



# Sistemas de Operação / Fundamentos de Sistemas Operativos

## Deadlock

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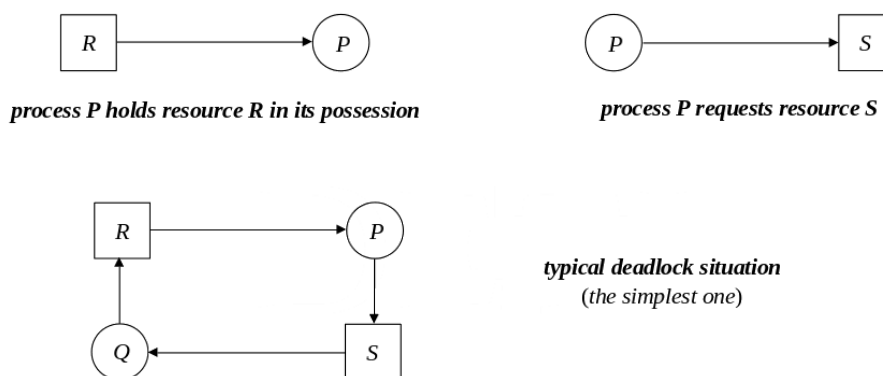
# Deadlock

## Introduction

- Generically, a **resource** is something a process needs in order to proceed with its execution
  - **physical components of the computational system** (processor, memory, I/O devices, etc.)
  - **common data structures** defined at the operating system level (PCT, communication channels, etc,) or among processes of a given application
- Resources can be:
  - **preemptable** – if they can be withdraw from the processes that hold them
    - ex: processor, memory regions used by a process address space
  - **non-preemptable** – if they can only be released by the processes that hold them
    - ex: a file, a shared memory region that requires exclusive access for its manipulation
- For this topic, only non-preemptable resources are relevant

# Deadlock

## Illustrating deadlock

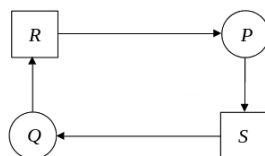


- $P$  needs  $S$  to proceed, which is on possession of  $Q$
- $Q$  needs  $R$  to proceed, which is on possession of  $P$
- What are the conditions for the occurrence of deadlock?

# Deadlock

## Necessary conditions for deadlock

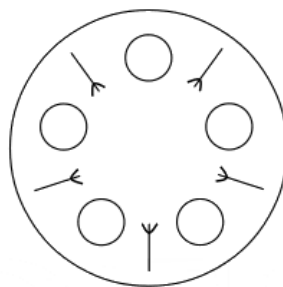
- It can be proved that when **deadlock occurs** 4 conditions are necessarily observed:
  - **mutual exclusion** – only one process may use a resource at a time
    - if another process requests it, it must wait until it is released
  - **hold and wait** – A process waits for some resources while holding others at the same time
  - **no preemption** – resources are non-preemptable
    - only the process holding a resource can release it, after completing its task
  - **circular wait** – a set of waiting processes must exist such that each one is waiting for resources held by other processes in the set
    - there are loops in the graph



*typical deadlock situation  
(the simplest one)*

# Deadlock

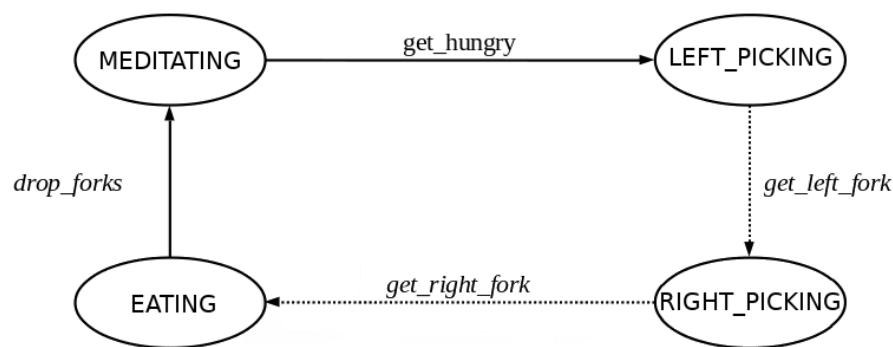
## Illustrating with the philosopher dinner problem



- **5 philosophers are seated around a table, with food in front of them**
  - To eat, every philosopher needs two forks, the ones at her/his left and right sides
  - Every philosopher alternates periods in which she/he meditates with periods in which she/he eats
- Modelling every philosopher as a **different process or thread** and the forks as resources, **design a solution for the problem**

# Philosopher dinner

## Solution 1 – state diagram



- This is a possible solution for the dining-philosopher problem
  - when a philosopher gets hungry, he/she first gets the left fork and then holds it while waits for the right one
- Let's look at an implementations of this solution!

# Philosopher dinner

## Solution 1 – code

```
enum PHILO_STATE {MEDITATING, HUNGRY, HOLDING, EATING};
enum FORK_STATE {DROPPED, TAKEN};

typedef struct TablePlace
{
    int philo_state;
    int fork_state;
    cond fork_available;
} TablePlace;

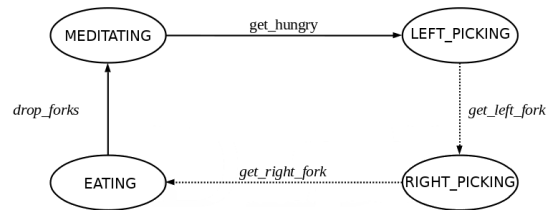
typedef struct Table
{
    mutex locker;
    int nplaces;
    TablePlace place[0];
} Table;

int set_table(unsigned int n, FILE *logp);
int get_hungry(unsigned int f);
int get_left_fork(unsigned int f);
int get_right_fork(unsigned int f);
int drop_forks(unsigned int f);
```

- Let's execute the code

# Philosopher dinner

## Solution 1 – deadlock conditions



- This solution works some times, but can suffer from deadlock
- Let's identify the four necessary conditions
  - **mutual exclusion** – the forks are not sharable at the same time
  - **hold and wait** – each philosopher, while waiting to acquire the right fork, holds the left one
  - **no preemption** – only the philosophers can release the fork(s) in their possession
  - **circular wait** – if all philosopher acquire the left fork, there is a chain in which every philosopher waits for a fork in possession of another philosopher

# Deadlock prevention

## Definition

- From the definition  
deadlock  $\implies$   
mutual exclusion **and**  
hold and wait **and**  
no preemption **and**  
circular wait
- Which is equivalent to  
**not** mutual exclusion **or**  
**not** hold and wait **or**  
**not** no preemption **or**  
**not** circular wait  
 $\implies$  **not** deadlock
- So, if in the solution of a concurrent problem at least one of the necessary conditions can never hold, there is no possibility of deadlock
- This is called **deadlock prevention**
  - the prevention lies on the application side

# Deadlock prevention

## Denying the necessary conditions

- Denying the **mutual exclusion** condition is only possible if resources are shareable at the same time
    - Otherwise race conditions can occur
  - Denying the **preemption** condition is only possible if resources are preemptable
    - Which is often not the case
  - Thus, in general, only the other conditions (**hold-and-wait** and **circular wait**) are used to implement deadlock prevention
- 
- In the dining-philosopher problem, the forks are not shareable at the same time
  - In the dining-philosopher problem, a fork cannot be taken away from whoever has it

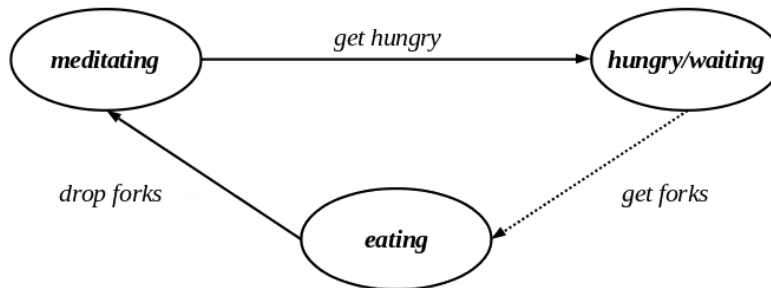
# Deadlock prevention

## Denying the necessary conditions (2)

- Denying the **hold-and-wait** condition can be done if a process requests all required resources at once
  - In this solution, **starvation** can occur
  - **Aging** mechanisms are often used to solve starvation
- In the dining-philosopher problem, the two forks must be acquired at once

## Philosopher dinner

### Solution 2 – state diagram



- This solution is equivalent to the one proposed by Dijkstra
- Every philosopher, when wants to eat, gets the two forks at the same time
- If they are not available, the philosopher waits in the hungry/waiting state
- Starvation is not avoided

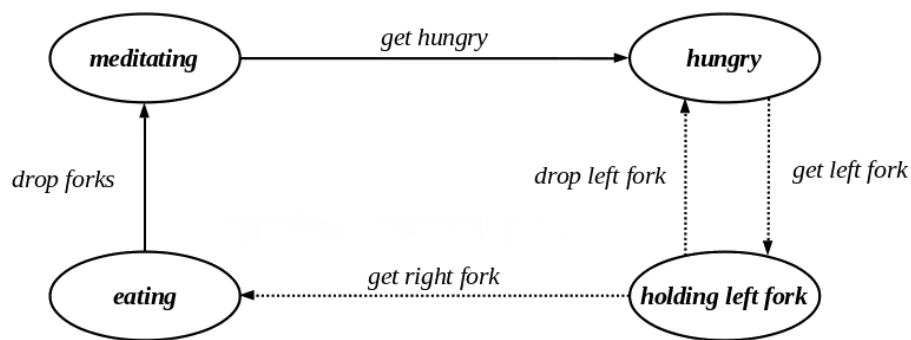
## Deadlock prevention

### Denying the necessary conditions (3)

- Denying the **hold and wait** condition can also be done if a process releases the already acquired resource(s) if it fails acquiring the next one
  - Later on it can try the acquisition again
- In the dining-philosopher problem, a philosopher must release the left fork if she/he fails acquiring the right one
  - In this solution, starvation and busy waiting can occur
    - Aging mechanisms are often used to solve starvation
    - To avoid busy waiting, the process should block and be waked up when the resource is released

## Philosopher dinner

### Solution 3 – state diagram



- When a philosopher gets hungry, she/he first acquire the left fork
- Then she/he tries to acquired the right one, releasing the left if she/he fails and returning to the hungry state
- **busy waiting** and **starvation** were not avoided in this solution

## Deadlock prevention

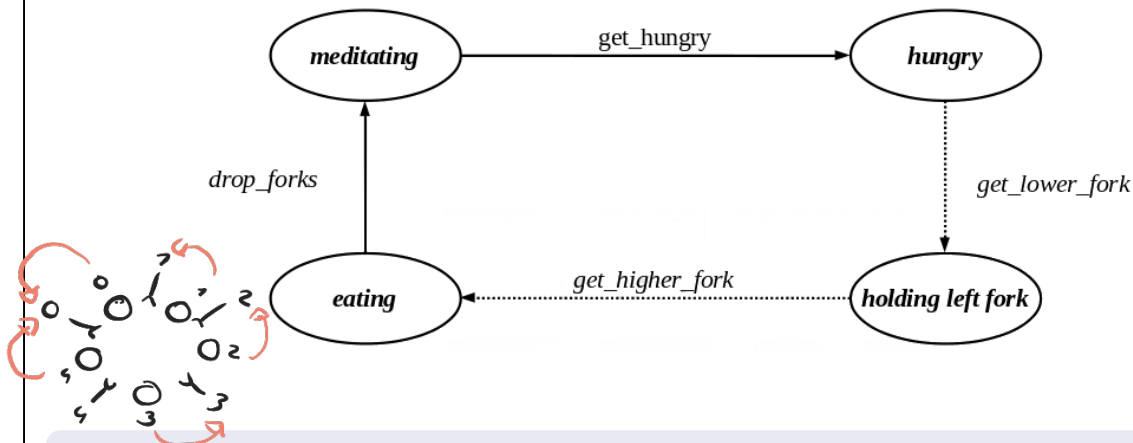
### Denying the necessary conditions (4)

- Denying the **circular wait** condition can be done assigning a different numeric id to every resource and imposing that the acquisition of resources have to be done either in ascending or descending order
  - This way the circular chain is always avoided
  - Starvation is not avoided
- In the dining-philosopher problem, this can be done imposing that one of the philosophers acquires first the right fork and then the left one
  - Show it!



# Philosopher dinner

## Solution 4 – state diagram



- Philosophers are numbered from 0 to  $N - 1$
- Every fork is assigned an id, equal to the id of the philosopher at its left, for instance
- Every philosopher, acquires first the fork with the lower id
- This way, philosophers 0 to  $N - 2$  acquire first the left fork, while philosopher  $N - 1$  acquires first the right one

# Deadlock avoidance

## Definition

- **Deadlock avoidance** is less restrictive than deadlock prevention
  - None of the deadlock conditions is denied a priori
  - The resource system is monitored in order to decide what to do in terms of resource allocation
  - Requires **knowledge in advance** of maximum process resource requests
    - The intervening processes have to **declare at start** their needs in terms of resources
- **Two possible approaches**
  - **Process Initiation Denial**
    - Do not start a process if its demands might lead to deadlock
  - **Resource Allocation Denial**
    - Do not grant an incremental resource request to a process if this allocation might lead to deadlock

# Deadlock avoidance

## Process initiation denial

- The system prevents a new process to start if its termination can not be guaranteed
- Let
  - $R = (R_1, R_2, \dots, R_n)$  be a vector of the total amount of each resource
  - $P$  be the set of processes competing for resources
  - $C_p$  be a vector of the total amount of each resource declared by process  $p \in P$
- A new process  $q$  ( $q \notin P$ ) is only started if

$$C_q \leq R - \sum_{p \in P} C_p$$

- It is a quite restrictive approach

# Deadlock avoidance

## Resource allocation denial

- A new resource is allocated to a process if and only if there is at least one sequence of future allocations that does not result in deadlock
  - In such cases, the system is said to be in a **safe state**
- Let
  - $R = (R_1, R_2, \dots, R_n)$  be a vector of the total amount of each resource
  - $V = (V_1, V_2, \dots, V_n)$  be a vector of the amount of each resource available
  - $P$  be the set of processes competing for resources
  - $C_p$  be a vector of the total amount of each resource declared by process  $p \in P$
  - $A_p$  be a vector of the amount of each resource already allocated to process  $p \in P$
- A new request of a process  $q$  is only granted if, after it, there is a sequence  $s(k)$ , with  $s(k) \in P$  and  $k = 1, 2, \dots, |P|$ , of processes, such that

$$C_{s(k)} - A_{s(k)} = V + \sum_{m=1}^{k-1} A_{s(m)}$$

- This approach is called the **banker's algorithm**

## Deadlock avoidance

### Banker's algorithm

|                       |    | R1 | R2 | R3 | R4 |
|-----------------------|----|----|----|----|----|
| total resources       |    | 6  | 5  | 7  | 6  |
| available resources   |    | 3  | 1  | 1  | 2  |
| resources declared    | P1 | 3  | 3  | 2  | 2  |
|                       | P2 | 1  | 2  | 3  | 4  |
|                       | P3 | 1  | 3  | 5  | 0  |
| resources allocated   | P1 | 1  | 2  | 2  | 1  |
|                       | P2 | 1  | 0  | 3  | 3  |
|                       | P3 | 1  | 2  | 1  | 0  |
| resources requestable | P1 | 2  | 1  | 0  | 1  |
|                       | P2 | 0  | 2  | 0  | 1  |
|                       | P3 | 0  | 1  | 4  | 0  |

- Consider the system state described by the table. Is it a safe state?
  - P2 may still request 2 R2, but only one is available
  - P3 may still request 4 R3, but only one is available
  - All resources that P1 can still request are available

## Deadlock avoidance

### Banker's algorithm (2)

|                       |    | R1 | R2 | R3 | R4 |
|-----------------------|----|----|----|----|----|
| total resources       |    | 6  | 5  | 7  | 6  |
| available resources   |    | 3  | 1  | 1  | 2  |
| resources declared    | P1 | 3  | 3  | 2  | 2  |
|                       | P2 | 1  | 2  | 3  | 4  |
|                       | P3 | 1  | 3  | 5  | 0  |
| resources allocated   | P1 | 1  | 2  | 2  | 1  |
|                       | P2 | 1  | 0  | 3  | 3  |
|                       | P3 | 1  | 2  | 1  | 0  |
| resources requestable | P1 | 2  | 1  | 0  | 1  |
|                       | P2 | 0  | 2  | 0  | 1  |
|                       | P3 | 0  | 1  | 4  | 0  |
| new request           |    | —  | —  | —  | —  |

- Consider the following sequence:
  - P1 requests all the resources it can still; the request is granted; then terminates
  - P2 requests all the resources it can still; the request is granted; then terminates
  - P3 requests all the resources it can still; the request is granted; then terminates

## Deadlock avoidance

### Banker's algorithm (3)

|                       |    | R1 | R2 | R3 | R4 |
|-----------------------|----|----|----|----|----|
| total resources       |    | 6  | 5  | 7  | 6  |
| available resources   |    | 3  | 1  | 1  | 2  |
| resources declared    | P1 | 3  | 3  | 2  | 2  |
|                       | P2 | 1  | 2  | 3  | 4  |
|                       | P3 | 1  | 3  | 5  | 0  |
| resources allocated   | P1 | 1  | 2  | 2  | 1  |
|                       | P2 | 1  | 0  | 3  | 3  |
|                       | P3 | 1  | 2  | 1  | 0  |
| resources requestable | P1 | 2  | 1  | 0  | 1  |
|                       | P2 | 0  | 2  | 0  | 1  |
|                       | P3 | 0  | 1  | 4  | 0  |
| new request           | P3 | 0  | 0  | 2  | 0  |

- If P3 requests 2 resources of type R3, the grant is postponed. Why?
  - Because only 1 is available

## Deadlock avoidance

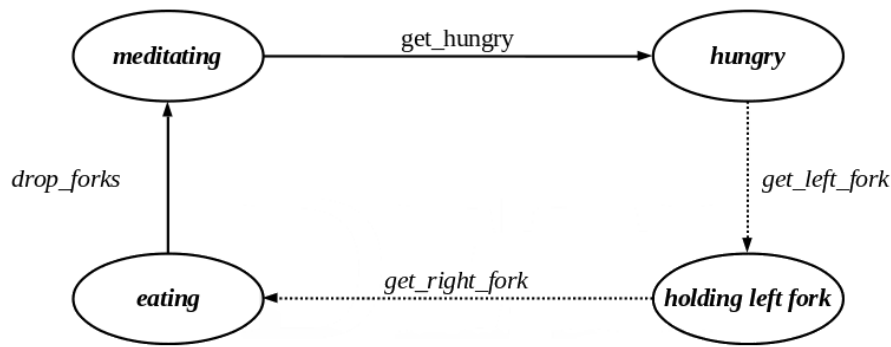
### Banker's algorithm (4)

|                       |    | R1 | R2 | R3 | R4 |
|-----------------------|----|----|----|----|----|
| total resources       |    | 6  | 5  | 7  | 6  |
| available resources   |    | 3  | 1  | 1  | 2  |
| resources declared    | P1 | 3  | 3  | 2  | 2  |
|                       | P2 | 1  | 2  | 3  | 4  |
|                       | P3 | 1  | 3  | 5  | 0  |
| resources allocated   | P1 | 1  | 2  | 2  | 1  |
|                       | P2 | 1  | 0  | 3  | 3  |
|                       | P3 | 1  | 2  | 1  | 0  |
| resources requestable | P1 | 2  | 1  | 0  | 1  |
|                       | P2 | 0  | 2  | 0  | 1  |
|                       | P3 | 0  | 1  | 4  | 0  |
| new request           | P3 | 0  | 1  | 0  | 0  |

- If P3 requests 1 resource of type R2, the grant is also postponed. Why?
  - Because, if the grant is given, the system transitions to an unsafe state. Show it.

# Deadlock avoidance

## Banker's algorithm - example



- Every philosopher first gets the left fork and then gets the right one
- However, in a specific situation the request of the left fork is postponed
  - What situation? Why?

# Deadlock detection

## Definition

- No deadlock-prevention or deadlock-avoidance is used
    - So, deadlock situations may occur
  - The state of the system should be examined to determine whether a deadlock has occurred
  - A recover from deadlock procedure should exist and be applied
- 
- What to do?
    - In a quite naive approach, the problem can simply be ignored
    - Otherwise, the circular chain of processes and resources need to be broken

# Deadlock detection

## Recover procedure

- How?
  - **release resources from a process** – if it is possible
    - The process is suspended until the resource can be returned back
    - Efficient but requires the possibility of saving the process state
  - **rollback** – if the states of execution of the different processes is periodically saved
    - A resource is released from a process, whose state of execution is rolled back to the time the resource was assigned to it
  - **kill processes**
    - Radical but an easy to implement method

## Bibliography

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  - Chapter 6: Concurrency: deadlock and starvation (sections 6.1 to 6.7)
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