Concurrent Systems

Nebenläufige Systeme

XI. Non-Blocking Dynamic Data Structures

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January 28, 2021



Outline

Preface

Singly Linked List
Working Principle
Concurrent Operation

Collating Sequences Stack Queue

Summary





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Singly Linked List
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Summary



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Preface

Subject Matter

experimental approach

- discussion of the abstract concept of **non-blocking synchronisation** in the context of **dynamic data structures**
 - namely the singly linked list with any access pattern of the operations
 - this is compared to structures with a defined access pattern: LIFO, FIFO
 - the **stack** and the **queue** as a linked dynamic data structure
- starting from conventional sequential solutions, semantically identical non-sequential alternatives are gradually developed
 - race conditions are revealed and tricks for avoidance are presented
 - the limits of the developed solutions are discussed
- an important aspect in the considerations and driving idea is to find solutions for the conservative handling of dynamic data structures
 - on the one hand, this means being able to reuse the data structures of the corresponding sequential solutions
 - coordination as a minimal extension of system functions [5] in its purest form
 - that is, the extension only refers to the *instructions* of a virtual machine
 - on the other hand, the solutions rely on comparatively simple elementary operations such as CAS and FAS



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Outline

Singly Linked List Working Principle Concurrent Operation

Stack



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devoid of synchronisation

Chain Operations I

simple list manipulation: insert and unhook entry, split list

```
inline chain_t *infix_dos(chain_t *this, chain_t *item) {
       item->link = this->link;
       return this->link = item;
   }
   inline chain_t *unfix_dos(chain_t *this) {
       chain_t *item;
       item = this->link;
       if (item != 0)
8
           this->link = item->link;
       return item;
10
  }
11
   inline chain t *split dos(chain t *this) {
       chain_t *tail;
13
14
       tail = this->link;
                                 Caller assured: infix
       this->link = 0;
15
                                 An entry (item) to be inserted is
       return tail;
16
17 }
                                 not yet on the list.
```

Data Type I

- reunion with a **dynamic data structure** ([8, p. 9] and [10, p. 18]):
 - basic abstraction from any entity as a list element

```
typedef struct chain {
    struct chain *link; /* next list element */
} chain t;
```

based on this, the following operations are defined:

```
chain t *infix(chain t *this, chain t *item)
chain t *unfix(chain t *this)
chain_t *split(chain_t *this)
chain_t *visit(chain_t *this, chain_t *item)
chain t *annex(chain t *this, chain t *item)
chain t *erase(chain t *this, chain t *item)
```

- with this the chain link on which the operation should work,
- item the list entry to be inserted, searched for or deleted and
- a chain link or list entry as a result, depending on the operation



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Singly Linked List-Working Principle

Chain Operations II

devoid of synchronisation

more complex list manipulation: seek out, append, delete

```
inline chain t *visit dos(chain t *this, chain t* item) {
       chain t *next:
       while (this && ((next = this->link) != item))
           this = next;
       return this;
   }
   inline chain_t *annex_dos(chain_t *this, chain_t* item) {
       return infix_dos(visit_dos(this, 0), item);
   }
   inline chain_t *erase_dos(chain_t *this, chain_t *item) {
       chain_t *hand;
11
       hand = visit_dos(this, item);
12
       if (hand != 0)
13
           hand = unfix_dos(hand);
14
15
       return hand;
16 }
```



```
#include "chain.h"
                            good for classic collating strategies
   typedef struct list {
                                ■ LIFO list ~> stack (cf. [10, p. 19])
       chain_t head;
                                ■ FIFO list ~> queue
   } list t:
   inline void push(list t *this, chain t *item) {
       infix(&this->head. item):
   }
8
   inline chain t *pull(list t *this) {
       return unfix(&this->head);
10
11
   inline void enlist(list t *this, chain t *item) {
12
       annex(&this->head, item);
13
  }
14
   inline chain_t *delist(list_t *this) {
       return unfix(&this->head);
16
17
   }
```



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Insert List Item: 1st Try

Singly Linked List-Working Principle

lock-free synchronised

attach an entry to the hook: almost too good to be true...

```
inline chain t *infix lfs(chain t *this, chain t *item) {
    do item->link = this->link;
    while (!CAS(&this->link, item->link, item));
    return item:
}
```

- a certain collating strategy was wrongly assumed here: LIFO
 - this only manipulates the list on one side: at the top (this) of the stack
 - but now every other position on the list can be changed at the same time
- note that the insertion point here (*this) can be any list element
 - this list item could be deleted while a new item is being appended to it
 - thus, the new list item disappears immediately with the deleted element
- that this entry (*this) is currently being deleted must be indicated
 - the link pointer of the element concerned is to be regarded as frail
 - it may not be used for chaining...



Non-Sequential Execution

all chain operations are prone to race conditions:

```
infix • new entries can disappear
```

unfix • the same entry can be extracted several times

split • list entries at the front end can disappear

visit = incorrect/invalid list section can be run through

annex • an entry on a wrong list can be made (inherited error)

erase = an entry was wrongly not deleted (inherited error)

they are **not thread safe** and need to be synchronised

- blocking synchronisation can be child's play here: use a chain monitor
 - very simple is a medium-grain approach, with a lock on the entire list
 - more difficult is a fine-grained solution, with one lock per list item
- → in both cases, the locking effort is high compared to the actual operation
- non-blocking synchronisation is basically a fine-grained technique
 - thus also of a similar complexity as the corresponding blocking variant
 - because protecting a single list element is usually not enough
- → simultaneous processes to the left and right of it must also be considered
- short blocking times are asked what motivates an optimistic approach
 - non-blocking is no more difficult than fine-grain blocking



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Delete List Item: 1st Try

lock-free synchronised

Delete mark

a pointer tag

```
unhook the attached element and attach its successor
```

```
inline chain_t *unfix_lfs(chain_t *this) {
    chain t *item;
    do if ((item = pure(this->link)) == 0) break;
    while (!purge(this, item, pure(item->link)));
   return item;
```

- the deletion indicator is based on the tagging of chain attributes (link)
 - when deleting (purge), the link pointer attribute becomes frail (I.4)
 - when using such a pointer attribute, attention must be paid to purity (I. 3)

the actual deletion is done using the following auxiliary function

```
inline bool purge(chain_t *this, chain_t *item, chain_t *next) {
       bool done;
       CAS(&item->link, next, mark(next, FRAIL));
10
       if (!(done = CAS(&this->link, item, next)))
11
           CAS(&item->link, mark(next, FRAIL), next);
12
       return done;
13
```

- after successful deletion (CAS succeeds, I. 10), the pointer remains frail
- regular reuse makes the pointer stable again ~ potential race condition

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```
misappropriation of bits of a pointer that are free due to alignment
typedef enum flag {
     FRAIL = (1 << 0),
                       /* pointer should not be used */
     DODGY = (1 << 1)
                       /* reusing the pointer is tricky */
} flag_t;
simple bit operations based on this for setting, querying and cleaning
inline long mark(long item, flag_t flag) {
```

```
return item | flag;
  }
  inline bool just(long item, flag_t flag) {
       return item & flag;
10
11
12
  inline long pure(long item) {
13
       return item & ~(FRAIL|DODGY);
  }
15
```



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Safe Reuse of a Purged List Entry

which side (of unfix) has to take care of this is quite controversial

- caller only here is it known whether the list item will be reused at all
- callee whether an entry is made in a reused list item is undecidable here
 - assume the following sequence of instructions:

```
1 chain t etc = { 0 };
2 hook = infix(&etc, a); /* etc \rightarrow a */
  took = infix(hook, b); /* etc \rightarrow a \rightarrow b */
                                /* etc->a, node == b */
  node = unfix(hook);
  if (node != 0)
                                /* true: typo "took" */
        infix(&etc, node); /* etc \rightarrow b \rightarrow a */
```

- as a programming error that has the same effect (from I. 2) as: infix(&etc, unfix(&etc)) || infix(&etc, b)
- here unfixed list item "a" is reused, put back on the list
- executed in parallel with a potential race condition (cf. p. 14)
- \hookrightarrow a solution on the callee side does not seem to help very much...
- each side should regulate their race conditions for themselves
 - this also applies to blocking synchronisation: separation of concerns [1]



Insert List Item: 2nd Try

```
attach an entry to the hook: feasible only if not frail...
```

```
inline chain t *infix lfs(chain t *this, chain t *item) {
    do {
        item->link = this->link;
        if (just(item->link, FRAIL))
            return 0:
    } while (!CAS(&this->link, item->link, item));
    return item;
}
```

- if the hook entry is just being deleted, it is unclear where else to attach
- \blacksquare in this case, the caller must determine the new insertion point \rightsquigarrow fail
- overlapping deletion (purge) of the link (*this) leaves a frail pointer
 - then CAS fails because this link pointer has been changed
 - no longer equals its original value (cf. 1.3)
 - the operation is retried but then detects the conflict (I. 3) and aborts (I. 4)
- however, reusing the deleted list item (*this) presents a problem
 - the link pointer can soon be purified again ~> potential race condition



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Singly Linked List - Concurrent Operation

Splitting a List

non-blocking synchronised

```
lock-free variant
```

```
inline chain_t *split_lfs(chain_t *this) {
    chain_t *tail;
    do tail = this->link;
    while (!CAS(&this->link, tail, 0));
    return pure(tail);
}
wait-free variant
inline chain_t *split_wfs(chain_t *this) {
```

return pure(FAS(&this->link, 0));

- both variants are compatible with infix (p. 14) and unfix (p. 12)
 - no conflicts like when both operations are carried out simultaneously



```
a list entry with a frail link is problematic, following it is questionable
```

- this entry was or will be deleted soon, its link is therefore undefined
- if a frail link is encountered while searching:

```
• either start over again and retry (1.5) or abort with error code (1.7–8)
inline chain_t *visit_lfs(chain_t *this, chain_t *item) {
```

```
chain t *next, *root = this;
       while (this && ((next = this->link) != item))
  #ifdef __FAME_CHAIN_VISIT_RETRY__
           this = just(next, FRAIL) ? root : next;
   #else
           if (just(next, FRAIL)) return -1;
           else this = next;
   #endif
       return this;
10
11
```



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Singly Linked List - Concurrent Operation

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Search-Based Operations II: 2nd Try lock-free synchronised

```
#define FAME CHAIN VISIT RETRY
```

append an element to the apparent end of the linked list:

```
inline chain_t *annex_lfs(chain_t *this, chain_t* item) {
    item->link = 0;
    do this = visit(this, 0);
    while (!CAS(&this->link, 0, item));
    return item;
}
```

- after finding the end of the list, it may have been deleted or moved
- delete an entry from the linked list:

```
inline chain t *erase lfs(chain t *this, chain t *item) {
       chain_t *hand;
       do if ((hand = visit(this, item)) == 0) break;
       while (!purge(hand, item, pure(item->link)));
       return hand;
13 }
```

• after finding the entry on the list, it may have been deleted



10

11

12

Search-Based Operations I: 1st Try

```
#define __FAME_CHAIN_VISIT_RETRY__
append an element to the apparent end of the linked list:
inline chain t *annex lfs(chain t *this, chain t *item) {
    return infix lfs(visit lfs(this, 0), item);
}
```

delete an entry from the linked list:

```
inline chain_t *erase_lfs(chain_t *this, chain_t *item) {
       chain_t *hand = visit_lfs(this, item);
       if (hand != 0)
           hand = purge(hand, item, pure(item->link));
       return hand;
  }
10
```

- but that would be too good to be true, it is not that easy
 - the composite operations consist of two complex individual steps:
 - 1. localisation of the list element that contains the link pointer sought
 - 2. application of the respective operation to the localised list element
 - both steps happen one after the other ~> prone to race condition



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Singly Linked List - Concurrent Operation

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Outline

Singly Linked List Working Principle Concurrent Operation

Collating Sequences Stack Queue



- ■ without a specific access pattern; a chain-like approach as before
 - shared variables are all link pointers in the list
- → when handling the link of any list element, attention must be paid
 to concurrent processes to the left and right of it
- LIFO last in, first out; a stack-like approach
 - shared variable is only the pointer to the list head
 - → attention must be paid only to concurrent processes when handling the link to the list head, all other links in the list are not critical
- FIFO first in, first out; a queue-like approach
 - shared variables are the pointers to the list head and tail, only
 - → quite similar to LIFO, except that handling the links to both the
 list head and the list tail has to be considered together
- following topic is singly linked lists with LIFO and FIFO semantics



Collating Sequences

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Stack Operations: 1st Try

reuse chain-linking

simply map onto the lock-free synchronised chaining operations:

```
inline void push(stack_t *this, chain_t *item) {
    infix_lfs(&this->head, item);
}
inline chain_t *pull(stack_t *this) {
    return unfix_lfs(&this->head);
}
```

- however, this mapping does not benefit from the LIFO access method
 - overhead due to functionality that is not required is carried along:
 - tagging of pointer attributes
 - pointer tagging and untagging in unfix
 - checking for a frail pointer in infix
 - additional work, as no specific access pattern could be assumed
- this kind of **black-box reuse** without being able to derive a benefit from it in non-functional terms is a matter of dispute



Data Type II

cf. [10, p. 18–23]

```
a singly-linked list with collating sequence last in, first out (LIFO):

#include "chain.h"
```

```
/* A stack data type, here represented
/* in terms of a singly-linked list.
/*
typedef struct stack {
   chain_t head;    /* top of stack: list head */
} stack_t;
```

b based on this, the following operations are defined:

```
void push(stack_t *this, chain_t *item)
chain_t *pull(stack_t *this)
chain_t *peek(stack_t *this)
```

- with this as the list head, that is, the stack pointer,
- item as the list entry to be stacked and
- a chain link or list entry as a result, depending on the operation



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Collating Sequences – Stack

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Stack Operations: 2nd Try

non-blocking synchronised

```
wait-free (synchronised) function
```

```
inline chain_t *peek(stack_t *this) {
    return this->head.link;
}
```

■ lock-free synchronised functions ~ conceptual reuse

```
inline void push_lfs(stack_t *this, chain_t *item) {
    do item->link = peek(this);
    while (!CAS(&this->head.link, item->link, item));
}

inline chain_t *pull_lfs(stack_t *this) {
    chain_t *item;
    do if ((item = peek(this)) == 0) break;
    while (!CAS(&this->head.link, item, item->link));
    return item;
}
```



- the tail pointer addresses the linkage element of a next item to be queued
- it does not directly address the last element in the queue, but indirectly
- consequence is that even an empty queue shows a valid tail pointer:

```
inline chain_t *deplete(queue_t *this) {
   chain_t *list = this->head.link;

  this->head.link = 0;  /* null item */
  this->tail = &this->head; /* linkage item */
  return list;
}
```

used to reset a queue and at the same time return all its list members

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Append Item: enq||enq

lock-free synchronised

inspired by the lock-free solution using atomic load/store [9, p. 28]:

```
void enqueue_lfs(queue_t *this, chain_t *item) {
    chain_t *last;

    Hint (Onefold Update)

    item->link = 0;
        Only a single shared variable needs
        to be updated in this scenario.
    while (!CAS(&this->tail, last, item));

last->link = item;
```

- a plausibility check shows correctness as to this overlap pattern:
- 6 critical shared data is the tail pointer, a local copy is read
 - each overlapping enqueue holds its own copy of the tail pointer
- 7 validate and, if applicable, write to update the tail pointer
 - the item becomes new fastener for subsequent enqueue operations
- 9 eventually, the item gets inserted and becomes queue member
 - the assignment operator works on local operands, only

Queue Operations

same **precondition** as before: an item to be gueued is not yet gueued

```
• a simple first-in, first-out method (FIFO) is implemented
```

```
inline void enqueue_dos(queue_t *this, chain_t *item) {
       item -> link = 0;
                                     /* finalise chain */
       this->tail->link = item;
                                     /* append item */
                                     /* set insertion point */
       this->tail = item;
   }
    3 • the gueue head pointer gets set to the first item implicitly
   inline chain_t *dequeue_dos(queue_t *this) {
       chain_t *node;
       if ((node = this->head.link)
                                              /* filled? */
       && !(this->head.link = node->link)) /* last item? */
                                              /* reset */
           this->tail = &this->head;
       return node:
11
  }
12
```

10 • the tail pointer must always be valid, even in case of an empty queue



Collating Sequences – Queue

Remove Item: deq||deq

lock-free synchronised

inspired by the lock-free solution for a stack pull operation (p. 24):

- a plausibility check shows correctness as to this overlap pattern:
 - 4 critical shared data is the head pointer, a local copy is read
 - each overlapping dequeue holds its own copy of the head element
 - 5 validate and, if applicable, write to update the head pointer
 - 7 each dequeued item is unique, only of them was last in the queue
 - 8 the tail pointer must always be valid, even in case of an empty queue



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- critical is when head and tail pointer refer to the same "hot spot" and enqueue and dequeue happen simultaneously
- assuming that the **shared queue** consists of only a single element:
 - eng | deg = engueue memorised the chain link of that element
 - dequeue removed that element including the chain link
 - enqueue links the new element using an invalid chain link
 - → **lost enqueue**: linking depends on dequeue progression
 - deg | eng dequeue removed that element and notices "vacancy"
 - enqueue appends an element to the one just removed
 - dequeue assumes "vacancy" and resets the tail pointer
 - → **lost enqueue**: resetting depends on enqueue progression
- enqueue and dequeue must assist each other to solve the problem:
 - i identify the conditions under which lost-enqueue may happen
 - ii identify a way of interaction between enqueue and dequeue
- assist without special auxiliary nodes but preferably with simultaneous consideration of conservative data-structure handling



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Collating Sequences - Queue

lock-free synchronised

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```
void enqueue_lfs(queue_t *this, chain_t *item) {
       chain t *last, *hook;
                                   /* self-reference: hook */
       item ->link = item;
       do hook = (last = this->tail)->link;
                                               /* tail end */
       while (!CAS(&this->tail, last, item));
                                              /* endpiece? */
       if (!CAS(&last->link, hook, item))
                                             /* no longer! */
           this->head.link = item;
10
11
```

- validate availability of the ending and potential volatile chain link:
 - 9 CAS succeeds only if the last chain link is still a self-reference
 - in that case, the embracing last element was not dequeued
 - 10 CAS fails if the last chain link is no more a self-reference
 - in that case, the embracing last element was dequeued
 - → the item to be queued must be head element of the queue, because further enqueues use this very item as leading chain link (I.7)



Conservative Approach

- idea is to use the chain-link of a queue element as auxiliary means for the interaction between enqueue and dequeue [6]
 - let *last* be the pointer to the chain link of the gueue end tail and
 - let *link_{last}* be the chain link pointed to by *last*, then:

$$link_{last} = \begin{cases} last, & \text{chain link is valid, was not deleted} \\ 0, & \text{chain link is invalid, was deleted} \\ else, & \text{chain link points to successor element} \end{cases}$$

- link_{last} set to 0 models the per-element "deleted bit" as proposed in [2]
- for a FIFO queue, only the end-tail element needs to carry that "bit"
- in contrast to [2], advanced idea is to do without a garbage-collection mechanism to dispose of the "deleted" queue end-tail element
 - purpose is to signal unavailability of the end-tail chain link to enqueue
 - thus, when dequeue is going to remove last it attempts to zero link_{last}
 - contrariwise, enqueue appends to *last* only if *link_{last}* still equals *last*
 - signalling as well as validation can be easily achieved using CAS
 - algorithmic construction versus CDS [3, p. 124] or DCAS [4, p. 4-66]...

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Remove Item: 2nd Try

lock-free synchronised

```
chain t *dequeue lfs(queue t *this) {
       chain_t *node, *next;
       do if ((node = this->head.link) == 0) return 0:
       while (!CAS(&this->head.link, node,
           ((next = node -> link) == node ? 0 : next)));
       if (next == node) {
                                /* self-reference, is last */
           if (!CAS(&node->link, next, 0)) /* try to help */
               this->head.link = node->link;
                                                  /* filled */
10
           else CAS(&this->tail, node, &this->head);
11
12
13
14
       return node;
15
  }
```

- validate **tail-end invariance** of a one-element queue (head = tail):
 - CAS fails if the node dequeued no more contains a self-reference
 - 10 thus, engueue happened and left at least one more element gueued
 - 11 enqueue was assisted and the dequeued node could be last, really

Singly Linked List Working Principle

Stack

Summary



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Résumé

- non-blocking synchronisation of dynamic data structures, without being able to benefit from well-defined access patterns, is tricky
 - even the singly-linked list presents some difficulties
 - it is not enough to look at individual list elements in isolation
 - rather, entries in the immediate vicinity must also be taken into account
 - for a doubly-linked list, the solutions look quite different
- however, knowledge of access patterns is by no means a guarantee for simple and easy-to-use solutions
 - LIFO is simple as there is only a single shared variable in the list
 - the link to the beginning of the list, the "stack pointer"
 - in contrast to FIFO, where two such variables are to be kept consistent
 - the links to the beginning and the ending of the list, the queue pointers
 - but both links only form a critical case if the queue contains a single item
- driving force in the development of the solutions was a **conservative** handling of dynamic data structures
 - reuse of the data structures given with the original sequential variants
 - use of one-word atomic processor instructions such as CAS and FAS

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Summary – Bibliography

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Epoch-wise Queue Processing

- the problem with the queue operations shown is to ensure that two pointers are changed consistently
 - \blacksquare both tail and head pointer change element by element per en-/dequeue
 - each enqueue creates an entry for the <u>next</u> "epoch" of queue processing
 - each dequeue removes an entry for processing in the $\underline{\text{current}}$ "epoch"
 - complex list manipulations per operation that have to be synchronised
- assuming only the tail pointer is read and written as usual, while the head pointer is only read and what it points to is only zeroed
 - \blacksquare both epochs use their $\underline{own\ list}$ and are $\underline{isolated\ from\ each\ other}$
 - the work epoch starts with all the entries listed in the collective epoch
- these two dedicated epochs motivate the following data structure:

```
typedef struct epoch {
    chain_t *work; /* currently processed entries */
    queue_t next; /* entries for the next period */
} epoch_t;
```

- if the work list runs empty, it takes over the next queued entries
- the queue is then completely emptied at once, reset to its initial state



Empty and Reset a Queue

- depletion (dt. Entleerung) of a queue delivers all entries at once, as a singly linked list, and defines the initial state for adding new entries
 - 3 the queue is full, try to take the listed entries as a whole
 - 4 make sure that a filled queue is only emptied once
 - 5 a simultaneous deplete or dequeue causes the operation to end here!
 - 6 define the initial state of an empty queue
- line 6 defines a "turning point" for simultaneous enqueue operations
 - entries arriving beforehand are still added to the list to be delivered
 - then incoming entries are collected in the newly created queue



Addendum – Queue

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Epoch Operations

devoid of synchronisation

■ in the collection epoch, entries are placed in the queue as usual

```
void collate_dos(epoch_t *this, chain_t *item) {
    enqueue_dos(&this->next, item);
}
```

the previously collected entries are processed in the work epoch

```
chain_t *discard_dos(epoch_t *this) {
    chain_t *item;
    if ((item = this->work) != 0)
        if ((this->work = item->link) == 0)
            this->work = deplete_dos(&this->next);
    return item;
}
```

- If there is no more work to be done, the queue of entries that have been collected in the meantime is emptied (cf. deplete, p. 25)
- that is, all queued entries are placed on the work list and the queue is reset for the next collection epoch

- collation of entries on a list that will be processed in the next epoch • it notes the next entries that are received while processing earlier entries • the queue (next) provided for this is a separate list from the work list void collate_lfs(epoch_t *this, chain_t *item) { chain_t *last; do last = this->next.tail;
 - 4–5 make sure that the next entry (item) is queued at the end: FIFO

while (!CAS(&last->link, 0, item));

CAS(&this->next.tail, last, item);

- try again in case of a simultaneous collate() or discard()
- do this until the new last entry has been committed¹
- 7 commit the new last entry of the gueue if there is no conflict
 - this action releases any polling process from the loop (I. 4–5)
 - which also applies when a new work epoch starts (cf. l. 6, p.38)



¹A spin on read mode of operation makes sense if contention is too high.

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Work Epoch

processing of entries on a work list collated in the previous epoch

- it takes the queue entries to be processed from its own, separated list
- this list will only be shortened, but not extended—with one exception

```
chain_t *discard_wfs(epoch_t *this) {
      chain_t *item;
      if ((item = this->work) != 0)
3
          if (CAS(&this->work, item, item->link))
              if (CAS(&item->link, 0, item)) /* ran empty */
                   this->work = deplete_wfs(&this->next);
               else CAS(&this->work, 0, item->link);
      return item;
```

- 3 there is at least one entry on the work list
- 4 delete the entry from the work list if it is still there
- 5-6 try to get new entries when the work list has been emptied
 - make sure that the last entry cannot be followed by another entry
 - end the current collection epoch, accept all entries at once
 - 7 the last entry suddenly got a successor (I. 5, p. 41), note it
 - 8 deliver the next entry from the work list, if there is still one



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