

Concurrent Systems

Nebenläufige Systeme

V. Elementary Operations

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Agenda

Preface

Primitive Instructions
Atomic Operations
Equivalence

Memory Models
Properties

Summary



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 - atomic load/store of a naturally aligned machine word
 - atomic read-modify-write of complex machine instructions



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 - atomicity, visibility, and ordering of memory operations against the background of UMA, NUMA, and (partly) COMA architectures
 - ordering enforcing hardware such as memory barriers or fences, resp., allowing one to pattern sequential, relaxed, and weak **data consistency**



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- excursion into practice of **hardware features** that are of importance for the implementation of any synchronisation algorithm



Outline

Preface

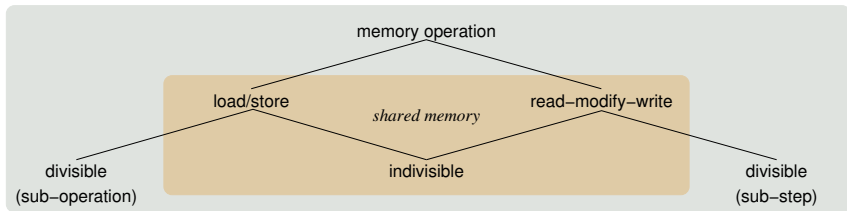
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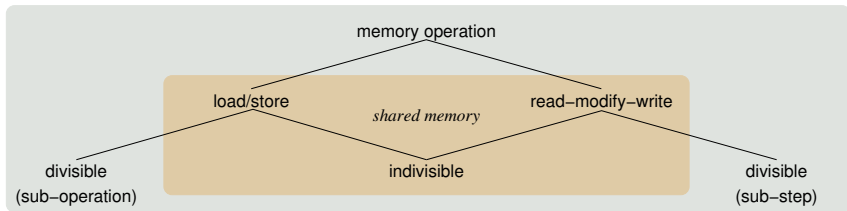
Memory-Operation Semantics



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- of particular interest (at this point) are **shared-memory operations**
 - commonality is the opportunity, at least, for **indivisible execution**
- note, all memory operations are also divisible in the following respect:

- sub-operation** ■ processors are word-oriented, but memory is byte-oriented
 - with *word size* as a multiple of *byte size*, e.g. 4×8 bits
 - thus, loads/stores will operate on a **sequence of bytes**
- sub-step** ■ processors perform a *fetch-execute-cycle* to run programs
 - n -address machines mean n -operand instructions, $n \geq 2$ ¹
 - thus, execution requires a **sequence of loads/stores**

¹In general $n \geq 0$, but only for $n \geq 2$ becomes the problem apparent.



```
1  #include <stdint.h>
2
3  static int64_t label;
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5  int64_t get_label() {
6      return label;
7  }
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 - lines 6 conceals a load and line 10 conceals a store operation
 - each case forms an ELOP of the **abstract processor** “C”



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 - lines 6 conceals a load and line 10 conceals a store operation
 - each case forms an ELOP of the **abstract processor** “C”
- in physical respect these statements are **conditionally atomic**, only
 - a matter of optimisation options, the CPU, and alignment restrictions



```
gcc -m32...
```

```
1  get_label:
2      movl label, %eax
3      movl label+4, %edx
4      ret
5
6  set_label:
7      movl 4(%esp), %eax
8      movl 8(%esp), %ecx
9      movl %ecx, label+4
10     movl %eax, label
11     ret
```



```
gcc -m64...
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12  get_label:  
13      movq label(%rip), %rax  
14      ret  
15  
16  set_label:  
17      movq %rdi, label(%rip)  
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- any of these 8 mov instructions is **conditionally indivisible**



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- beware of the processor architecture or the data alignment, resp.
 - usually, memory-word loads/stores are indivisible if “word” corresponds to the smallest addressable unit of main memory: **byte**, nowadays
 - on some architectures (e.g., x86) they are indivisible too if the address of the memory operand is **naturally aligned**



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 - while the loads/stores may be in sync, the compound action is not
- indivisibility requires a **bus lock** for the duration of the whole cycle:
 - i an **atomic RMW instruction** that implicitly performs the lock or
 - ii a **lock prefix** that makes the adjacent normal RMW instruction atomic

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- note that xchg interlocks against simultaneous main memory accesses
  - beware of the unconditional store carried out by both TS and xchg<sup>4</sup>
    - this semantic has a **deleterious effect** for cache-coherent processors
    - the cache line holding the main memory operand is always invalidated
- dedicated hardware implementation (p. 12) or mapping to CAS (p. 13)

<sup>4</sup>Same holds for TAS of the M68000 family and ldstub of the SPARC family.



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  - notifies processors that, at a time, issue a TAS simultaneously
    - signalling *BUSY* interrupt, forcing the receiving processor into **busy waiting**
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    - ii releases access to that memory location
- this scheme translates into a **conditional store** as follows:

```
1 word tas(word *ref) {
2 word aux;
3 atomic { if ((aux = *ref) == 0) *ref = 1; }
4 return aux;
5 }
```



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  - value  $A$  read by  $P_1$  from  $L_i$  be a sign of a dedicated global state  $S_1$ , but  $P_1$  will be delayed before being able to commit a new value to  $L_i$
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- severity of false positive execution depends on the problem (cf. p.36)



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  - LL ■ loads a word from the specified effective memory address
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- LL and SC interlock against simultaneous main memory accesses

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# Load-Linked/Store-Conditional II

- use of LL/SC to recreate TAS and CAS:
  - in case of TAS, a boolean variable is conditionally set true

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1 int tas(long *ref) {
2 return (LL(ref) == 0) && SC(ref, 1);
3 }
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  - in case of CAS, a memory word is conditionally overwritten

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## ■ note that this implementation of CAS is free from the ABA problem:

- $P_1$  ■ shares location  $ref$  with  $P_2$ , established reservation  $ref_{P_1}$  by LL
  - gets delayed for some reason, thus has not yet executed SC
- $P_2$  ■ overlaps  $P_1$ , establishes reservation  $ref_{P_2}$  and, thus, cancels  $ref_{P_1}$ 
  - successfully executes SC  $\Rightarrow$  CAS succeeds
- $P_1$  ■ resumes  $\Rightarrow$  SC will fail because reservation  $ref_{P_1}$  is invalid
  - returns failure of CAS  $\Rightarrow$  rolls back, backs up, and retries CAS...



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  - prefix (FAA) or postfix (AAF) form, as to when fetch becomes effective
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  - whereby (cf. p. 39):

$$\begin{aligned} FAA(G, L) &\equiv AAF(G, L) - L \quad \text{and} \\ AAF(G, L) &\equiv FAA(G, L) + L \end{aligned}$$



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    - postfix – add  $L$  to  $G$ , then return the new value of  $G$
  - whereby (cf. p. 39):

$$\begin{aligned} \text{FAA}(G, L) &\equiv \text{AAF}(G, L) - L \quad \text{and} \\ \text{AAF}(G, L) &\equiv \text{FAA}(G, L) + L \end{aligned}$$

- transferable to any associative binary operation *fetch-and- $\Phi$* 
  - but for noninvertible operations the prefix form is considered more general
  - be  $\Phi = \text{max}$  (i.e.,  $X$ ): only  $\text{XAF}(G, L) \equiv \text{max}(\text{FAX}(G, L), L)$  (cf. p. 40)



- operations that need consensus number  $n$  cannot have a **semantically equivalent implementation** by operations of consensus number  $m < n$

## Definition (Consensus Number)

*The consensus number for  $X$  is the largest  $n$  for which  $X$  solves  $n$ -process consensus. If no largest  $n$  exists, the consensus number is said to be infinite. [7, p. 130]*

- $n$  processes need to interact to achieve agreement on a single data value
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  - 2 ■ test-and-set, swap, fetch-and-add
  - 1 ■ atomic read, atomic write
- key point is the **progress guarantee** a certain operation has to give
  - for wait-freedom [7], the operation must have consensus number  $n = \infty$
  - in that case, every action has guarantee to complete in finite steps/time



# Outline

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Preface

Primitive Instructions  
Atomic Operations  
Equivalence

Memory Models  
Properties

Summary



# Properties Relevant to Multi-Threading

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  - atomicity applies to all other—and to a single machine instruction, only
  - visibility depends on the memory architecture, may cause “jitter”
  - ordering comprises multiple machine instructions, may cause “fencing”
- as to the level of abstraction, they must all be considered together
  - this is especially true for the operating-system machine level (i.e., level 3)



- common are two classes of memory-sensitive operations (cf. p. 25):
  - L/S
    - atomic load (L) or store (S), resp., as single action
    - granularity is the **machine word**, i.e., a multiple of a byte
    - with **word-alignment** constraint on the operand address, usually
      - only word-aligned accesses will be carried out indivisibly
  - RMW
    - atomic read (R), modify (M), and write (W) as single action
    - common for CISC and, there, for **two-address machines**
      - uncommon for RISC, which is characteristic of load/store principle
    - single- or double-word cycles for 32- or 64-bit architectures, resp.
      - “double” means “physically consecutive” or “logically interrelated”
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- processes cannot observe any intermediate steps and partial effects
  - here, only in matters of a single (L/S or RMW) machine instruction
  - that is to say, the ISA-level action appears **indivisible** and **irreducible**
  - as a consequence, the instruction will be performed entirely or not all
    - with the latter meaning **failure indication** (TAS, CAS, SC)



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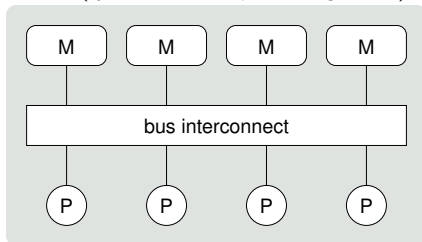
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- orthogonal with it is the **consistency** aspect as to shared information stored in multiple local **caches**

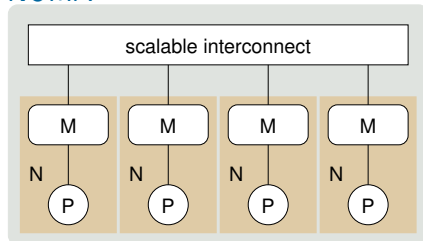
■ *cache-coherent* (cc) v. *non-cache-coherent* (ncc) memory architecture



## UMA (*symmetric multiprocessing, SMP*)



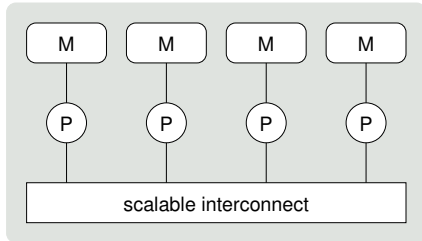
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  - number of (network) hops to distant memory



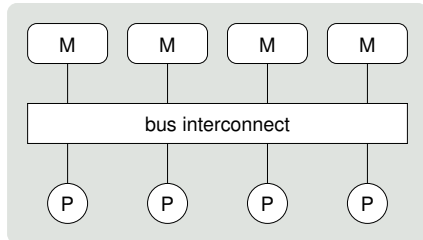
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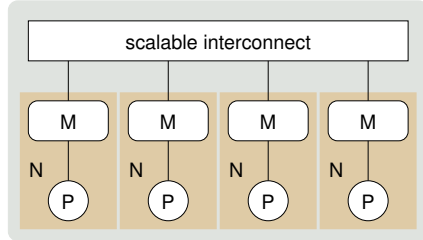
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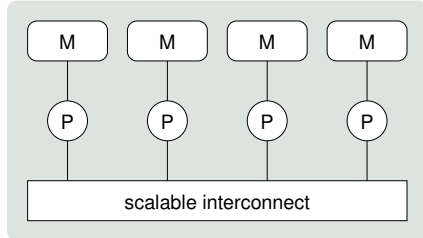
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# Ordering

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- to improve performance, memory-sensitive machine instructions are not executed in the order originally specified by the program
  - on the one hand, the compiler reorders (L3) instructions<sup>6</sup> before run-time
  - on the other hand, the CPU reorders (L2) instructions<sup>6</sup> at run-time
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- ordering ensuring needs special instructions: **memory barrier/fence**

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- assuming that the following function is executed by a single processor, but the global variables are then read by at least one more processor:

```
1 int a = 1, b = 2; ■ what values of a and b do other processors see
2 once line 6 has been reached by one processor?
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- line 8 may read the *new* value of  $b$  while  
line 9 may read the *old* value of  $a$

- although the assignment to  $a$  (line 4) was instructed previous to the one of  $b$



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- CAS and LL/SC typically include a StoreLoad barrier on the target
  - i.e., not only a general-purpose but also the most expensive fence

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- **data consistency** as close as possible to sequential processes or with optimisation margins for high-latency memory

- sequential
  - processors see writes on the same target in the same order
  - but the order may appear different for an “external observer”<sup>8</sup>
  - two requirements: **program order** and **write atomicity** [11]
- relaxed
  - in terms of the constraints defined by sequential consistency
  - as to (i) program order, (ii) write atomicity, or (iii) both:
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  - pertaining to (i) different or (ii) same memory locations
- weak
  - “limited to hardware-recognized synchronizing variables” [4]
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  - atomic load/store of a naturally aligned machine (double-) word
  - atomic read-modify-write of complex machine instructions
    - TAS, CAS and FAA or FAΦ, resp., for CISC and LL/SC for RISC
  - equality of atomic operations as to their **consensus number**
- memory-access properties that are relevant to multi-threading
  - atomicity, visibility, and ordering of memory operations
  - memory architectures of type UMA, NUMA, and COMA
  - **dynamic ordering** at instruction set architecture level
  - memory barriers or fences, resp., to enforce ordering proper
  - sequential, relaxed, and weak **data consistency**
- **hardware features** that are of importance for the implementation of any synchronisation algorithm
  - including but not limited to non-blocking synchronisation, especially



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  - atomicity, visibility, and ordering of memory operations
  - memory architectures of type UMA, NUMA, and COMA
  - **dynamic ordering** at instruction set architecture level
  - memory barriers or fences, resp., to enforce ordering proper
  - sequential, relaxed, and weak **data consistency**
- hardware features that are of importance for the implementation of any synchronisation algorithm
  - including but not limited to non-blocking synchronisation, especially



- elementary operations at instruction set architecture level
  - atomic load/store of a naturally aligned machine (double-) word
  - atomic read-modify-write of complex machine instructions
    - TAS, CAS and FAA or FAΦ, resp., for CISC and LL/SC for RISC
  - equality of atomic operations as to their **consensus number**
- memory-access properties that are relevant to multi-threading
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# Unconditional Store: Workaround

- “textbook semantics” of TAS has a **deleterious effect** for the cache:

```
1 word tas(word *ref) {
2 atomic { word aux = *ref; *ref = 1; }
3 return aux;
4 }
```

- same is true when using the GCC atomic built-in function (x86, cf. p11):

```
5 #define TAS(ref) __sync_lock_test_and_set(ref, 1)
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```

- use of CAS, with **#define CAS \_\_sync\_bool\_compare\_and\_swap**

```
6 int tas(long *ref) {
7 return CAS(ref, 0, 1);
8 }
```

- worst-case overhead of five instructions (cf. p 11)
- pays off, depending on processor and cache architecture

```
9 tas:
10 xorl %eax, %eax
11 movl $1, %ecx
12 movl 4(%esp), %edx
13 lock
14 cmpxchgl %ecx, (%edx)
15 testl %eax, %eax
16 sete %al
17 movzbl %al, %eax
18 ret
```



- given a LIFO list (i.e., stack) of following structure:  $head \leftrightarrow A \leftrightarrow B \leftrightarrow C$ 
  - with  $head$  stored at location  $L_i$  shared by processes  $P_1$  and  $P_2$
  - *push* (cf. [16, p.11]) and *pull* adding or removing, resp., list items:

```
1 chain_t *cas_pull(stack_t *this) {
2 chain_t *node;
3 do if ((node = this->head.link) == 0) break;
4 while (!CAS(&this->head.link, node, node->link));
5 return node;
6 }
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6 }

```

- assuming that the following sequence of actions will take place:
  - $P_1$ 
    - reads head item  $A$  followed by  $B$  on the list, gets delayed at line 4
    - remembers  $node = A$ , but has not yet done CAS:  $head \hookrightarrow A \hookrightarrow B \hookrightarrow C$
  - $P_2$ 
    - pulls head item  $A$  from the list:  $head \hookrightarrow B \hookrightarrow C$
    - pulls head item  $B$  from the list:  $head \hookrightarrow C$
    - pushes item  $A$  back to the list, now followed by  $C$ :  $head \hookrightarrow A \hookrightarrow C$
  - $P_1$ 
    - resumes, CAS realises  $head = A$  (followed by  $B$ ):  $head \hookrightarrow B \hookrightarrow \odot$
    - list state  $head \hookrightarrow A \hookrightarrow C$  as left behind by  $P_2$  is lost...



- prevalent approach is to add a **change number** to the “control word” [8, p. 125], i.e., to practice some kind of **versioning**
  - this number increments at each CAS attempt on the control word
- appropriate techniques depend on the change-number parameters





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  - this number increments at each CAS attempt on the control word
- appropriate techniques depend on the change-number parameters
  - a. the values margin has a whole word size available
    - both the control and change-number word must be updated, indivisibly
    - *compare double and swap* (CDS, [8, p. 124]) of two consecutive words<sup>9</sup>
    - *double compare and swap* (DCAS, also CAS2 [14, p. 4-66]) of any two words

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  - b. the values margin utilizes fully unused bits in the control word itself
    - CAS facilitates indivisible updates of control word including change number
    - workaround, especially suitable for handling aligned data-structure **pointers**
    - gimmick is in data-structure padding for an object size of a power of two

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- ↪ an object size of  $2^n$  bytes then gives  $n - 1$  low-order bits always 0
  - ↪ these  $n - 1$  low-order bits then will be used as a **change-number tag**
  - ↪ for **pointer operations**, the change-number tag is temporary neutralised

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- ↪ an object size of  $2^n$  bytes then gives  $n - 1$  low-order bits always 0
  - ↪ these  $n - 1$  low-order bits then will be used as a **change-number tag**
  - ↪ for **pointer operations**, the change-number tag is temporary neutralised
- but the ABA problem never disappears, it only gets more improbable

<sup>9</sup>See also `cmpxchg8b` or `cmpxchg16b`, in case of x86.



- as GCC does not provide atomic built-in functions for this case:

```

1 INLINE 11 INLINE
2 long LL(long *ref) { 12 int SC(long *ref, long val) {
3 13
4 asm volatile(14 asm volatile(
5 "lwarx %0, 0, %1" 15 "stwcx. %2, 0, %1\n\t"
6 : "=r" (aux) 16 "mfcrr %0"
7 : "r" (ref)); 17 : "=r" (ccr)
8 18 : "r" (ref), "r" (val)
9 return aux; 19 : "cc", "memory");
10 } 20
 21 return ccr & 0x2;
 22 }
```

- with `#define INLINE extern inline` for GCC to ensure that stand-alone object code is never emitted for in-line functions<sup>10</sup>

<sup>10</sup>Use `#define INLINE inline` for C99, for the same reason.



## ■ #define FAA \_\_sync\_fetch\_and\_add

|   |                          |   |                    |
|---|--------------------------|---|--------------------|
| 1 | int faa(int *p, int v) { | 4 | faa:               |
| 2 | return FAA(p, v);        | 5 | movl 4(%esp), %ecx |
| 3 | }                        | 6 | movl 8(%esp), %eax |
|   |                          | 7 | lock               |
|   |                          | 8 | xaddl %eax, (%ecx) |
|   |                          | 9 | ret                |



## ■ #define FAA \_\_sync\_fetch\_and\_add

```

1 int faa(int *p, int v) { 4 faa:
2 return FAA(p, v); 5 movl 4(%esp), %ecx
3 } 6 movl 8(%esp), %eax
 7 lock
 8 xaddl %eax, (%ecx)
 9 ret

```

## ■ #define AAF \_\_sync\_add\_and\_fetch

```

10 int aaf(int *p, int v) { 13 aaf:
11 return AAF(p, v); 14 movl 4(%esp), %ecx
12 } 15 movl 8(%esp), %edx
 16 movl %edx, %eax
 17 lock
 18 xaddl %eax, (%ecx)
 19 addl %edx, %eax
 20 ret

```



- safe-load of global variable  $G$  and conditional-store of  $\max(G, L)$  at  $G$

```
1 word fax(word *ref, word val) {
2 word aux;
3 atomic { if ((aux = *ref) < val) *ref = val; }
4 return aux;
5 }
```





- safe-load of global variable  $G$  and conditional-store of  $\max(G, L)$  at  $G$

```
1 word fax(word *ref, word val) {
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```

- conditional-store of  $\max(G, L)$  at  $G$  and return of  $\max(G, L)$

```
6 word xaf(word *ref, word val) {
7 atomic { word aux = (*ref > val) ? *ref : *ref = val; }
8 return aux;
9 }
```



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6 word xaf(word *ref, word val) {
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8 return aux;
9 }
```

- assuming that  $G = 42$  and  $L = 4711$ :

- $XAF(G, L) \equiv \max(FAX(G, L), L)$ : both terms result in 4711
- $FAX(G, L) \not\equiv \max(XAF(G, L), L)$ :  $FAX$  may result in  $42 < 4711$

