

1 Cache coherence – the hardware view

2 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 operations 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 cache coherence

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, UPI)
 - CPUs pass each other messages about cache lines

MESI coherence protocol

Modified

- Exactly 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 one owned + multiple shared copies of cache line

Core and Bus Actions

Actions performed by CPU core

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

Transactions on bus (or interconnect)

- 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 interconnect (especially w. > 1 spinner)
- Not necessarily fair (lacks bounded waiting)
- Even less fair on a NUMA machine
- Idea 1: Avoid spinlocks altogether (today)
- Idea 2: Reduce interconnect traffic with better spinlocks (next lecture)
 - Design lock that spins only on local memory
 - Also gives better fairness



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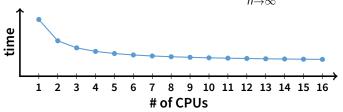
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Amdahl's law

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

- 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, $\lim B \cdot T(1)$



- 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
```

fine-grained locking

• 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

```
struct hash_table {
   size_t num_elements;   /* num items in hash table */
   size_t num_buckets;   /* size of buckets array */
   struct list *buckets;   /* array of buckets */
};
```

- 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 # of 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 \rightarrow 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 \rightarrow 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

• 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
- 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?

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 [gnu]

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
- And 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

 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:

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:
 - > _Bool 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

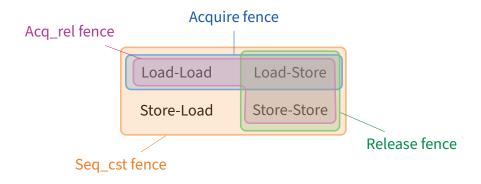
• Six possible memory_order values:

- 1. 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;
ł
```

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: Test-and-set spinlock

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

Example: Better test-and-set spinlock

```
void
spin_lock(atomic_bool *lock)
 while(atomic_exchange_explicit(lock, 1,
                                 memory_order_acquire)) {
   while(atomic_load_explicit(lock, memory_order_relaxed))
     __builtin_ia32_pause(); /* x86-specific */
 }
}
void
spin_unlock(atomic_bool *lock)
 atomic_store_explicit(lock, 0, memory_order_release);
}
```

• See [Rigtorp] for a good discussion



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Recall producer/consumer (lecture 3)

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

}

```
nextConsumed = buffer[out];
out = (out + 1) % BUF_SIZE;
count--;
cond_signal (&nonfull);
mutex_unlock (&mutex);
```

```
consume_item (nextConsumed);
}
```

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 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 (both _Atomic)
 - Use in/out to detect buffer state
 - But note next example busy-waits, which is less good

Lock-free producer/consumer

```
atomic_int in, out;
```

```
void producer (void *ignored) {
   for (;;) {
       item *nextProduced = produce_item ();
       while (((in + 1) % BUF_SIZE) == out) thread_yield ();
       buffer[in] = nextProduced;
       in = (in + 1) % BUF_SIZE;
   }
}
void consumer (void *ignored) {
   for (;;) {
       while (in == out) thread_yield ();
       nextConsumed = buffer[out];
       out = (out + 1) % BUF_SIZE;
       consume_item (nextConsumed);
   }
3
```

[Note fences not needed because no relaxed atomics]

Version with relaxed atomics

```
void producer (void *ignored) {
 for (::) {
   item *nextProduced = produce_item ();
   int myin = atomic_load_explicit(&in, memory_order_relaxed);
   for (;;) {
     if ((myin + 1) % BUF_SIZE !=
         atomic_load_explicit(&out, memory_order_relaxed))
       break;
     thread_yield ();
   }
   buffer[myin] = nextProduced;
   atomic_store_explicit(&in, (myin+1) % BUF_SIZE,
                          memory_order_release);
 }
}
void consumer (void *ignored) {
 // use memory_order_acquire when loading in
 // to ensure you get correct buffer[myin] value
}
```

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

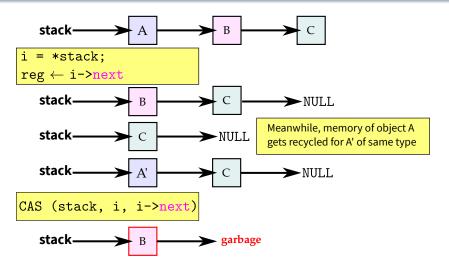
• Can implement any algorithm on right hardware

- 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 */
 _Atomic (struct item *) next;
};
typedef _Atomic (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