Outline

- Cache coherence the hardware view
- Synchronization and memory consistency review
- 3 C11 Atomics
- 4 Avoiding locks

Important memory system properties

Coherence – concerns accesses to a single memory location

- Must obey program order if access from only one CPU
- There is a total order on all updates
- There is bounded latency before everyone sees a write

Consistency – concerns ordering across memory locations

- Even with coherence, different CPUs can see the same write happen at different times
- Sequential consistency is what matches our intuition (As if instructions from all CPUs interleaved on one CPU)
- Many architectures offer weaker consistency
- Yet well-defined weaker consistency can still be sufficient to implement thread API contract from concurrency lecture

Multicore Caches

Performance requires caches

- Divided into chuncks of bytes called lines (e.g., 64 bytes)
- Caches create an opportunity for cores to disagree about memory

Bus-based approaches

- "Snoopy" protocols, each CPU listens to memory bus
- Use write-through and invalidate when you see a write bits
- Bus-based schemes limit scalability
- Modern CPUs use networks (e.g., hypertransport, QPI)
 - CPUs pass each other messages about cache lines

MESI coherence protocol

Modified

- One cache has a valid copy
- That copy is dirty (needs to be written back to memory)
- Must invalidate all copies in other caches before entering this state

Exclusive

- Same as Modified except the cache copy is clean

Shared

- One or more caches and memory have a valid copy

Invalid

Doesn't contain any data

Owned (for enhanced "MOESI" protocol)

- Memory may contain stale value of data (like Modified state)
- But have to broadcast modifications (sort of like Shared state)
- Can have both one owned and multiple shared copies of cache line

Core and Bus Actions

Core

- Read
- Write
- Evict (modified? must write back)

Bus

- Read: without intent to modify, data can come from memory or another cache
- Read-exclusive: with intent to modify, must invalidate all other cache copies
- Writeback: contents put on bus and memory is updated

cc-NUMA

- Old machines used dance hall architectures
 - Any CPU can "dance with" any memory equally
- An alternative: Non-Uniform Memory Access (NUMA)
 - Each CPU has fast access to some "close" memory
 - Slower to access memory that is farther away
 - Use a directory to keep track of who is caching what
- Originally for esoteric machines with many CPUs
 - But AMD and then intel integrated memory controller into CPU
 - Faster to access memory controlled by the local socket (or even local die in a multi-chip module)
- cc-NUMA = cache-coherent NUMA
 - Rarely see non-cache-coherent NUMA (BBN Butterfly 1, Cray T3D)

Real World Coherence Costs

- See [David] for a great reference. Xeon results:
 - 3 cycle L1, 11 cycle L2, 44 cycle LLC, 355 cycle local RAM
- If another core in same socket holds line in modified state:
 - load: 109 cycles (LLC + 65)
 - store: 115 cycles (LLC + 71)
 - atomic CAS: 120 cycles (LLC + 76)
- If a core in a different socket holds line in modified state:
 - NUMA load: 289 cycles
 - NUMA store: 320 cycles
 - NUMA atomic CAS: 324 cycles
- But only a partial picture
 - Could be faster because of out-of-order execution
 - Could be slower if interconnect contention or multiple hops

NUMA and spinlocks

- Test-and-set spinlock has several advantages
 - Simple to implement and understand
 - One memory location for arbitrarily many CPUs
- But also has disadvantages
 - Lots of traffic over memory bus (especially when > 1 spinner)
 - Not necessarily fair (same CPU acquires lock many times)
 - Even less fair on a NUMA machine
- Idea 1: Avoid spinlocks altogether (today)
- Idea 2: Reduce bus traffic with better spinlocks (next lecture)
 - Design lock that spins only on local memory
 - Also gives better fairness

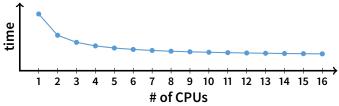
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Amdahl's law

$$T(n) = T(1)\left(B + \frac{1}{n}(1-B)\right)$$

- Expected speedup limited when only part of a task is sped up
 - T(n): the time it takes n CPU cores to complete the task
 - B: the fraction of the job that must be serial
- Even with massive multiprocessors, $\lim_{n\to\infty} = B \cdot T(1)$



- Places an ultimate limit on parallel speedup
- Problem: synchronization increases serial section size

Locking basics

```
mutex_t m;
lock(&m);
cnt = cnt + 1; /* critical section */
unlock(&m);
```

- Only one thread can hold a mutex at a time
 - Makes critical section atomic
- Recall thread API contract
 - All access to global data must be protected by a mutex
 - Global = two or more threads touch data and at least one writes
- Means must map each piece of global data to one mutex
 - Never touch the data unless you locked that mutex
- But many ways to map data to mutexes

Locking granularity

Consider two lookup implementations for global hash table:

```
struct list *hash tbl[1021]:
coarse-grained locking
mutex_t m;
 mutex_lock(&m);
 struct list_elem *pos = list_begin (hash_tbl[hash(key)]);
 /* ... walk list and find entry ... */
 mutex_unlock(&m);
fine-grained locking
mutex_t bucket_lock[1021];
 int index = hash(key);
 mutex_lock(&bucket_lock[index]);
 struct list_elem *pos = list_begin (hash_tbl[index]);
 /* ... walk list and find entry ... */
 mutex_unlock(&bucket_lock[index]);
```

Which implementation is better?

Locking granularity (continued)

- Fine-grained locking admits more parallelism
 - E.g., imagine network server looking up values in hash table
 - Parallel requests will usually map to different hash buckets
 - So fine-grained locking should allow better speedup
- When might coarse-grained locking be better?

Locking granularity (continued)

Fine-grained locking admits more parallelism

- E.g., imagine network server looking up values in hash table
- Parallel requests will usually map to different hash buckets
- So fine-grained locking should allow better speedup

When might coarse-grained locking be better?

- Suppose you have global data that applies to whole hash table

- Read num_buckets each time you insert
- Check num_elements each insert, possibly expand buckets & rehash
- Single global mutex would protect these fields
- Can you avoid serializing lookups to hash table?

Readers-writers problem

- Recall a mutex allows access in only one thread
- But a data race occurs only if
 - Multiple threads access the same data, and
 - At least one of the accesses is a write
- How to allow multiple readers or one single writer?
 - Need lock that can be *shared* amongst concurrent readers
- Can implement using other primitives (next slides)
 - Keep integer i # or readers or -1 if held by writer
 - Protect i with mutex
 - Sleep on condition variable when can't get lock

Implementing shared locks

```
struct sharedlk {
 int i; /* # shared lockers, or -1 if exclusively locked */
 mutex_t m;
 cond_t c;
};
void AcquireExclusive (sharedlk *sl) {
 lock (&sl->m);
 while (sl->i) { wait (\&sl->m, \&sl->c); }
 sl->i = -1:
 unlock (&sl->m);
void AcquireShared (sharedlk *sl) {
 lock (&sl->m);
 while (\&sl->i < 0) { wait (\&sl->m, \&sl->c); }
 sl->i++;
 unlock (&sl->m);
```

Implementing shared locks (continued)

```
void ReleaseShared (sharedlk *sl) {
 lock (&sl->m);
 if (!--sl->i)
   signal (&sl->c);
 unlock (&sl->m);
void ReleaseExclusive (sharedlk *sl) {
 lock (&sl->m);
 sl->i = 0;
 broadcast (&sl->c);
 unlock (&sl->m);
```

Any issues with this implementation?

Implementing shared locks (continued)

```
void ReleaseShared (sharedlk *sl) {
 lock (&sl->m);
 if (!--sl->i)
   signal (&sl->c);
 unlock (&sl->m);
void ReleaseExclusive (sharedlk *sl) {
 lock (&sl->m);
 sl->i = 0;
 broadcast (&sl->c);
 unlock (&sl->m);
```

Any issues with this implementation?

- Prone to starvation of writer (no bounded waiting)
- How might you fix?

Review: Test-and-set spinlock

```
struct var {
  int lock;
 int val;
};
void atomic_inc (var *v) {
  while (test_and_set (&v->lock))
 v->val++:
 v \rightarrow lock = 0;
void atomic_dec (var *v) {
  while (test_and_set (&v->lock))
 v->val--;
 v \rightarrow lock = 0;
```

Is this code correct without sequential consistency?

Memory reordering danger

- Suppose no sequential consistency (& don't compensate)
- Hardware could violate program order

```
Program order on CPU #1
v->lock = 1;
register = v->val;
v->val = register + 1;
v->lock = 0;

v->lock = 0;
/* danger */;
v->val = register + 1;
```

• If atomic_inc called at /* danger */, bad val ensues!

Ordering requirements

```
void atomic_inc (var *v) {
  while (test_and_set (&v->lock))
  ;
  v->val++;
  /* danger */
  v->lock = 0;
}
```

- Must ensure all CPUs see the following:
 - 1. v->lock = 1 ran before v->val was read and written
 - 2. v->lock = 0 ran after v->val was written
- How does #1 get assured on x86?
 - Recall test_and_set uses xchgl %eax,(%edx)
- How to ensure #2 on x86?

Ordering requirements

```
void atomic_inc (var *v) {
  while (test_and_set (&v->lock))
  ;
  v->val++;
  /* danger */
  v->lock = 0;
}
```

- Must ensure all CPUs see the following:
 - 1. v->lock = 1 ran before v->val was read and written
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- How does #1 get assured on x86?
 - Recall test_and_set uses xchgl %eax,(%edx)
 - xchgl instruction always "locked," ensuring barrier
- How to ensure #2 on x86?

Ordering requirements

```
void atomic_inc (var *v) {
  while (test_and_set (&v->lock))
  ;
  v->val++;
  asm volatile ("sfence" ::: "memory");
  v->lock = 0;
}
```

Must ensure all CPUs see the following:

- 1. v->lock = 1 ran before v->val was read and written
- 2. v->lock = 0 ran after v->val was written
- How does #1 get assured on x86?
 - Recall test_and_set uses xchgl %eax, (%edx)
 - xchgl instruction always "locked," ensuring barrier
- How to ensure #2 on x86?
 - Might need fence instruction after, e.g., non-temporal stores
 - Definitely need compiler barrier

Gcc extended asm syntax [FSF]

```
\verb"asm" volatile (template-string: outputs: inputs: clobbers);
```

- Puts template-string in assembly language compiler output
 - Expands %0, %1, ... (a bit like printf conversion specifiers)
 - Use "%%" for a literal % (e.g., "%%cr3" to specify %cr3 register)
- inputs/outputs specify parameters as "constraint" (value)

```
int outvar, invar = 3;
asm ("movl %1, %0" : "=r" (outvar) : "r" (invar));
/* now outvar == 3 */
```

- clobbers lists other state that get used/overwritten
 - Special value "memory" prevents reordering with loads & stores
 - Serves as compiler barrier, as important as hardware barrier
- volatile indicates side effects other than result
 - Otherwise, gcc might optimize away if you don't use result

Correct spinlock on alpha

 Recall implementation of test_and_set on alpha (with much weaker memory consistency than x86):

- Memory barrier instruction mb (like mfence)
 - All processors will see that everything before mb in program order happened before everything after mb in program order
- Need barrier before releasing spinlock as well:

```
asm volatile ("mb" ::: "memory");
v->lock = 0;
```

Memory barriers/fences

- Fortunately, consistency need not overly complicate code
 - If you do locking right, only need a few fences within locking code
 - Code will be easily portable to new CPUs
- Most programmers should stick to mutexes
- But advanced techniques may require lower-level code
 - Later this lecture will see some wait-free algorithms
 - Also important for optimizing special-case locks
 (E.g., linux kernel rw_semaphore,...)
- Algorithms often explained assuming sequential consistency
 - Must know how to use memory fences to implement correctly
 - E.g., see [Howells] for how Linux deals with memory consistency
 - Also, another plug for Why Memory Barriers
- Next: How C11 allows portable low-level code

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Atomics and portability

- Lots of variation in atomic instructions, consistency models, compiler behavior
 - Changing the compiler or optimization level can invalidate code
- Different CPUs today: Your laptop is x86, but cell phone ARM
 - x86: Total Store Order Consistency Model, CISC
 - arm: Relaxed Consistency Model, RISC
- Could make it impossible to write portable kernels and applications
- Fortunately, the C11 standard has builtin support for atomics
 - Enable in GCC with the -std=gnu11 flag (now the default)
- Also available in C++11, but won't discuss today

Background: C memory model [C11]

- Within a thread, many evaluations are sequenced
 - E.g., in "f1(); f2();", evaluation of f1 is sequenced before f2
- Across threads, some operations synchronize with others
 - E.g., releasing mutex m synchronizes with a subsequent acquire m
- Evaluation A happens before B, which we'll write $A \rightarrow B$, when:
 - A is sequenced before B (in the same thread),
 - A synchronizes with B,
 - A is dependency-ordered before B (ignore for now—means A has release semantics and B consume semantics for same value), or
 - There is another operation X such that $A \rightarrow X \rightarrow B$.

 $^{^1}$ Except chain of " \rightarrow " cannot end: ..., dependency-ordered, sequenced before

C11 Atomics: Big picture

- C11 says behavior of a data race is undefined
 - A write conflicts with a read or write of same memory location
 - Two conflicting operations race if not ordered by happens before
 - Undefined can be anything (e.g., delete all your files, ...)
- Spinlocks (and hence mutexes that internally use spinlocks) synchronize across threads
 - Synchronization adds happens before arrows, avoiding data races
- Yet hardware supports other means of synchronization
- C11 atomics provide direct access to synchronized lower-level operations
 - E.g., can get compiler to issue lock prefix in some cases

C11 Atomics: Basics

- Include new <stdatomic.h> header
- New _Atomic type qualifier: e.g., _Atomic int foo;
 - Convenient aliases: atomic_bool, atomic_int, atomic_ulong, ...
 - Must initialize specially:

```
#include <stdatomic.h>
Atomic_ int global_int = ATOMIC_VAR_INIT(140);
     :
     Atomic_(int) *dyn = malloc(sizeof(*dyn));
     atomic_init(dyn, 140);
```

- Compiler emits read-modify-write instructions for atomics
 - E.g., +=, -=, |=, &=, ^=, ++, -- do what you would hope
 - Act atomically and synchronize with one another
- Also functions including atomic_fetch_add, atomic_compare_exchange_strong,...

Locking and atomic flags

- Implementations might use spinlocks internally for most atomics
 - Could interact badly with interrupt/signal handlers
 - Can check if ATOMIC_INT_LOCK_FREE, etc., macros defined
 - Fortunately modern CPUs don't require this
- atomic_flag is a special type guaranteed lock-free
 - Boolean value without support for loads and stores
 - Initialize with: atomic_flag mylock = ATOMIC_FLAG_INIT;
 - Only two kinds of operation possible:
 - Pool atomic_flag_test_and_set(volatile atomic_flag *obj);
 - void atomic_flag_clear(volatile atomic_flag *obj);
 - Above functions guarantee sequential consistency (atomic operation serves as memory fence, too)

Exposing weaker consistency

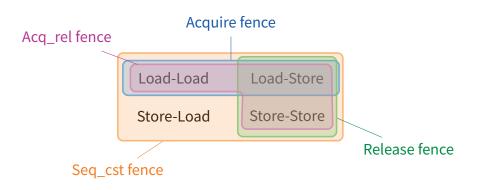
```
enum memory_order { /*...*/ };
_Bool atomic_flag_test_and_set_explicit(
   volatile atomic_flag *obj, memory_order order);
void atomic_flag_clear_explicit(
   volatile atomic_flag *obj, memory_order order);
C atomic_load_explicit(
   const volatile A *obj, memory_order order);
void atomic_store_explicit(
   volatile A *obj, C desired, memory_order order);
bool atomic_compare_exchange_weak_explicit(
   A *obj, C *expected, C desired,
   memory_order succ, memory_order fail);
```

- Atomic functions have _explicit variants
 - These guarantee coherence but *not* sequential consistency
 - May allow compiler to generate faster code

Memory ordering

- Six possible memory_order values:
 - memory_order_relaxed: no memory ordering
 - 2. memory_order_consume: super tricky, see [Preshing] for discussion
 - 3. memory_order_acquire: for start of critical section
 - 4. memory_order_release: for end of critical section
 - 5. memory_order_acq_rel: combines previous two
 - 6. memory_order_seq_cst: full sequential consistency
- Also have fence operation not tied to particular atomic:
 void atomic_thread_fence(memory_order order);
- Suppose thread 1 releases and thread 2 acquires
 - Thread 1's preceding accesses can't move past **release** store
 - Thread 2's subsequent accesses can't move before **acquire** load
 - Warning: other threads might see a completely different order

Types of memory fence²



 X-Y fence = operations of type X sequenced before the fence happen before operations of type Y sequenced after the fence

²Credit to [Preshing] for explaining it this way

Example: Atomic counters

- Need to count packets accurately
- Don't need to order other memory accesses across threads
- Relaxed memory order can avoid unnecessary overhead
 - Depending on hardware, of course (not x86)

Example: Producer, consumer 1

```
struct message msg_buf;
_Atomic(_Bool) msg_ready;
void send(struct message *m) {
 msg_buf = *m;
 atomic_thread_fence(memory_order_release);
 /* Prior loads+stores happen before subsequent stores */
 atomic_store_explicit(&msg_ready, 1,
                        memory_order_relaxed);
struct message *recv(void) {
 _Bool ready = atomic_load_explicit(&msg_ready,
                                     memory_order_relaxed);
 if (!ready)
   return NULL;
 atomic_thread_fence(memory_order_acquire);
 /* Prior loads happen before subsequent loads+stores */
 return &msg_buf;
```

Example: Producer, consumer 2

```
struct message msg_buf;
_Atomic(_Bool) msg_ready;
void send(struct message *m) {
 msg_buf = *m;
 atomic_store_explicit(&msg_ready, 1,
                        memory_order_release);
struct message *recv(void) {
 _Bool ready = atomic_load_explicit(&msg_ready,
                                      memory_order_acquire);
 if (!ready)
   return NULL;
 return &msg_buf;
```

- This is potentially faster than previous example
 - E.g., other stores after send can be moved before msg_buf

Example: Spinlock

```
void
spin_lock(atomic_flag *lock)
 while(atomic_flag_test_and_set_explicit(lock,
                                    memory_order_acquire))
biov
spin_unlock(atomic_flag *lock)
 atomic_flag_clear_explicit(lock, memory_order_release);
```

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Recall producer/consumer (lecture 3)

```
/* PRODUCER */
                                /* CONSUMER */
for (;;) {
                                for (;;) {
 item *nextProduced
                                  mutex_lock (&mutex);
                                  while (count == 0)
   = produce_item ();
                                    cond_wait (&nonempty,
 mutex_lock (&mutex);
                                               &mutex):
 while (count == BUF_SIZE)
   cond wait (&nonfull.
                                  nextConsumed = buffer[out]:
               &mutex):
                                  out = (out + 1) % BUF_SIZE;
                                  count --:
 buffer[in] = nextProduced;
                                  cond_signal (&nonfull);
 in = (in + 1) \% BUF_SIZE;
                                  mutex_unlock (&mutex);
 count++:
                                  consume_item (nextConsumed);
 cond_signal (&nonempty);
 mutex_unlock (&mutex);
```

Eliminating locks

- One use of locks is to coordinate multiple updates of single piece of state
- How to remove locks here?
 - Factor state so that each variable only has a single writer
- Producer/consumer example revisited
 - Assume you have sequential consistency (or need fences)
 - Assume one producer, one consumer
 - Why do we need count variable, written by both?
 To detect buffer full/empty
 - Have producer write in, consumer write out
 - Use in/out to detect buffer state
 - But note next example busy-waits, which is less good

Lock-free producer/consumer

```
void producer (void *ignored) {
   for (;;) {
       item *nextProduced = produce_item ();
       while (((in + 1) % BUF_SIZE) == out) thread_yield ();
       buffer[in] = nextProduced;
       atomic_thread_fence(memory_order_release);
       in = (in + 1) \% BUF_SIZE;
void consumer (void *ignored) {
   for (;;) {
       while (in == out) thread_yield ();
       atomic_thread_fence(memory_order_acquire);
       nextConsumed = buffer[out];
       out = (out + 1) % BUF_SIZE;
       consume_item (nextConsumed);
```

[Note fences not actually needed because no relaxed atomics]

Non-blocking synchronization

Design algorithm to avoid critical sections

- Any threads can make progress if other threads are preempted
- Which wouldn't be the case if preempted thread held a lock

Requires that hardware provide the right kind of atomics

- Simple test-and-set is insufficient
- Atomic compare and swap is good: CAS (mem, old, new)
 If *mem == old, then swap *mem←new and return true, else false

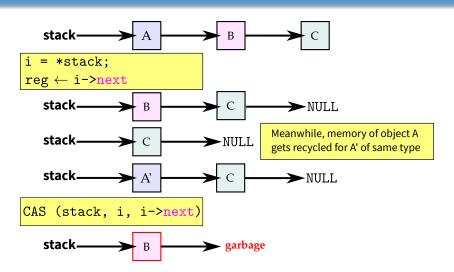
Can implement many common data structures

- Stacks, queues, even hash tables
- Can implement any algorithm on right hardware
 - Need operation such as atomic compare and swap (has property called consensus number = ∞ [Herlihy])
 - Entire kernels have been written without locks [Greenwald]

Example: non-blocking stack

```
struct item {
 /* data */
 struct item *next;
typedef struct item *stack_t;
void atomic_push (stack_t *stack, item *i) {
 do {
   i->next = *stack;
 } while (!CAS (stack, i->next, i));
item *atomic_pop (stack_t *stack) {
 item *i;
 do {
  i = *stack;
 } while (!CAS (stack, i, i->next));
 return i;
```

Wait-free stack issues



- "ABA" race in pop if other thread pops, re-pushes i
 - Can be solved by counters or hazard pointers to delay re-use

"Benign" races

- Could also eliminate locks by having race conditions
- Maybe you think you care more about speed than correctness

```
++hits; /* each time someone accesses web site */
```

Maybe you think you can get away with the race

```
if (!initialized) {
  lock (m);
  if (!initialized) {
    initialize ();
    atomic_thread_fence (memory_order_release); /* why? */
    initialized = 1;
  }
  unlock (m);
}
```

- But don't do this [Vyukov], [Boehm]! Not benign at all
 - Get undefined behavior—akin to out-of-bounds array access in C11
 - If needed for efficiency, use relaxed-memory-order atomics

Read-copy update [McKenney]

- Some data is read way more often than written
 - Routing tables consulted for each forwarded packet
 - Data maps in system with 100+ disks (updated on disk failure)
- Optimize for the common case of reading without lock
 - E.g., global variable: routing_table *rt;
 - Call lookup (rt, route); with no lock
- Update by making copy, swapping pointer

```
routing_table *newrt = copy_routing_table (rt);
update_routing_table (newrt);
atomic_thread_fence (memory_order_release);
rt = newrt;
```

Is RCU really safe? Stay tuned next lecture...

Next class

- The exciting conclusion of RCU
 - Spoiler: safe on all architectures except on alpha
- Building a better spinlock
- What interface should kernel provide for sleeping locks?
- Deadlock
- Scalable interface design