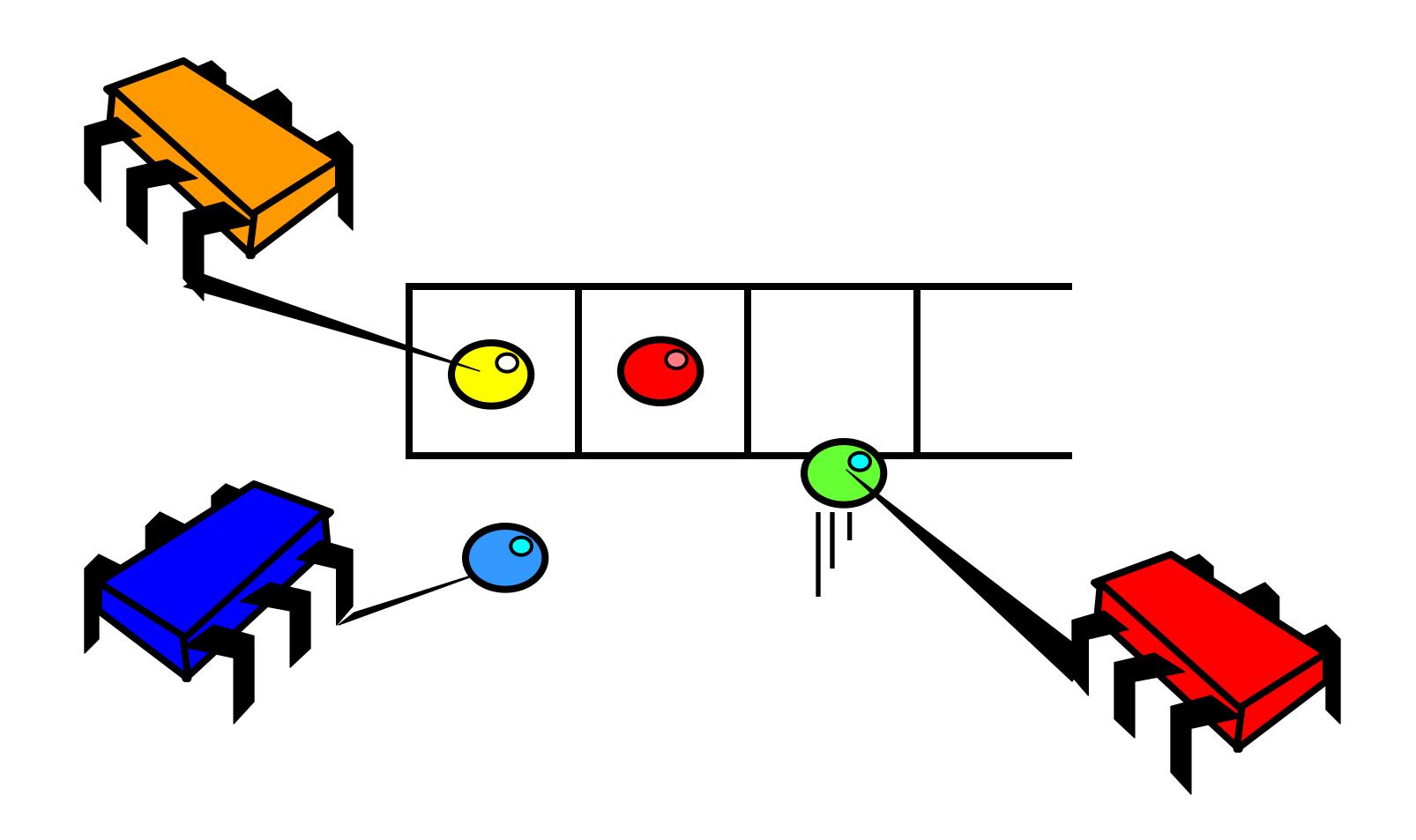
YSC3248: Parallel, Concurrent and Distributed Programming

Concurrent Consensus and Read-Modify Write Operations

Recap: Atomic Registers Can't Do Consensus

- If protocol exists
 - It has a bivalent initial state
 - Leading to a critical state
- What's up with the critical state?
 - Case analysis for each pair of methods
 - As we showed, all lead to a contradiction

What Does Consensus have to do with Concurrent Objects?



Consensus Object

```
trait Consensus[T] {
  def decide(value: T): T
}
```

Concurrent Consensus Object

- We consider only one time objects:
 - each thread calls method only once
- Linearizable to sequential consensus object:
 - Winner's call went first

Scala Jargon Watch

- Define Consensus protocol as an abstract class
- We implement some methods
- You do the rest ...

```
abstract class ConsensusProtocol[T] extends Consensus[T] {
 private val THREADS NUM = 2019
 var proposed = new Array[T] (THREADS NUM)
 protected def propose(value: T): Unit = {
   val i = ThreadID.get
   proposed(i) = value
 def decide (value: T): T
```

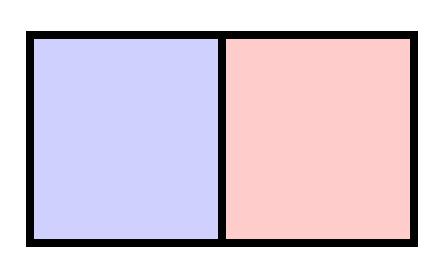
```
abstract class ConsensusProtocol[T] extends Consensus[T] {
  private val THREADS NUM = 2019
 var proposed = new Array[T] (THREADS NUM)
 protected def propose (value:
    val i = ThreadID.get
    proposed(i) = value
                              Each thread's
 def decide (value: T): T
                             proposed value
```

```
abstract class ConsensusProtocol[T] extends Consensus[T] {
 private val THREADS NUM = 2019
 var proposed = new Array[T] (THREADS NUM)
 protected def propose(value: T): Unit = {
   val i = ThreadID.get
   proposed(i) = value
 def decid
            Propose a value
```

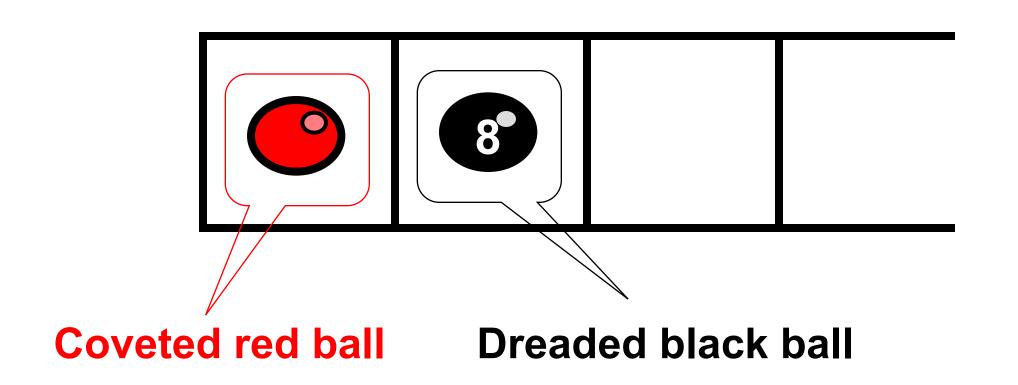
```
abstract class ConsensusProtocol[T] extends Consensus[T] {
  private val THREADS NUM = 2019
  772× nronocod - nous 7rross
    Decide a value: abstract method
  means subclass does the real work Lt - {
    val i = ThreadID.get
  def decide (value: T): T
```

Can a FIFO Queue Implement Consensus?

FIFO Consensus

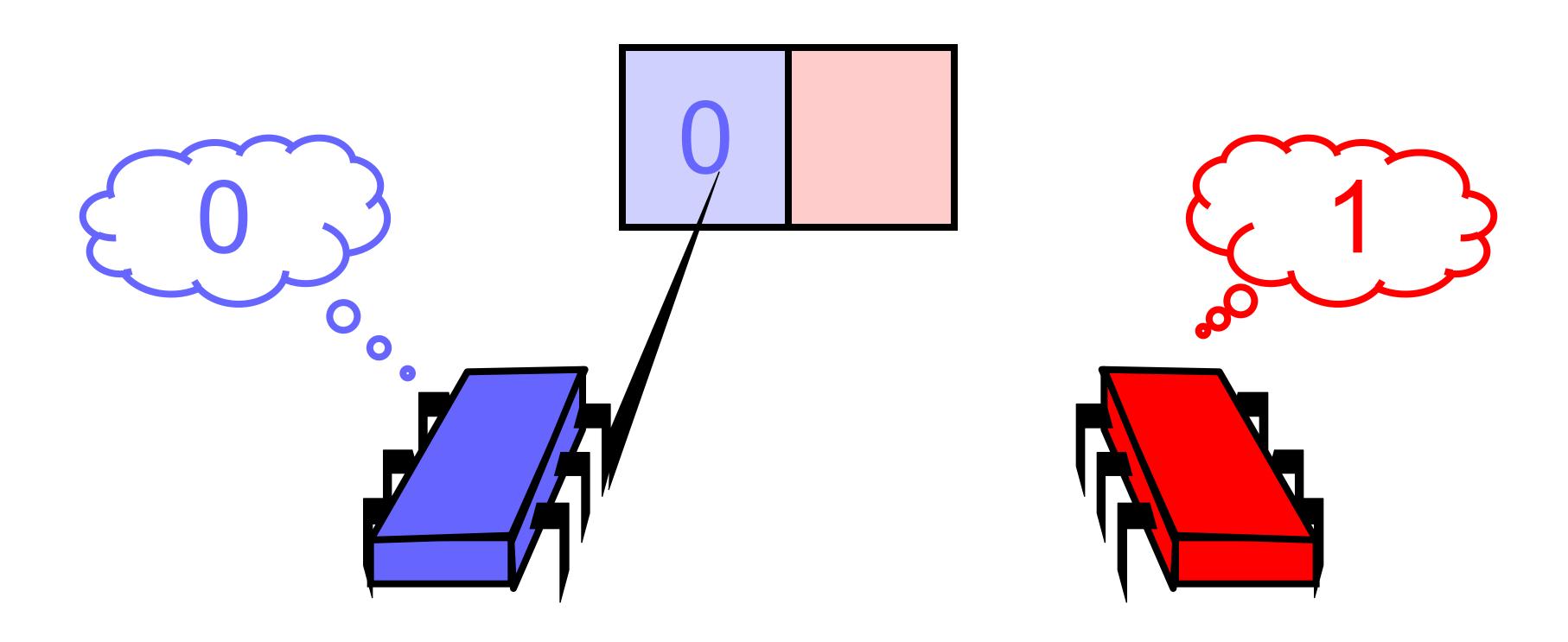


proposed array

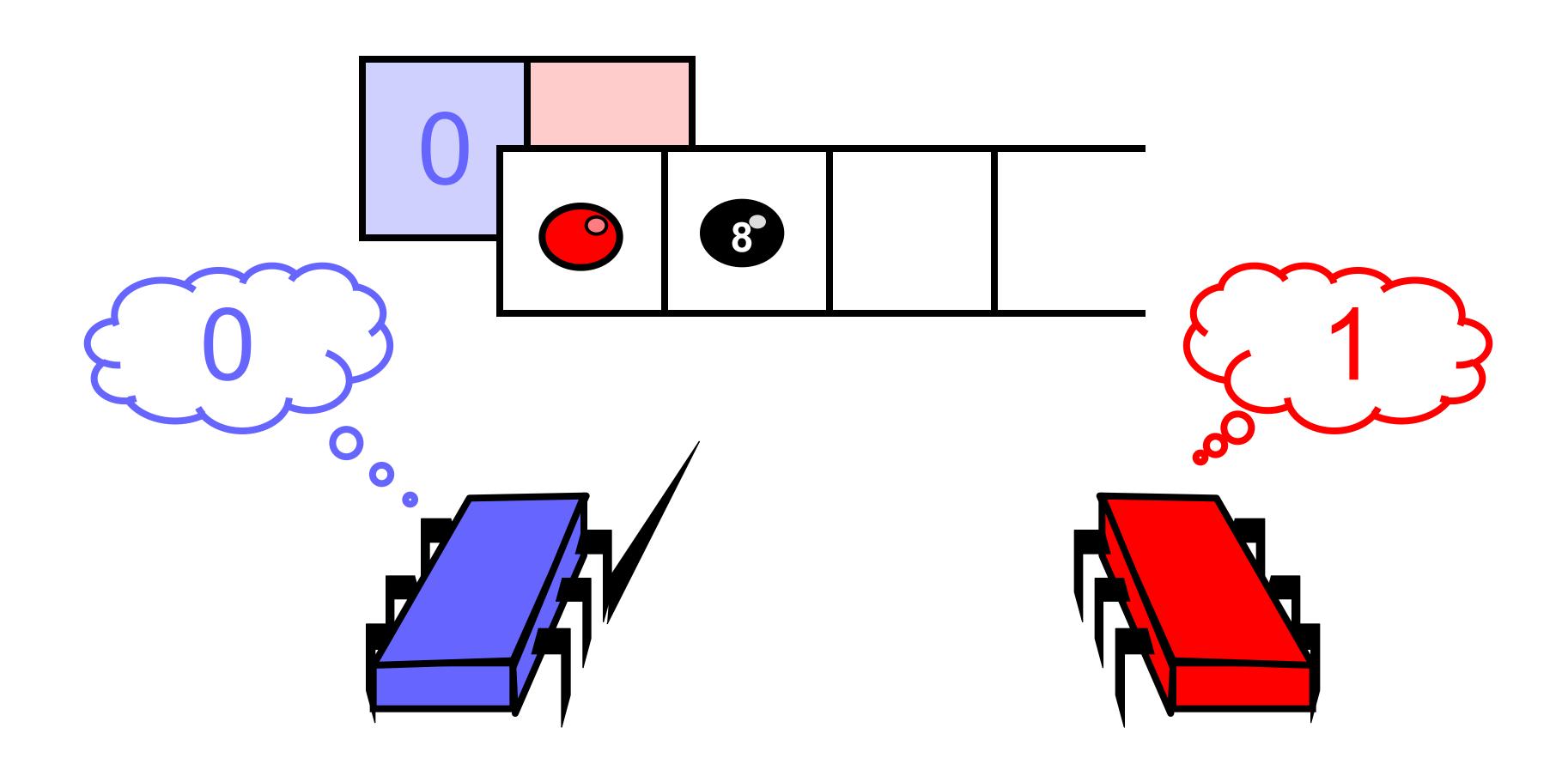


FIFO Queue with red and black balls

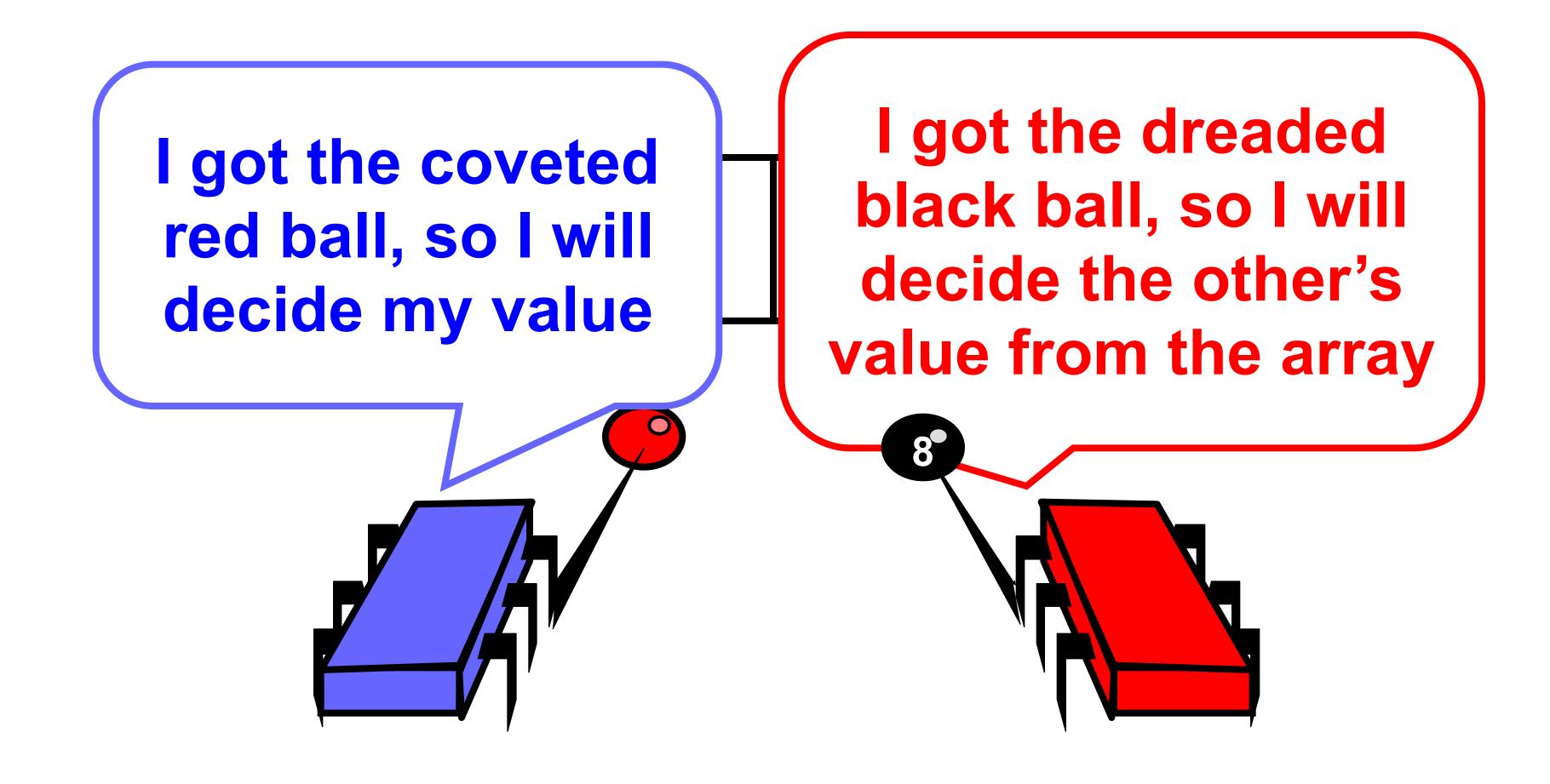
Protocol: Write Value to Array



Protocol: Take Next Item from Queue



Protocol: Take Next Item from Queue

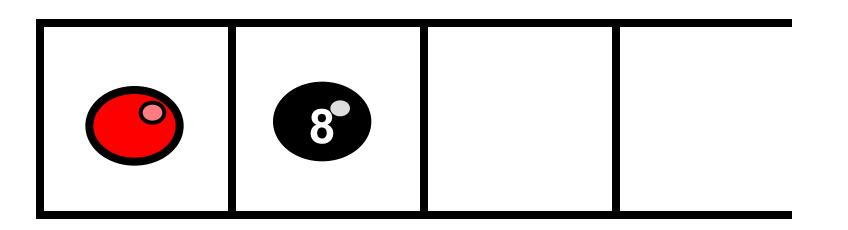


Consensus Using FIFO Queue

```
public class QueueConsensus[T]
  extends ConsensusProtocol[T] {
  val queue : Queue = new Queue()
   queue.enq(Ball.RED)
  queue.enq(Ball.BLACK)
...
}
```

Initialize Queue

```
public class QueueConsensus[T]
  extends ConsensusProtocol[T] {
  val queue : Queue = new Queue()
  queue.enq(Ball.RED)
  queue.enq(Ball.BLACK)
...
}
```



```
public class QueueConsensus[T]
  extends ConsensusProtocol[T] {
  val queue : Queue = new Queue()
  override def decide(value: T) = {
    propose (value)
    val ball = queue.deq()
    val i = ThreadID.get
    if (ball == Ball.RED) {
      proposed(i).get()
    } else {
      proposed(1 - i).get()
```

```
public class QueueConsensus[T]
  extends ConsensusProtocol[T] {
 val queue : Queue = new Queue()
  override def decide (value: T) = {
    propose (value)
    val ball = queue.deq()
    val I = Inreadil.get
    if (ball == Ball.R
      proposed(i).get()
    } else {
      proposed(1 - i).get()Race to dequeue first
                                queue item
```

```
public class QueueConsensus[T]
  extends ConsensusProtocol[T] {
 val queue : Queue = new Queue()
  override def decide (value: T) = {
    propose (value)
    val ball = queue.deq()
    val i = ThreadID.get
    if (ball == Ball.RED) {
      proposed(i).get()
                        I win if I was first
```

```
public class QueueConsensus[T]
  extends ConsensusProtocol[T] {
 val queue : Queue = new Queue()
  override def decide (value: T) = {
    propose (value)
   val ball = queue.deq(Other thread wins if
    val i = ThreadID.get
                              was second
    if (ball == Ball.RED)
      proposed(i).get
     else
      proposed(1 - i).get()
```

Why does this Work?

- If one thread gets the red ball
- Then the other gets the black ball
- Winner decides her own value
- Loser can find winner's value in array
 - Because threads write array
 - Before dequeueing from queue

Theorem

- We can solve 2-thread consensus using only
 - A two-dequeuer queue, and
 - Some atomic registers

Implications

- Given
 - A consensus protocol from queue and registers
- Assume there exists
 - A queue implementation from atomic registers
- Substitution yields:
 - contradiction - A wait-free consensus protocol from atomic registers

Corollary

- It is impossible to implement
 - a two-dequeuer wait-free FIFO queue
 - from read/write memory.

Consensus Numbers

- An object X has consensus number n
 - If it can be used to solve n-thread consensus
 - Take any number of instances of X
 - together with atomic read/write registers
 - and implement *n*-thread consensus
 - But not (n+1)-thread consensus

Consensus Numbers

- Theorem
 - Atomic read/write registers have consensus number 1
- Theorem
 - Multi-dequeuer FIFO queues have consensus number at least 2

Consensus Numbers Measure Synchronization Power

Theorem

- If you can implement X from Y
- And X has consensus number c
- Then Y has consensus number at least c

Synchronization Speed Limit

- Conversely
 - If X has consensus number c
 - And Y has consensus number d < c</p>
 - Then there is no way to construct a wait-free implementation of X by Y
- This theorem will be very useful
 - Unforeseen practical implications!

Earlier Grand Challenge

- Snapshot means
 - Write any array element
 - Read multiple array elements atomically
- What about
 - Write multiple array elements atomically
 - Scan any array elements
- Call this problem multiple assignment

Multiple Assignment Theorem

- Atomic registers cannot implement multiple assignment
- Weird or what?
 - Single write/multi read OK
 - Multi write/multi read impossible

Proof Strategy

- If we can write to 2/3 array elements
 - We can solve 2-consensus
 - Impossible with atomic registers
- Therefore
 - Cannot implement multiple assignment with atomic registers

Proof Strategy

- Take a 3-element array
 - A writes atomically to slots 0 and 1
 - B writes atomically to slots 1 and 2
 - Any thread can scan any set of locations

Double Assignment Interface

```
class Assign23[T](val init: T) {
 val r: Array[AtomicReference[T]] =
         Array.fill(3) (new AtomicReference (init))
 def assign(v0: T, v1: T, i0: Int, i1: Int): Unit =
    this.synchronized {
      r(i0).set(v0)
      r(i1).set(v1)
 def read(i: Int): T = this.synchronized {
    r(i).get()
```

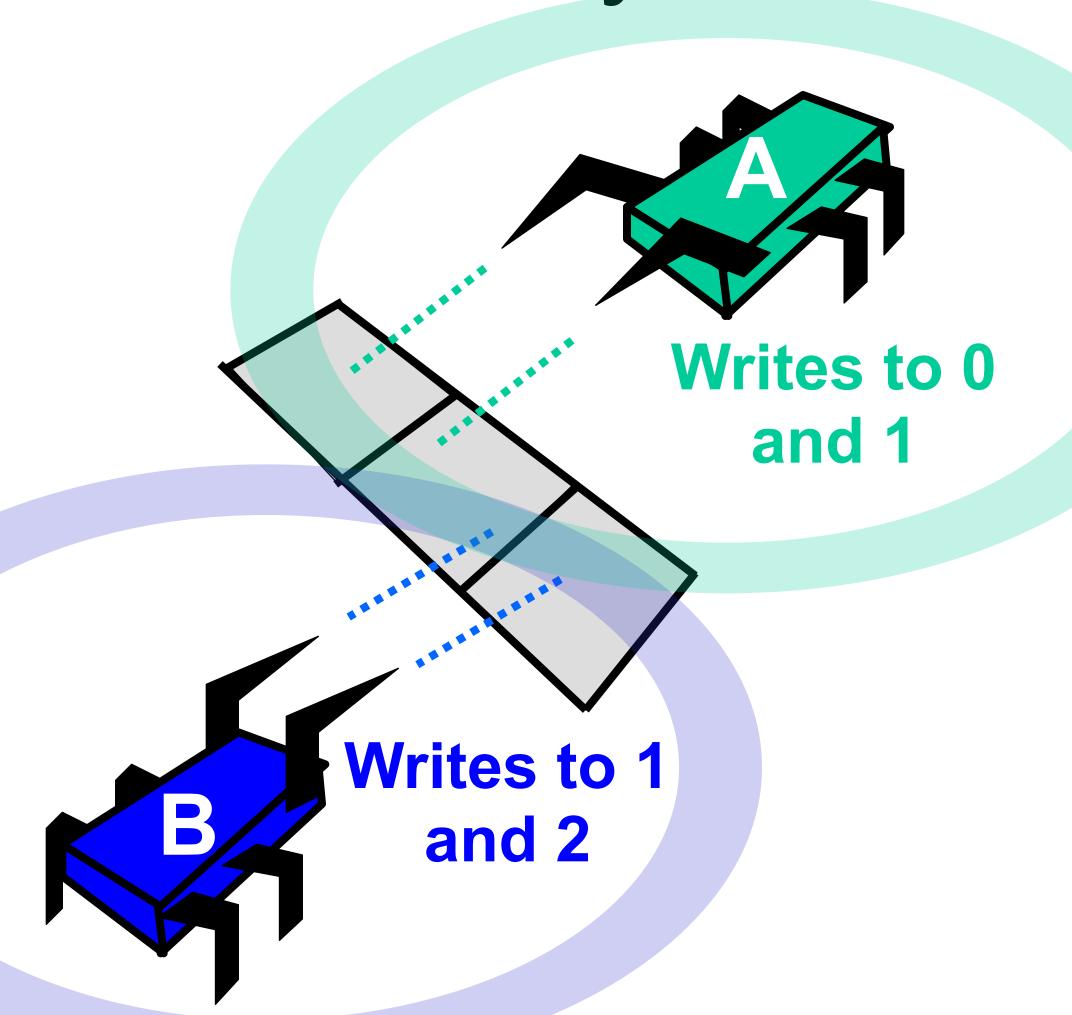
Double Assignment Interface

```
class Assign23[T] (val init: T) {
  val r: Array[AtomicReference[T]] =
          Array.fill(3) (new AtomicReference (init))
  def assign(v0: T, v1: T, i0: Int, i1: Int): Unit =
    this.synchronized {
                                             Atomically assign
      r(i0).set(v0)
r(i1).set(v1)
                                                \mathbf{r}(\mathbf{i}_0) = \mathbf{v}_0
                                                r(i_1) = v_1
  def read(i: Int): T = this.synchronized {
    r(i).get()
```

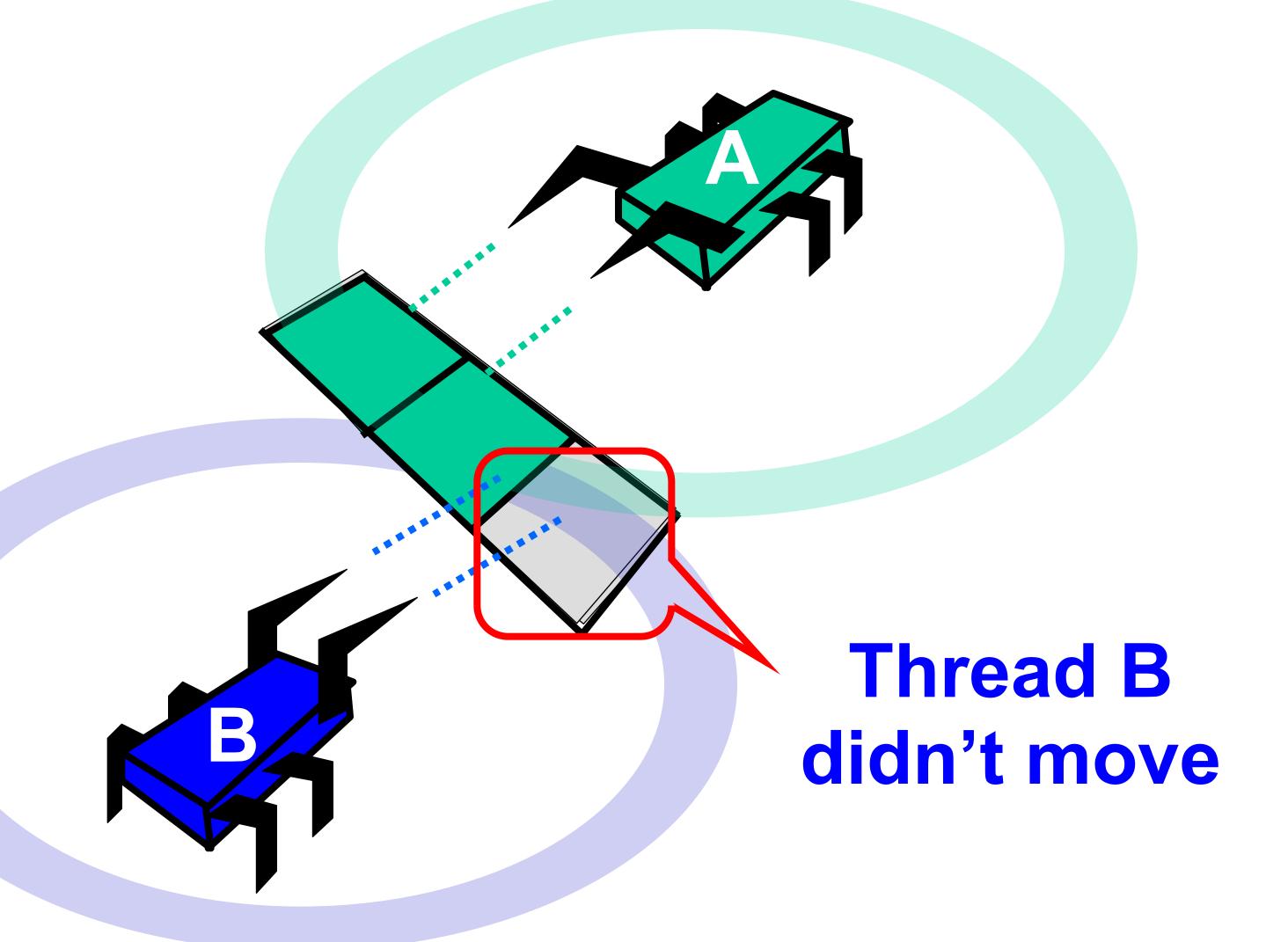
Double Assignment Interface

```
class Assign23[T] (val init: T) {
 val r: Array[AtomicReference[T]] =
         Array.fill(3) (new AtomicReference (init))
  def assign(v0: T, v1: T, i0: Int, i1: Int): Unit =
    this.synchronized {
      r(i0).set(v0)
      r(i1).set(v1)
  def read(i: Int): T = this.synchronized {
    r(i).get()
                            Return ith value
```

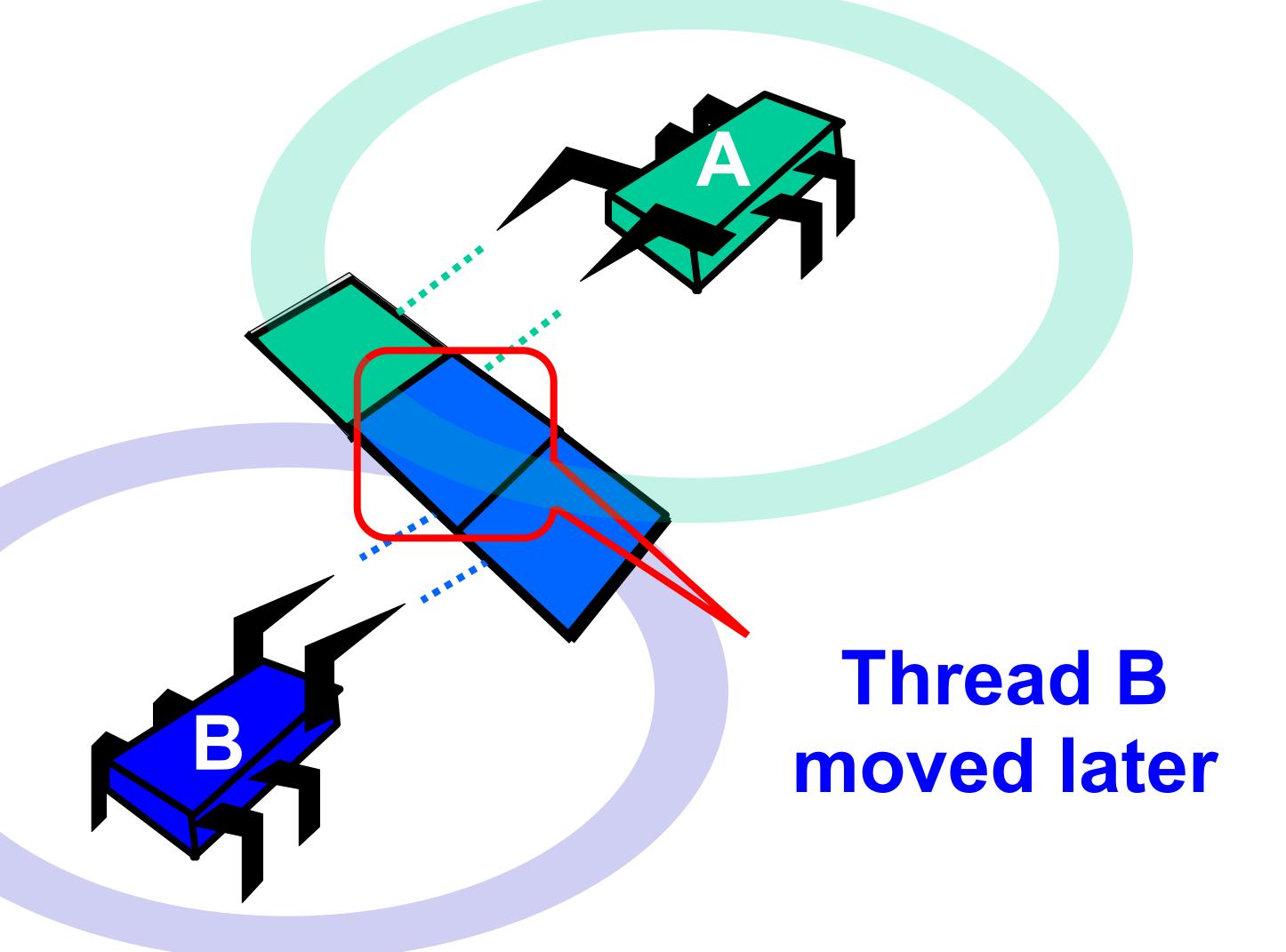
Initially



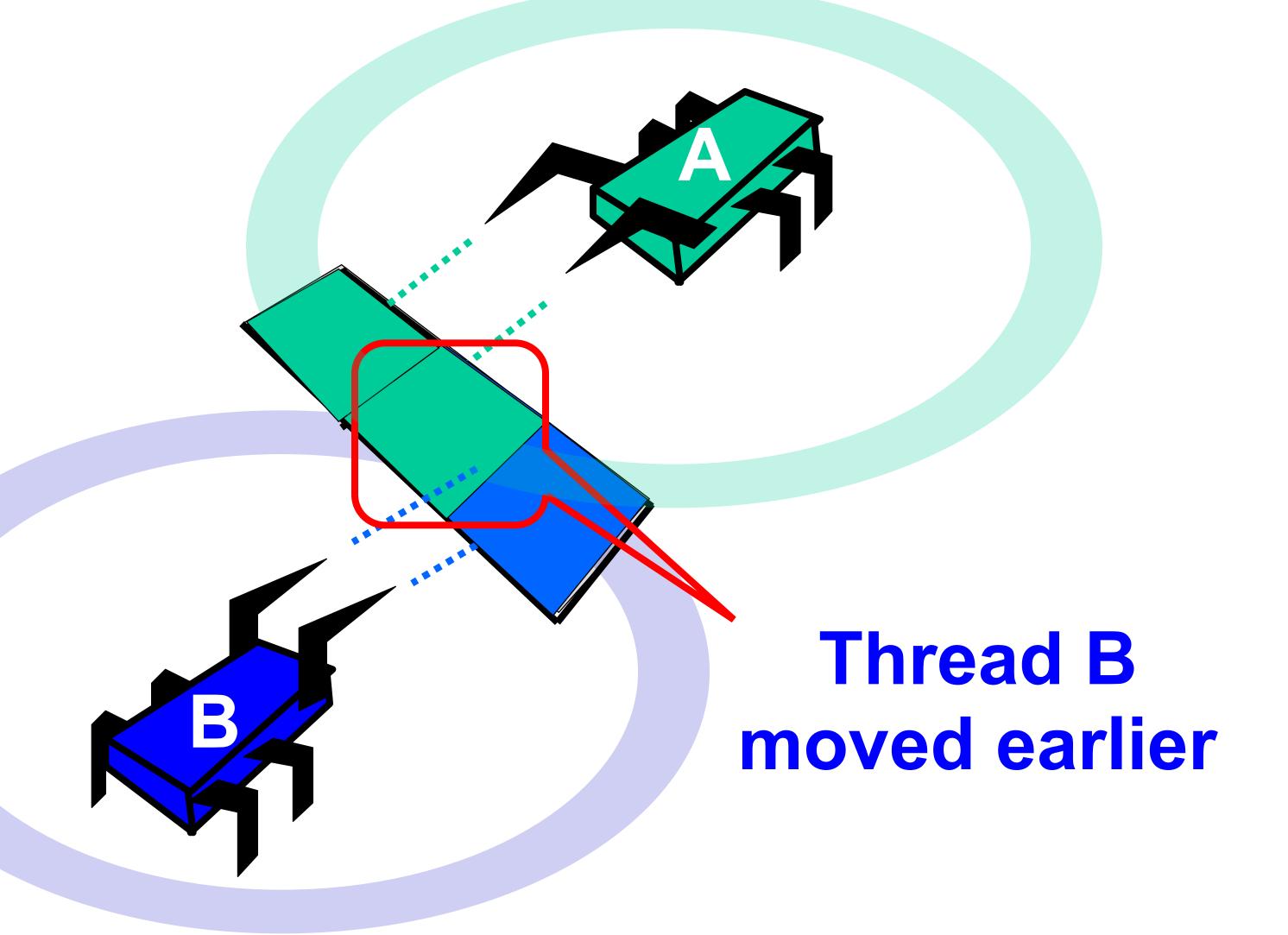
Thread A wins if



Thread A wins if



Thread A loses if



```
class MultiConsensus extends ... {
 private val NULL = -1
 private val assign23 = new Assign23 (NULL)
  override def decide(value: T) = {
    propose (value)
    val i = ThreadID.get
    assign23.assign(i, i, i, i + 1)
    val other = assign23.read((i + 2) % 3)
    if (other == NULL | | other == assign23.read(1)) {
      proposed(i).get() // I win
    } else {
      proposed(1 - i).get() // I lose
```

```
class MultiConsensus extends ... {
 private val NULL = -1
 private val assign23 = new Assign23 (NULL)
  override def decide(value: T) = {
   propose (value)
   val i = ThreadID.get
    assign23.assign(i, i, i, i + 1)
   val other = assign23.read((i + 2) % 3)
    if (other == NULL | | other == assign23.read(1)) {
     proposed(i).get() // I win
    } else {
     proposed(1 - i).get() // I lose
            Extends ConsensusProtocol
       "decide" sets 1-i and proposes value
```

```
class MultiConsensus extends ... {
  private val NULL = -1
 private val assign23 = new Assign23 (NULL)
  override def decide (value:
    propose (value)
   val i = ThreadID.get
    assign23.assign(i, i, i, i + 1)
   val other = assign23.read((i + 2)
    if (other == NULL || other == assign23.read(1)) {
      proposed(i).get() // I win
                                          Three slots
     else {
                                          initialized to
      proposed(1 - i).get() // I lose
                                             NULL
```

```
class MultiConsensus extends ... {
 private val NULL = -1
 private val assign23 = new Assign23 (NULL)
  override def decide (value: T) = {
    propose (value)
    val i = ThreadID.get
    assign23.assign(i, i, i, i + 1)
    val other = assign23.read((i + 2) % 3)
    if (other == NULL | | other == assign23.read(1)) {
      proposed(i).get()
      else {
      proposed(1 - i).get() // I lose
                                  Assign ID 0 to entries 0,1
                                    (or ID 1 to entries 1,2)
```

```
class MultiConsensus extends ... {
 private val NULL = -1
 private val assign23 = new Assign23 (NULL)
  override def decide (value: T) = {
    propose (value)
    val i = ThreadID.get
    assign23.assign(i, i, i,
   val other = assign23.read((i + 2) % 3)
    if (other == NULL || other == assign23.read(1)) {
      proposed(i).get()
      else {
      proposed(1 - i).get() // I lose
                                    Read the register my
                                    thread didn't assign
```

```
class MultiConsensus extends ... {
 private val NULL = -1
 private val assign23 = new Assign2.
  override def decide (value: T)
    propose (value)
    val i = ThreadID.get
    assign23.assign(i, i, i, i + 1)
    val_{other} = assign 23. read((i + 2) % 3)
       (other == NULL | | other == assign23.read(1)) 
      proposed(i).get() // I win
      else {
      proposed(1
                 - 1. .get() // I lose
               Other thread didn't
                 move, so I win
```

```
class MultiConsensus extends ... {
 private val MULL
 private val as:
                      3 = new Assign23 (NULL)
                 de(value: T) = {
  override def.
    propose (
             areadID.get
    assign23.assign(i, i, i, i, i + 1)
    val other = assign23.read((i + 2)
    if (other == NULL | \cdot | other == assign23.read(1)
      proposed(i).get()
      else {
                                      Other thread moved
      proposed(1 - i).get() // I lose
                                         later so I win
```

```
class MultiConsensus extends ... {
 private val NULL = -1
 private val assign23 = new Assign23 (NULL)
 override def decide (value: T) = {
    propose (value)
   val i = ThreadID.get
    assign23.assign(i, i, i, i + 1)
    val other = assign23.read((i + 2) % 3)
    if (other == NULL | other == assign23.read(1)) {
     proposed(i).get() // I win
      proposed(1 - i).
                        OK, I win.
```

```
class MultiConsensus extends ... {
  private val NULL = -1
  private val assign23 = new Assign
  override def decide (value:
    propose (value)
    val i = ThreadID.get
    assign23.assign(i, i, i, i,
    val other = assign23.read((i + 2) % 3)
    if (other == NULL || other == assign23.read(1)) {
      proposed(i).get() // I win
      else
      proposed(1 - i).get() \rightarrow / I lose
                               Other thread moved
                                  first, so I lose
```

Summary

- If a thread can assign atomically to 2 out of 3 array locations
- Then we can solve 2-consensus
- Therefore
 - No wait-free multi-assignment
 - From read/write registers

Read-Modify-Write Objects

- Method call
 - Returns object's prior value x
 - Replaces x with mumble(x)

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
 def getAndMumble() = this.synchronized {
   val prior = value
   value = mumble(value)
   prior
```

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def getAndMumble() = this.synchronized {
   val prior = value
    value = mumble(value)
    prior
                      Return prior value
```

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def getAndMumble() = this.synchronized {
   val prior = value
   value = mumble(value)
    prior
            Apply function to current value
```

RMW Everywhere!

- Most synchronization instructions
 - are RMW methods
- The rest
 - Can be trivially transformed into RMW methods

Example: Read

```
class RMWRegister(private val init: Int) {
  private var value: Int = init

  def read: Int = this.synchronized {
    val prior = value
    value = value
    prior
  }
}
```

Example: Read

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def read: Int = this.synchronized {
   val prior = value
   value = value
    prior
                apply f(x)=x, the
                identity function
```

Example: getAndSet

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def getAndSet(v: Int): Int =
    this.synchronized {
      val prior = value
      value = v
      prior
```

Example: getAndSet (swap)

```
class RMWRegister(private val init: Int) {
  private var value: Int = init
  def getAndSet(v: Int): Int =
    this.synchronized {
      val prior = value
      value = v
              f(x)=v is constant
```

getAndIncrement

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def getAndIncrement: Int =
    this.synchronized {
      val prior = value
      value = value + 1
      prior
```

getAndIncrement

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def getAndIncrement: Int =
    this.synchronized {
     val prior = value
     value = value + 1
      prior
```

getAndAdd

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def getAndAdd(a: Int): Int =
    this.synchronized {
      val prior = value
      value = value + a
      prior
```

Example: getAndAdd

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def getAndAdd(a: Int): Int =
    this.synchronized {
      val prior = value
     value = value + a
      prior
```

```
class RMWRegister(private val init: Int) {
  private var value: Int = init
  def compareAndSet (expected: Int, update: Int) =
    this.synchronized {
      if (value == expected) {
        value = update
        true
      } else {
        false
```

```
class RMWRegister(private val init: Int) {
  private var value: Int = init
  def compareAndSet expected: Int,
                                   update: Int) =
    this.synchronize
         value == expected
        true
        else
        false
                 If value is as expected, ...
```

```
class RMWRegister(private val init: Int) {
  private var value: Int = init
                                    update:
                                             Int) =
  def compareAndSet (expected: Int,
    this.synchronized {
      if (value == expected) {
        value = update
        true
        else {
                             ... replace it
        false
```

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def compareAndSet (expected: Int, update: Int) =
    this.synchronized {
      if (value == expected) {
       value = update
        true
     Report success
```

```
class RMWRegister(private val init: Int) {
  private var value: Int = init
  def compareAndSet (expected: Int, update: Int) =
    this.synchronized {
      if (value == expected) {
        value = update
        true
        else
        false
                  Otherwise report failure
```

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def getAndMumble() = this.synchronized {
    val prior = value
    value = mumble(value)
    prior
           Lets characterize f(x)...
```

Definition

- A RMW method
 - With function mumble(x)
 - is non-trivial if there exists a value v
 - -Such that v ≠ mumble(v)

Par Example

- Identity(x) = x
 - is trivial
- getAndIncrement(x) = x+1
 - is non-trivial

Theorem

- Any non-trivial RMW object has consensus number at least 2
- No wait-free implementation of RMW registers from atomic registers
- Hardware RMW instructions not just a convenience

Reminder

- Subclasses of consensus have
 - -propose(x: T) method
 - which just stores x into proposed[i]
 - built-in method
 - -decide (value: T) method
 - which determines winning value
 - customized, class-specific method

```
class RMVConsensus(v: Int) extends ConsensusProtocol[Int] {
 val r: RMWRegister = new RMWRegister(v)
  override def decide(value: Int) = {
    propose (value)
    val i = ThreadID.get
    if (r.getAndMumble == v) {
      proposed(i).get()
    } else {
      proposed(1 - i).get()
```

```
class RMVConsensus(v: Int) extends ConsensusProtocol[Int] {
 val r: RMWRegister = new RMWRegister(v)
  override def decide(value: Int) =
    propose (value)
   val i = ThreadID.get
                                    Initialized to v
    if (r.getAndMumble == v) {
      proposed(i).get()
    } else {
      proposed(1 - i).get()
```

```
class RMVConsensus(v: Int) extends ConsensusProtocol[Int] {
 val r: RMWRegister = new RMWRegister(v)
  override def decide(value: Int) = {
    propose (value)
    val i = ThreadID.get
       (r.getAndMumble == v)
    } else {
      proposed(1 - i).get()
                                  Am I first?
```

```
class RMVConsensus(v: Int) extends ConsensusProtocol[Int] {
 val r: RMWRegister = new RMWRegister(v)
  override def decide (value: Int) = {
    propose (value)
    val i = ThreadID.get Yes, return my input
    if (r.getAndMumble == v)
      proposed(i).get()
      proposed(1 - i).get()
```

```
class RMVConsensus(v: Int) extends ConsensusProtocol[Int] {
 val r: RMWRegister = new RMWRegister(v)
  override def decide (value: Int) = {
    propose (value)
    val i = ThreadID.get
    if (r.getAndMumble == v)
                                 No, return other's input
      proposed(i).get()
     else ·
      proposed(1 - i).get()
```

- We have displayed
 - A two-thread consensus protocol
 - Using any non-trivial RMW object

Interfering RMW

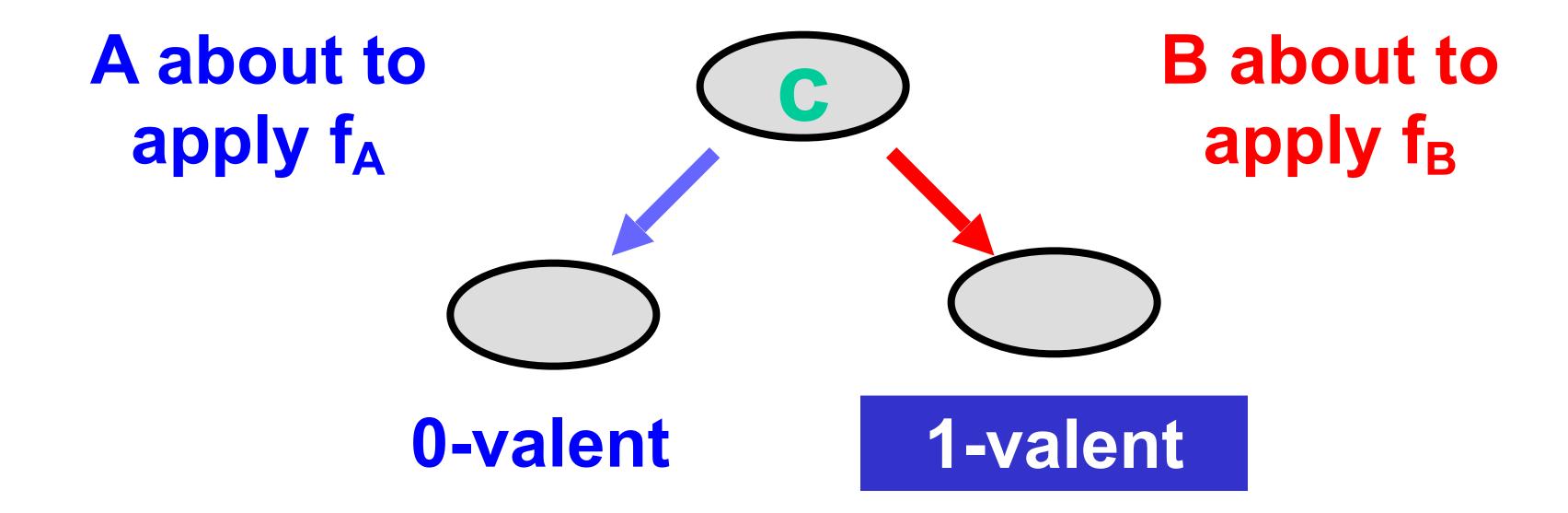
- Let F be a set of functions such that for all f_i and f_i either
 - Commute: $f_i(f_i(v))=f_i(f_i(v))$
 - Overwrite: $f_i(f_i(v))=f_i(v)$
- Claim: Any set of RMW objects that commutes or overwrites has consensus number exactly 2

Examples

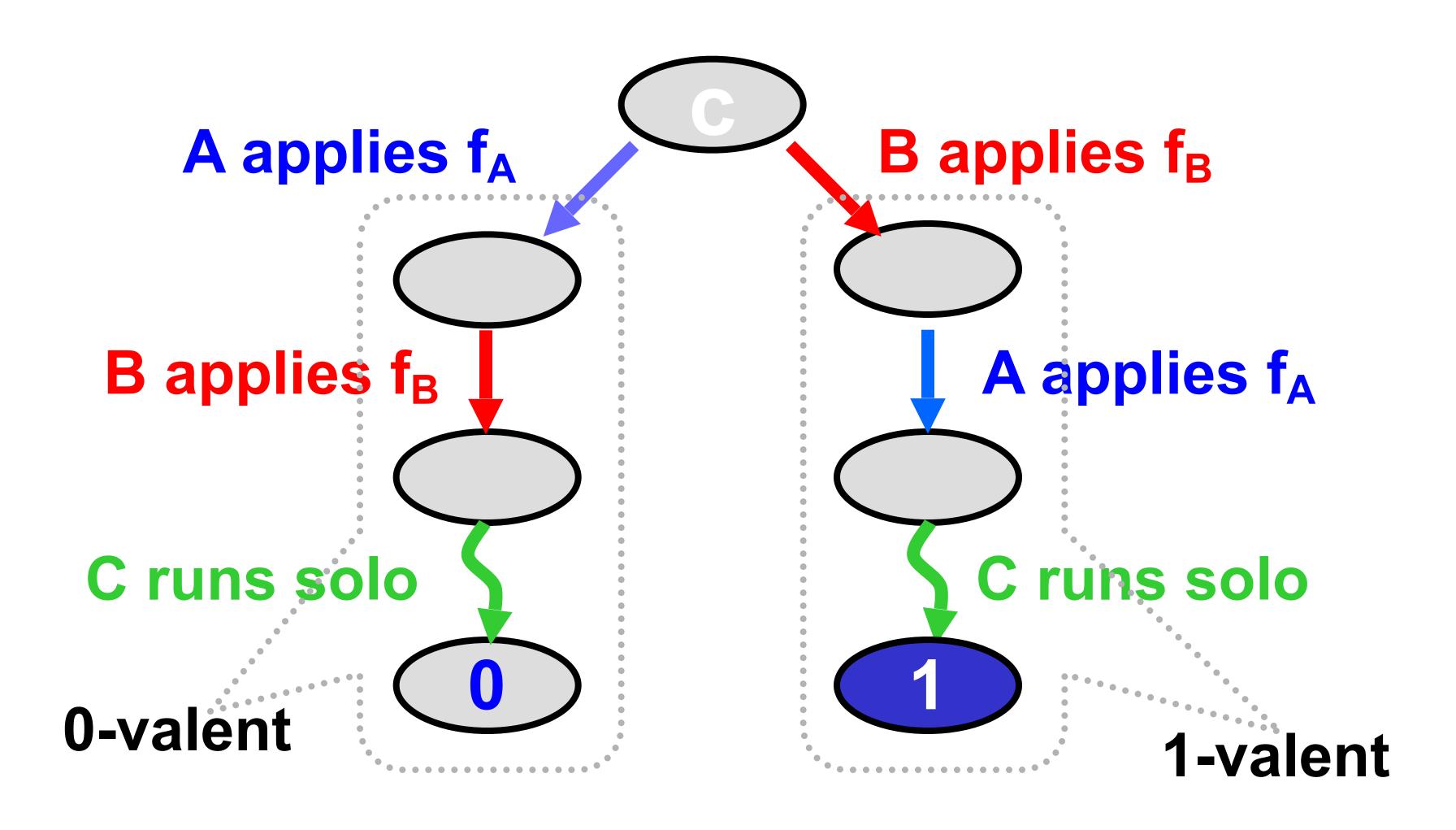
- "test-and-set" getAndSet(1) f(v)=1
 - Overwrite $f_i(f_i(v))=f_i(v)$
- "swap" getAndSet(x) f(v,x)=x
 - Overwrite $f_i(f_i(v))=f_i(v)$
- "fetch-and-inc" getAndIncrement() f(v)=v+1

Commute
$$f_i(f_j(v)) = f_j(f_i(v))$$

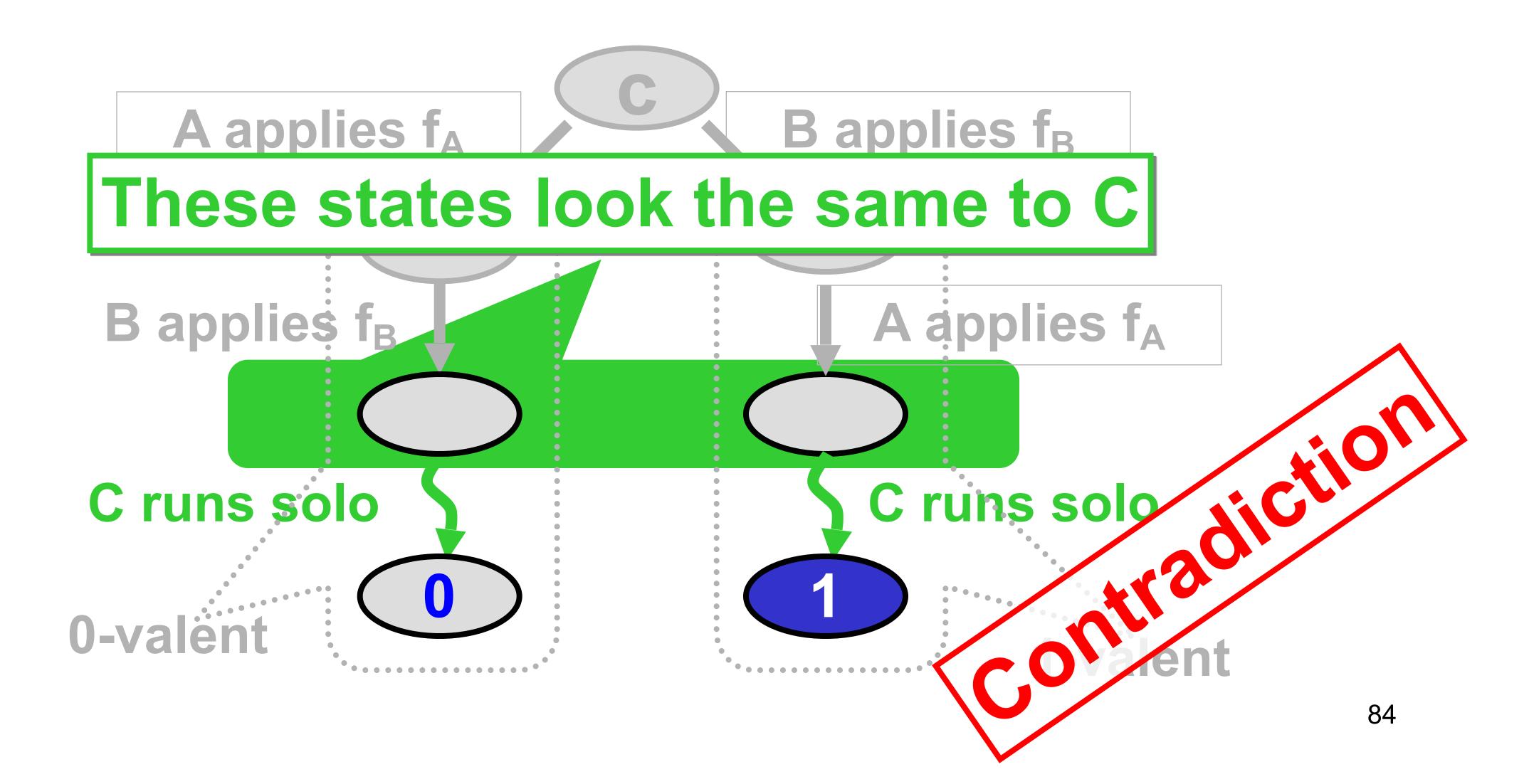
Meanwhile Back at the Critical State



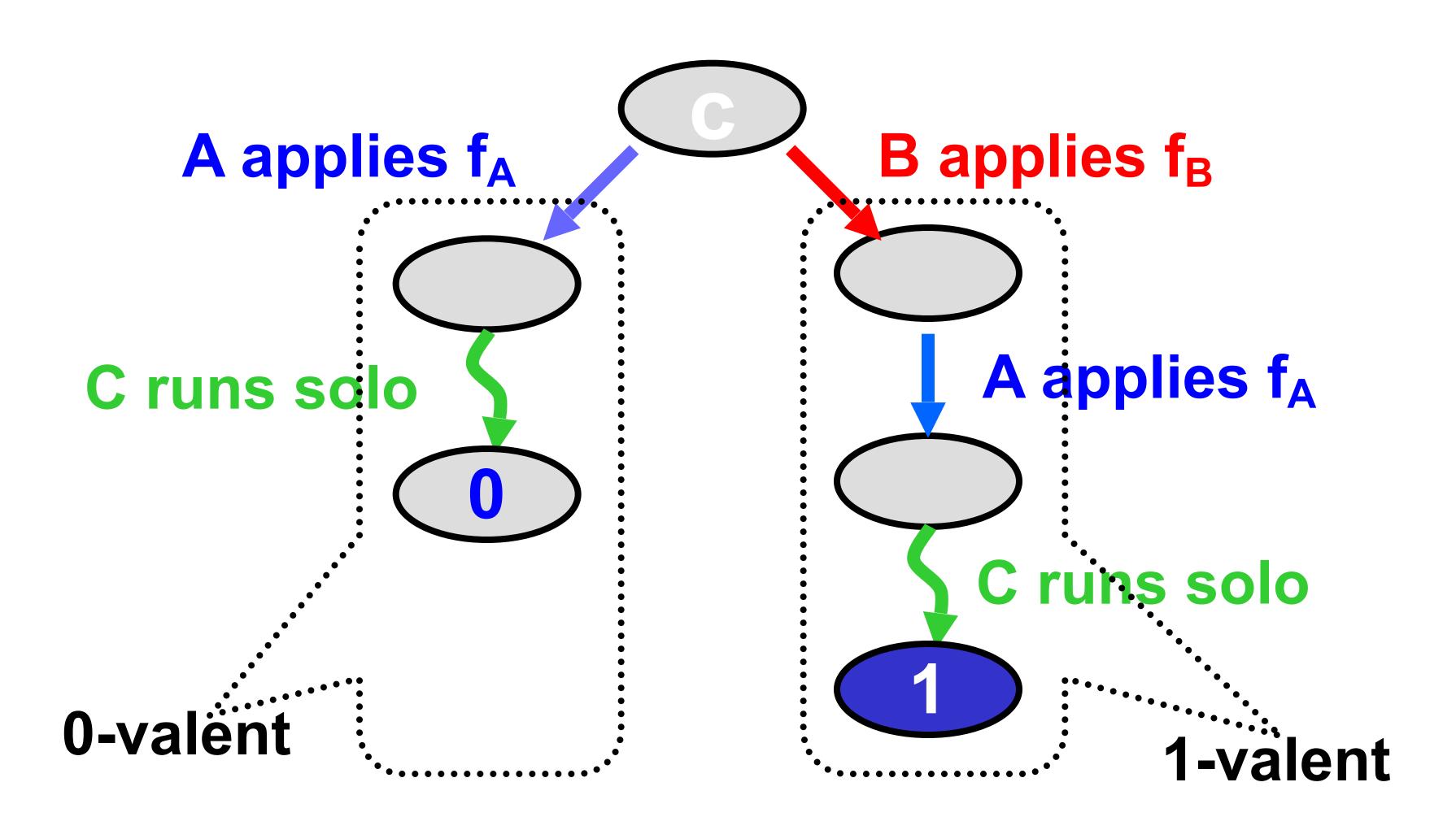
Maybe the Functions Commute



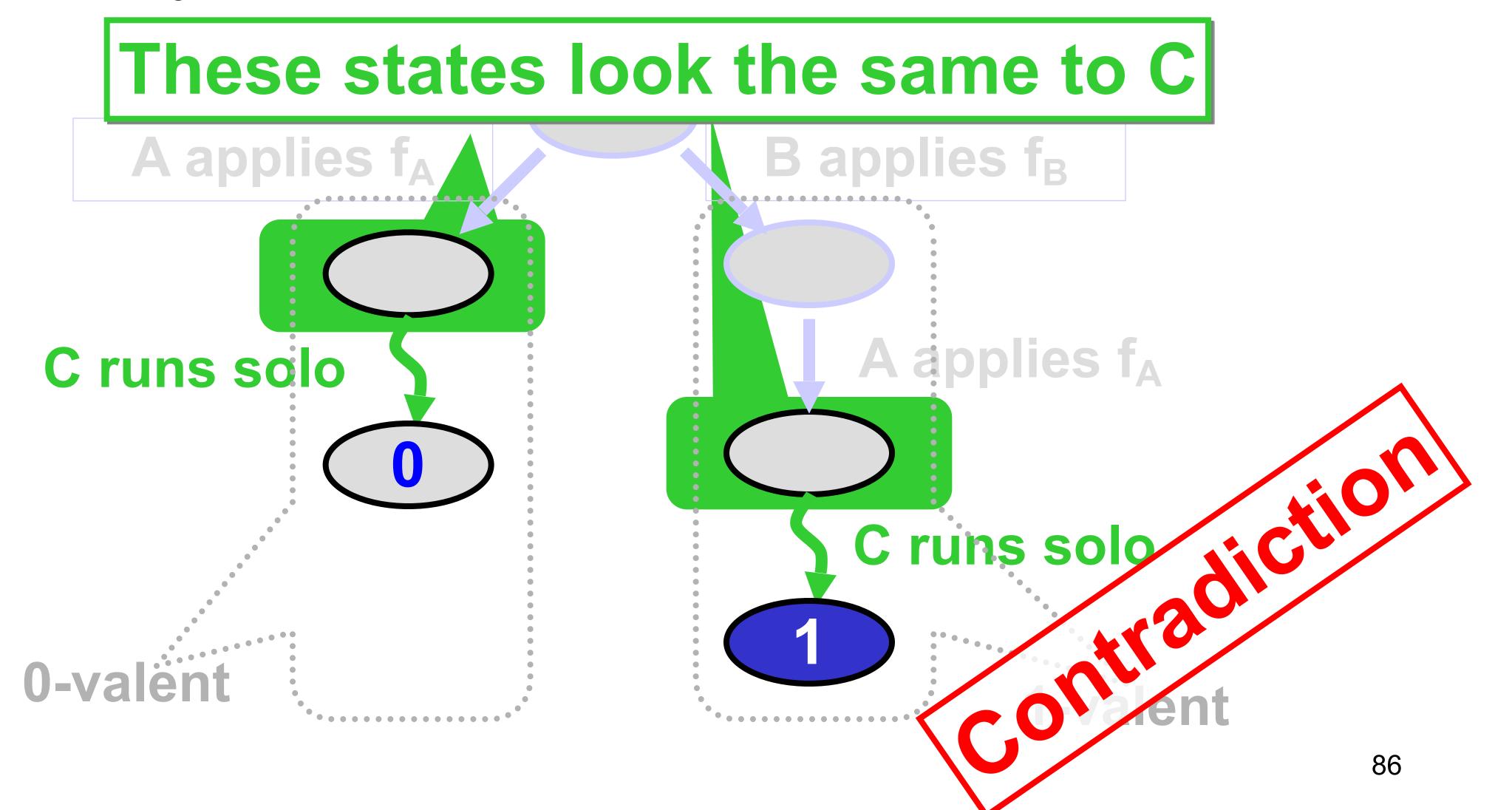
Maybe the Functions Commute



Maybe the Functions Overwrite



Maybe the Functions Overwrite



Impact

- Many early machines provided only these "weak" RMW instructions
 - Test-and-set (IBM 360)
 - Fetch-and-add (NYU Ultracomputer)
 - Swap (Original SPARCs)
- We now understand their limitations
 - But why do we want consensus anyway?

compareAndSet

```
class RMWRegister(private val init: Int) {
 private var value: Int = init
  def compareAndSet(expected: Int, update: Int): Boolean =
    this.synchronized {
      if (value == expected) {
        value = update
        true
      } else {
        false
```

compareAndSet

```
class RMWRegister (private val init: Int) {
 private var value: Int = init
  def compareAndSet expected: Int update: Int): Boolean =
    this.synchronized
         value == expected
        true
        else
        false
      replace value if it's what we expected, ...
```

```
class CASConsensus extends ConsensusProtocol[Int] {
 private val FIRST = -1
  private val r = new RMWRegister(FIRST)
  override def decide(value: Int) = {
    propose (value)
    val i = ThreadID.get
    if (r.compareAndSet(FIRST, i)) {
      proposed(i).get() // I won
    } else {
      proposed (r.read).get()
```

```
class CASConsensus extends ConsensusProtocol[Int] {
 private val FIRST = -1
  private val r = new RMWRegister (FIRST)
  override def decide (walue: Int) = {
    propose (value)
                          Initialized to -1
    val i = ThreadID.get
    if (r.compareAndSet(FIRST, i)) {
      proposed(i).get() // I won
    } else {
      proposed (r.read).get()
```

```
class CASConsensus extends ConsensusProtocol[Int] {
 private val FIRST = -1
 private val r = new RMWRegister(FIRST)
                                    Try to swap in my
  override def decide (value: Int
   propose (value)
   val i = ThreadID.get
    if r.compareAndSet(FIRST, i)
      proposed(i).get() // I won
     else {
      proposed (r.read).get()
```

```
class CASConsensus extends ConsensusProtocol[Int] {
 private val FIRST = -1
 private val r = new RMWRegister(FIRST)
  override def decide (value: Int) = {
   propose (value)
                               Decide winner's preference
   val i = ThreadID.get
    if (r.compareAndSet(FI)
      proposed(i).get
                              won
      proposed(r.read).get()
```

The Consensus Hierarchy

```
1 Read/Write Registers, Snapshots...
2 getAndSet, getAndIncrement, ...
∞ compareAndSet,...
```





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