# CSE 120
# Principles of Operating Systems

## Spring 2016

Deadlock

# Deadlock

- Synchronization is a live gun – we can easily shoot ourselves in the foot
  - Incorrect use of synchronization can block all processes
  - You have likely been intuitively avoiding this situation already
- More generally, processes that allocate multiple resources generate dependencies on those resources
  - Locks, semaphores, monitors, etc., just represent the resources that they protect
- If one process tries to allocate a resource that a second process holds, and vice-versa, they can never make progress
- We call this situation deadlock, and we'll look at:
  - Definition and conditions necessary for deadlock
  - Representation of deadlock conditions
  - Approaches to dealing with deadlock

# Deadlock Definition

- Deadlock is a problem that can arise:
  - When processes compete for access to limited resources
  - When processes are incorrectly synchronized
- Definition:
  - Deadlock exists among a set of processes if every process is waiting for an event that can be caused only by another process in the set.

**Process 1**

```
lockA->Acquire();
…
lockB->Acquire();
```

**Process 2**

```
lockB->Acquire();
…
lockA->Acquire();
```

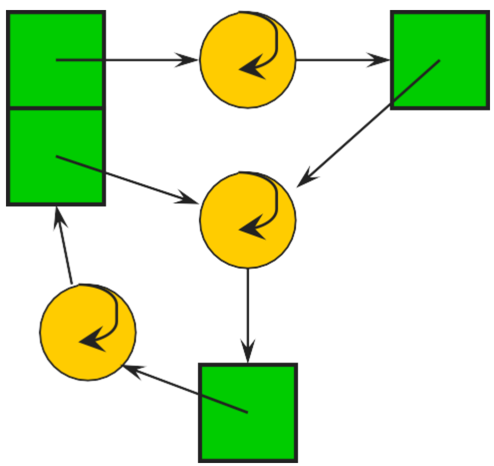
# Conditions for Deadlock

- Deadlock can exist if and only if the following four conditions hold simultaneously:
  1. Mutual exclusion – At least one resource must be held in a non-sharable mode
  2. Hold and wait – There must be one process holding one resource and waiting for another resource
  3. No preemption – Resources cannot be preempted (critical sections cannot be aborted externally)
  4. Circular wait – There must exist a set of processes [$P_1$, $P_2$, $P_3$,…,$P_n$] such that $P_1$ is waiting for $P_2$, $P_2$ for $P_3$, etc.

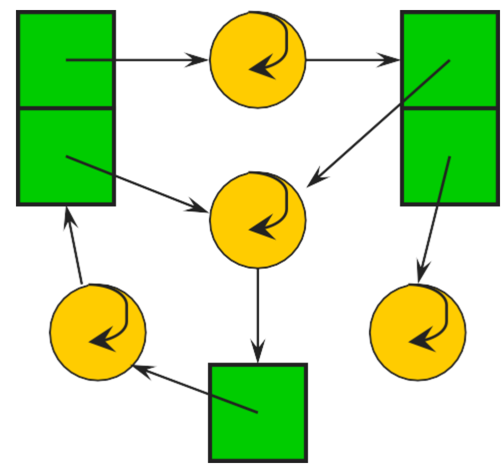
# Resource Allocation Graph

- Deadlock can be described using a resource allocation graph (RAG)
- The RAG consists of a set of vertices $P=\{P_1, P_2, \ldots, P_n\}$ of processes and $R=\{R_1, R_2, \ldots, R_m\}$ of resources
  - A directed edge from a process to a resource, $P_i \rightarrow R_i$, means that $P_i$ has requested $R_j$
  - A directed edge from a resource to a process, $R_i \rightarrow P_i$, means that $R_j$ has been allocated by $P_i$
  - Each resource has a fixed number of units
- If the graph has no cycles, deadlock cannot exist
- If the graph has a cycle, deadlock may exist

# RAG Example



A cycle…and deadlock!



Same cycle…but no deadlock. Why?

# A Simpler Case

- If all resources are single unit and all processes make single requests, then we can represent the resource state with a simpler waits-for graph (WFG)
- The WFG consists of a set of vertices $P=\{P_1, P_2, \ldots, P_n\}$ of processes
  - A directed edge $P_i \rightarrow P_j$ means that $P_i$ has requested a resource that $P_j$ currently holds
- If the graph has no cycles, deadlock cannot exist
- If the graph has a cycle, deadlock exists

# Dealing With Deadlock

- There are four approaches for dealing with deadlock:
  - Ignore it – how lucky do you feel?
  - Prevention – make it impossible for deadlock to happen
  - Avoidance – control allocation of resources
  - Detection and Recovery – look for a cycle in dependencies

# Deadlock Prevention

- Prevention – Ensure that at least one of the necessary conditions cannot happen
  - Mutual exclusion
    - » Make resources sharable (not generally practical)
  - Hold and wait
    - » Process cannot hold one resource when requesting another
    - » Process requests, releases all needed resources at once
  - Preemption
    - » OS can preempt resource (costly)
  - Circular wait
    - » Impose an ordering (numbering) on the resources and request them in order (popular implementation technique)

# Deadlock Avoidance

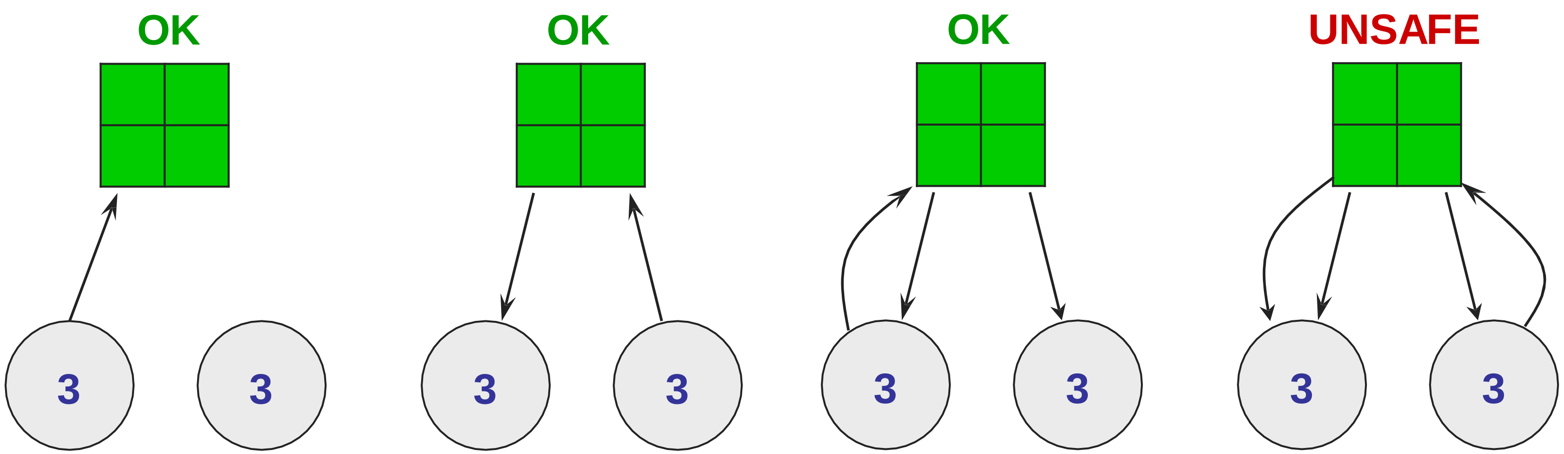
- Avoidance
  - Provide information in advance about what resources will be needed by processes to guarantee that deadlock will not happen
  - System only grants resource requests if it knows that the process can obtain all resources it needs in future requests
  - Avoids circularities (wait dependencies)
- Tough
  - Hard to determine all resources needed in advance
  - Good theoretical problem, not as practical to use

# Banker's Algorithm

- The Banker's Algorithm is the classic approach to deadlock avoidance for resources with multiple units

1. Assign a credit limit to each customer (process)
   - Maximum credit claim must be stated in advance
2. Reject any request that leads to a dangerous state
   - A dangerous state is one where a sudden request by any customer for the full credit limit could lead to deadlock
   - A recursive reduction procedure recognizes dangerous states
3. In practice, the system must keep resource usage well below capacity to maintain a resource surplus
   - Rarely used in practice due to low resource utilization

# Banker's Algorithm Simplified



# Detection and Recovery

- Detection and recovery
  - If we don't have deadlock prevention or avoidance, then deadlock may occur
  - In this case, we need to detect deadlock and recover from it
- To do this, we need two algorithms
  - One to determine whether a deadlock has occurred
  - Another to recover from the deadlock
- Possible, but expensive (time consuming)
  - Implemented in VMS
  - Run detection algorithm when resource request times out

# Deadlock Detection

- Detection
  - Traverse the resource graph looking for cycles
  - If a cycle is found, preempt resource (force a process to release)
- Expensive
  - Many processes and resources to traverse
- Only invoke detection algorithm depending on
  - How often or likely deadlock is
  - How many processes are likely to be affected when it occurs

# Deadlock Recovery

Once a deadlock is detected, we have two options…

1. Abort processes
   - Abort all deadlocked processes
     - Processes need to start over again
   - Abort one process at a time until cycle is eliminated
     - System needs to rerun detection after each abort
2. Preempt resources (force their release)
   - Need to select process and resource to preempt
   - Need to rollback process to previous state
   - Need to prevent starvation

# Deadlock Summary

- Deadlock occurs when processes are waiting on each other and cannot make progress
  - Cycles in Resource Allocation Graph (RAG)
- Deadlock requires four conditions
  - Mutual exclusion, hold and wait, no resource preemption, circular wait
- Four approaches to dealing with deadlock:
  - Ignore it – Living life on the edge
  - Prevention – Make one of the four conditions impossible
  - Avoidance – Banker's Algorithm (control allocation)
  - Detection and Recovery – Look for a cycle, preempt or abort

# Deadlock and Resources

- There are two kinds of resources: consumable and reusable
  - Consumable resources are generated and destroyed by processes: e.g., a process waiting for a message from another process
  - Reusable resources are allocated and released by processes: e.g., locks on files
- Deadlock with consumable resources is usually treated as a correctness issue (e.g., proofs) or with timeouts
- From here on, we only consider reusable resources

# Deadlock Prevention

Consider a database system in which a user submits commands that read and update tables.

Tables that are read or updated need to be locked when accessed.

- How would you do each of the following?
  - Don't enforce mutex?
  - Don't allow hold and wait?
  - Allow preemption?
  - Don't allow circular waiting?