadlock cycle is eliminated

Let's not kill everything.

What affects the process abortion order:

- 1. priorty of process
- 2. elapsed and remaining computation time
- 3. allocated resources
- 4. required resources
- 5. number of processes to be terminated

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selecting a victim that minimizes cost

rollback to some safe state, restart process for that state once the resources are available.

We may have starvation if we keep selecting the same victim over and over again

we have to include the number of rollbacks as part of the cost factor

Knowledge Check

- a system can recover from a deadlock by
 - O d. All of the above
- to recover from a deadlock using resource preemption,
 - Od. All of the above

This concludes the Deadlock and Starvation slide deck.