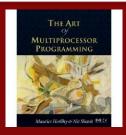
# MPCS 52060 - Parallel Programming M4: Concurrent Data Structures (Part 1)









Original slides from "The Art of Multiprocessor Programming" by Maurice Herlihy & Nir Shavit with modifications by Lamont Samuels



#### More Low-Level Synchronization Primitives

#### **Motivation for Semaphores**

- What if we wanted to control access to shared resource?
  - For example, A system can only handle a certain number of users concurrently signed on. After the maximum number of logged in users is reached, then others must wait until others logout.
- A semaphore is a synchronization primitive used to control access to a shared resource by multiple threads.
  - It has a capacity (c), which allows for having at most (c) threads in a critical section. Unlike with locks, where only one thread can be a critical section at a time.
  - You can also think of them as a way to control how many resources are available of a particular entity by allowing resources to be concurrently acquired and released in a safe way.
  - Tracks only how many resources are free; it does not keep track of which of the resources are free

#### Semaphore Pseudo-Implementation

- The capacity variable of a semaphore is an integer value that cannot be directly accessed.
  - Go does not have a semaphore construct so the below examples are pseudocode similar to the implementations of semaphores in other languages:
- Creation: Must initialize it to some capacity integer value

```
var sema *Semaphore
// NewSemaphore allocates and
// returns a *Semaphore with its
// internal capacity initialized
sema = NewSemaphore(0)
```

 Behaviors: It has two main operations (methods in our case) that modify the integer capacity value

```
// Decrement semaphore sema.Down()
// Increment semaphore sema.Up()
```

#### Semaphore Pseudo-Implementation

```
func (s *Semaphore) Down() {
    // Wait if the value of semaphore s is less than or equal to 0
    // Decrement the value of semaphore s by one
}
func (s *Semaphore) Up() {
    //Increment the value of semaphore s by 1
    //If there are 1 or more threads waiting, wake one up
}
```

#### **Semaphores & Mutual Exclusion**

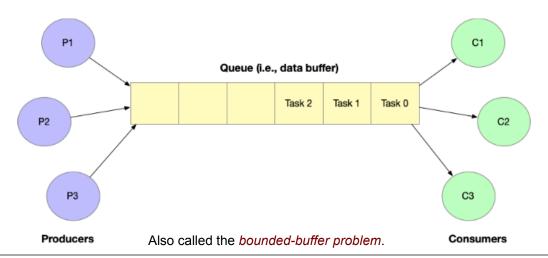
- There are two well known types of semaphores
  - Binary semaphore acts like a mutex by setting its capacity initial value to 1.

```
var mutex_sema *Semaphore
mutex_sema = NewSemaphore(1)
mutex_sema.Down()
//critical section
mutex_sema.Up()
```

 Counting semaphore - initialize the semaphore to be equal to the number of available resources.

# Real-World Example: Producer and Consumer Problem

- One or more threads generate tasks (producers) and one or more threads receive and process them (consumers).
- Producers and consumers communicate using a queue of maximum size
   N and must adhere to the following conditions
  - Consumers must wait for a producer to produce a task if the queue is empty.
  - Producer must wait for the consumer to consume a task if the queue is full.



# Real-World Example: Producer and Consumer Problem

```
//Producer
                                          //Consumer
for {
                                          for {
                                            sema fullCount.Down()
  //Generate Task
                                            sema_mutex.Down()
  sema_emptyCount.Down()
  sema_mutex.Down()
                                            //Remove task from Queue
  //Put task in Queue
                                            sema_mutex.Up()
                                            sema_emptyCount.Up()
  sema_mutex.Up()
  sema_fullCount.Up()
                                            //Process Task
                                  Queue (i.e., data buffer)
                                        Task 2
                                             Task 1
                                                 Task 0
                   P3
                                                         C3
                 Producers
                           Also called the bounded-buffer problem.
                                                       Consumers
```

#### **Condition Variables**

- A data object that allows a thread to suspend execution until a certain event or condition occurs.
- When the event or condition occurs another thread can signal the thread to "wake up."
- A condition variable is always associated with a mutex.

```
// lock mutex
if (condition has occurred) {
    // signal thread(s);
}else {
    // 1. Wait until another thread signals to wake up by unlocking
    // the mutex and block (e.g., sleep, or spin etc.);
    // 2. After the signal happens then the thread wakes, requires the lock
    // and checks to make sure the condition is still true.
}
// unlock mutex
```

#### **Condition Variables in Go**

- sync.Cond represents conditional variables in Go.
- Creation: NewCond(I Locker) \*Cond
- Operations on condition variables:
  - func (c \*Cond) Wait(): suspends the calling thread and releases the monitor lock. When it resumes, reacquire the lock. Called when condition is not true.
  - func (c \*Cond) Signal(): resumes one thread waiting in wait() if any. Called when condition becomes true and wants to wake up one waiting thread.
  - func (c \*Cond) Broadcast(): resumes all threads waiting in wait(). Called when condition becomes true and wants to wake up all waiting threads.

#### **Demo: Condition Variables**

#### **Concurrent Data Structures**

#### Concurrent Data Structures

- We assume
  - shared-memory multiprocessors environment
  - concurrently execute multiple threads which communicate and synchronize through data structures in shared memory

#### Concurrent Data Structures

- Far more difficult to design than sequential ones
  - Correctness
    - Primary source of difficulty is concurrency
    - The steps of different threads can be interleaved arbitrarily
  - Scalability (performance)
- We will look at
  - Concurrent Linked List/Queue/Stack

# Main performance issue of lock based system

#### Sequential bottleneck

 At any point in time, at most one lock-protected operation is doing useful work.

#### Memory contention

- Overhead in traffic as a result of multiple threads concurrently attempting to access the same memory location.

#### Blocking

- If thread that currently holds the lock is delayed, then all other threads attempting to access are also delayed.
- Implementation of locks is known as a blocking algorithm
- Consider non-blocking (lock-free) algorithm

# Nonblocking algorithms

#### implemented by a hardware operation

- atomically combines a load and a store
- Ex) compare-and-swap(CAS)

#### · lock-free

- if there is guaranteed system-wide progress;
- while a given thread might be blocked by other threads, all CPUs can continue doing other useful work without stalls.

#### · wait-free

- if there is also guaranteed per-thread progress.
- in addition to all CPUs continuing to do useful work, no computation can ever be blocked by another computation.

#### Linked List

- Illustrate these patterns ...
- Using a list-based Set
  - Common application
  - Building block for other apps

#### Set Interface

- Unordered collection of items
- No duplicates
- Methods
  - add(x) put x in set
  - remove(x) take x out of set
  - contains(x) tests if x in set

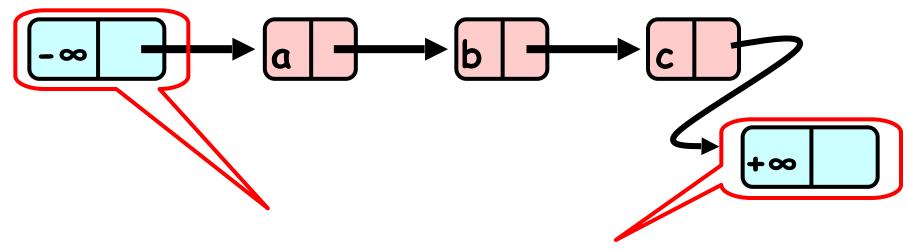
#### List-Based Sets

```
public interface Set<T> {
  public boolean add(T x);
  public boolean remove(T x);
  public boolean contains(T x);
}
```

#### List Node

```
public class Node {
  public T item;  // item of interest
  public int key;  // usually hash code
  public Node next;  // reference to next node
}
```

#### The List-Based Set



Sorted with Sentinel nodes (min & max possible keys)

## Sequential List Based Set

#### Add()



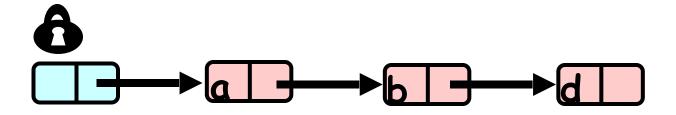
#### Remove()



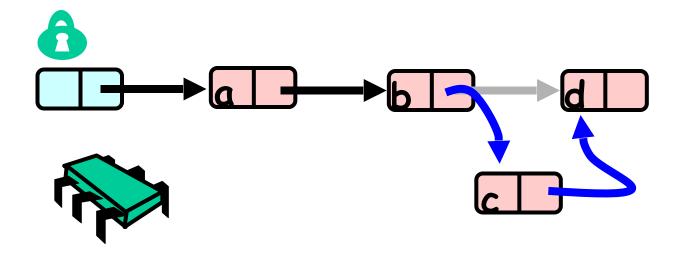
## Sequential List Based Set

# Add() Remove()

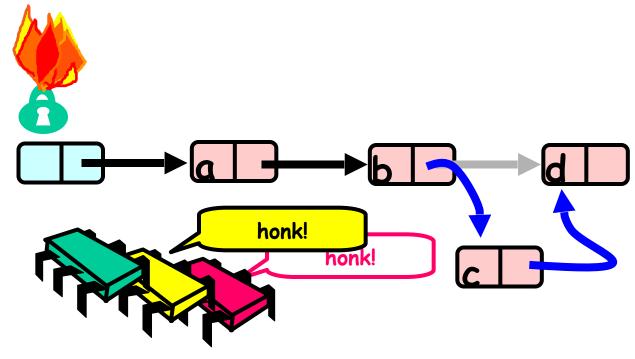
## Course Grained Locking



# Course Grained Locking



## Course Grained Locking



Simple but hotspot + bottleneck

### Coarse-Grained Synchronization

- Sequential bottleneck
  - Threads "stand in line"
- Adding more threads
  - Does not improve throughput
  - Struggle to keep it from getting worse
- · So why even use a multiprocessor?
  - Well, some apps inherently parallel ...

# Coarse-Grained Synchronization (Linked List)

```
public class CoarseList<T> {
private Node head;
private Node tail;
private Lock lock = new ReentrantLock();
public CoarseList() {
    // Add sentinels to start and end
    head = new Node(Integer.MIN VALUE);
    tail = new Node(Integer.MAX VALUE);
    head.next = this.tail;
```

```
public boolean add(T item) {
    Node pred, curr;
    int key = item.hashCode();
    lock.lock();
    try {
      pred = head;
      curr = pred.next;
      while (curr.key < key) {</pre>
        pred = curr;
        curr = curr.next;
      if (key == curr.key) {
        return false:
      } else {
        Node node = new Node(item);
        node.next = curr;
        pred.next = node;
        return true;
    } finally {
      lock.unlock();
```

```
public boolean remove(T item) {
   Node pred, curr;
   int key = item.hashCode();
   lock.lock();
   try {
     pred = this.head;
     curr = pred.next;
     while (curr.key < key) {
       pred = curr;
       curr = curr.next;
     if (key == curr.key)
       pred.next = curr.next;
       return true;
     } else {
       return false;
   } finally {
     lock.unlock();
```

```
public boolean contains(T item) {
    Node pred, curr;
    int key = item.hashCode();
    lock.lock();
    try {
      pred = head;
      curr = pred.next;
      while (curr.key < key) {</pre>
        pred = curr;
        curr = curr.next;
      return (key == curr.key);
    } finally {
      lock.unlock();
```

## Coarse-Grained Locking

- · Easy, same as synchronized methods
  - "One lock to rule them all ..."
- Simple, clearly correct
  - Deserves respect!
- · Works poorly with contention

# Performance Improvement

- · For highly-concurrent objects
- Goal:
  - Concurrent access
  - More threads, more throughput

#### First: Fine-Grained Synchronization

- Instead of using a single lock ..
- Split object into
  - Independently-synchronized components
- Methods conflict when they access
  - The same component ...
  - At the same time

# Second: Optimistic Synchronization

- Search without locking ...
- · If you find it, lock and check ...
  - OK: we are done
  - Oops: start over
- Evaluation
  - Usually cheaper than locking
  - Mistakes are expensive

#### Third: Lazy Synchronization

- Postpone hard work
- Removing components is tricky
  - Logical removal
    - Mark component to be deleted
  - Physical removal
    - · Do what needs to be done

#### Fourth: Lock-Free Synchronization

- Don't use locks at all
  - Use compare And Set() & relatives ...
- Advantages
  - No Scheduler Assumptions/Support
- Disadvantages
  - Complex
  - Sometimes high overhead

# Fine-grained Locking

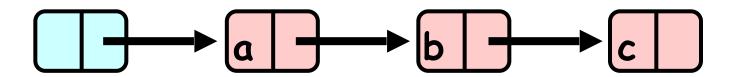
- · Requires careful thought
- Split object into pieces
  - Each piece has own lock
  - Methods that work on disjoint pieces need not exclude each other

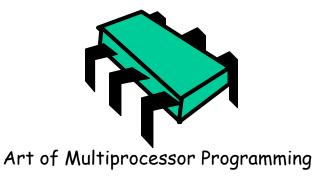
# Fine-grained Locking

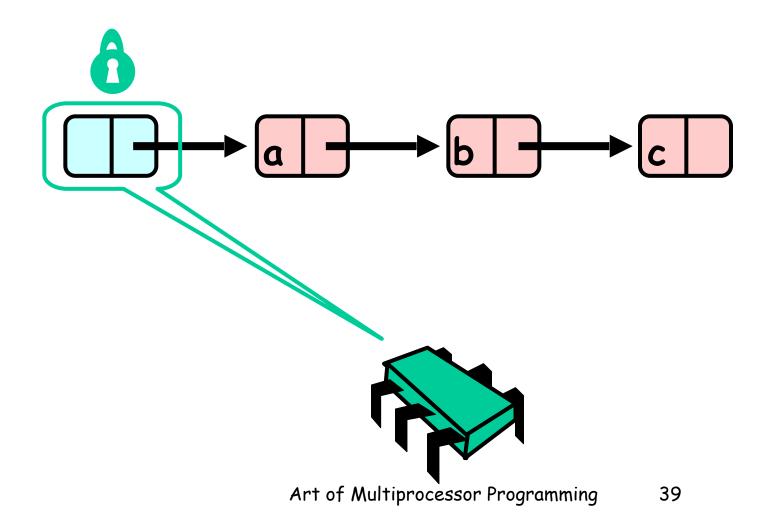
 Use multiple locks of small granularity to protect different parts of the data structure

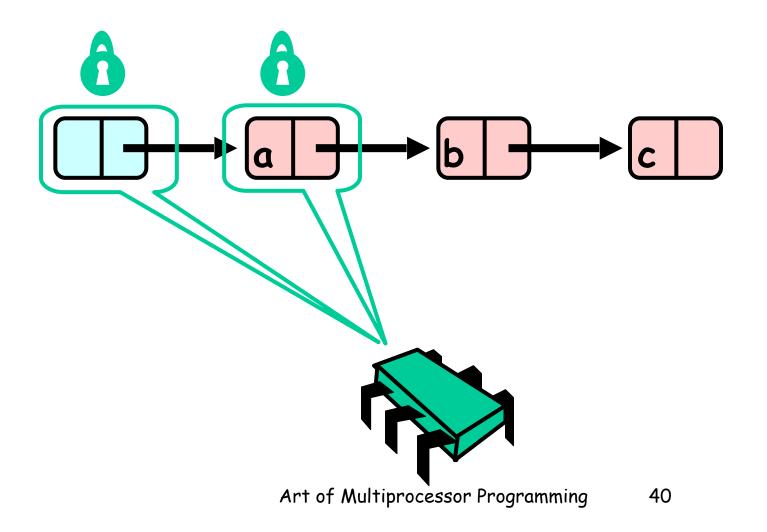
#### · Goal

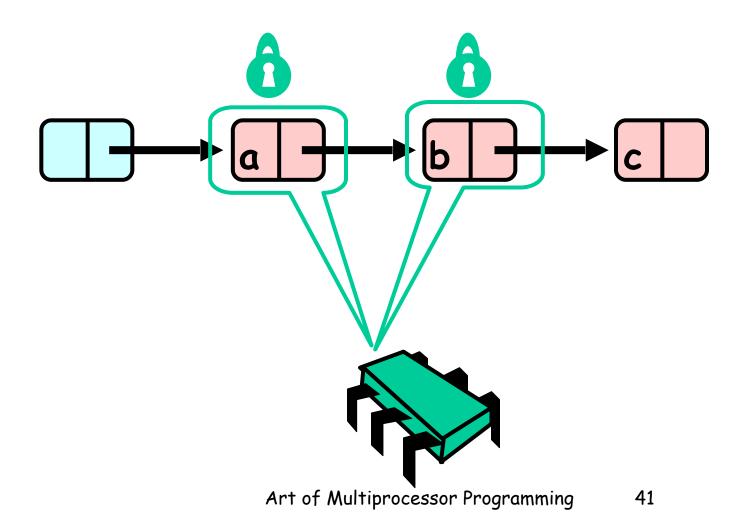
- To allow concurrent operations to proceed in parallel when they do not access the same parts of the data structure

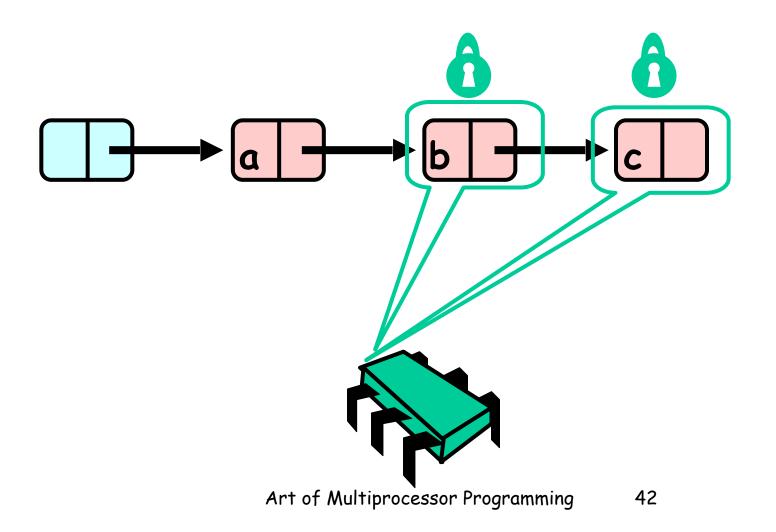


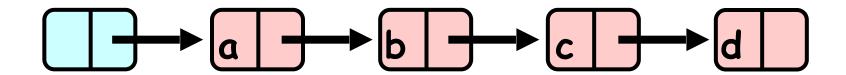


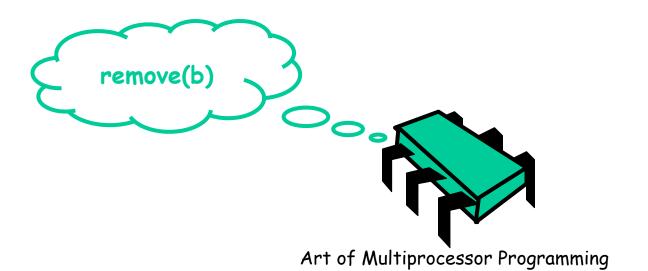


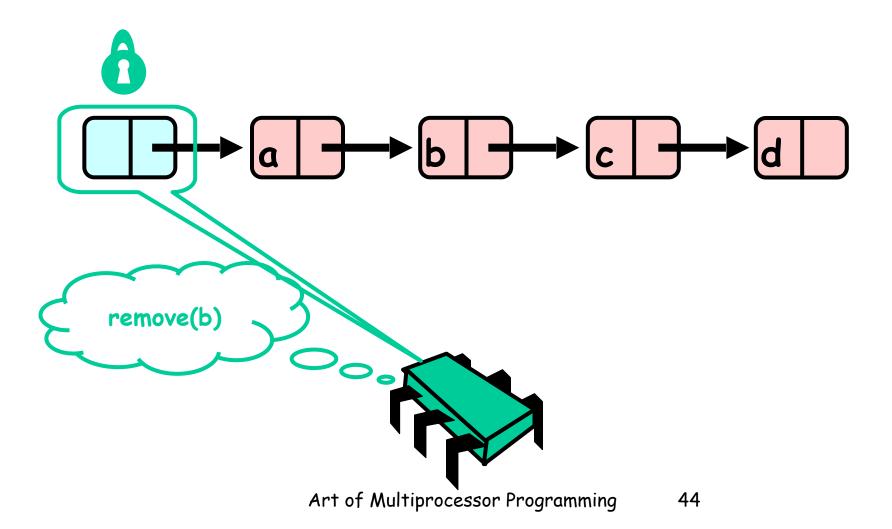


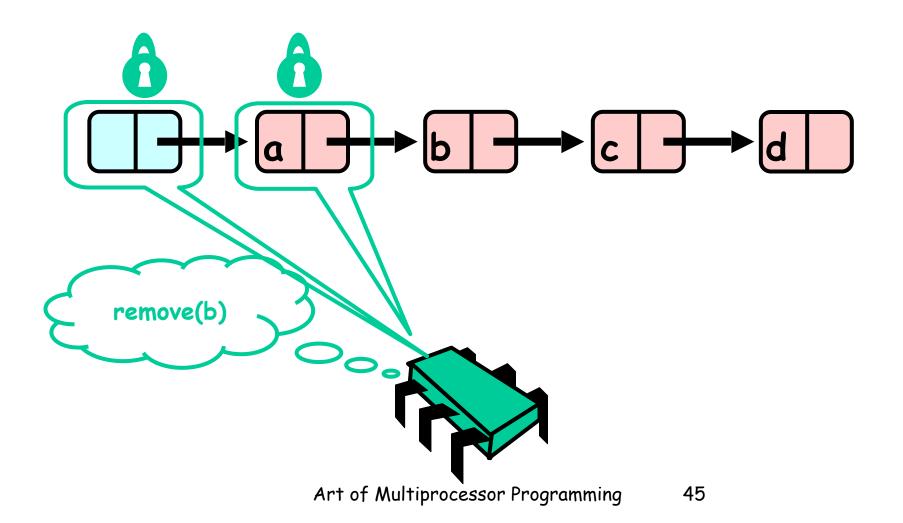


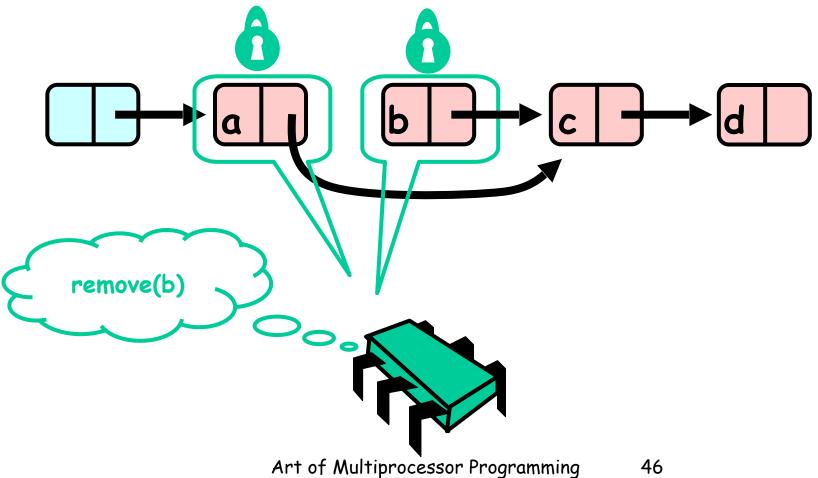


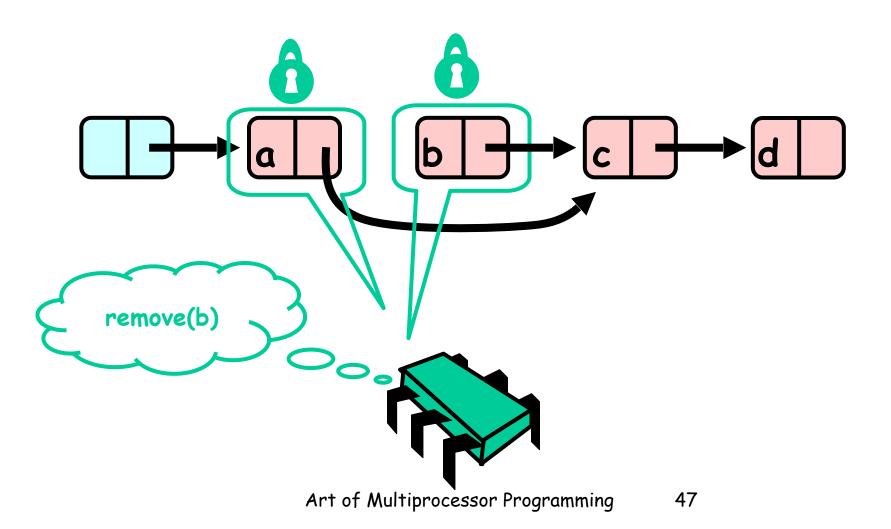


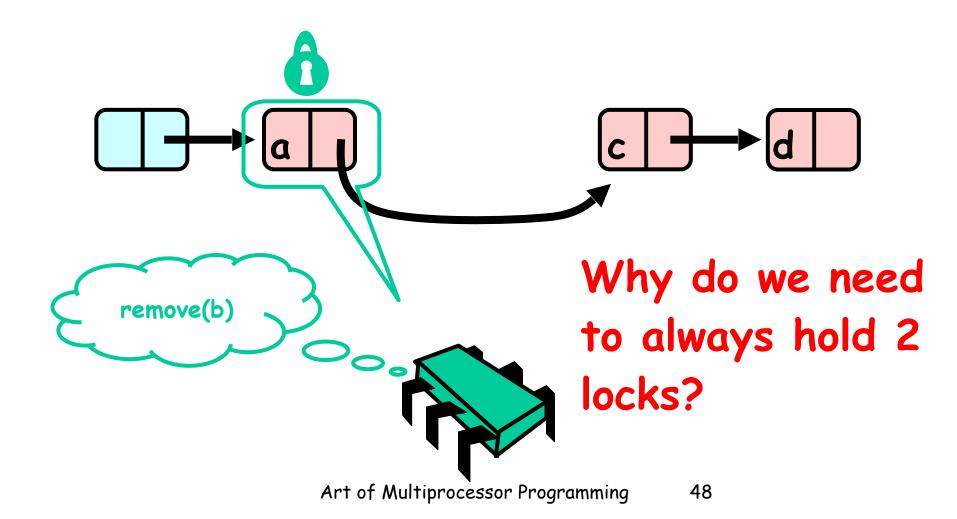


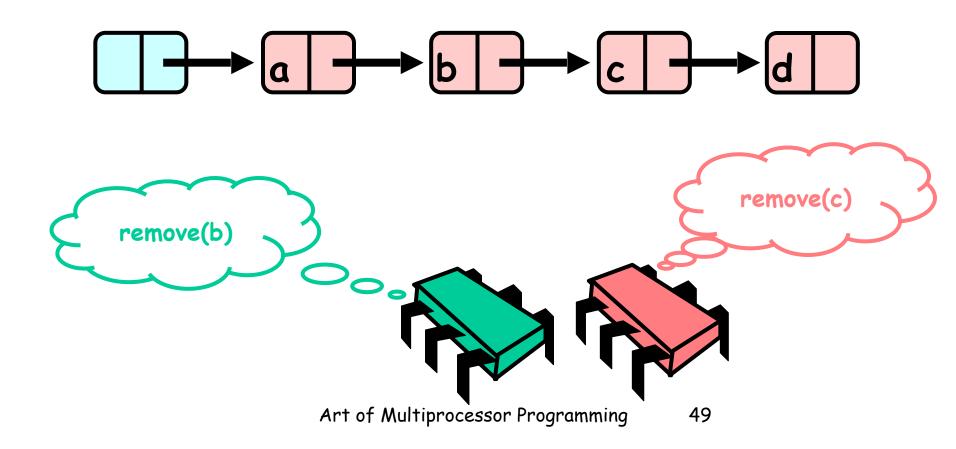


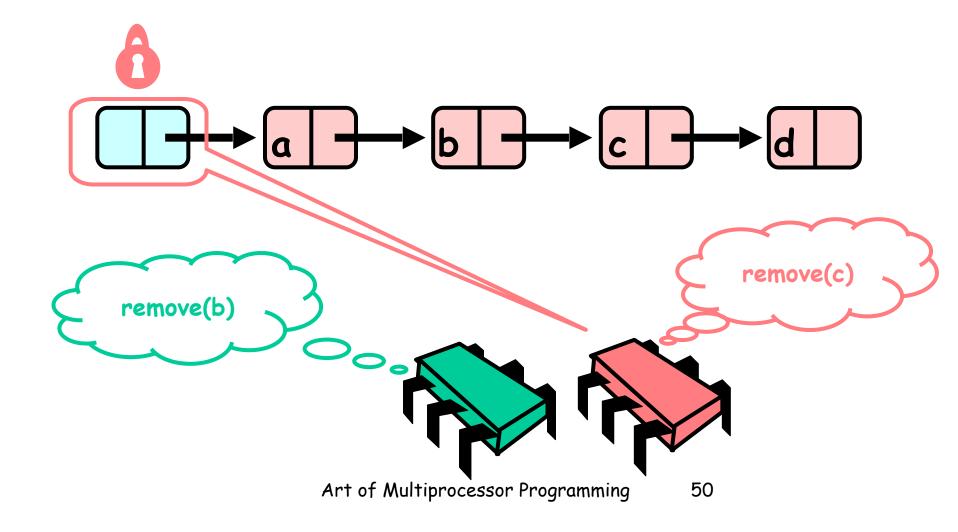


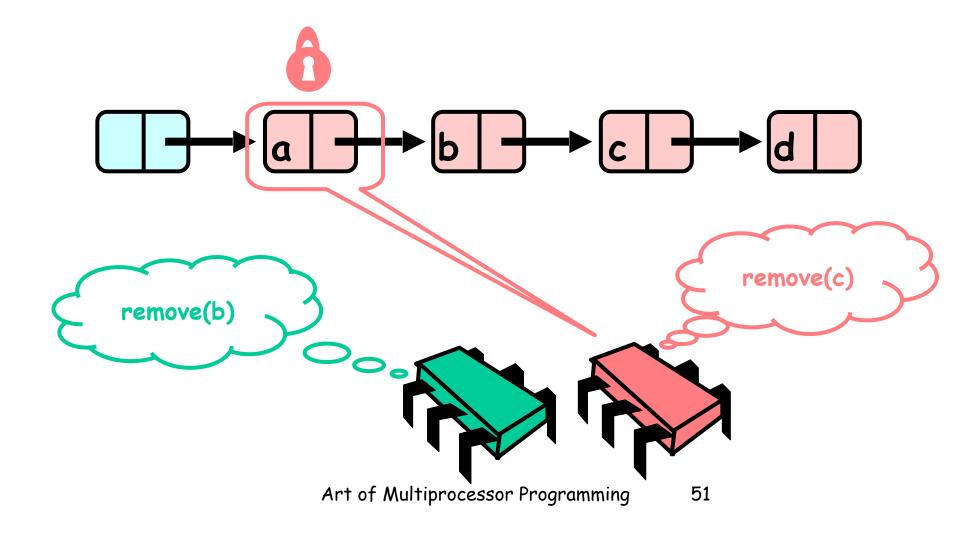


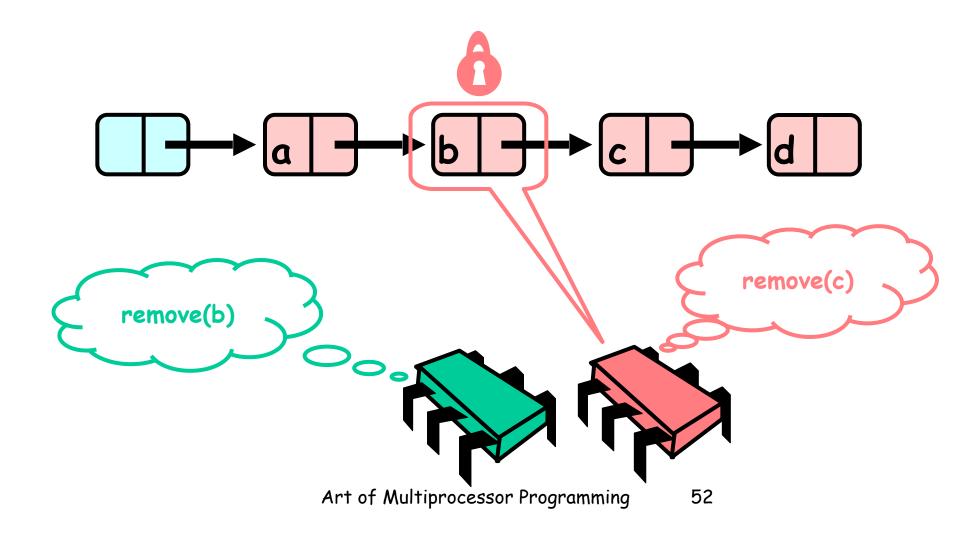


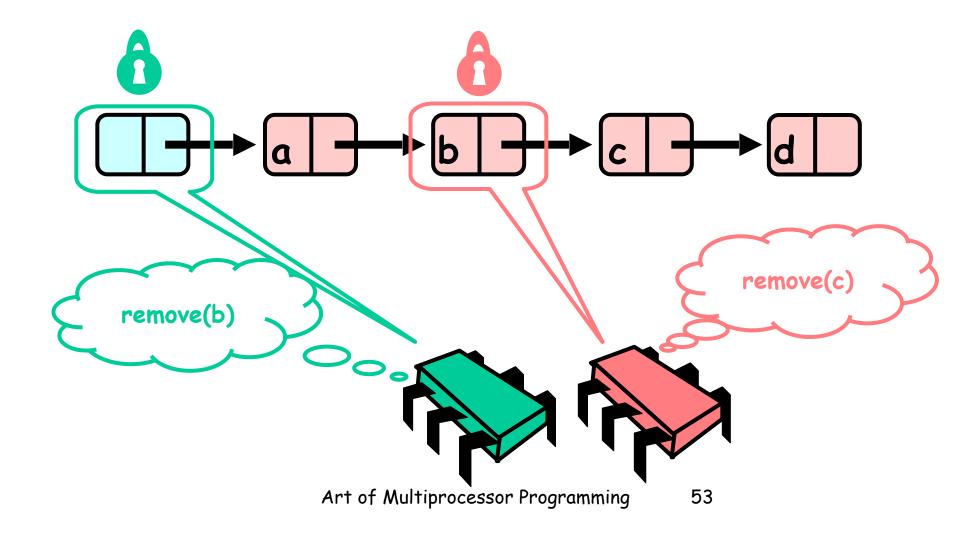


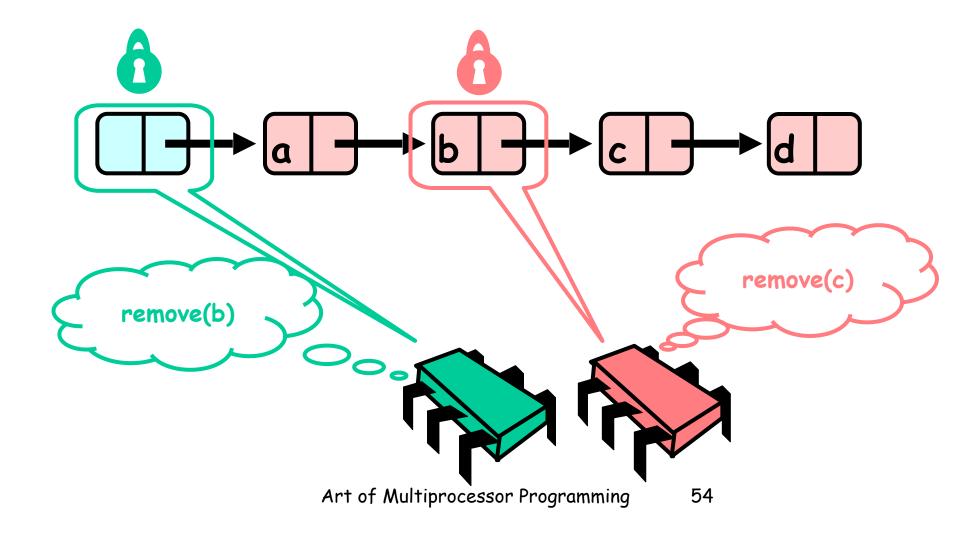


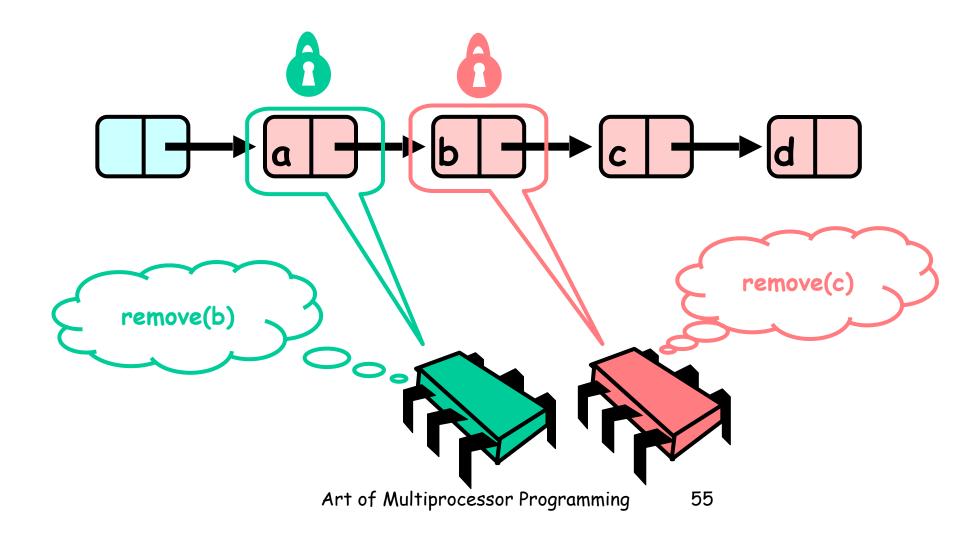


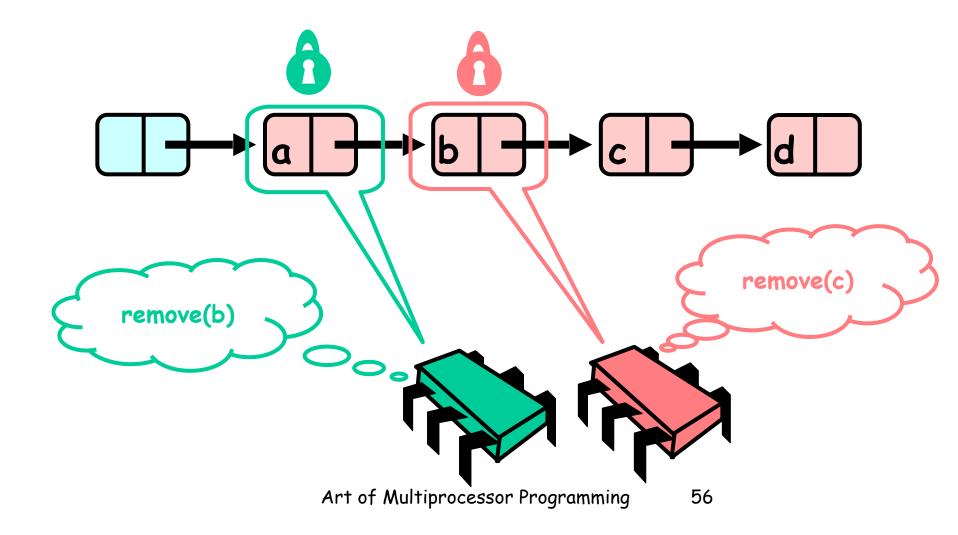




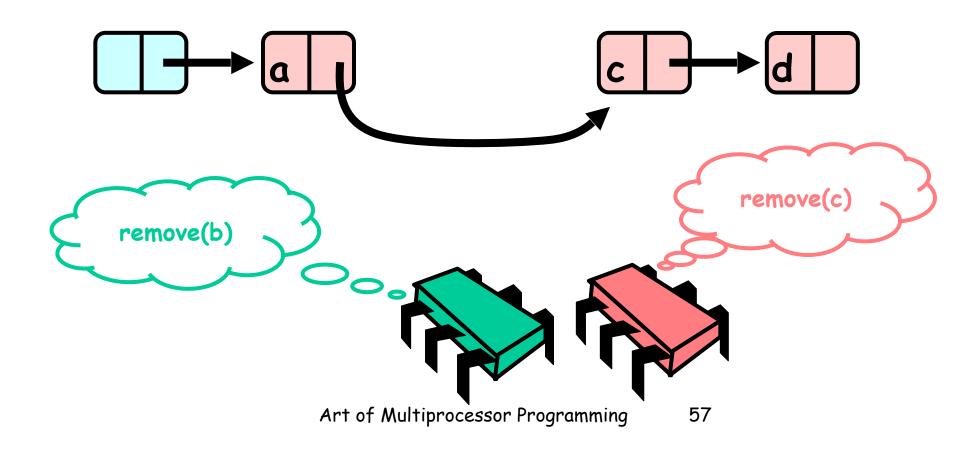






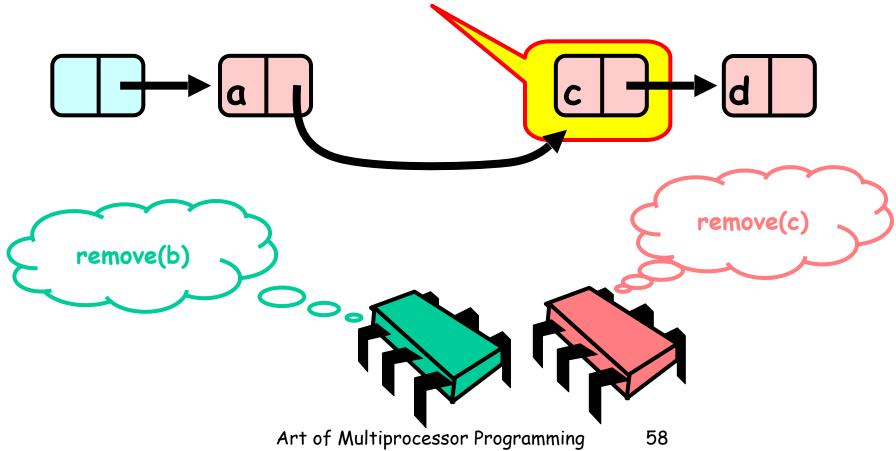


# Uh, Oh



### Uh, Oh

Bad news, C not removed



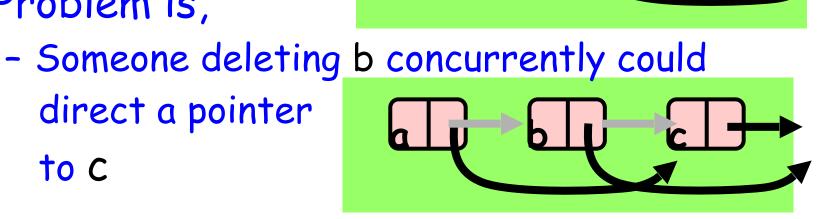
### Problem

To delete node c

- Swing node b's next field to d

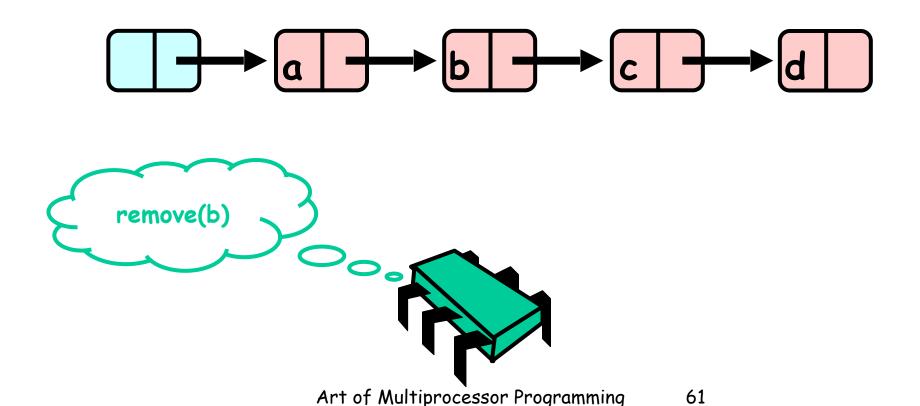
Problem is,

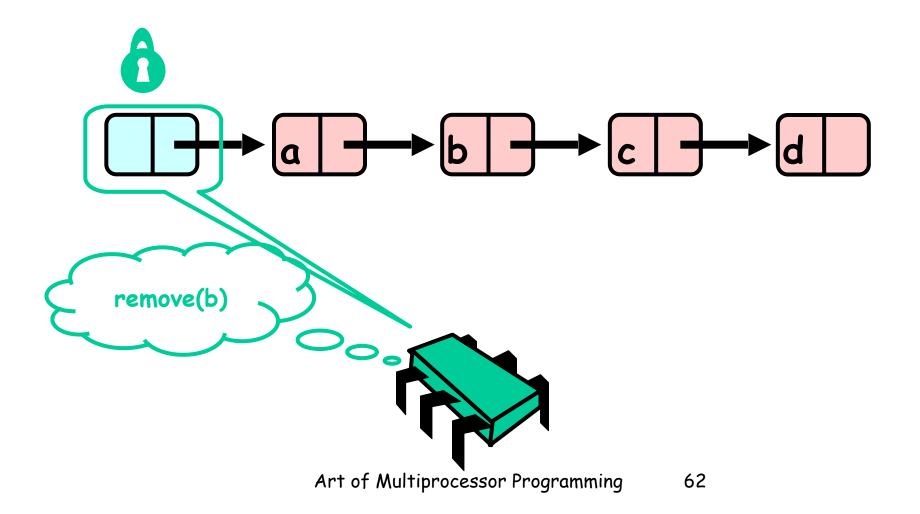
direct a pointer to C

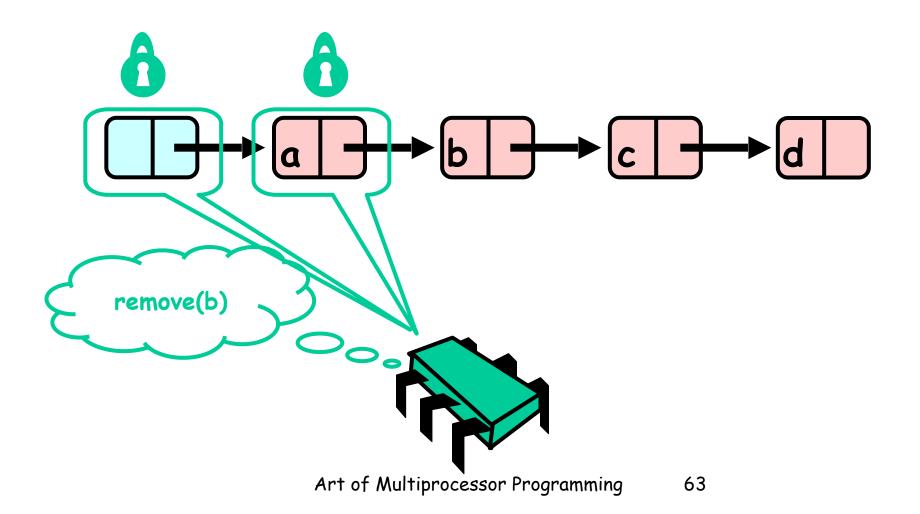


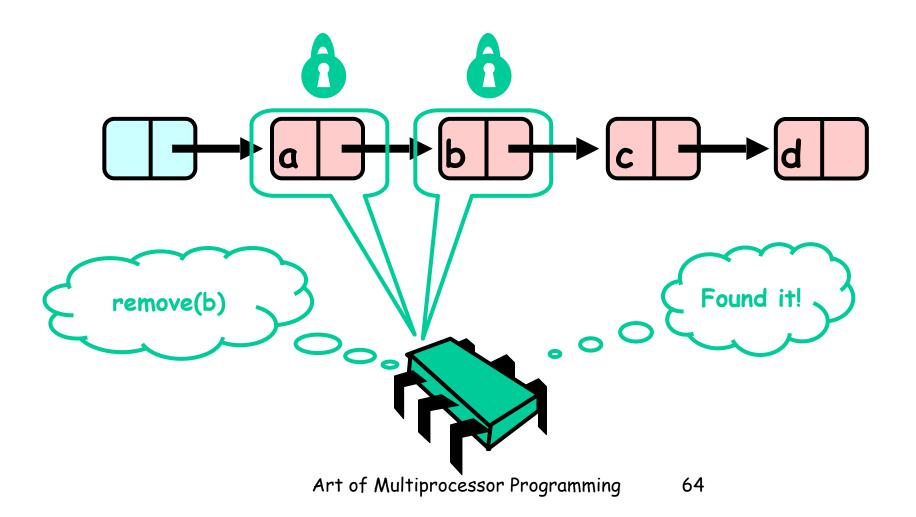
# Insight

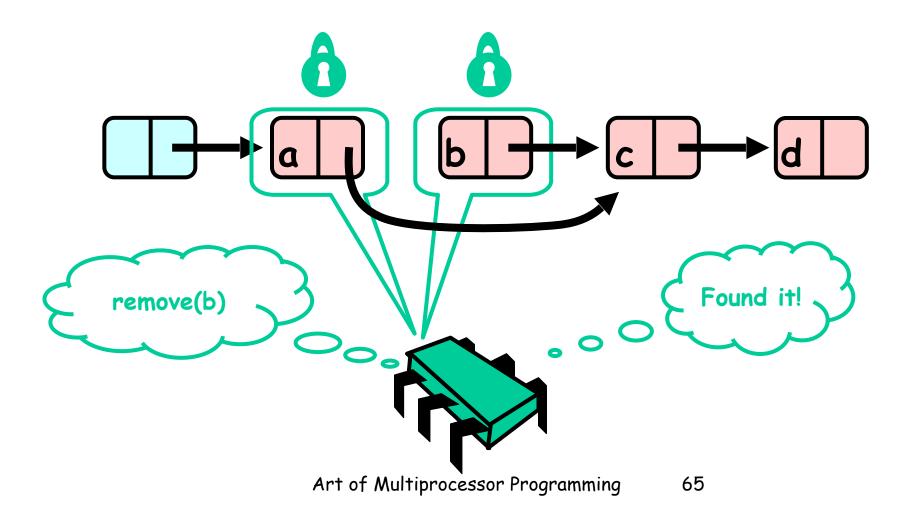
- If a node is locked
  - No one can delete node's successor
- If a thread locks
  - Node to be deleted
  - And its predecessor
  - Then it works

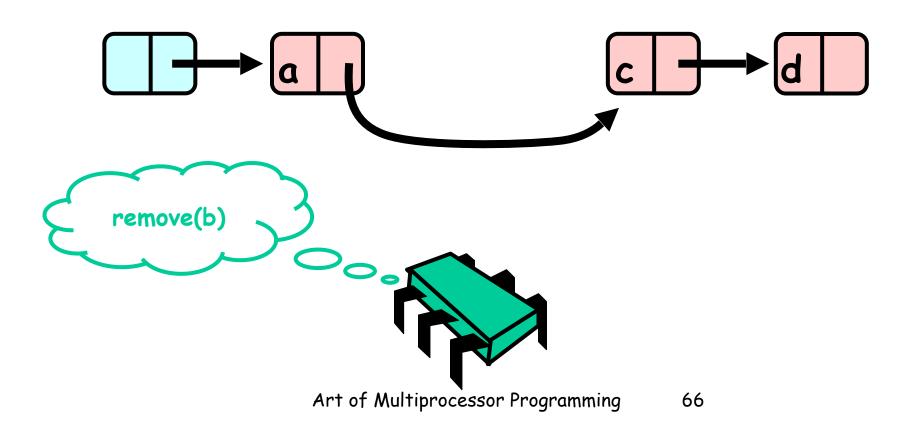


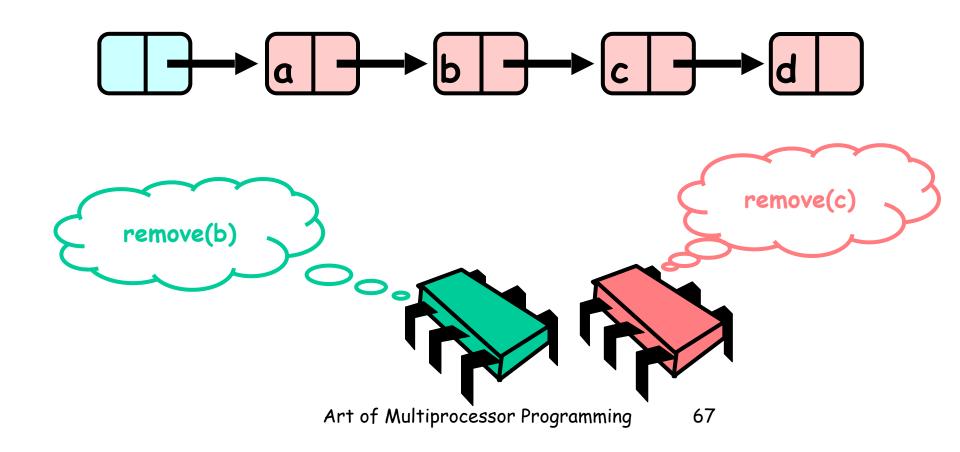


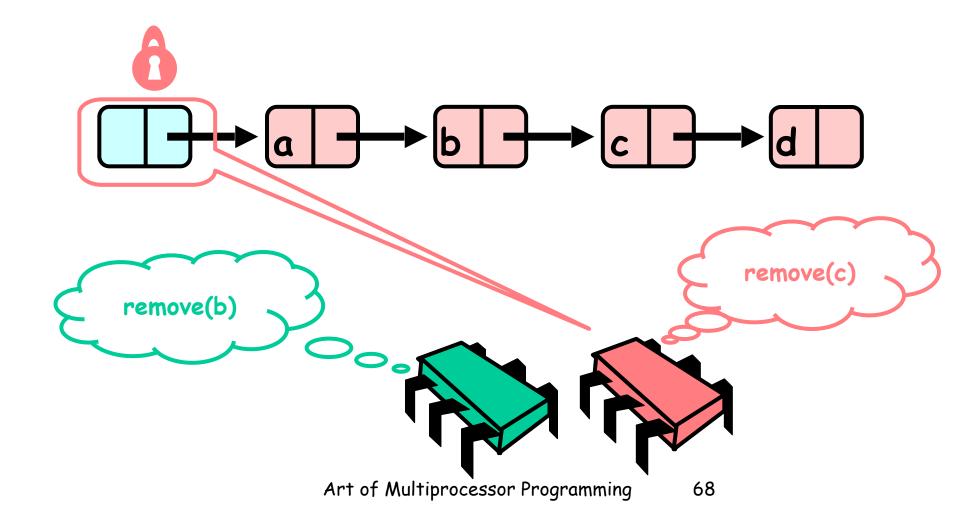


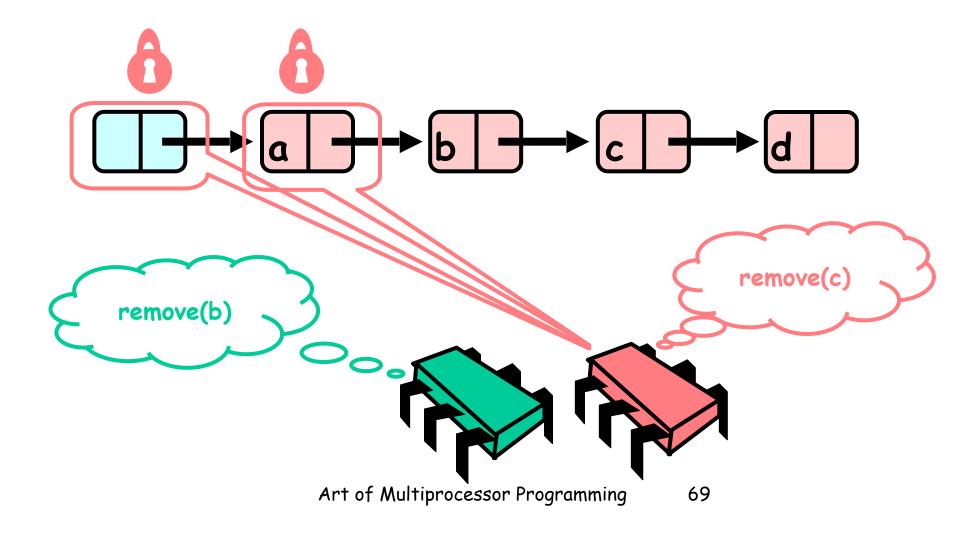


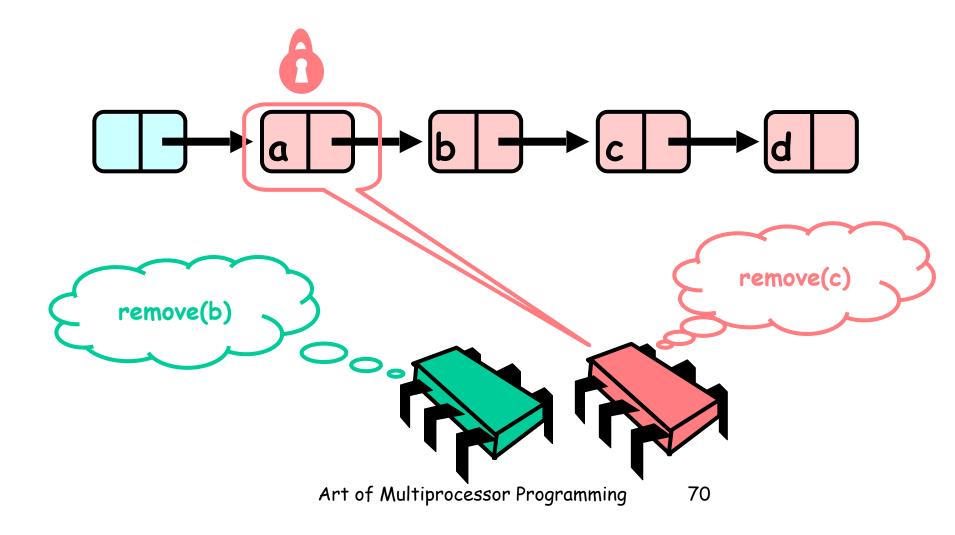


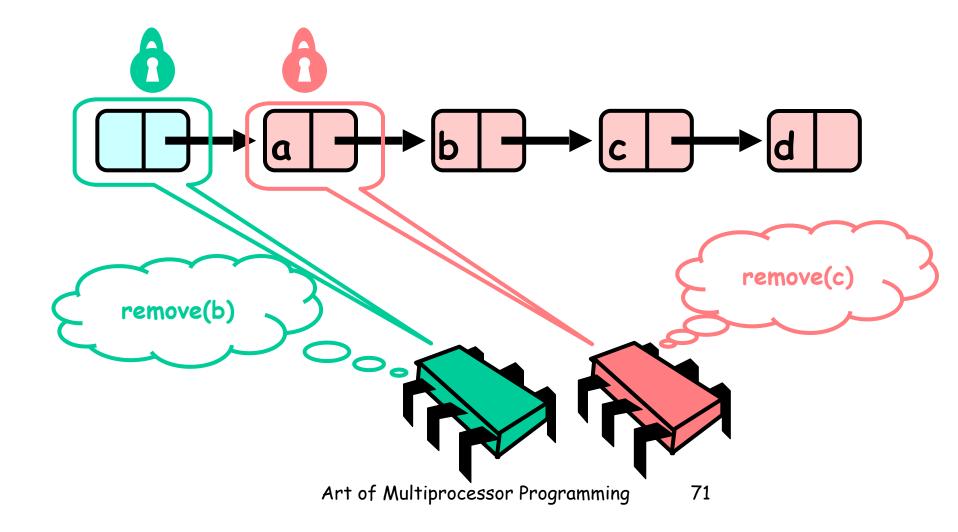


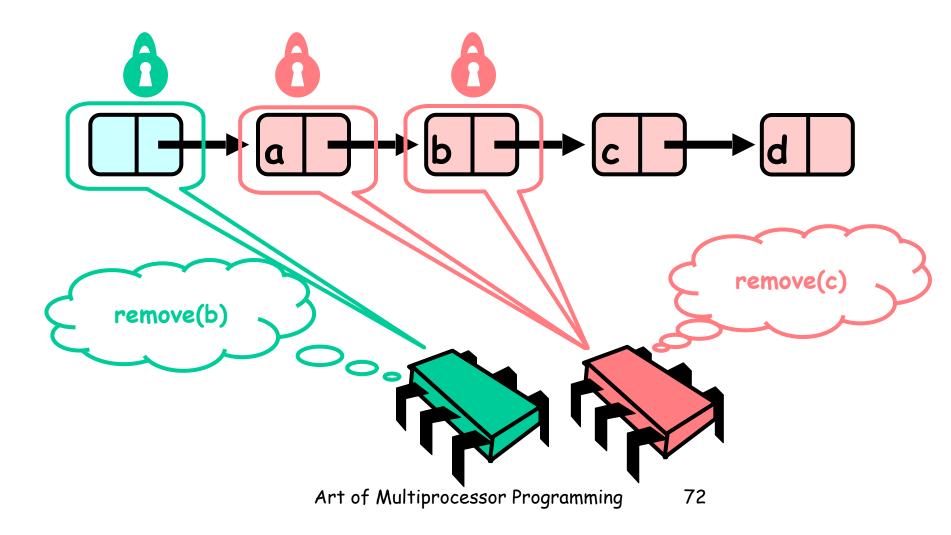


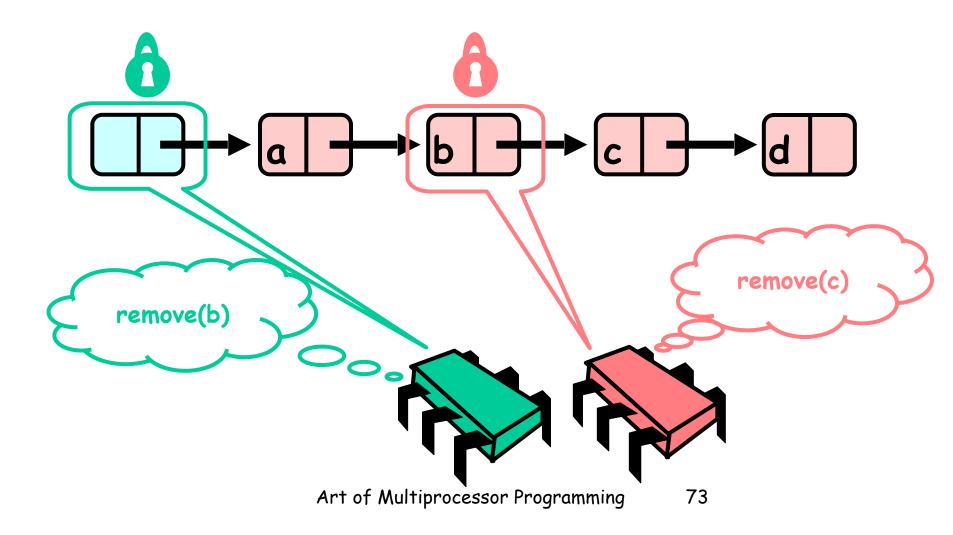


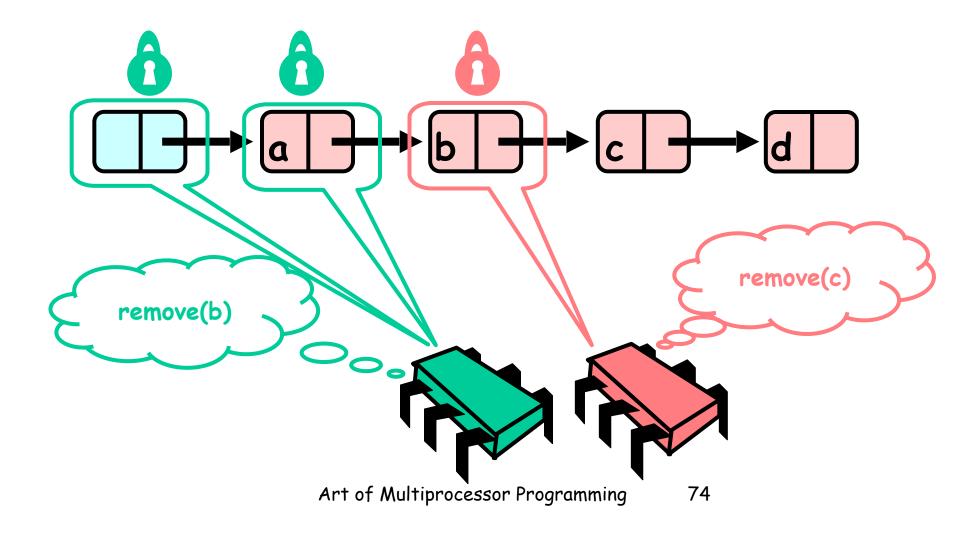


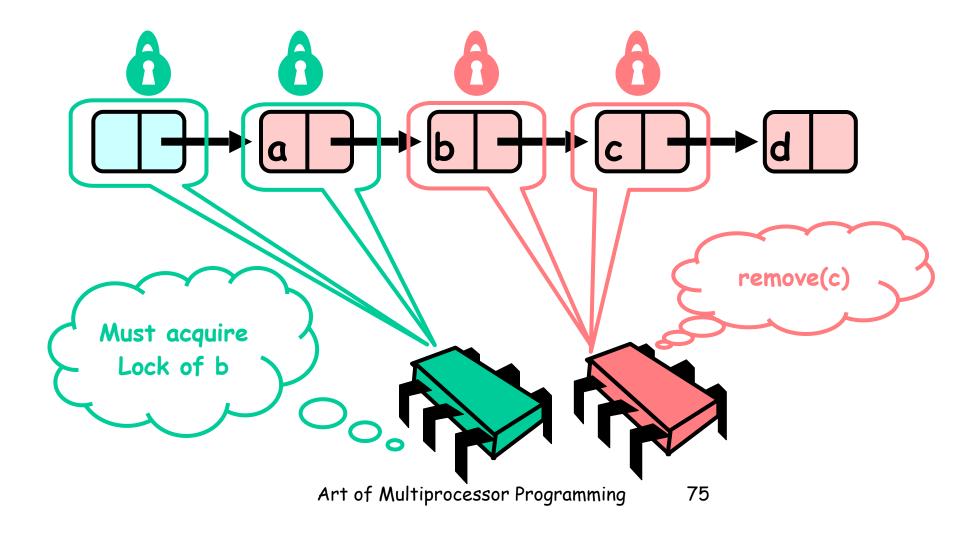


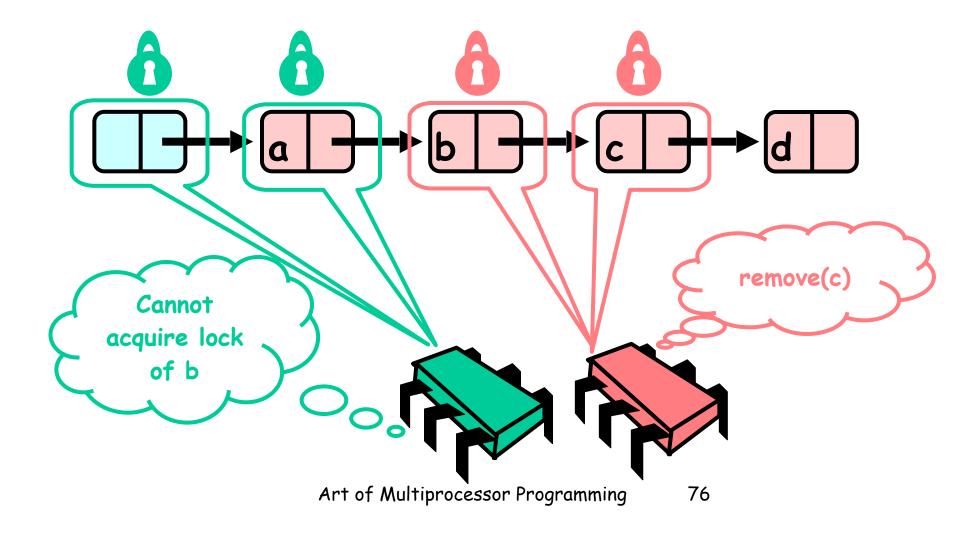


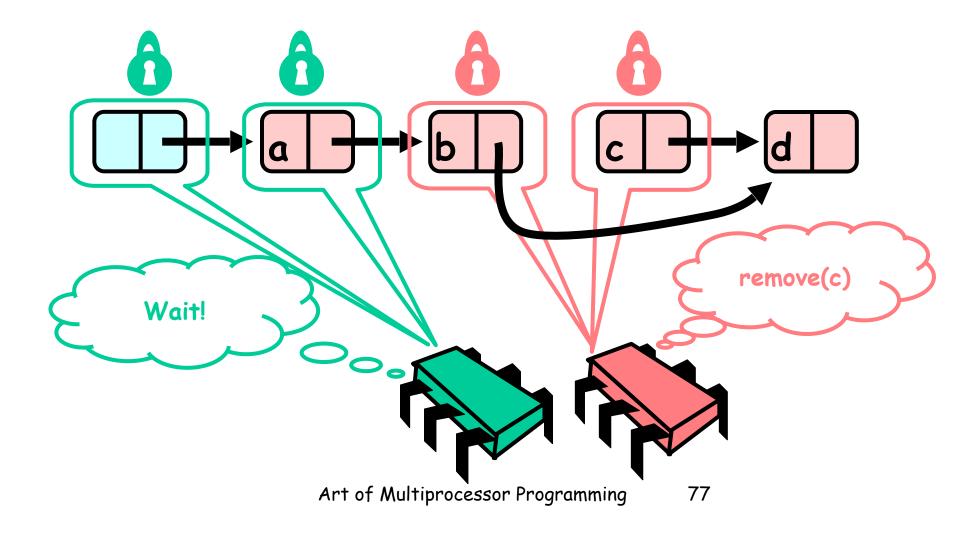


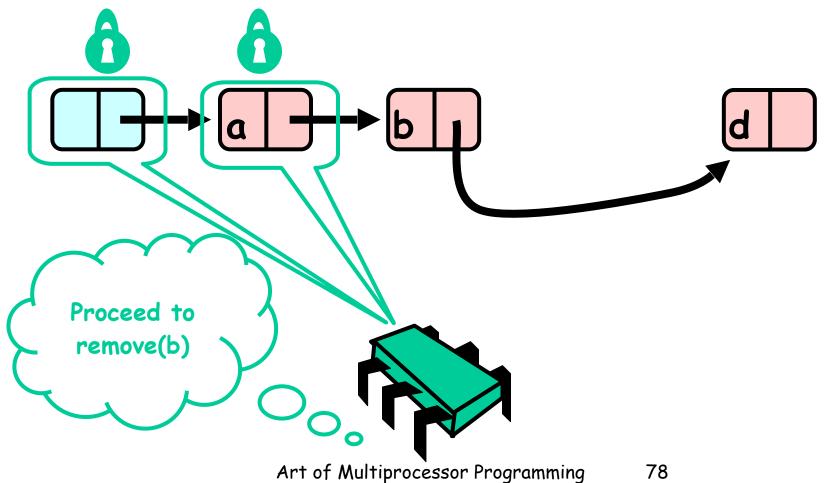


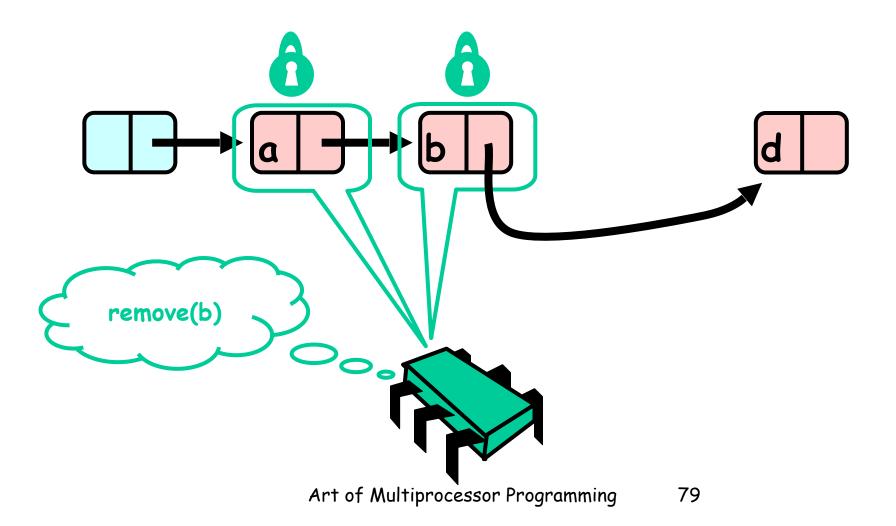


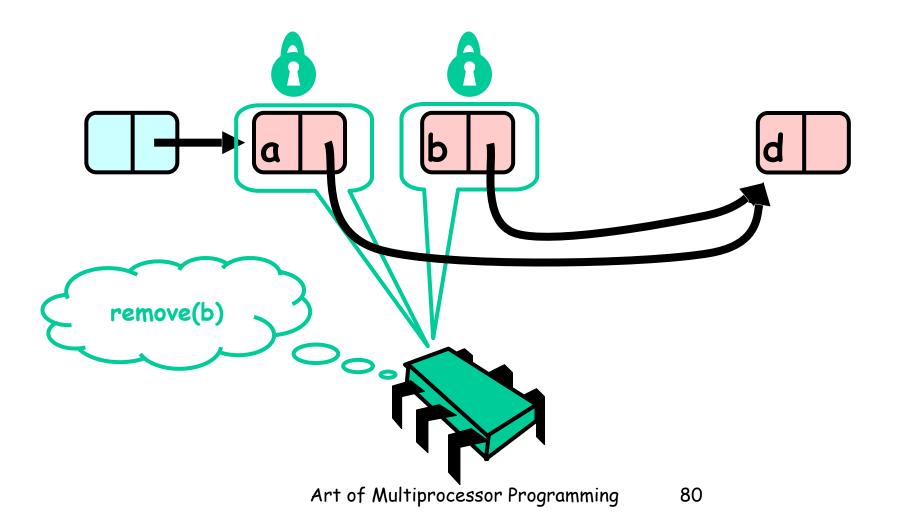


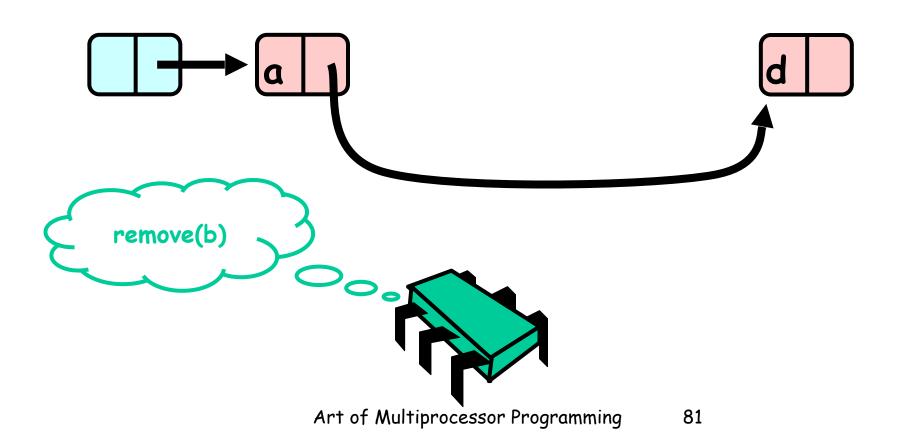


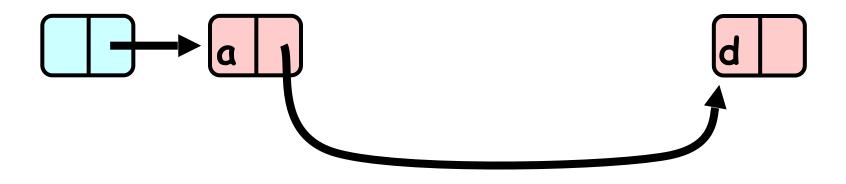












```
public boolean add(T item) {
    int key = item.hashCode();
    head.lock();
    Node pred = head;
    try {
      Node curr = pred.next;
      curr.lock();
      try {
        while (curr.key < key) {</pre>
          pred.unlock();
          pred = curr;
          curr = curr.next;
          curr.lock();
        if (curr.key == key) return false;
        Node newNode = new Node(item);
        newNode.next = curr;
        pred.next = newNode;
        return true;
      } finally {
        curr.unlock();
    } finally {
      pred.unlock();
```

# Fine-Grained Synchronization: hand-over-hand locking Linked List

```
public boolean remove(T item) {
   Node pred = null, curr = null;
   int key = item.hashCode();
   head.lock();
   try {
     pred = head;
     curr = pred.next;
     curr.lock();
     try {
       while (curr.key < key) {</pre>
         pred.unlock();
         pred = curr;
         curr = curr.next;
         curr.lock();
       if (curr.key == key) {
         pred.next = curr.next;
         return true;
       return false;
     } finally {
       curr.unlock();
   } finally {
     pred.unlock();
```

```
public boolean contains(T item) {
   Node last = null, pred = null, curr
  = null;
   int key = item.hashCode();
   head.lock();
   try {
     pred = head;
     curr = pred.next;
     curr.lock();
     try {
       while (curr.key < key) {</pre>
         pred.unlock();
         pred = curr;
         curr = curr.next;
         curr.lock();
       return (curr.key == key);
     } finally {
       curr.unlock();
   } finally {
     pred.unlock();
```

### Adding Nodes

- To add node e
  - Must lock predecessor
  - Must lock successor
- Neither can be deleted

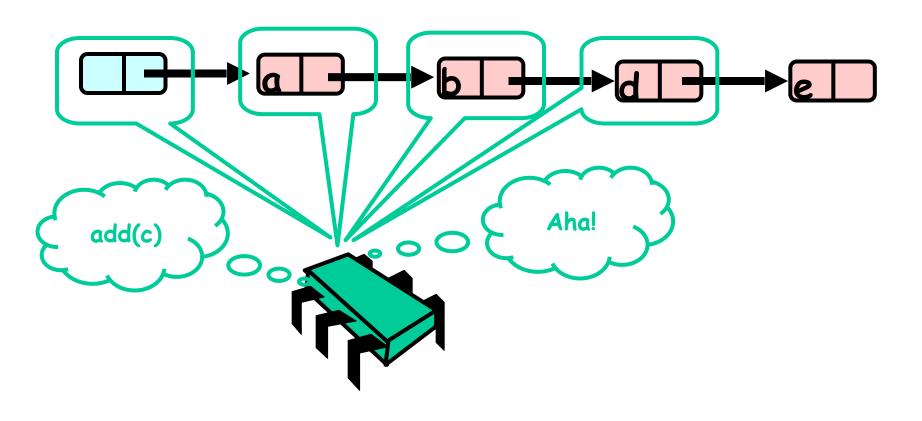
#### Drawbacks

- Better than coarse-grained lock
  - Threads can traverse in parallel
- Still not ideal
  - Long chain of acquire/release
  - Inefficient

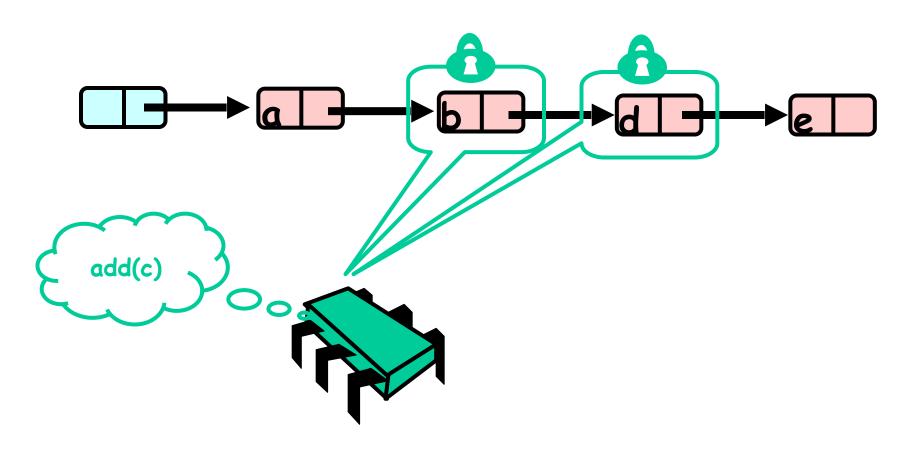
### Optimistic Synchronization

- Find nodes without locking
- Lock nodes
- Check that everything is OK

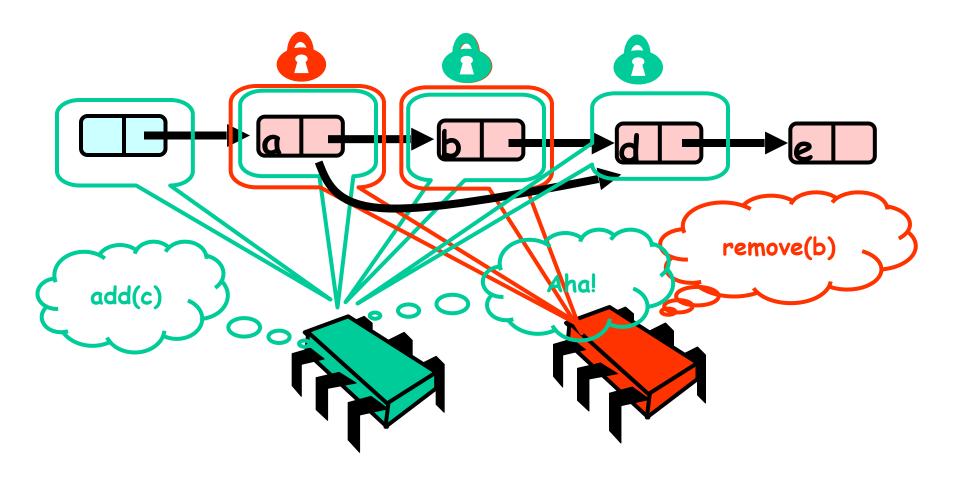
#### Optimistic: Traverse without Locking



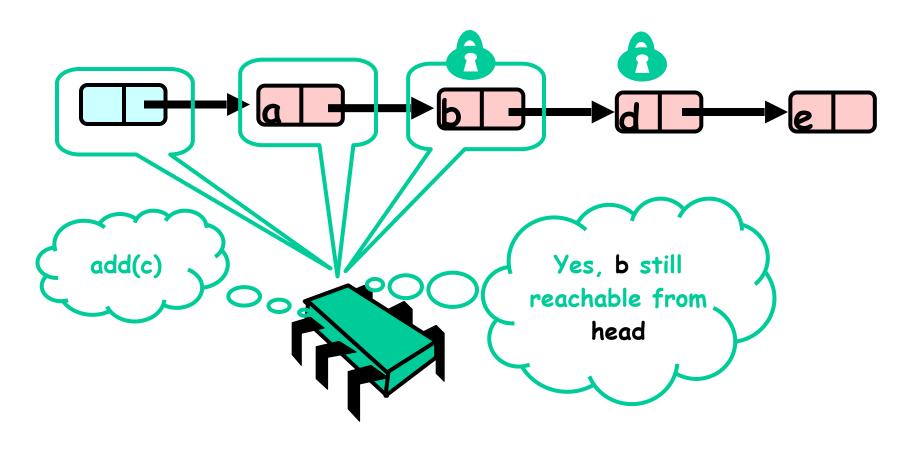
### Optimistic: Lock and Load



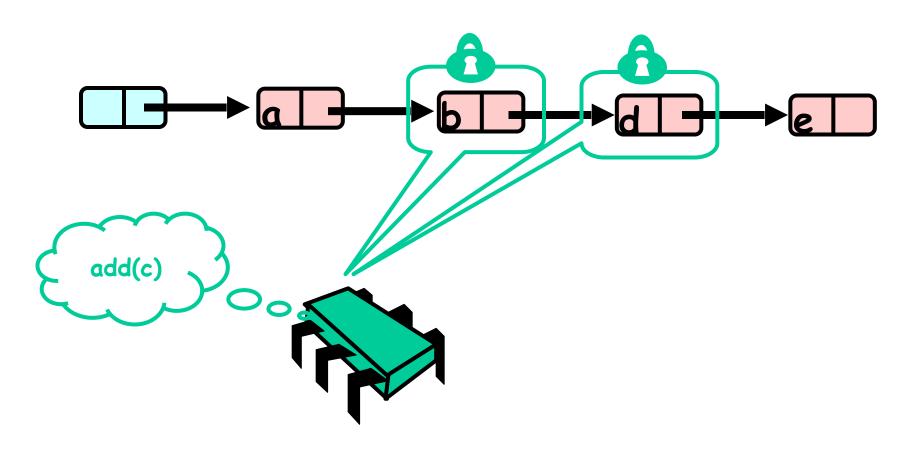
#### What could go wrong?



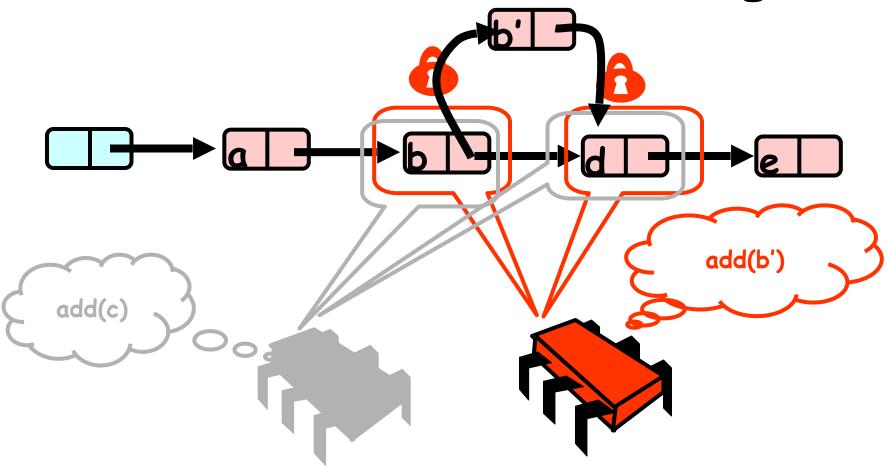
# Validate - Part 1 (while holding locks)



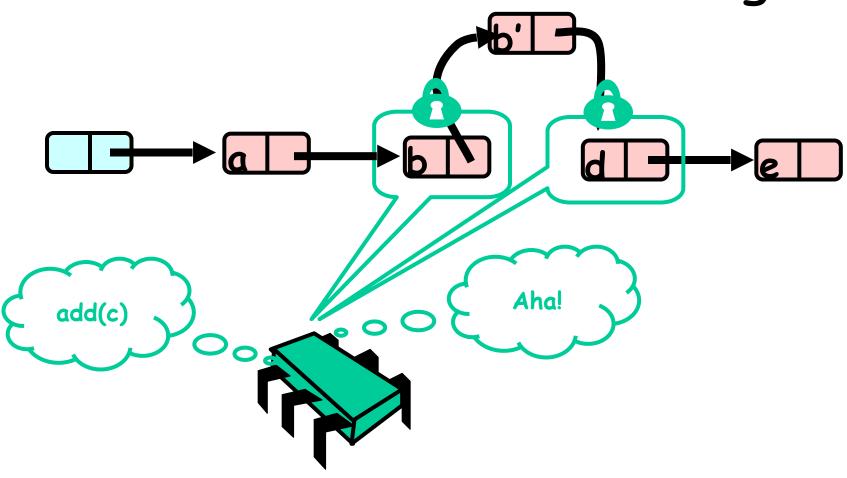
## What Else Can Go Wrong?



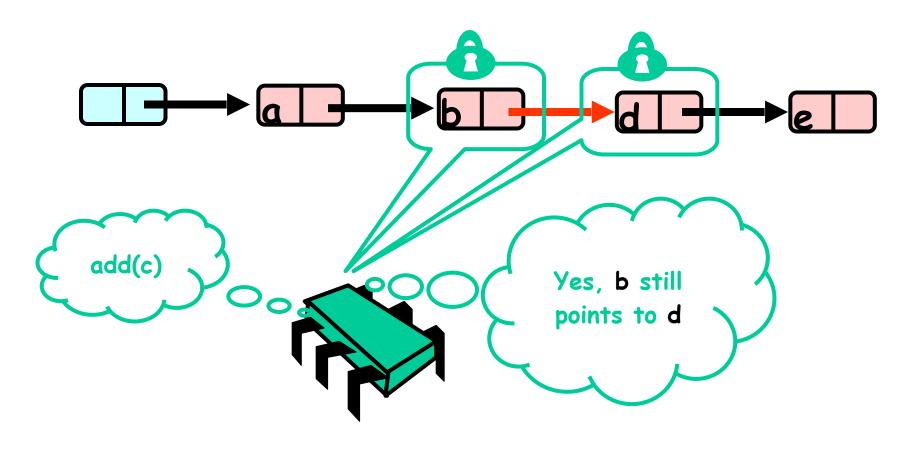
## What Else Can Go Wrong?



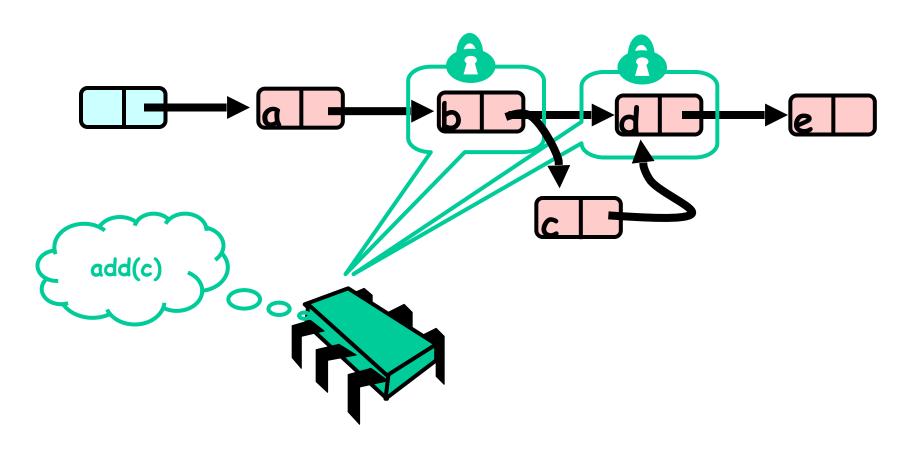
## What Else Can Go Wrong?



# Validate Part 2 (while holding locks)



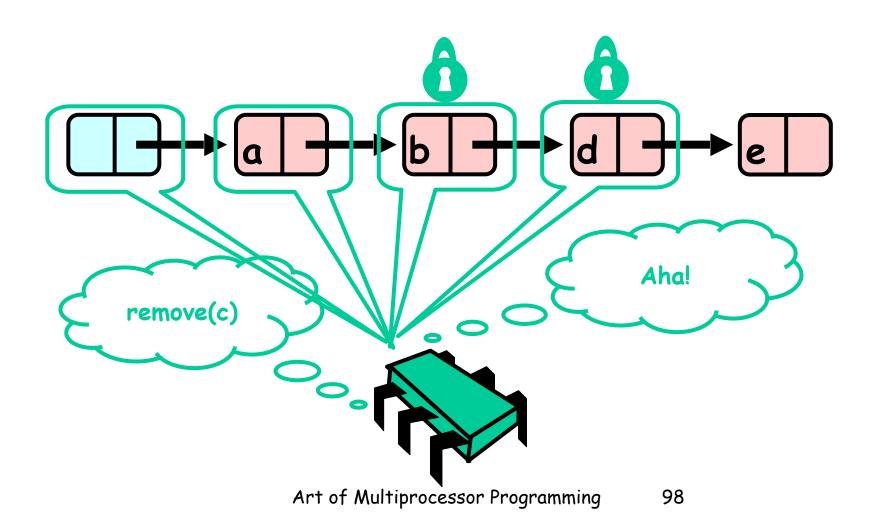
#### Optimistic: Critical Point



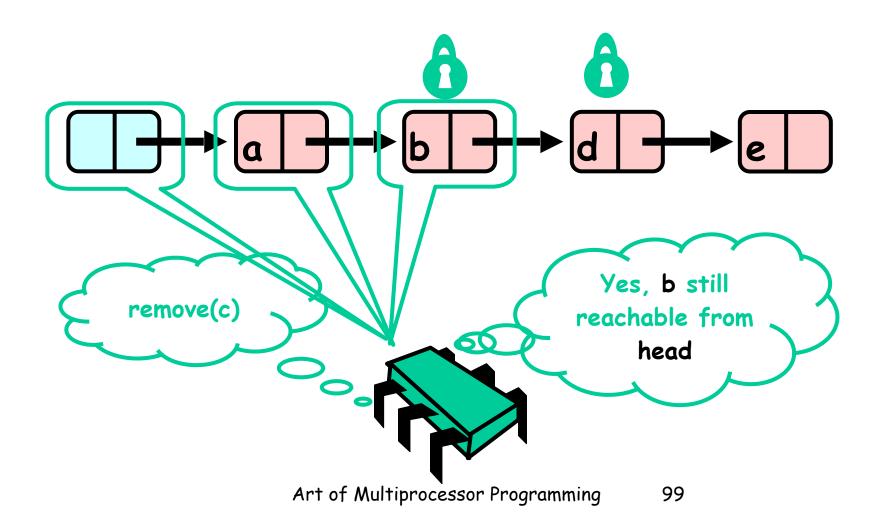
#### Correctness

- · If
  - Nodes b and c both locked
  - Node b still accessible
  - Node c still successor to b
- Then
  - Neither will be deleted
  - OK to delete and return true

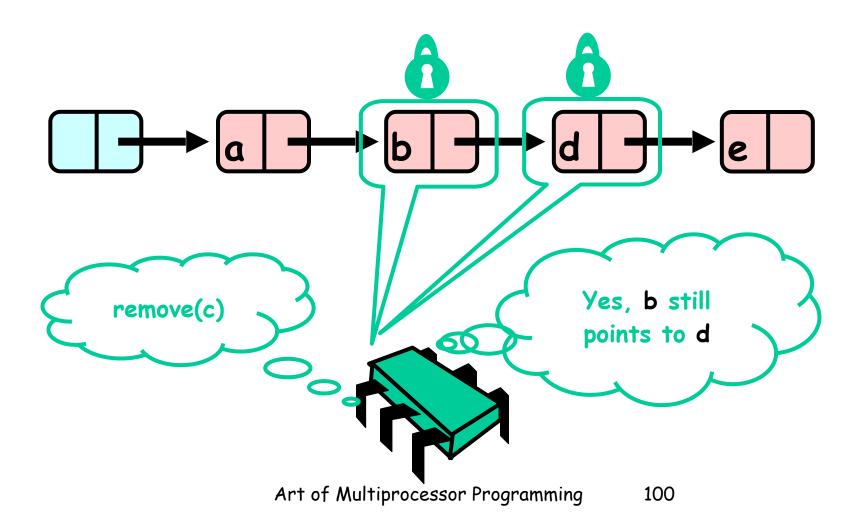
#### Unsuccessful Remove



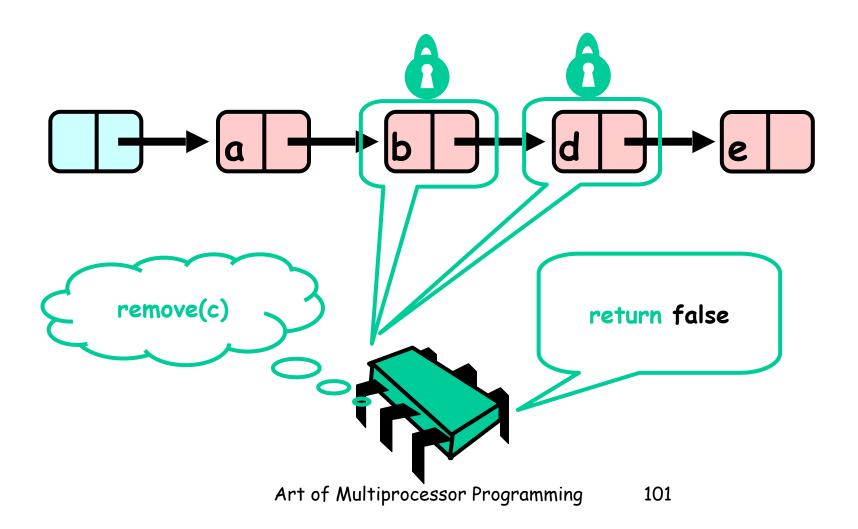
#### Validate (1)



#### Validate (2)



#### OK Computer



#### Correctness

- · If
  - Nodes b and d both locked
  - Node b still accessible
  - Node d still successor to b
- Then
  - Neither will be deleted
  - No thread can add c after b
  - OK to return false

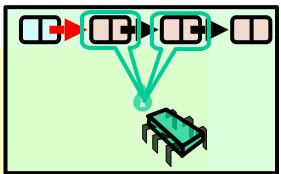
```
private boolean
validate(Node pred,
        Node curr) {
Node node = head;
while (node.key <= pred.key) {
 if (node == pred)
  return pred.next == curr;
 node = node.next;
return false;
```

```
private boolean
validate(Node pred,
        Node curr) {
Node node = kead;
while (node.key <= pred.key) {
 if (node == pred)
  return pred.next == curr;
 node / node.next;
return false;
   Predecessor &
   current nodes
```

```
private boolean
validate(Node pred,
        Node curr) {
Node node = head;
while (node.key <= pred.key)
 if (node == pred)
  return pred.next == cur
 node = node.next;
return false;
                                        Begin at the
                                           beginning
```

```
private boolean
validate(Node pred,
        Node curr) {
Node node = head.
while (node.key <= pred.key) {
 if (node == pred)
  return pred.next == curr;
 node = node next:
return false:
                            Search range of keys
```

```
private boolean
validate(Node pred,
        Node curr) {
Node node = head:
while (node.key <= pred.key) {
 if (node == pred)
  return pred.next
 node = node.next;
return false;
```



Predecessor reachable

```
private boolean
validate(Node pred,
        Node curry) {
Node node = head:
while (node.key <= pred.key) {
 if (node == pred)
  return pred.next == curr;
return false:
                          Is current node next?
```

## Validation

```
private boolean
                             Otherwise move on
validate(Node pred,
        Node curr) {
Node node = head:
while (node.key <= pred.key)
 if (node == pred)
  return pred.next == curr;
 node = node.next;
return false;
```

#### Validation

```
Predecessor not reachable
private boolean
validate(Node pred,
        Node curr) {
Node node = head:
while (node.key <= pred.key
 if (node == pred)
  return pred.next
 node = node.nex
return false;
```

```
public boolean add(T item) {
  int key = item.hashCode();
  while (true) {
    Node pred = this.head;
    Node curr = pred.next;
    while (curr.key < key) {</pre>
      pred = curr; curr = curr.next;
    pred.lock(); curr.lock();
    try {
      if (validate(pred, curr)) {
        if (curr.key == key) {
          return false;
        } else {
          Node node = new Entry(item);
          entry.next = curr;
          pred.next = node;
          return true;
    } finally {
      pred.unlock(); curr.unlock();
```

#### Optimistic Synchronization

```
public boolean remove(T item) {
   int key = item.hashCode();
   while (true) {
     Node pred = this.head;
     Node curr = pred.next;
     while (curr.key < key) {</pre>
       pred = curr; curr = curr.next;
     pred.lock(); curr.lock();
     try {
       if (validate(pred, curr)) {
         if (curr.key == key) {
           pred.next = curr.next;
           return true;
         } else {
           return false;
     } finally {
       pred.unlock(); curr.unlock();
```

```
public boolean contains(T item) {
   int key = item.hashCode();
   while (true) {
     Node pred = this.head;
     Node curr = pred.next;
     while (curr.key < key) {</pre>
       pred = curr; curr = curr.next;
     try {
       pred.lock(); curr.lock();
       if (validate(pred, curr)) {
         return (curr.key == key);
     } finally {
       pred.unlock(); curr.unlock();
```

```
private boolean validate(Node pred, Node
  curr) {
  Node node = head;
  while (node.key <= pred.key) {
    if (node == pred)
      return pred.next == curr;
    Node = node.next;
  }
  return false;
}</pre>
```

# Optimistic List

- Limited hot-spots
  - Targets of add(), remove(), contains()
  - No contention on traversals
- Moreover
  - Traversals are wait-free
  - Food for thought ...

## So Far, So Good

- Much less lock acquisition/release
  - Performance
  - Concurrency
- · Problems
  - Need to traverse list twice
  - contains() method acquires locks

## Evaluation

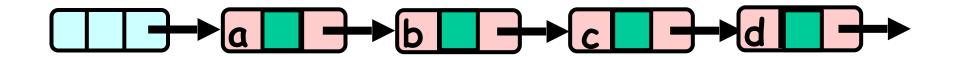
- · Optimistic is effective if
  - cost of scanning twice without locks is less than
  - cost of scanning once with locks
- Drawback
  - contains() acquires locks
  - 90% of calls in many apps

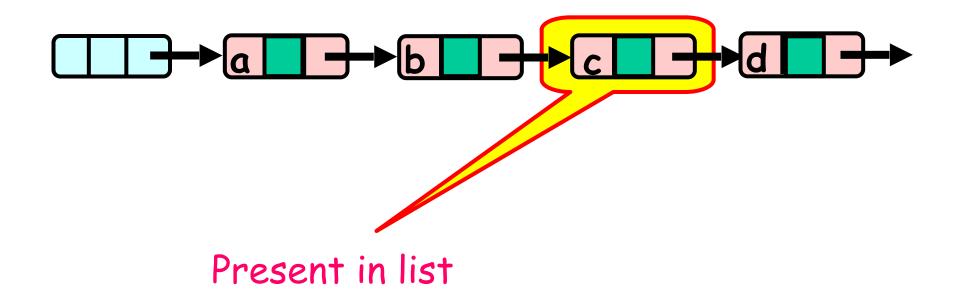
# Lazy List

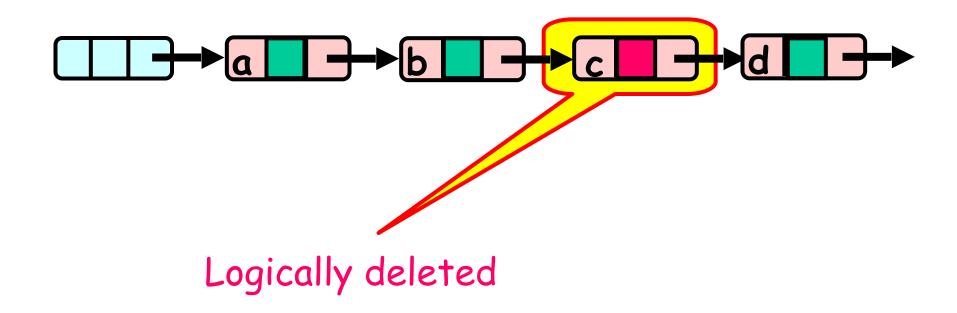
- · Like optimistic, except
  - Scan once
  - contains(x) never locks ...
- Key insight
  - Removing nodes causes trouble
  - Do it "lazily"

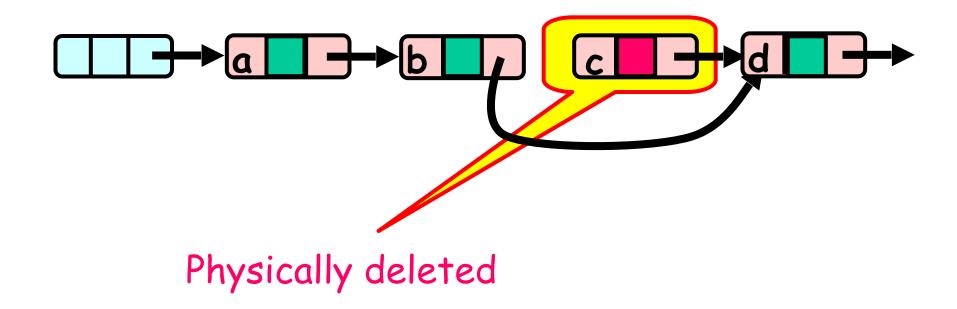
# Lazy List

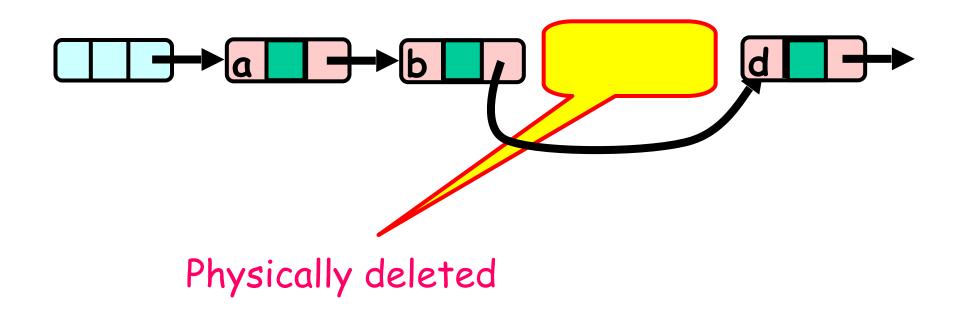
- remove()
  - Scans list (as before)
  - Locks predecessor & current (as before)
- · Logical delete
  - Marks current node as removed (new!)
- · Physical delete
  - Redirects predecessor's next (as before)









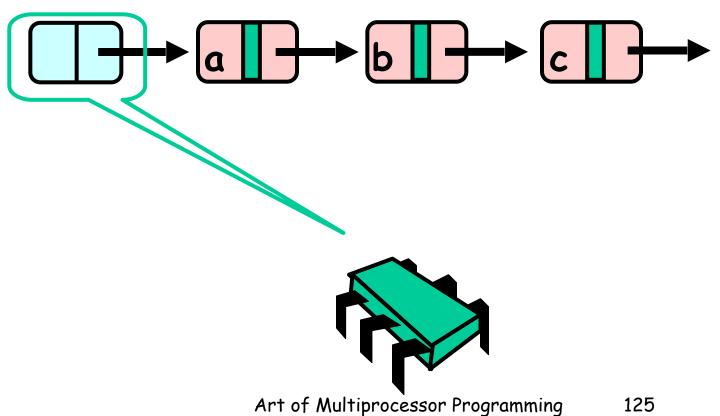


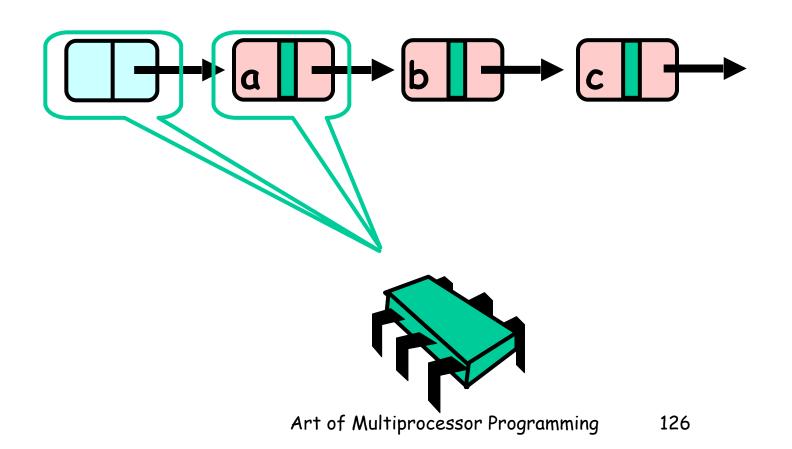
# Lazy List

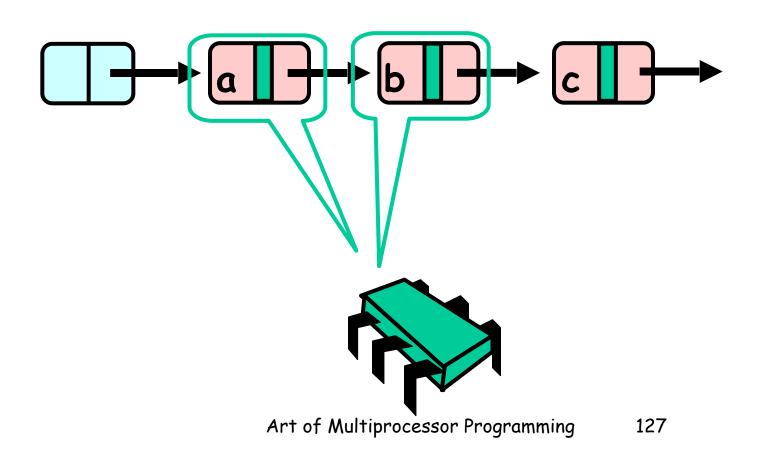
- All Methods
  - Scan through locked and marked nodes
  - Removing a node doesn't slow down other method calls ...
- Must still lock pred and curr nodes.

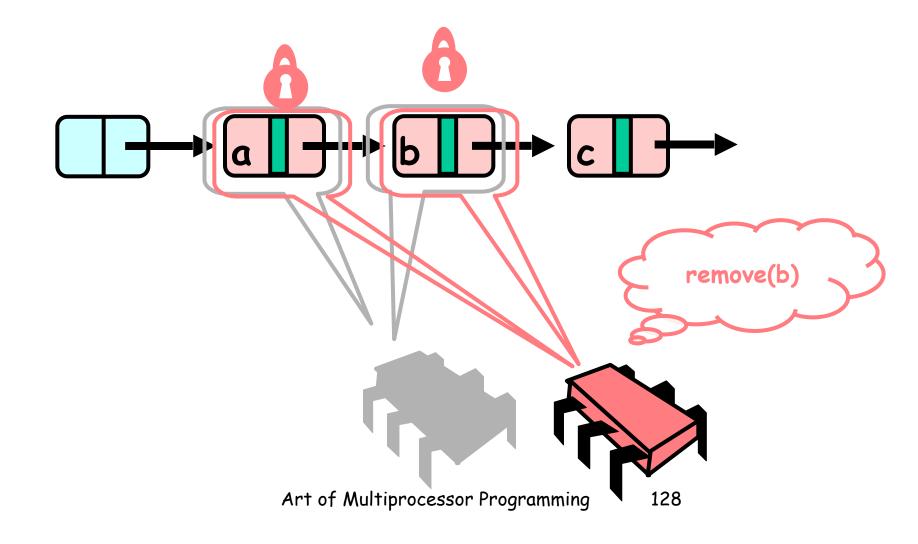
#### Validation

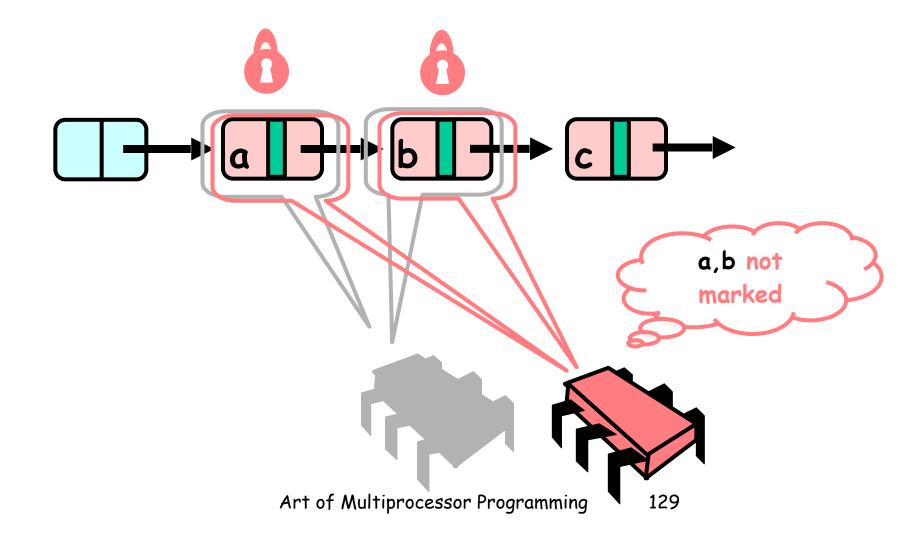
- No need to rescan list!
- Check that pred is not marked
- Check that curr is not marked
- · Check that pred points to curr

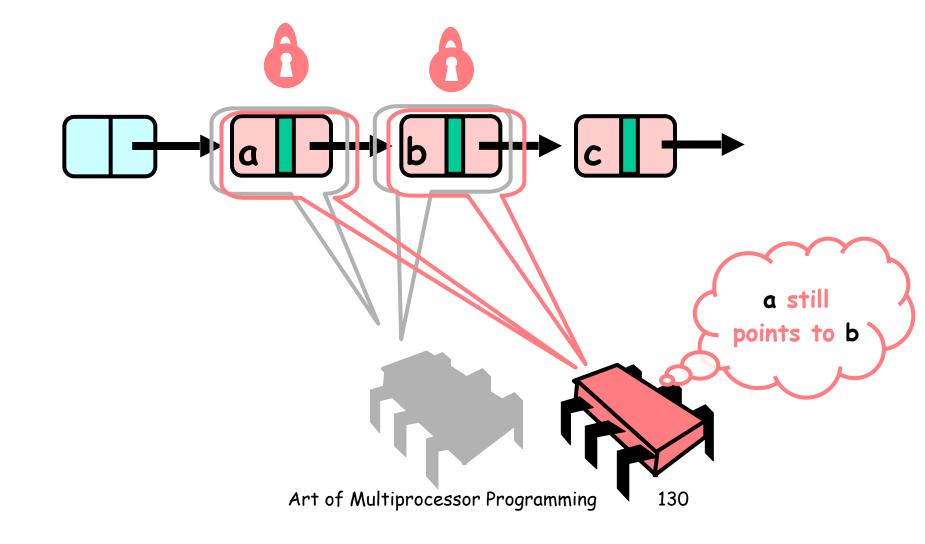


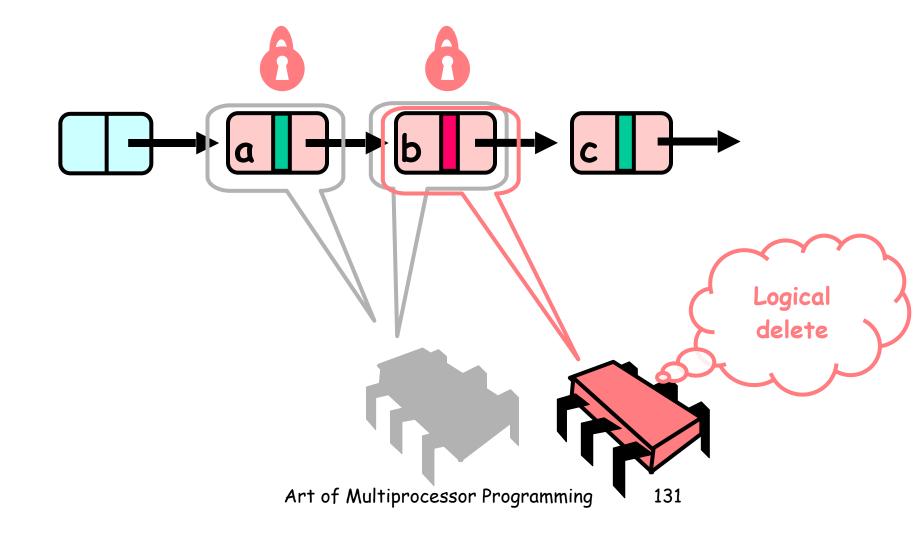


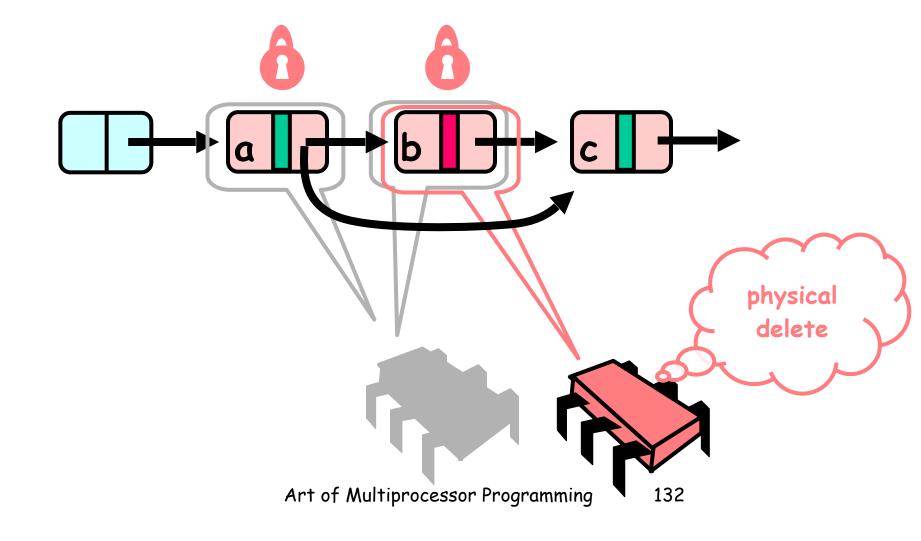


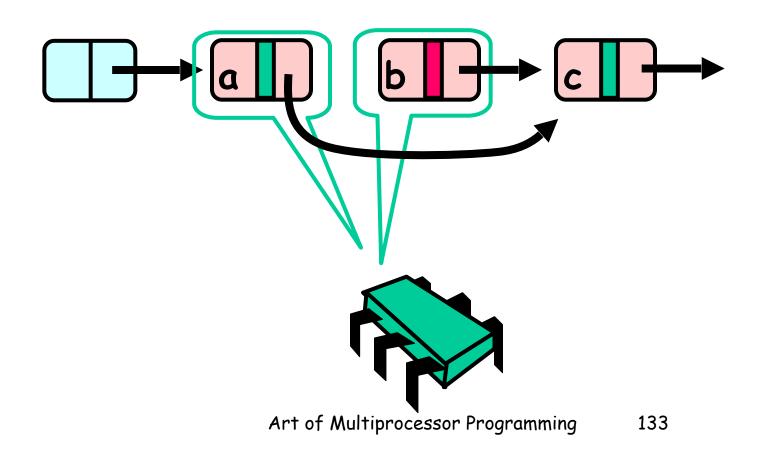












#### Invariant

- If not marked then item in the set
- and reachable from head
- and if not yet traversed it is reachable from pred

## Validation

```
private boolean
  validate(Node pred, Node curr) {
  return
  !pred.marked &&
  !curr.marked &&
  pred.next == curr);
  }
```

#### List Validate Method

```
private boolean
 validate(Node pred, Node curr) {
 !pred.marked &&
 pred.next == curr);
                         Predecessor not
                        Logically removed
```

#### List Validate Method

```
private boolean
 validate(Node pred, Node curr) {
return
 Ipred marked &&
 !curr.marked &&
 pred next == curr)
                                  Current not
                               Logically removed
```

#### List Validate Method

```
private boolean
 validate(Node pred, Node curr) {
return
 !pred.marked &&
 !curr.marked &&
 pred.next == curr);
           Predecessor still
          Points to current
```

```
public boolean contains(Item item) {
  int key = item.hashCode();
  Node curr = this.head;
  while (curr.key < key) {
    curr = curr.next;
  }
  return curr.key == key && !curr.marked;
}</pre>
```

```
public boolean contains(Item item) {
  int key = item.hashCode();

Node curr = this.head;
  while (curr.key < key) {
    curr = curr.next;
  }
  return curr.key == key &&!curr.marked;
}</pre>
```

#### Start at the head

```
public boolean contains(Item item) {
 int key = item.hashCode();
 Node curr = this.head;
 while (curr.key < key) {
   curr = curr.next;
 return curr.key == key &&
                             !curr. marked;
```

#### Search key range

```
public boolean contains(Item item) {
  int key = item.hashCode();
  Node curr = this.head;
  while (curr.key < key) {
     curr = curr.next;
  }
  return curr.key == key && !curr.marked;
}</pre>
```

# Traverse without locking (nodes may have been removed)

```
public boolean contains(Item item) {
  int key = item.hashCode();
  Node curr = this.head;
  while (curr.key < key) {
    curr = curr.next;
  }
  return curr.key == key && !curr.marked;
}</pre>
```

#### Present and undeleted?

```
public boolean add(T item) {
   int key = item.hashCode();
   while (true) {
     Node pred = this.head;
     Node curr = head.next;
     while (curr.key < key) {</pre>
       pred = curr; curr = curr.next;
     pred.lock();
     try {
       curr.lock();
       try {
         if (validate(pred, curr)) {
           if (curr.key == key) {
             return false;
           } else {
             Node Node = new Node(item);
             Node.next = curr;
             pred.next = Node;
             return true;
       } finally { // always unlock
         curr.unlock();
     } finally { // always unlock
       pred.unlock();
```

#### Lazy Synchronization

```
public boolean remove(T item) {
   int key = item.hashCode();
   while (true) {
     Node pred = this.head;
     Node curr = head.next;
     while (curr.key < key) {</pre>
       pred = curr; curr = curr.next;
     pred.lock();
     try {
       curr.lock();
       try {
         if (validate(pred, curr)) {
           if (curr.key != key) {
             return false;
           } else {
             curr.marked = true;
             pred.next = curr.next;
             return true;
       } finally {
         curr.unlock();
     } finally {
       pred.unlock();
```

```
public boolean contains(T item) {
  int key = item.hashCode();
  Node curr = this.head;
  while (curr.key < key)
    curr = curr.next;
  return curr.key == key && !curr.marked;
}</pre>
```

```
private boolean validate(Node pred, Node
  curr) {
  return !pred.marked && !curr.marked &&
  pred.next == curr;
}
```

## Evaluation

#### · Good:

- contains() doesn't lock
- Good because typically high % contains()
- Uncontended calls don't re-traverse

#### Bad

- Contended add() and remove() calls do retraverse
- Traffic jam if one thread delays

## Traffic Jam

- Any concurrent data structure based on mutual exclusion has a weakness
- If one thread
  - Enters critical section
  - And "eats the big muffin"
    - Cache miss, page fault, descheduled ...
  - Everyone else using that lock is stuck!
  - Need to trust the scheduler ....

#### Reminder: Lock-Free Data Structures

- No matter what ...
  - Guarantees minimal progress in any execution
  - i.e. Some thread will always complete a method call, even if others halt at malicious times
  - Implies that implementation can't use locks