**Whatever can go wrong
will go wrong.**

attributed to Edward A. Murphy

Murphy was an optimist.

authors of lock-free programs

3. LOCK FREE KERNEL

Literature

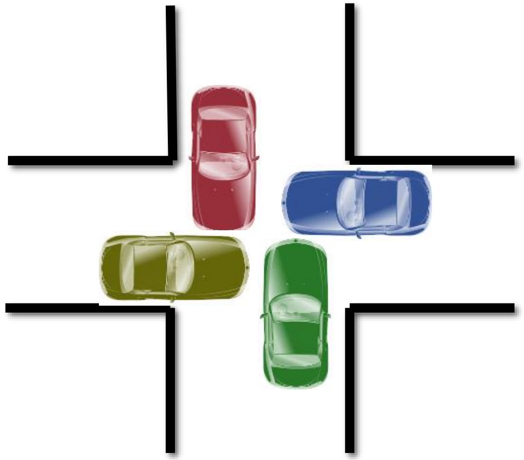
Maurice Herlihy and Nir Shavit. *The Art of Multiprocessor Programming*. Morgan Kaufmann Publishers Inc., San Francisco, CA, USA, 2008.

Florian Negele. *Combining Lock-Free Programming with Cooperative Multitasking for a Portable Multiprocessor Runtime System.* ETH-Zürich, 2014. http://dx.doi.org/10.3929/ethz-a-010335528

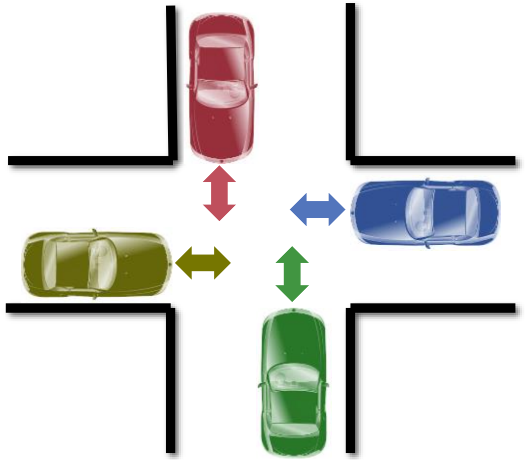
A substantial part of the following material is based on Florian Negele's Thesis.

Florian Negele, Felix Friedrich, Suwon Oh and Bernhard Egger, *On the Design and Implementation of an Efficient Lock-Free Scheduler,* 19th Workshop on Job Scheduling Strategies for Parallel Processing (JSSPP) 2015.

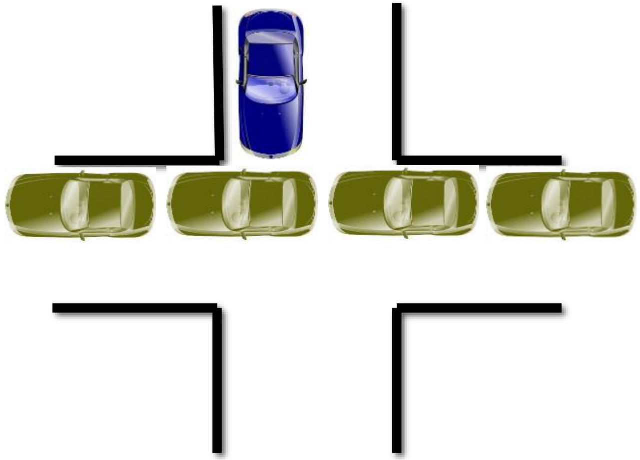
Problems with Locks



Deadlock



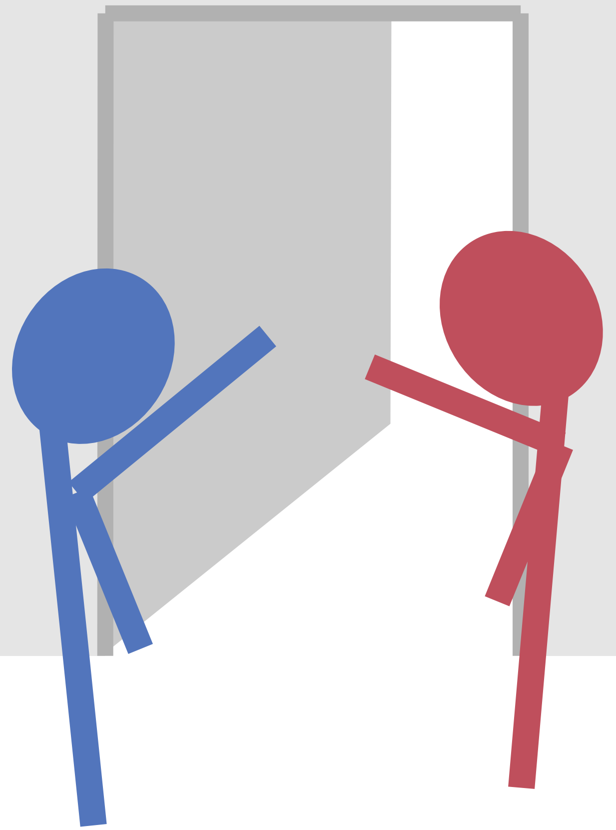
Livelock



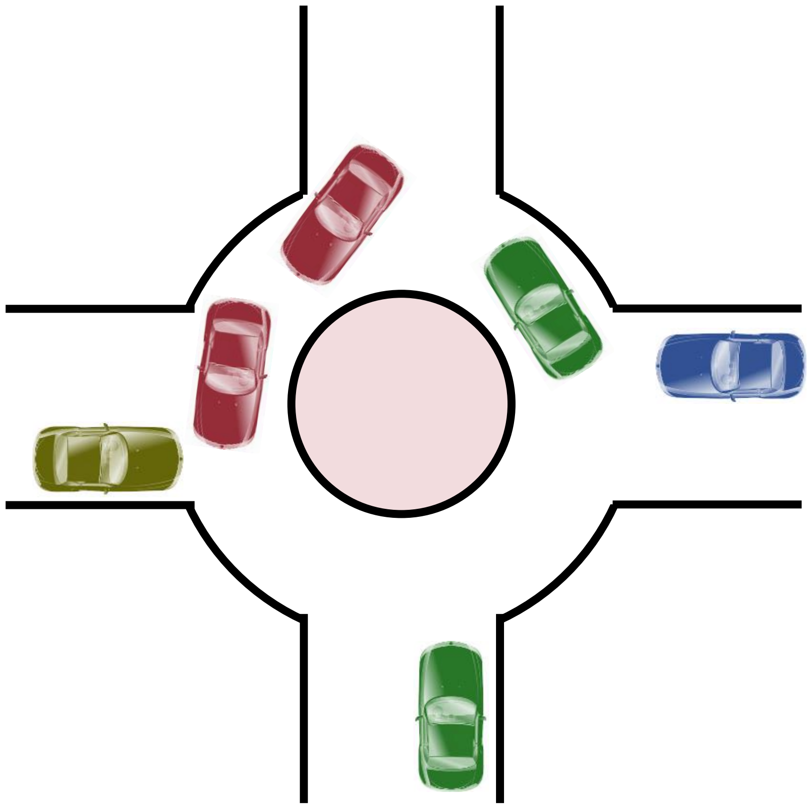
Starvation

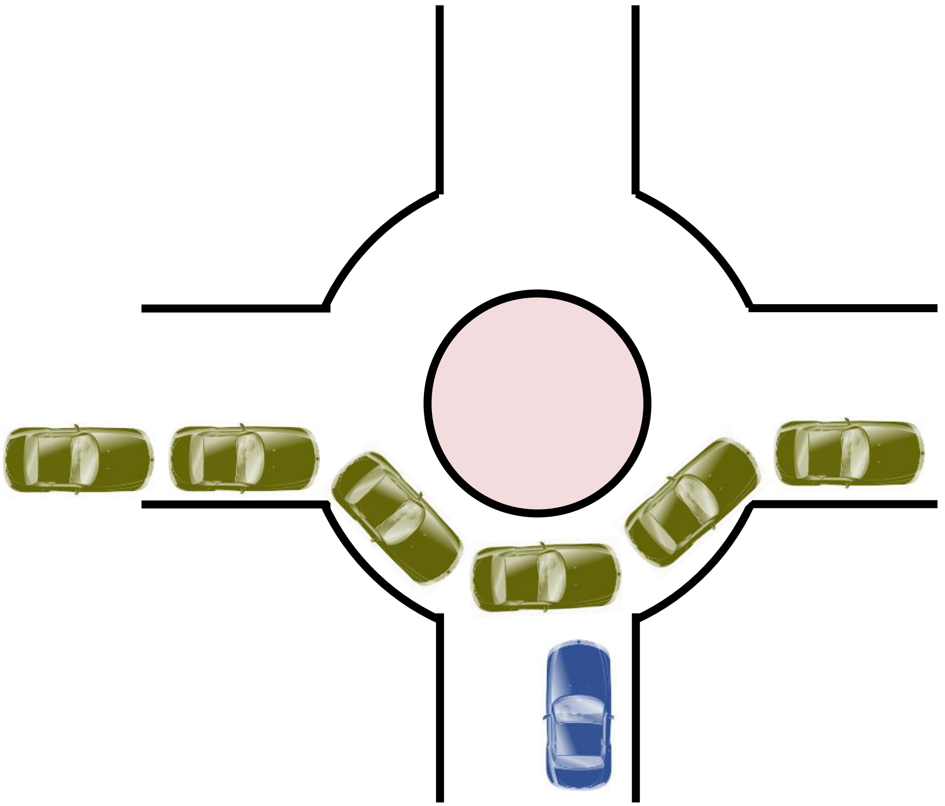
Parallelism? Progress Guarantees? Reentrancy? Granularity? Fault Tolerance?

Politelock



Lock-Free





Definitions

Lock-freedom: at least one algorithm makes progress even if other algorithms run concurrently, fail or get suspended.
Implies system-wide progress but not freedom from starvation.

↑ implies

Wait-freedom: each algorithm eventually makes progress.
Implies freedom from starvation.

Progress Conditions

	Blocking	Non-Blocking
Someone make progress	Deadlock-free	**Lock-free**
Everyone makes progress	Starvation-free	Wait-free

Goals

Lock Freedom

- Progress Guarantees
- Reentrant Algorithms

Portability

- Hardware Independence
- Simplicity, Maintenance

Guiding principles

1. Keep things **simple**
2. Exclusively employ **non-blocking** algorithms in the system

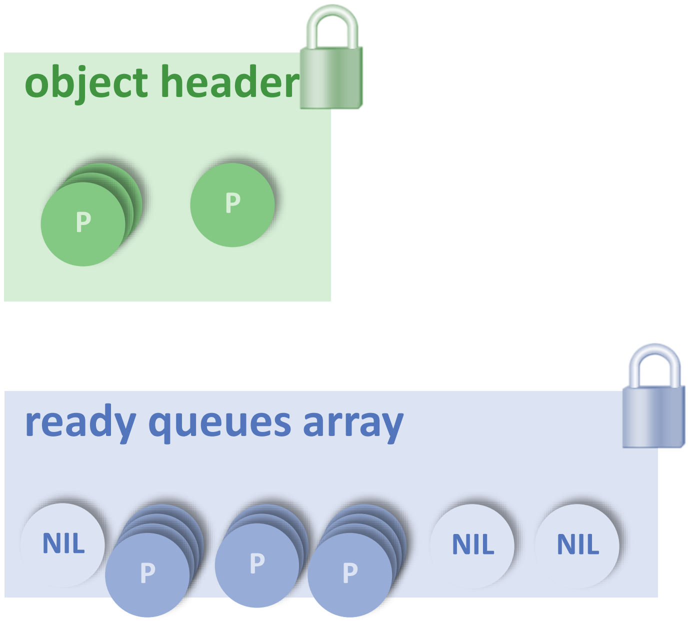
→ Use **implicit cooperative multitasking**

→ no virtual memory

→ limits in optimization

Where are the Locks in the Kernel?

Scheduling Queues / Heaps



Memory Management

CAS (again)

- Compare **old** with data at memory location

- If and only if data at memory equals **old** overwrite data with **new**

- Return previous memory value

int CAS (memref a, int old, int new)

atomic

```
previous = mem[a];
if (old == previous)
    Mem[a] = new;
return previous;
```

CAS is implemented wait-free(!) by hardware.

Memory Model for Lockfree Active Oberon

Only **two rules**

1. **Data shared** between two or more activities at the same time has to be **protected using exclusive blocks** unless the data is read or modified using the compare-and-swap operation
2. Changes to shared data **visible to other activities after leaving an exclusive block or executing a compare-and-swap** operation.

   Implementations are free to reorder all other memory accesses as long as their effect equals a sequential execution within a single activity.

Inbuilt CAS

- CAS instruction as statement of the language

```
PROCEDURE CAS(VAR variable, old, new: BaseType): BaseType
```

  - Operation executed atomically, result visible instantaneously to other processes
  - CAS(variable, x, x) constitutes an atomic read
- Compiler required to implement CAS as a synchronisation barrier
  - Portability, even for non-blocking algorithms
  - Consistent view on shared data, even for systems that represent words using bytes

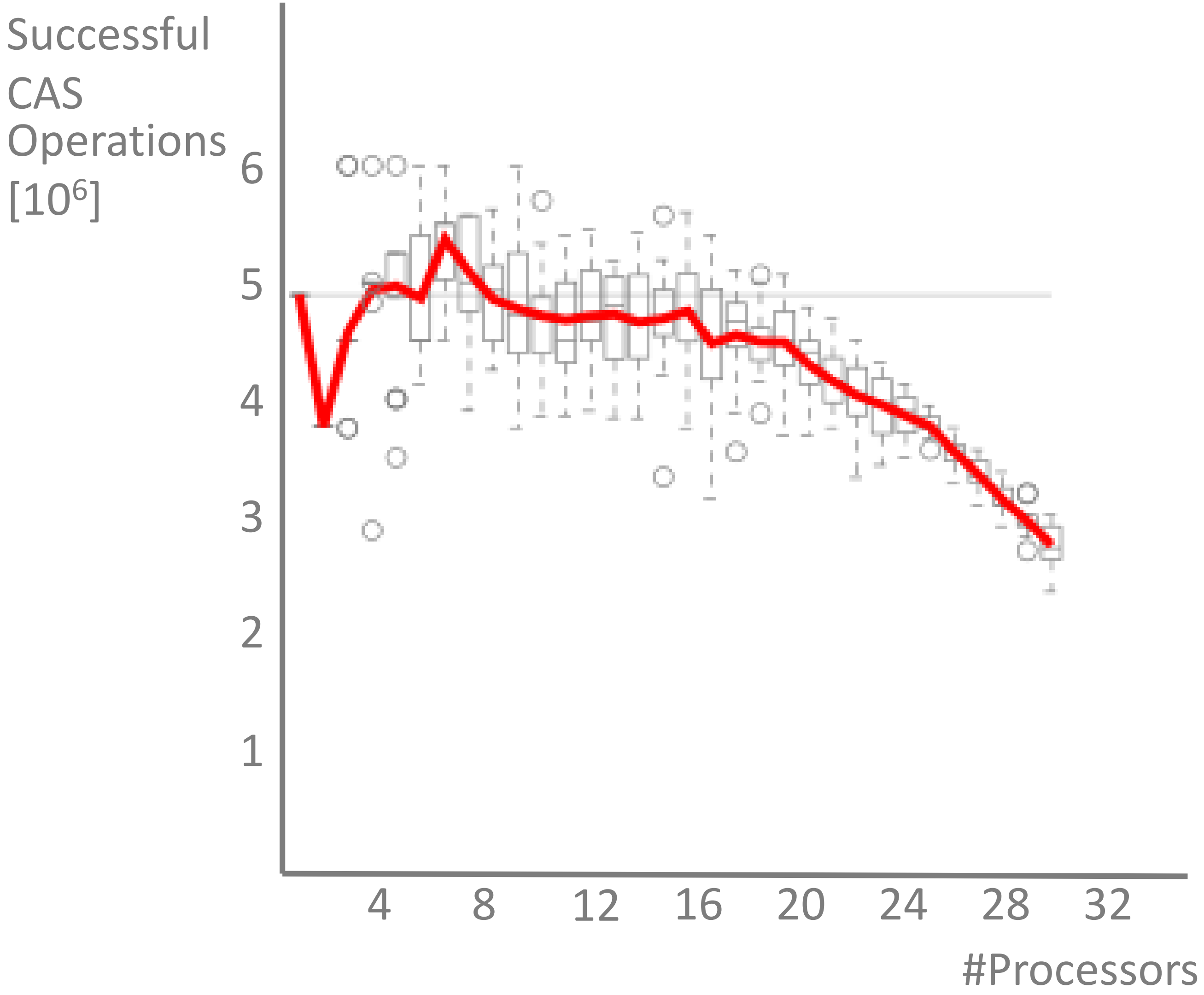
Simple Example: Non-blocking counter

```
PROCEDURE Increment(VAR counter: SIZE): SIZE;
VAR previous, value: SIZE;
BEGIN
   REPEAT
     previous := CAS(counter,0,0);
     value := CAS(counter, previous, previous + 1);
   UNTIL value = previous;
   return previous;
END Increment;
```

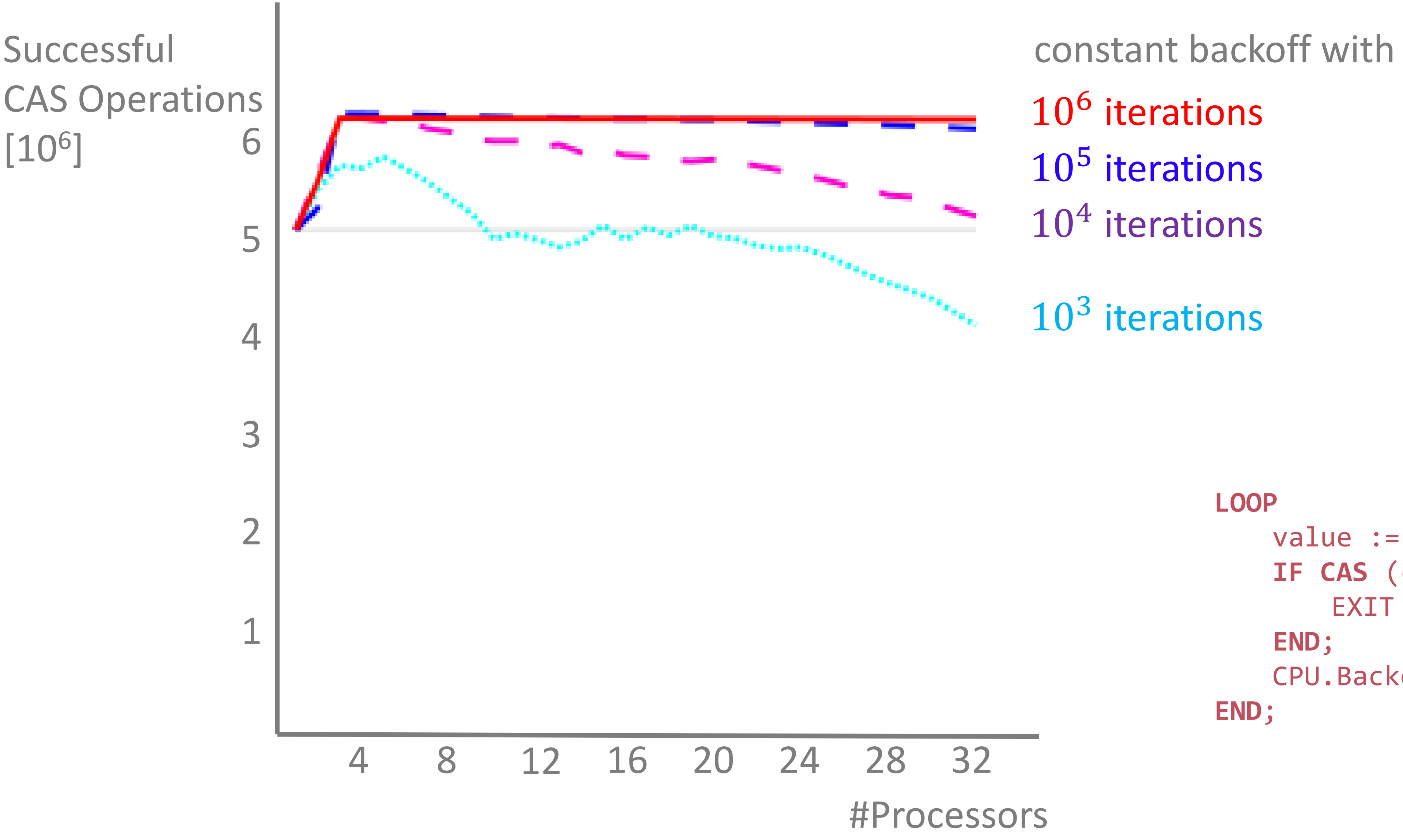
Lock-Free Programming

Performance of CAS

- on the H/W level, CAS triggers a memory barrier
- performance suffers with increasing number of contenders to the same variable



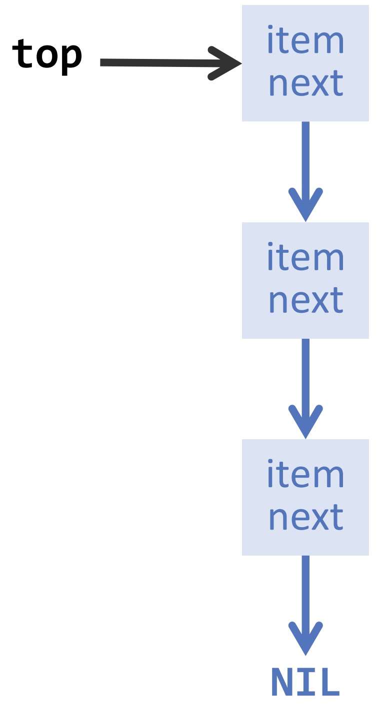
CAS with backoff




```
LOOP
    value := CAS (counter, 0, 0);
    IF CAS (counter, v, v+1) = v THEN
        EXIT
    END;
    CPU.Backoff;
END;
```

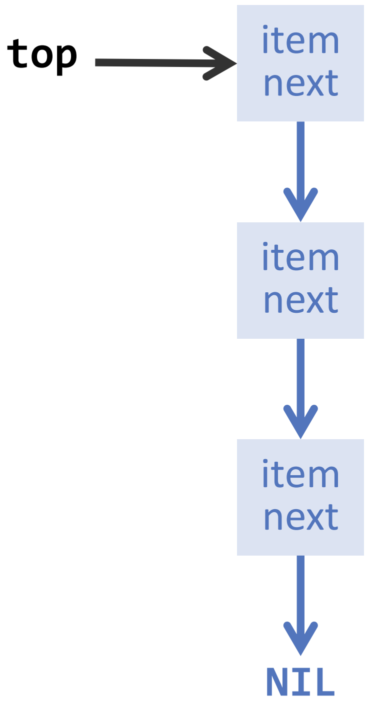
Stack

```
Node = POINTER TO RECORD
  item: Object;
  next: Node;
END;

Stack = OBJECT
VAR top: Node;
  PROCEDURE Pop(VAR head: Node): BOOLEAN;
  PROCEDURE Push(head: Node);
END;
```



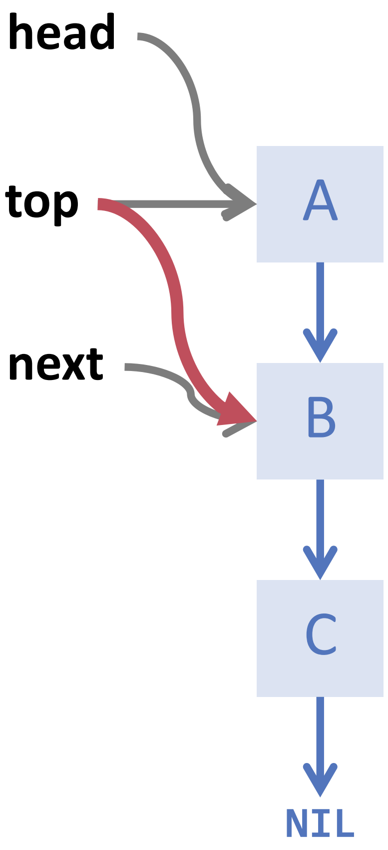
Stack -- Blocking

```
PROCEDURE Push(node: Node): BOOLEAN;
BEGIN{EXCLUSIVE}
   node.next := top;
   top := node;
END Push;

PROCEDURE Pop(VAR head: Node): BOOLEAN;
VAR next: Node;
BEGIN{EXCLUSIVE}
   head := top;
   IF head = NIL THEN
      RETURN FALSE
   ELSE
      top := head.next;
      RETURN TRUE;
   END;
END Pop;
```



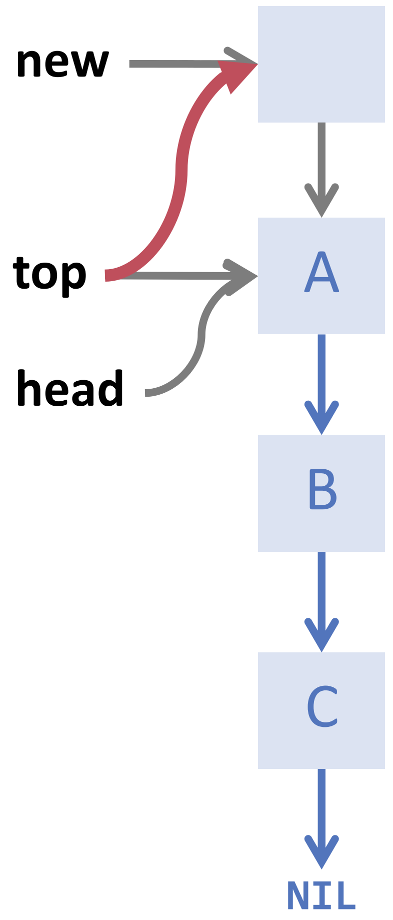
Stack -- Lockfree

```
PROCEDURE Pop(VAR head: Node): BOOLEAN;
VAR next: Node;
BEGIN
   LOOP
      head := CAS(top, NIL, NIL);
      IF head = NIL THEN
         RETURN FALSE
      END;
      next := head.next;
      IF CAS(top, head, next) = head THEN
         RETURN TRUE
      END;
      CPU.Backoff
   END;
END Pop;
```



Stack -- Lockfree

```
PROCEDURE Push(new: Node);
BEGIN
   LOOP
      head := CAS(top, NIL, NIL);
      new.next := head;
      IF CAS(top, head, new) = head THEN
         EXIT
      END;
      CPU.Backoff;
   END;
END Push;
```

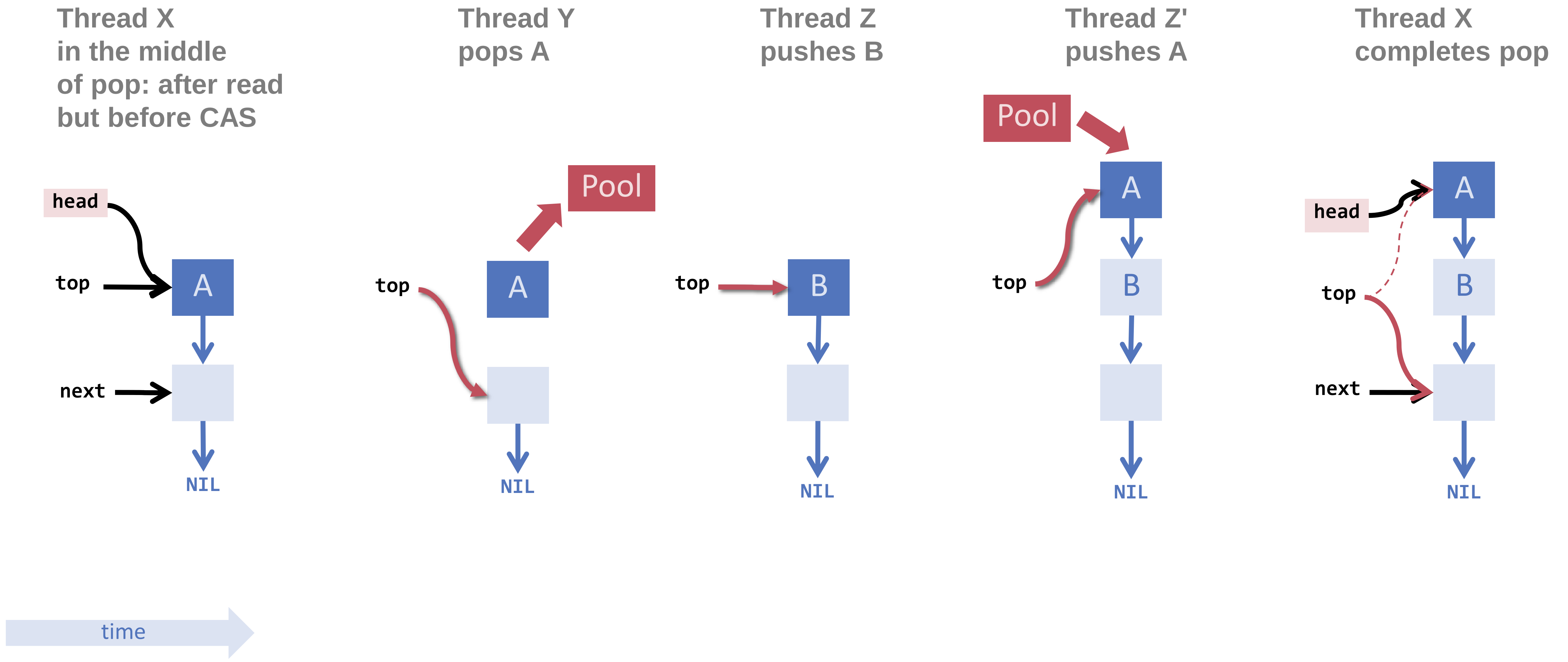


Node Reuse

Assume we do not want to allocate a new node for each Push and maintain a Node-pool instead. Does this work?

NO ! WHY NOT?

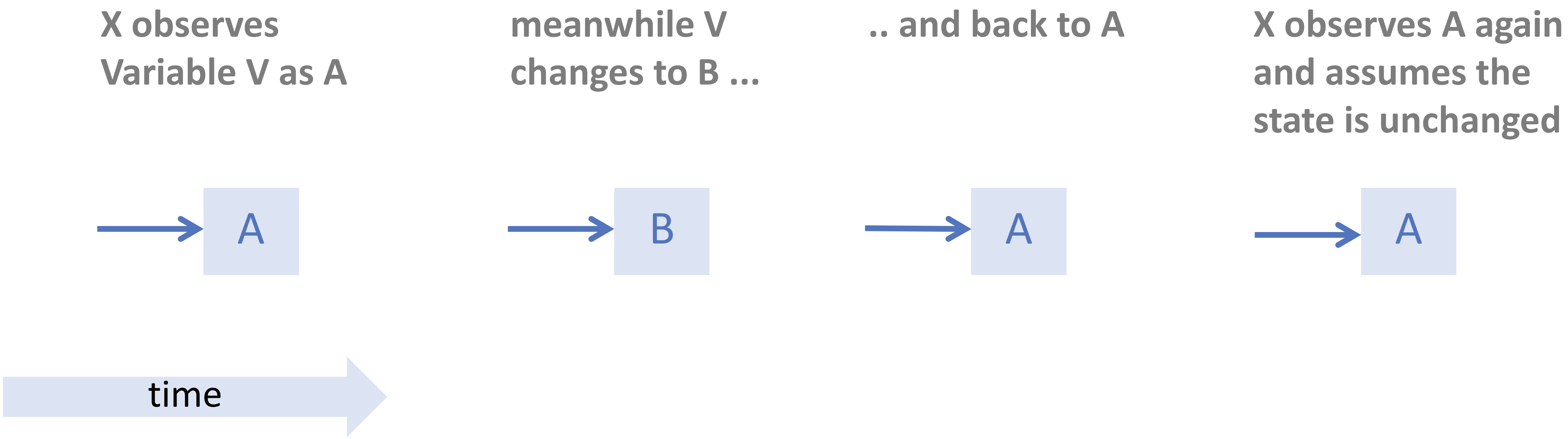
ABA Problem



Thread X
in the middle
of pop: after read
but before CAS
Thread Y
pops A
Thread Z
pushes B
Thread Z'
pushes A
Thread X
completes pop
head
top
A
next
NIL
top
A
Pool
NIL
top
B
NIL
Pool
A
top
B
NIL
head
A
top
B
next
NIL
time

The **ABA**-Problem

"The ABA problem ... occurs when one activity fails to recognise that a single memory location was modified temporarily by another activity and therefore erroneously assumes that the overal state has not been changed."



How to solve the ABA problem?

- DCAS (double compare and swap)
  - not available on most platforms
- Hardware transactional memory
  - not available on most platforms
  - memory restrictions
- Garbage Collection
  - relies on the existence of a GC
  - impossible to use in the inner of a runtime kernel
  - can you implement a lock-free garbage collector relying on garbage collection?
- **Pointer Tagging**
  - does not cure the problem, rather delay it
  - can be practical
- **Hazard Pointers**

Pointer Tagging

ABA problem usually occurs with CAS on *pointers*

Aligned addresses (values of pointers) make some bits available for *pointer tagging.*

Example: pointer aligned modulo 32 → 5 bits available for tagging

MSB	...	X	X	X	X	X	X	X	X	0	0	0	0	0

Each time a pointer is stored in a data structure, the tag is increased by one. Access to a data structure via address x – x mod 32

This makes the ABA problem very much less probable because now 32 versions of each pointer exist.

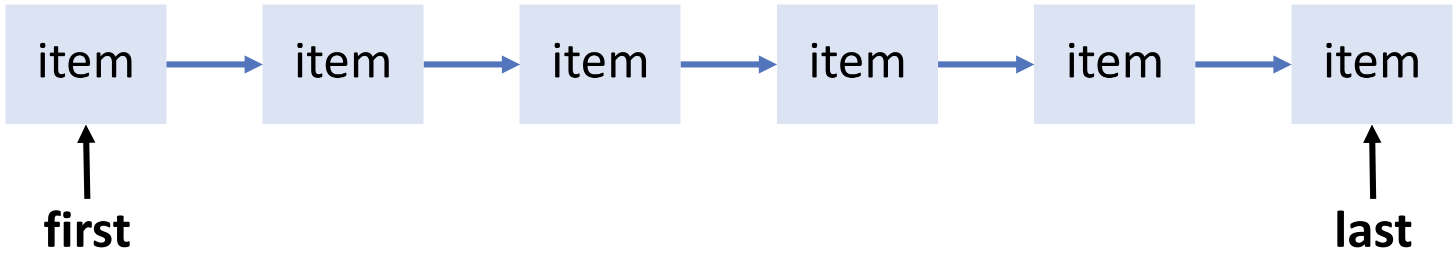
Hazard Pointers

The ABA problem stems from reuse of a pointer P that has been read by some thread X but not yet written with CAS by the same thread. Modification takes place meanwhile by some other thread Y.

Idea to solve:

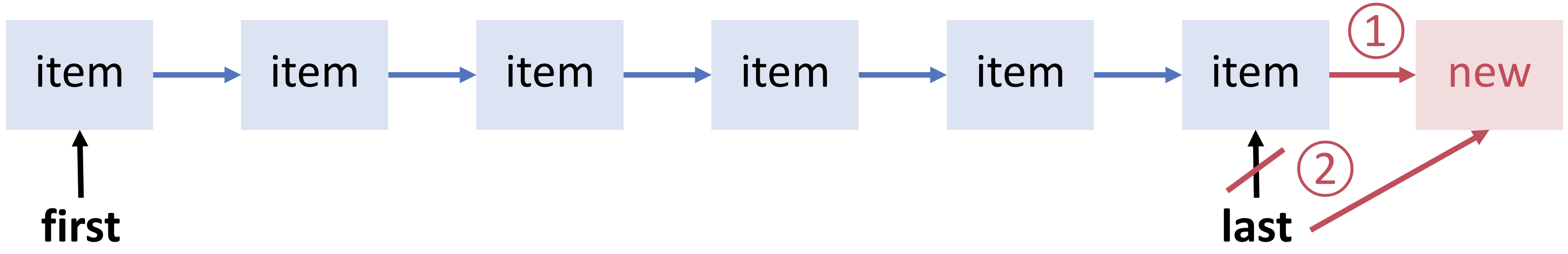
- Before X reads P, it marks it **hazarduous** by entering it in a thread-dedicated slot of the n (n= number threads) slots of an array associated with the data structure (e.g. the stack)
- When finished (after the CAS), process X removes P from the array
- Before a process Y tries to reuse P, it checks all entries of the hazard array

Unbounded Queue (FIFO)

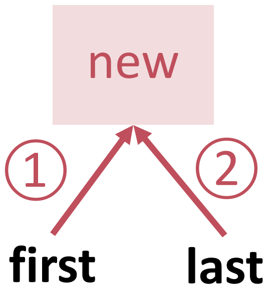


Enqueue

case last != NIL

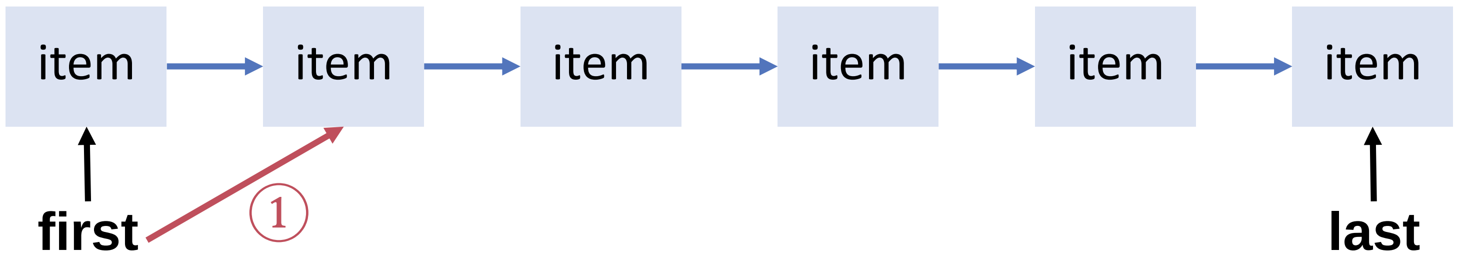


case last = NIL

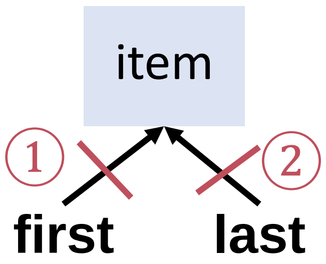


Dequeue

last != first



last == first



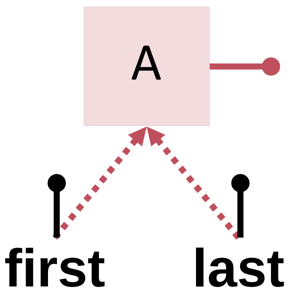
Naive Approach

Enqueue (q, new)

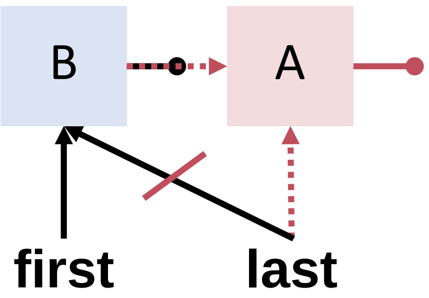
```
    REPEAT last := CAS(q.last, NIL, NIL);
e1  UNTIL CAS(q.last, last, new) = last;
    IF last # NIL THEN
e2      CAS(last.next, NIL, new);
    ELSE
e3      CAS(q.first, NIL, new);
    END
```

Dequeue (q)

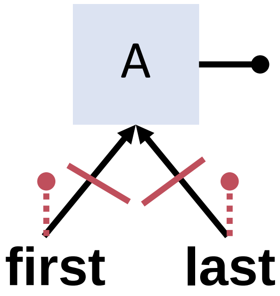
```
    REPEAT
        first := CAS(q.first, null, null);
d1      IF first = NIL THEN RETURN NIL END;
        next := first.next;
d2  UNTIL CAS(q.first, first, next) = first;
    IF next = NIL THEN
d3  CAS(q.last, first, NIL);
    END
```



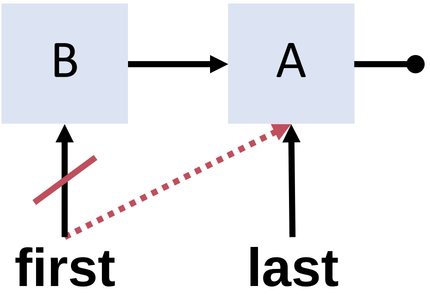
e1 + e3



e1 + e2



d2 + d3



d2

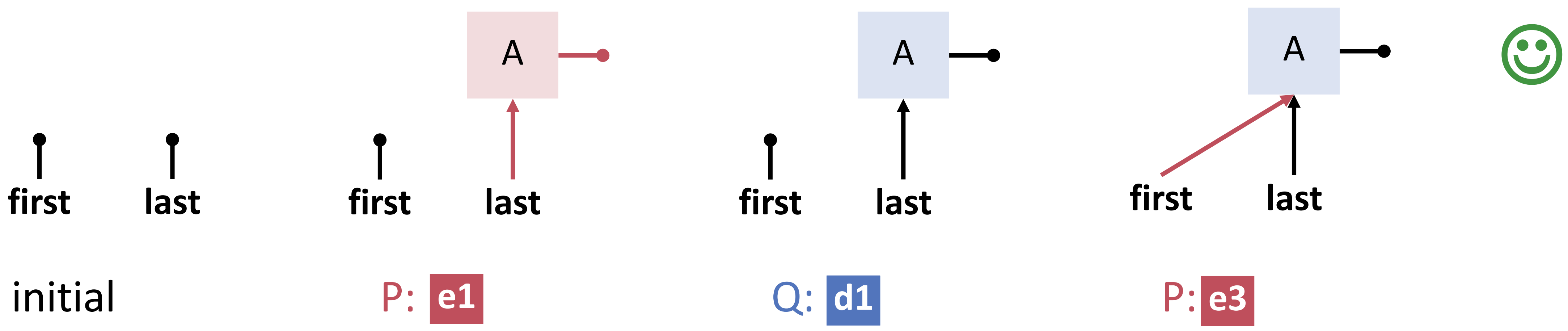
Scenario

Process P enqueues A

Process Q dequeues

```
Enqueue (q, new)
       REPEAT last := CAS(q.last, NIL, NIL);
e1     UNTIL CAS(q.last, last, new) = last;
       IF last # NIL THEN
e2             CAS(last.next, NIL, new);
       ELSE
e3             CAS(q.first, NIL, new);
       END
```

```
Dequeue (q)
       REPEAT
            first := CAS(q.first, null, null);
       d1   IF first = NIL THEN RETURN NIL END;
            next := first.next;
d2     UNTIL CAS(q.first, first, next) = first;
       IF next = NIL THEN
       d3   CAS(q.last, first, NIL);
       END
```



Scenario

Process P enqueues A

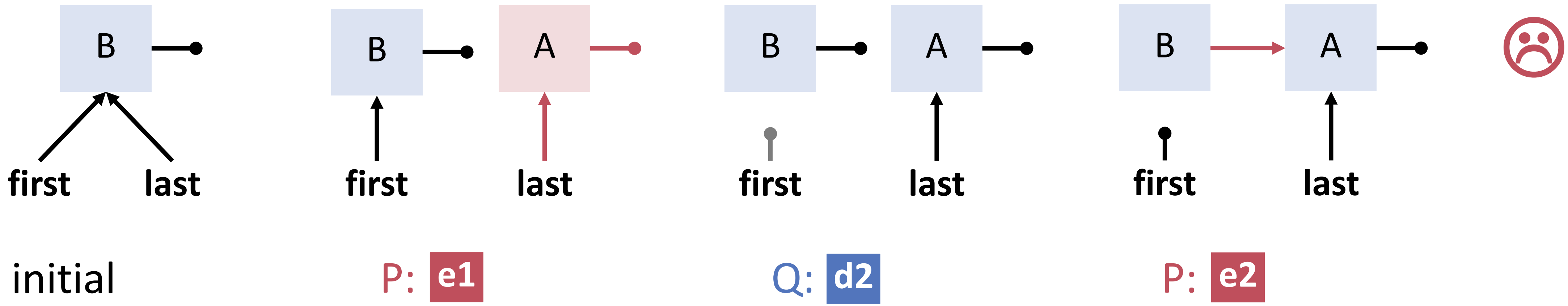
Process Q dequeues

Enqueue (q, new)

```
      REPEAT last := CAS(q.last, NIL, NIL);
e1    UNTIL CAS(q.last, last, new) = last;
      IF last # NIL THEN
e2           CAS(last.next, NIL, new);
      ELSE
e3           CAS(q.first, NIL, new);
      END
```

Dequeue (q)

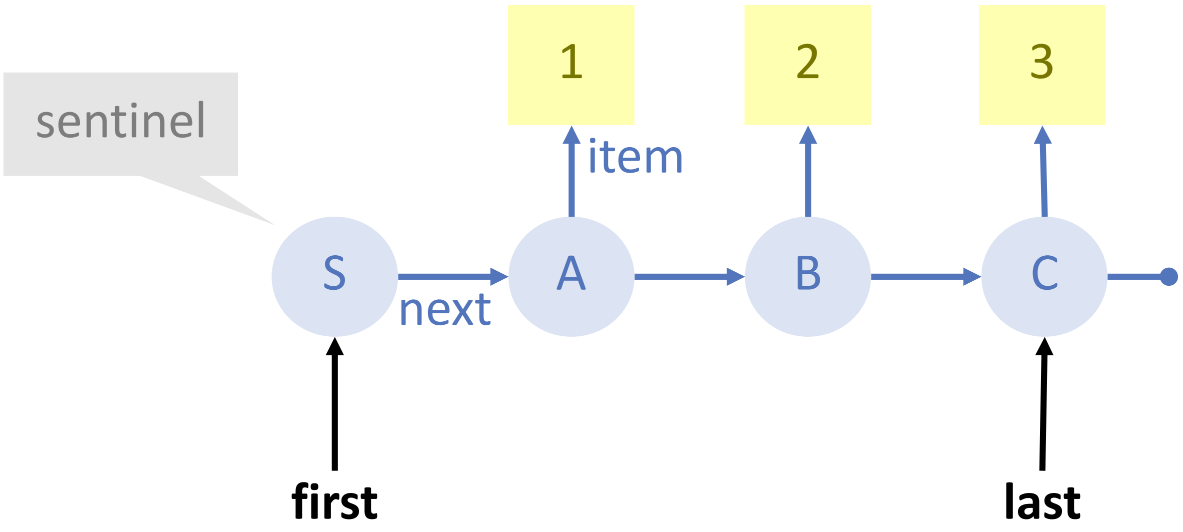
```
      REPEAT
           first := CAS(q.first, null, null);
d1         IF first = NIL THEN RETURN NIL END;
           next := first.next;
d2    UNTIL CAS(q.first, first, next) = first;
      IF next = NIL THEN
d3         CAS(q.last, first, NIL);
      END
```



Analysis

- The problem is that enqueue and dequeue do under some circumstances have to update **several pointers at once** [first, last, next]
- The transient inconsistency can lead to permanent data structure corruption
- Solutions to this particular problem are not easy to find if no double compare and swap (or similar) is available
- Need another approach: Decouple enqueue and dequeue with a sentinel. A consequence is that the **queue cannot be in-place.**

Queues with Sentinel

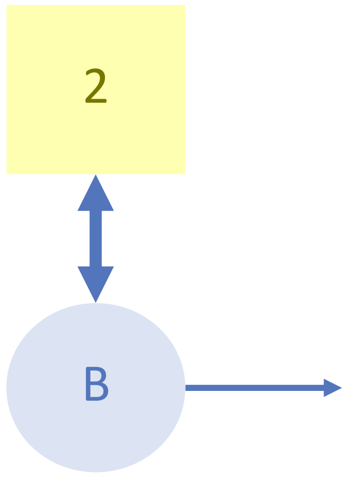


Queue empty:	first = last
Queue nonempty:	first # last
Invariants:	first # NIL
	last # NIL

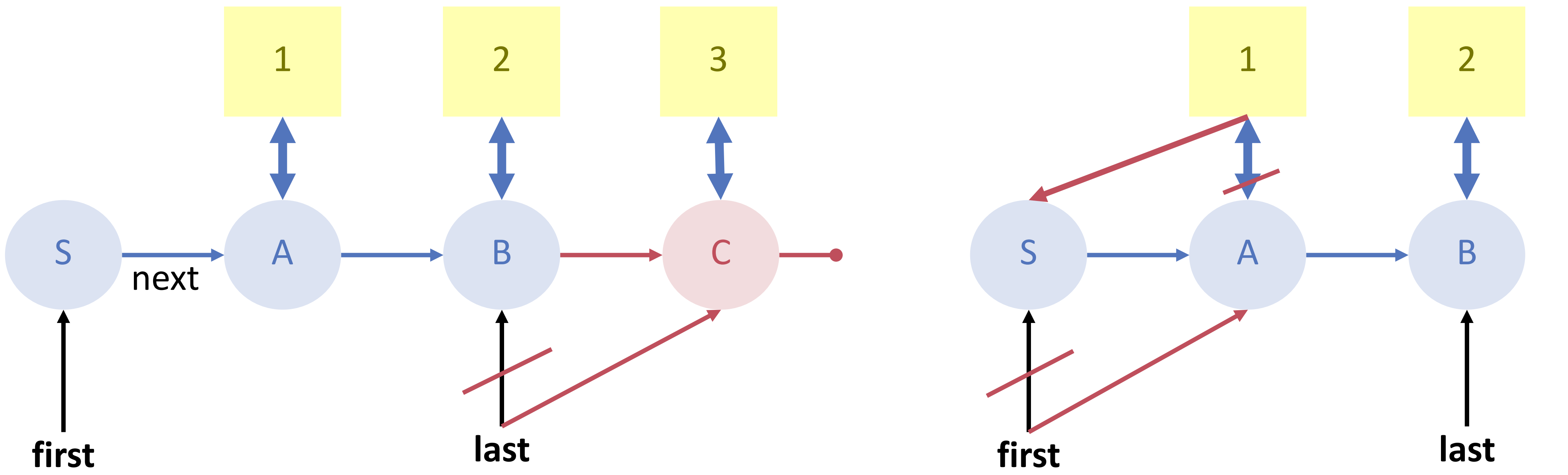
Node Reuse

simple idea:

link from node to item
and from item to node



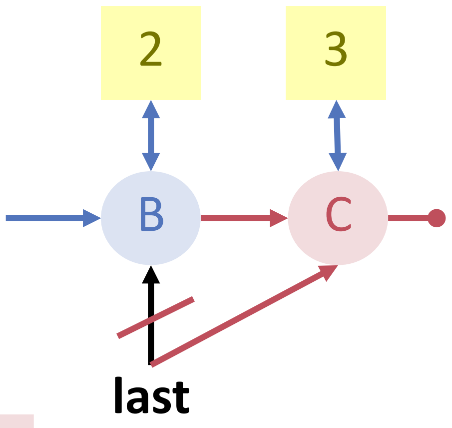
Enqueue and Dequeue with Sentinel



Item enqueued together with associated node.

A becomes the new sentinel.
S associated with free item.

Enqueue



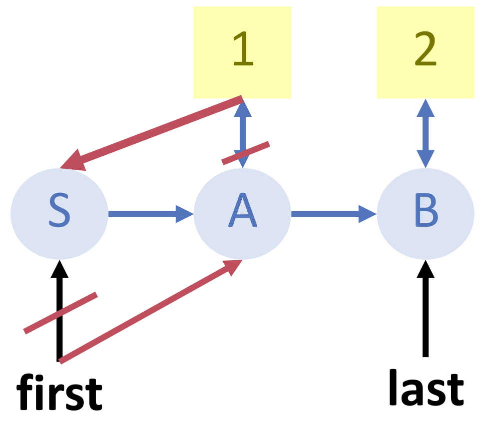

```
PROCEDURE Enqueue- (item: Item; VAR queue: Queue);
VAR node, last, next: Node;
BEGIN
   node := Allocate();
   node.item := Item:
   LOOP
      last := CAS (queue.last, NIL, NIL);
      next := CAS (last.next, NIL, node);
      IF next = NIL THEN EXIT END;
      IF CAS (queue.last, last, next) # last THEN CPU.Backoff END;
   END;
   ASSERT (CAS (queue.last, last, node) # NIL);
END Enqueue;
```

Set last node's next pointer

If setting last pointer failed, then **help other processes to update last node → Progress guarantee**

Set last node, can fail but then others have already helped

Dequeue




```
PROCEDURE Dequeue- (VAR item: Item; VAR queue: Queue): BOOLEAN;
VAR first, next, last: Node;
BEGIN
   LOOP
      first := CAS (queue.first, NIL, NIL);
      next := CAS (first.next, NIL, NIL);
      IF next = NIL THEN RETURN FALSE END;
      last := CAS (queue.last, first, next);
      item := next.item;
      IF CAS (queue.first, first, next) = first THEN EXIT END;
      CPU.Backoff;
   END;
   item.node := first;
   RETURN TRUE;
END Dequeue;
```

Remove potential inconsistency, **help other processes to set last pointer**

set first pointer

associate node with first