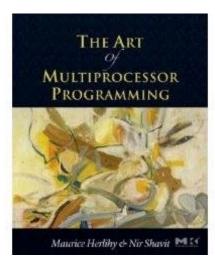
Spin Locks and Contention



Hyungsoo Jung



Focus so far: Correctness and Progress

Models

- Accurate (we never lied to you)
- But idealized (so we forgot to mention a few things)
- Protocols
 - Elegant
 - Important
 - But naïve



New Focus: Performance

Models

- More complicated (not the same as complex!)
- Still focus on principles (not soon obsolete)

Protocols

- Elegant (in their fashion)
- Important (why else would we pay attention)
- And realistic (your mileage may vary)



Kinds of Architectures

- SISD (Uniprocessor)
 - Single instruction stream
 - Single data stream
- SIMD (Vector)
 - Single instruction
 - Multiple data
- MIMD (Multiprocessors)
 - Multiple instruction
 - Multiple data.



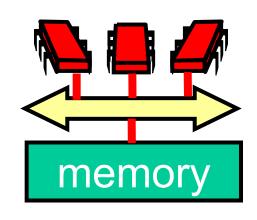
Kinds of Architectures

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 - Single data stream
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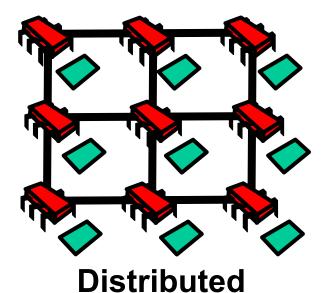




MIMD Architectures







- Memory Contention
- Communication Contention
- Communication Latency



Today: Revisit Mutual Exclusion

- Performance, not just correctness
- Proper use of multiprocessor architectures
- A collection of locking algorithms...



What Should you do if you can't get a lock?

- Keep trying
 - "spin" or "busy-wait"
 - Good if delays are short
- Give up the processor
 - Good if delays are long
 - Always good on uniprocessor

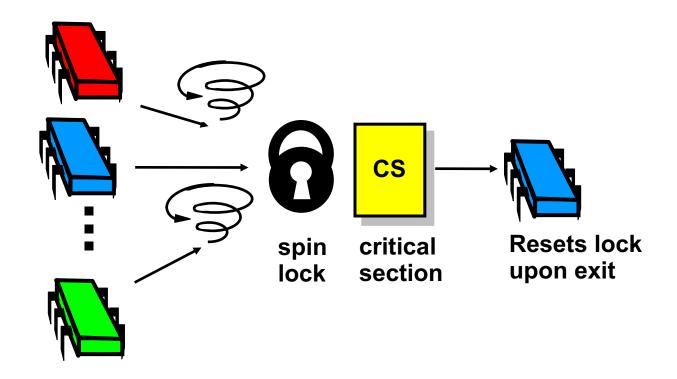


What Should you do if you can't get a lock?

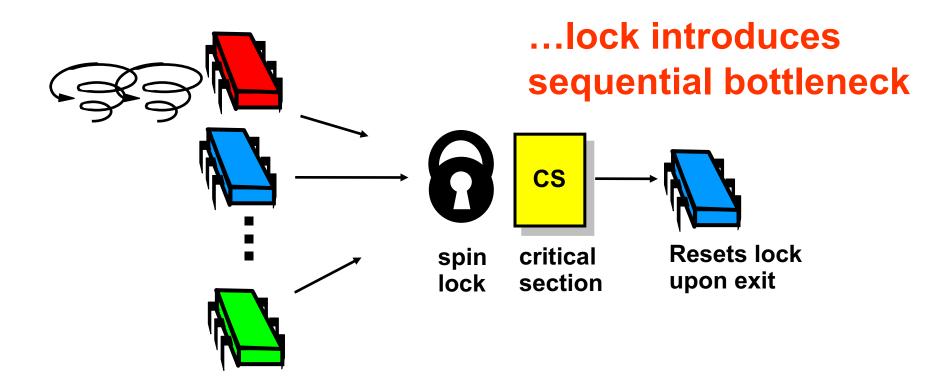
- Keep trying
 - "spin" or "busy-wait"
 - Good if delays are short
- Give up the processor
 - Good if delays are long
 - Always good on uniprocessor

our focus



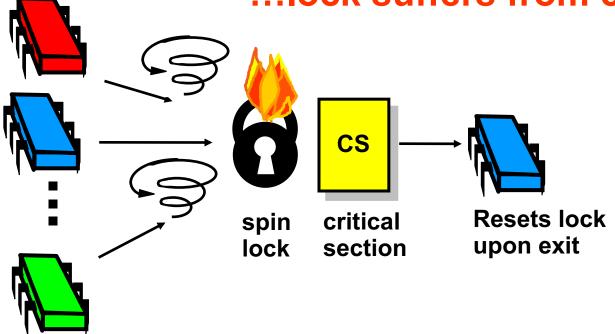






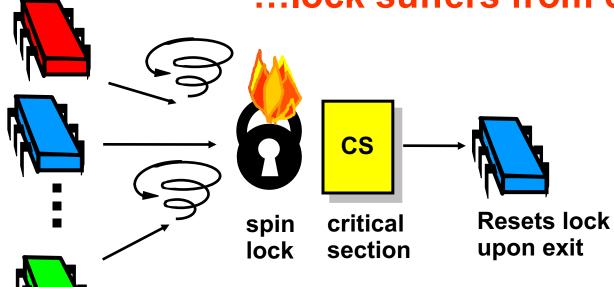


...lock suffers from contention



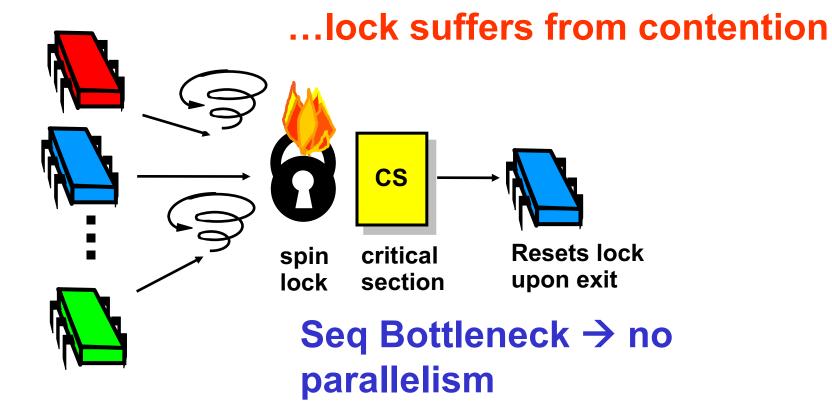




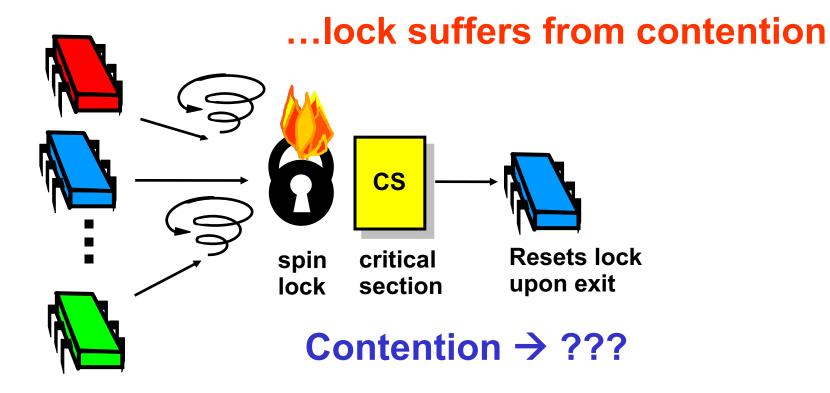


Notice: these are distinct phenomena











- Boolean value
- Test-and-set (TAS)
 - Swap true with current value
 - Return value tells if prior value was true or false
- Can reset just by writing false
- TAS aka "getAndSet"



```
public class AtomicBoolean {
  boolean value;

public synchronized boolean
  getAndSet(boolean newValue) {
  boolean prior = value;
  value = newValue;
  return prior;
}
}
```



```
public class AtomicBoolean {
 public synchronized boolean
getAndSet(boolean newValue) {
   boolean prior = value;
   value = newValue;
   return prior;
                        Package
             java.util.concurrent.atomic
```



```
public class AtomicBoolean {
  boolean value;

public synchronized boolean
  getAndSet(boolean newValue) {
  boolean prior = value;
  value = newValue;
  return prior;
}
```

Swap old and new values





```
AtomicBoolean lock
= new AtomicBoolean(false)
boolean prior = lock.getAndSet(true)
```

Swapping in true is called "test-and-set" or TAS



- Locking
 - Lock is free: value is false
 - Lock is taken: value is true
- Acquire lock by calling TAS
 - If result is false, you win
 - If result is true, you lose
- Release lock by writing false



```
class TASlock {
AtomicBoolean state =
  new AtomicBoolean(false);
void lock() {
 while (state.getAndSet(true)) {}
void unlock() {
  state.set(false);
 }}
```



```
class TASlock {
AtomicBoolean state =
 new AtomicBoolean(false);
void lock() {
 while (state.getAndSet(true)) {}
void unlock() {
  State Lock state is AtomicBoolean
```



```
class TASlock {
AtomicBoolean state =
  new AtomicBoolean(false);
 while (state.getAndSet(true)) {}
void unlock() {
 Keep trying until lock acquired
```



```
class TA
Atomics Release lock by resetting
  new At
               state to false
void lock() {
 while (state.getAndSet(true)) {}
  state.set(false);
```



Space Complexity

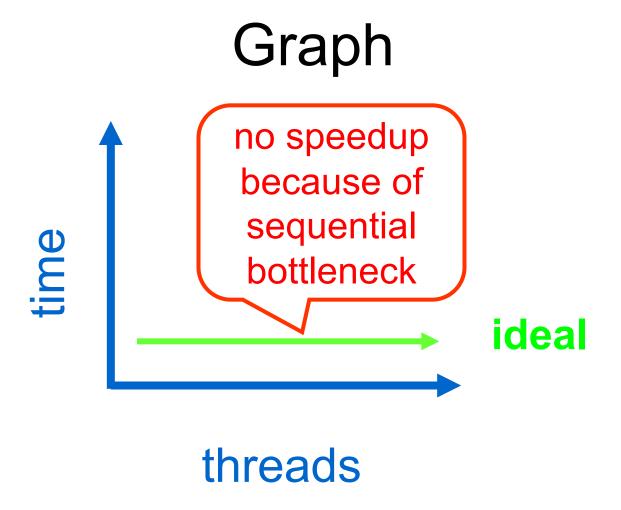
- TAS spin-lock has small "footprint"
- N thread spin-lock uses O(1) space
- As opposed to O(n) Peterson/Bakery
- How did we overcome the $\Omega(n)$ lower bound?
- We used an RMW operation...



Performance

- Experiment
 - n threads
 - Increment shared counter 1 million times
- How long should it take?
- How long does it take?











Test-and-Test-and-Set Locks

- Lurking stage
 - Wait until lock "looks" free
 - Spin while read returns true (lock taken)
- Pouncing state
 - As soon as lock "looks" available
 - Read returns false (lock free)
 - Call TAS to acquire lock
 - If TAS loses, back to lurking



Test-and-test-and-set Lock

```
class TTASlock {
AtomicBoolean state =
  new AtomicBoolean(false);
void lock() {
 while (true) {
  while (state.get()) {}
   if (!state.getAndSet(true))
    return
```



Test-and-test-and-set Lock

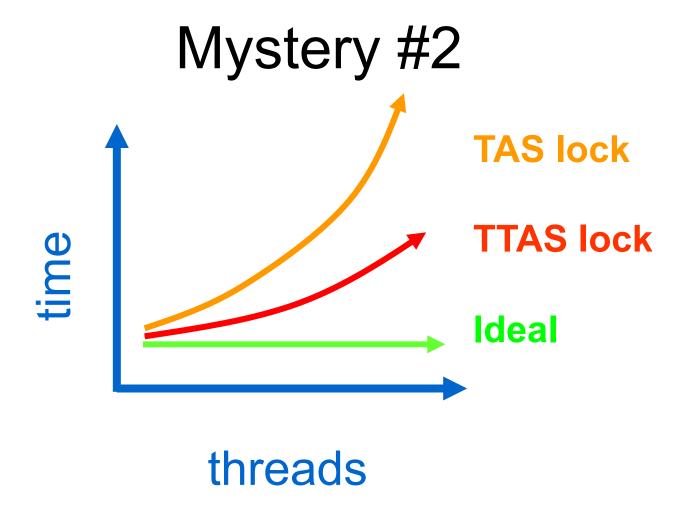
```
class TTASlock {
AtomicBoolean state =
  new AtomicBoolean(false);
void lock() {
  while (state.get()) {}
   if (!state.getAndSet(true))
    return;
            Wait until lock looks free
```



Test-and-test-and-set Lock

```
class TTASlock {
 AtomicBoolean state =
  new AtomicBoolean(false);
                           Then try to
void lock() {
                            acquire it
  while (true) {
   while (state.get)
   if (!state.getAndSet(true))
    return;
```







Mystery

- Both
 - TAS and TTAS
 - Do the same thing (in our model)
- Except that
 - TTAS performs much better than TAS
 - Neither approaches ideal

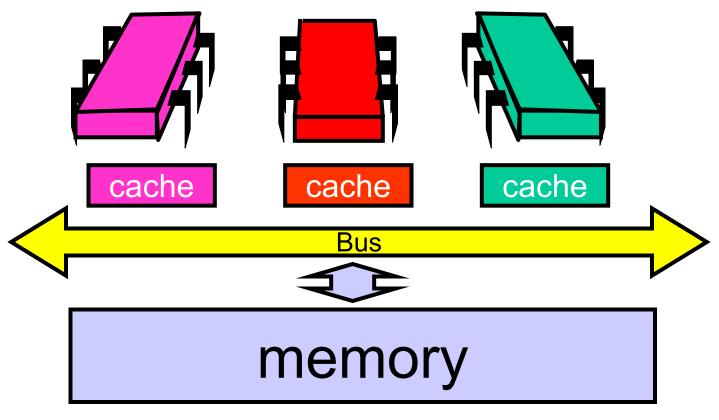


Opinion

- Our memory abstraction is broken
- TAS & TTAS methods
 - Are provably the same (in our model)
 - Except they aren't (in field tests)
- Need a more detailed model ...

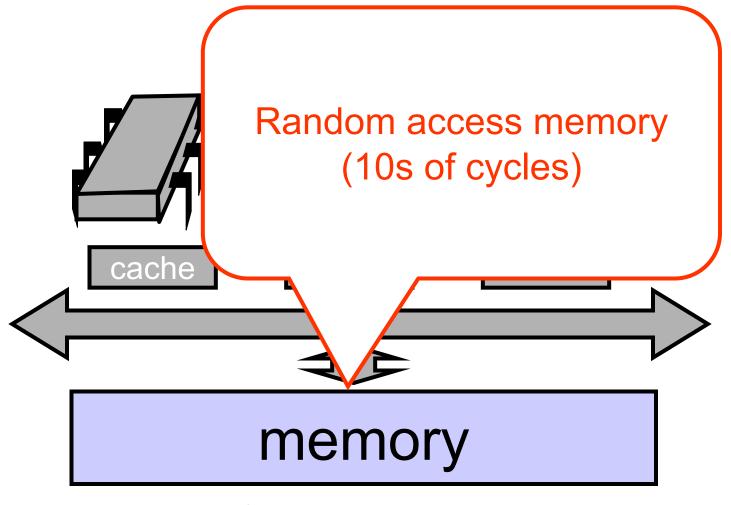


Bus-Based Architectures





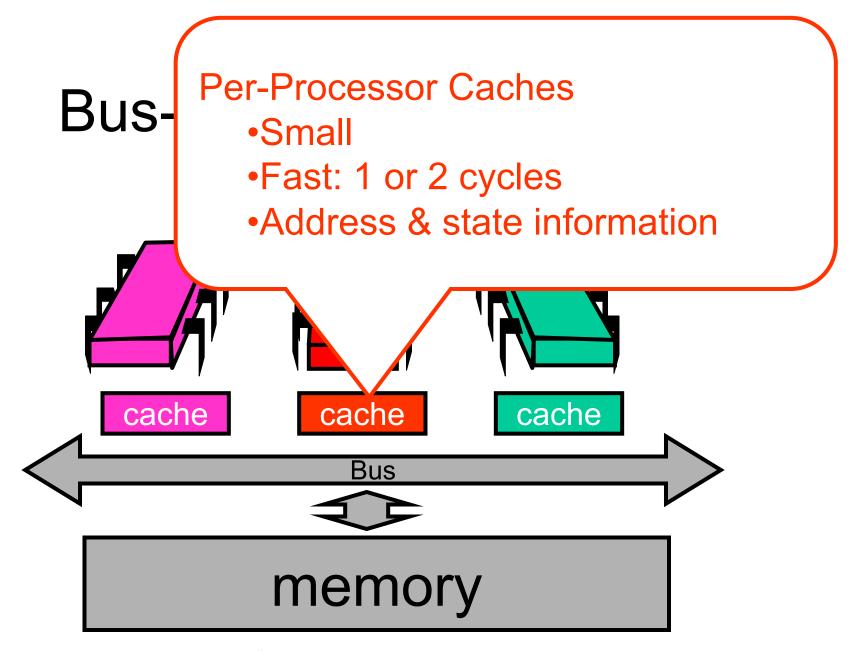
Bus-Based Architectures





Rus-Rased Architectures **Shared Bus** Broadcast medium One broadcaster at a time Processors and memory all "snoop" cache Bus memory







Jargon Watch

- Cache hit
 - "I found what I wanted in my cache"
 - Good Thing™



Jargon Watch

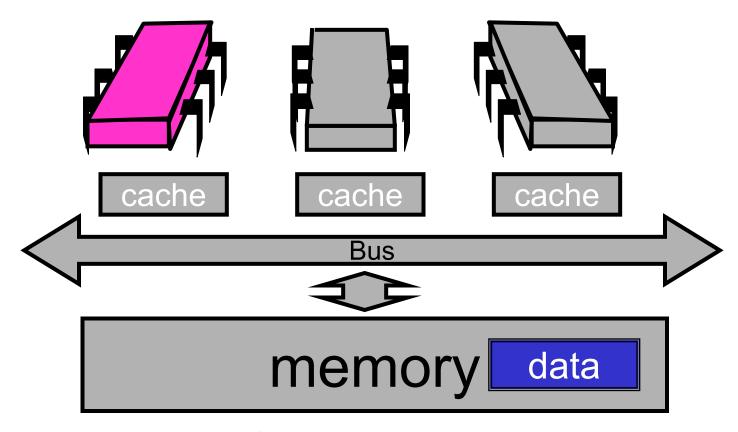
- Cache hit
 - "I found what I wanted in my cache"
 - Good Thing™
- Cache miss
 - "I had to shlep all the way to memory for that data"
 - Bad Thing™



Cave Canem (=beware of a dog)

- This model is still a simplification
 - But not in any essential way
 - Illustrates basic principles
- Will discuss complexities later



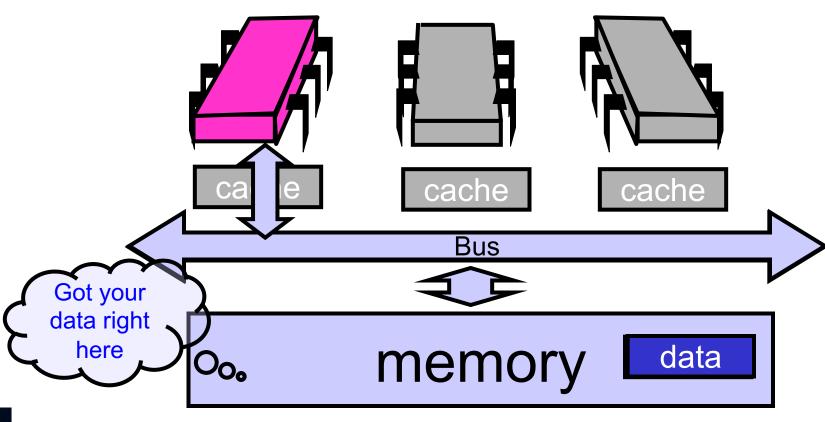




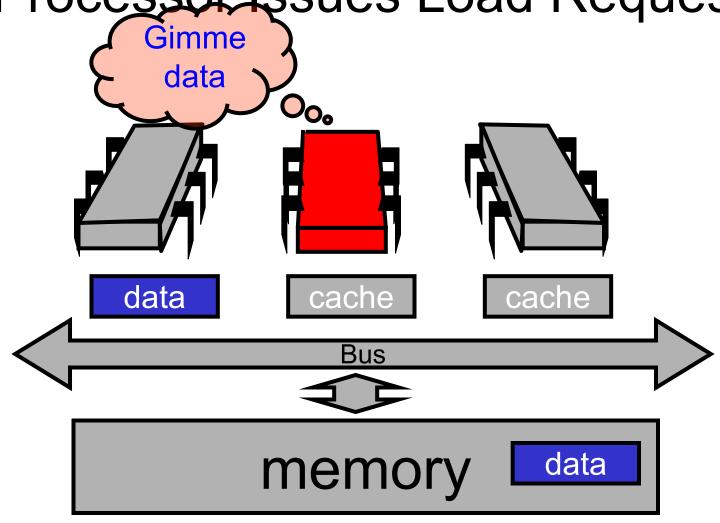
Precessor Issues Load Request Gimme data 000 Bus memory data



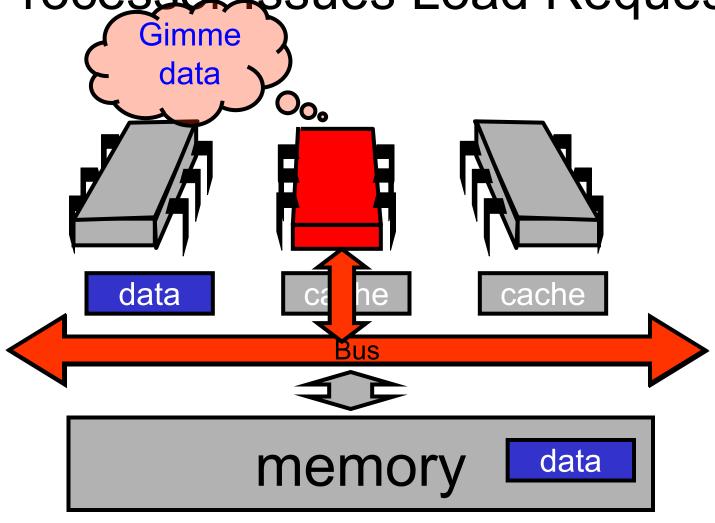
Memory Responds



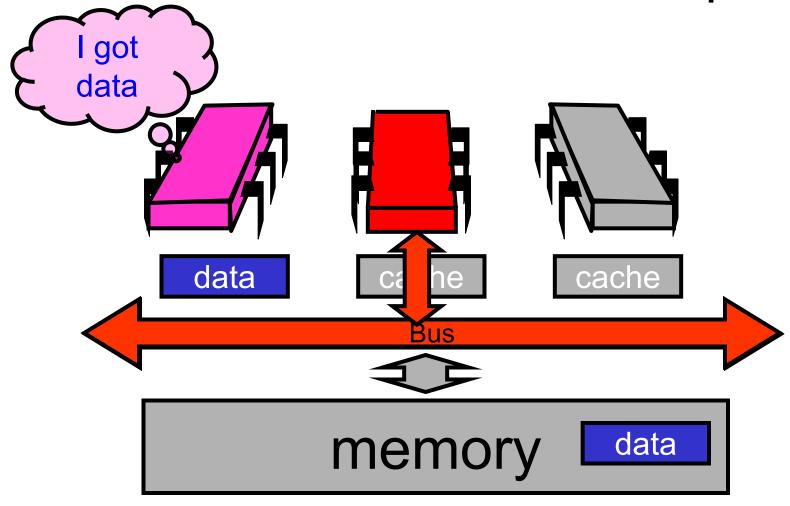










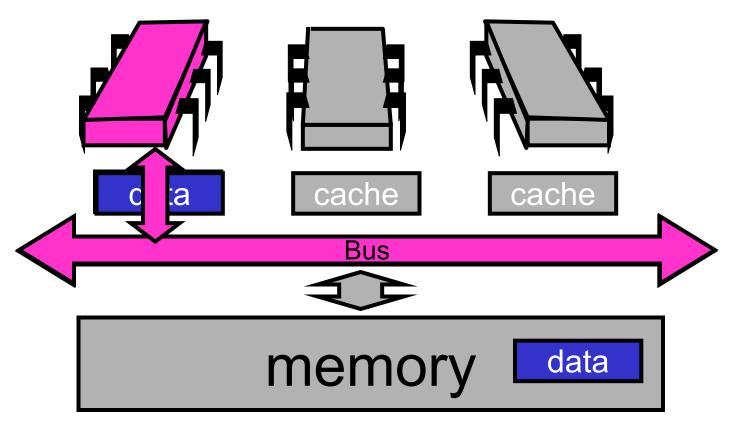




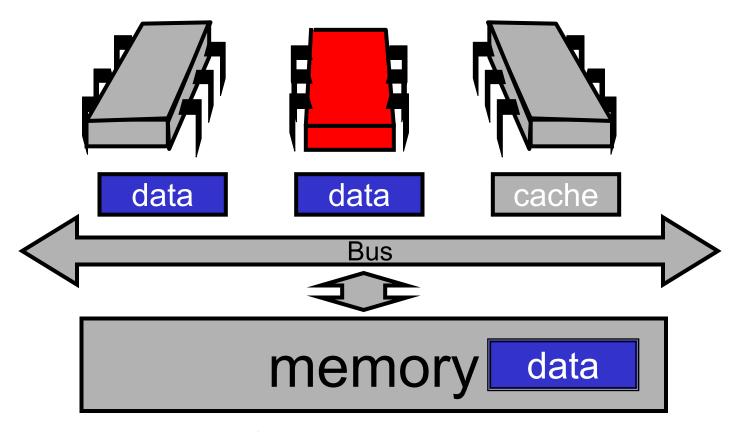
Other Processor Responds I got data Bus data memory



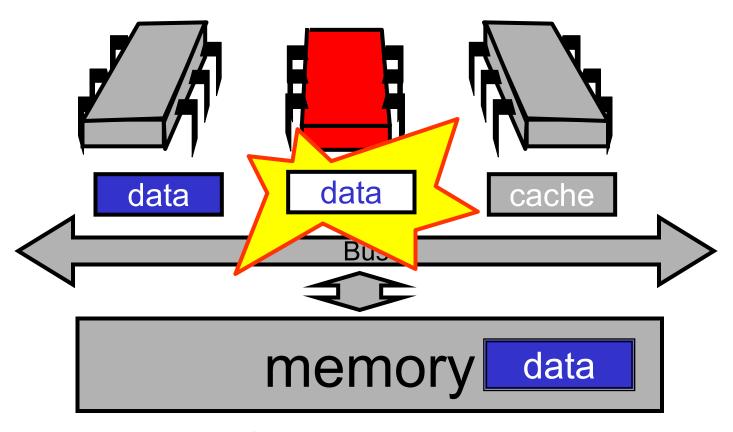
Other Processor Responds



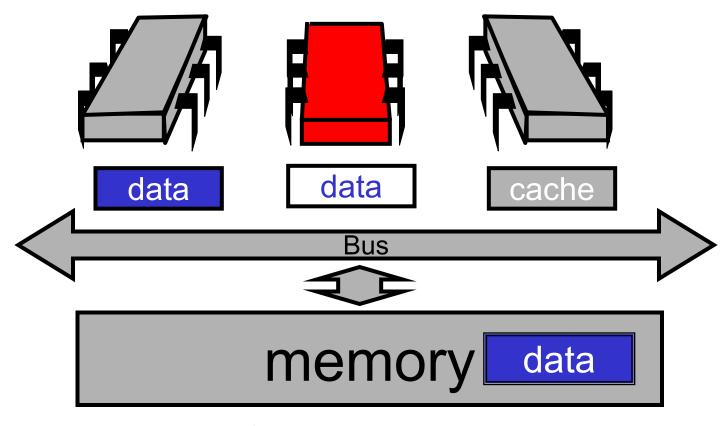




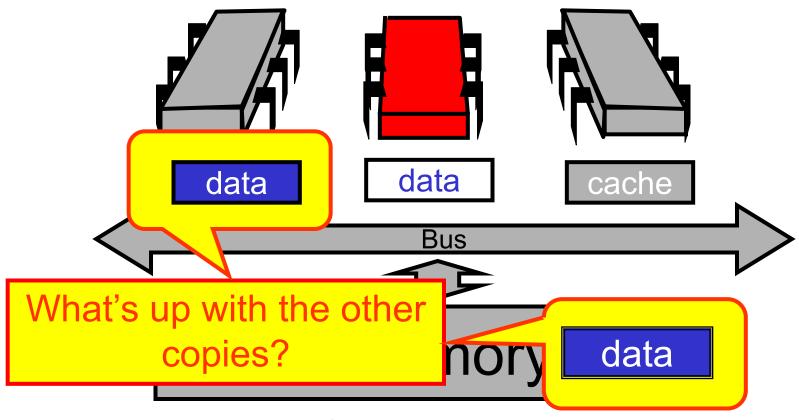














Cache Coherence

- We have lots of copies of data
 - Original copy in memory
 - Cached copies at processors
- Some processor modifies its own copy
 - What do we do with the others?
 - How to avoid confusion?



Write-Back Caches

- Accumulate changes in cache
- Write back when needed
 - Need the cache for something else
 - Another processor wants it
- On first modification
 - Invalidate other entries
 - Requires non-trivial protocol

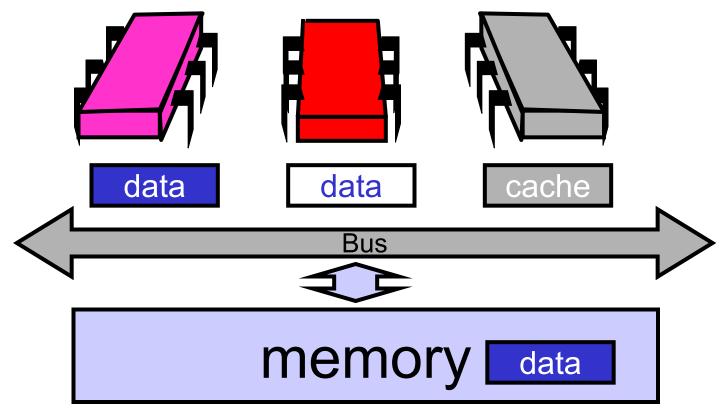


Write-Back Caches

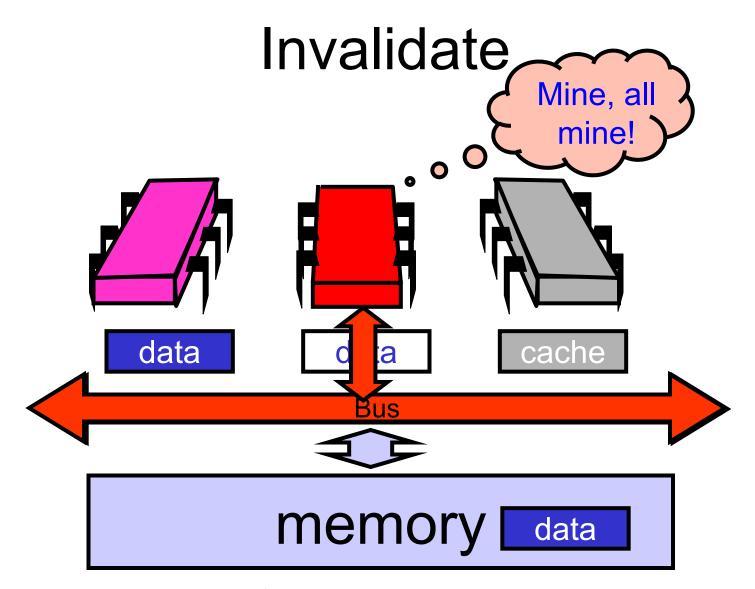
- Cache entry has three states
 - Invalid: contains raw seething bits
 - Valid: I can read but I can't write
 - Dirty: Data has been modified
 - Intercept other load requests
 - Write back to memory before using cache



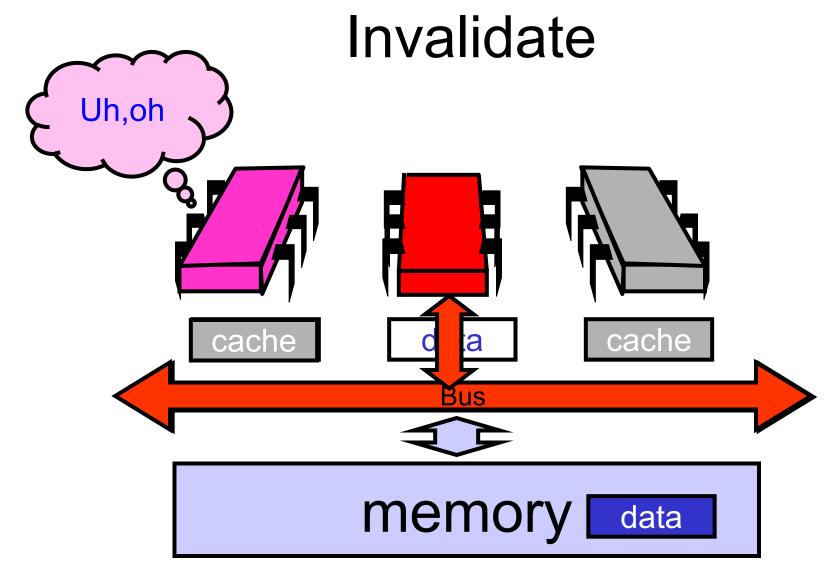
Invalidate



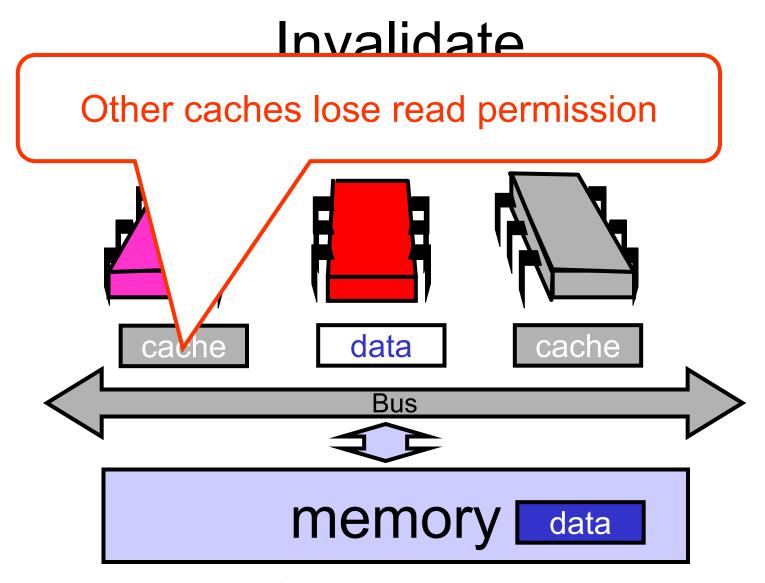




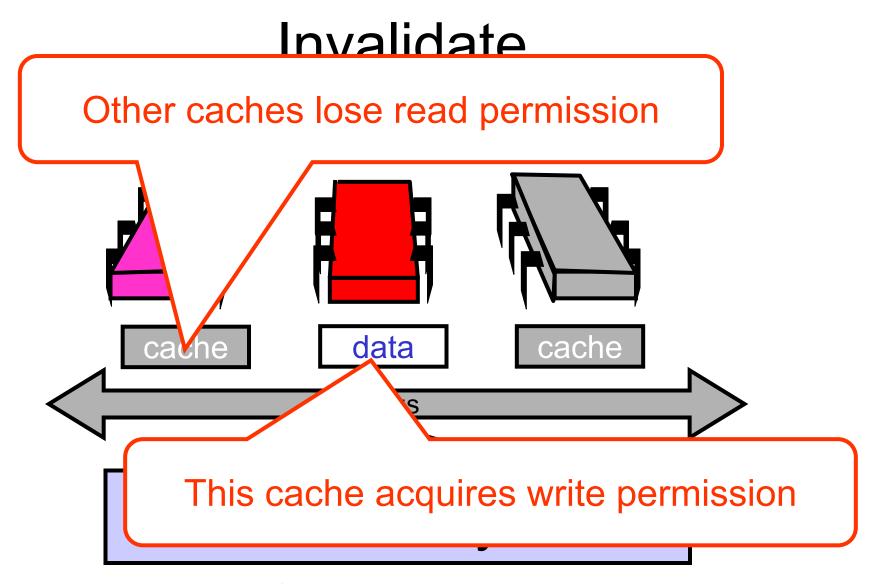






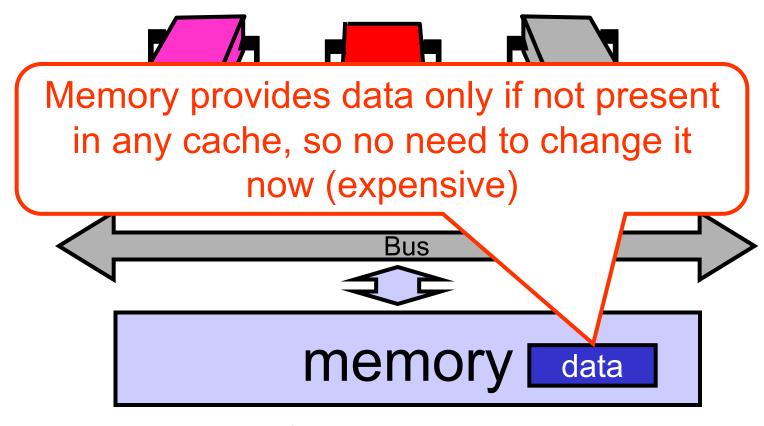






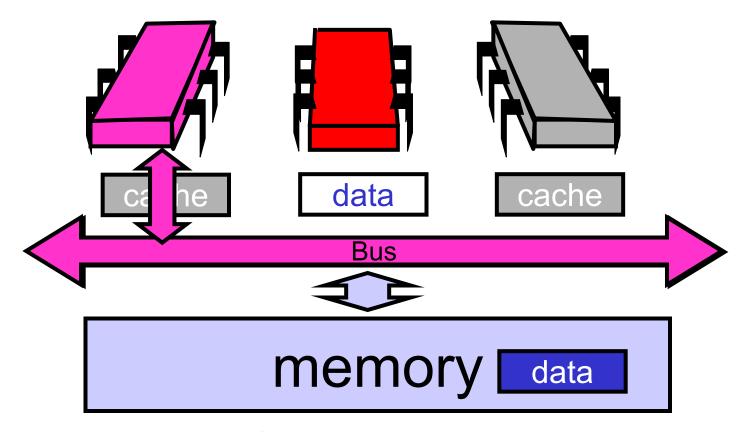


Invalidate

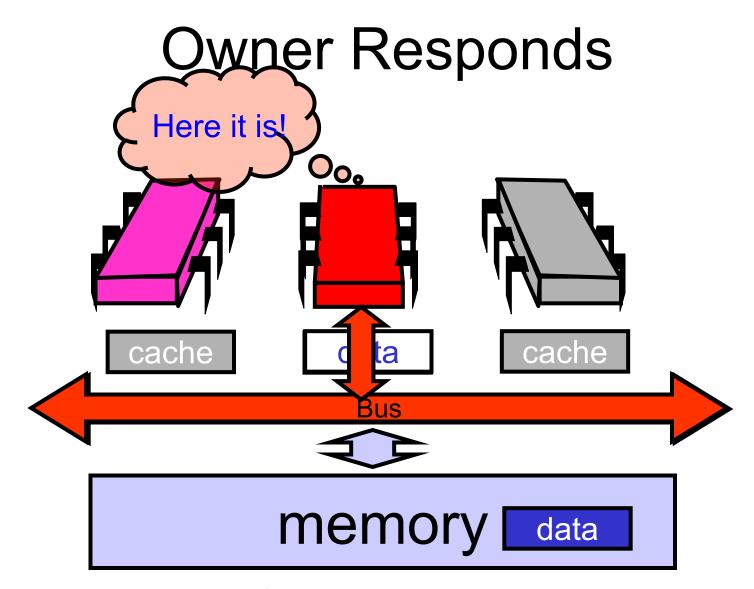




Another Processor Asks for Data

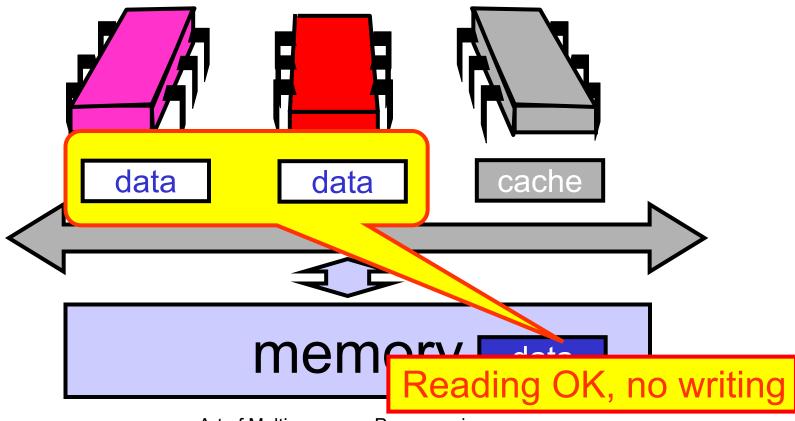








End of the Day ...





Mutual Exclusion

- What do we want to optimize?
 - Bus bandwidth used by spinning threads
 - Release/Acquire latency
 - Acquire latency for idle lock



Simple TASLock

- TAS invalidates cache lines
- Spinners
 - Miss in cache
 - Go to bus
- Thread wants to release lock
 - delayed behind spinners

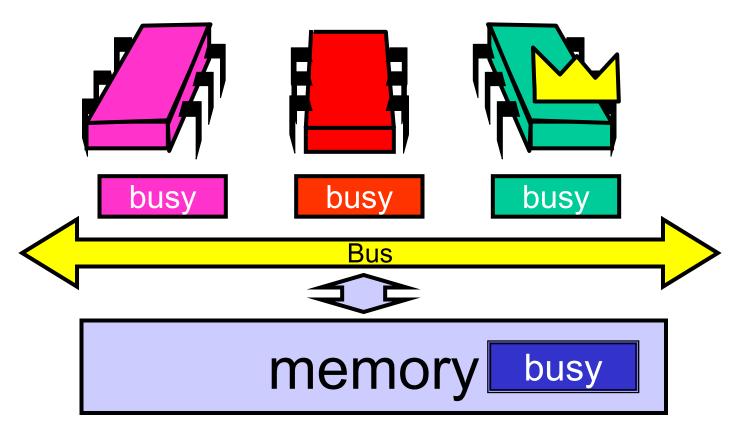


Test-and-test-and-set

- Wait until lock "looks" free
 - Spin on local cache
 - No bus use while lock busy
- Problem: when lock is released
 - Invalidation storm ...

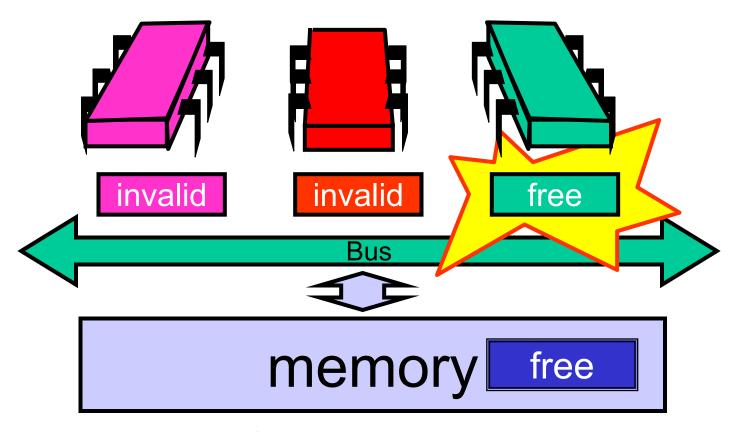


Local Spinning while Lock is Busy





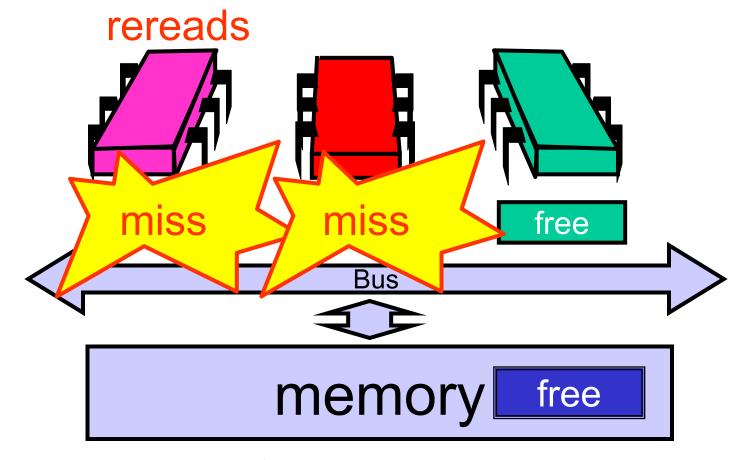
On Release





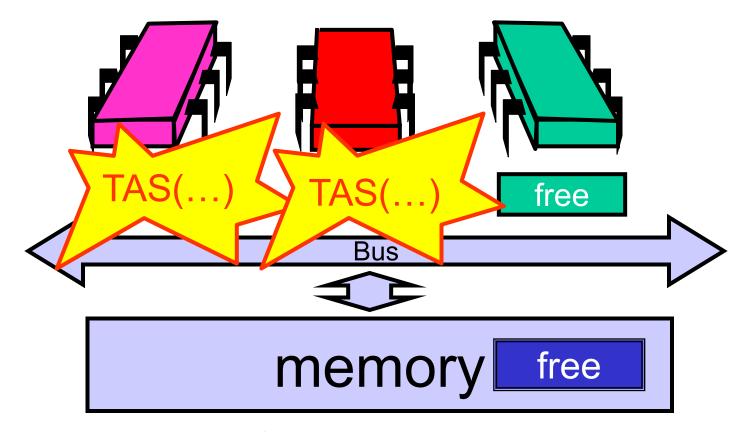
On Release

Everyone misses,





On Release Everyone tries TAS





Problems

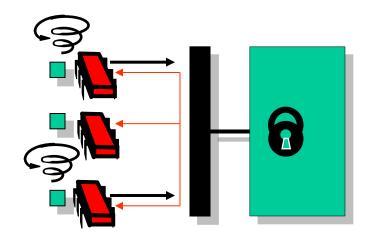
- Everyone misses
 - Reads satisfied sequentially
- Everyone does TAS
 - Invalidates others' caches
- Eventually quiesces after lock acquired
 - How long does this take?



Measuring Quiescence Time

X = time of ops that don't use the bus

Y = time of ops that cause intensive bus traffic

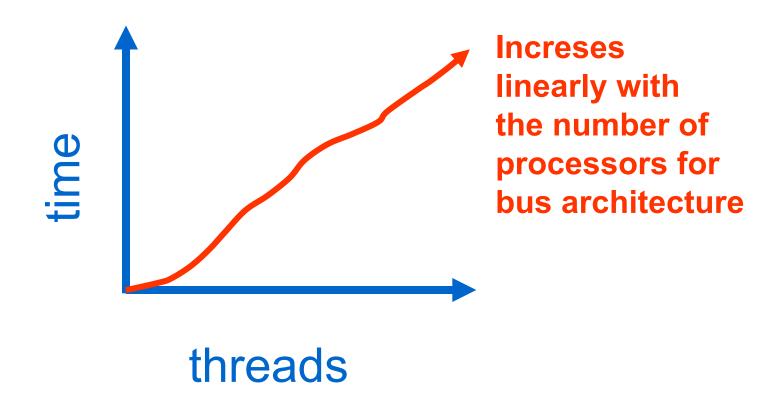


In critical section, run ops X then ops Y. As long as Quiescence time is less than X, no drop in performance.

By gradually varying X, can determine the exact time to quiesce.

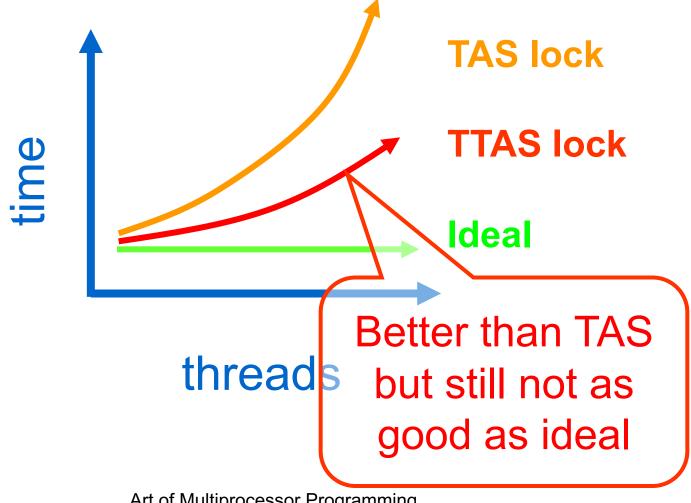


Quiescence Time





Mystery Explained

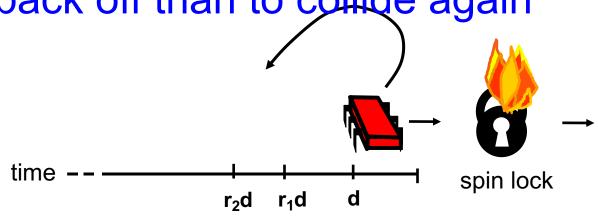




Solution: Introduce Delay

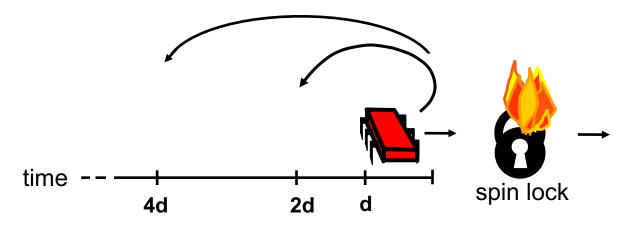
- If the lock looks free
 - But I fail to get it
- There must be contention

Better to back off than to collide again





Dynamic Example: Exponential Backoff



If I fail to get lock

- wait random duration before retry
- Each subsequent failure doubles expected wait



```
public class Backoff implements lock {
public void lock() {
 int delay = MIN_DELAY;
 while (true) {
  while (state.get()) {}
   if (!lock.getAndSet(true))
    return;
   sleep(random() % delay);
   if (delay < MAX_DELAY)</pre>
    delay = 2 * delay;
}}}
```



```
public class Backoff implements lock {
 public void lock() {
 int delay = MIN_DELAY;
    ile (true)
   while (state.get())
   if (!lock.getAndSet(true))
    return;
   sleep(random() % delay
   if (delay < MAX_DELAY)</pre>
   delay = 2 * delay:
Fix minimum delay
 }}}
```





```
public class Backoff implements lock {
public void lock() {
 int delay = MIN_DELAY;
  while (true)
  while (state.get()) {}
  if (!lock.getAndSet(true))
    return;
   sleep(random() % dela
  if (delay < MAX_DELAY)
    delay = 2
              Wait until lock looks free
 }}}
```



```
public class Backoff implements lock {
public void lock() {
 int delay = MIN_DELAY;
 while (true) {
   while (state.get()) {}
  if (!lock.getAndSet(true))
    return;
   sleep(random() % delay
   if (delay < MAX_DELAY
    delay = 2 * delay;
                        If we win, return
}}}
```



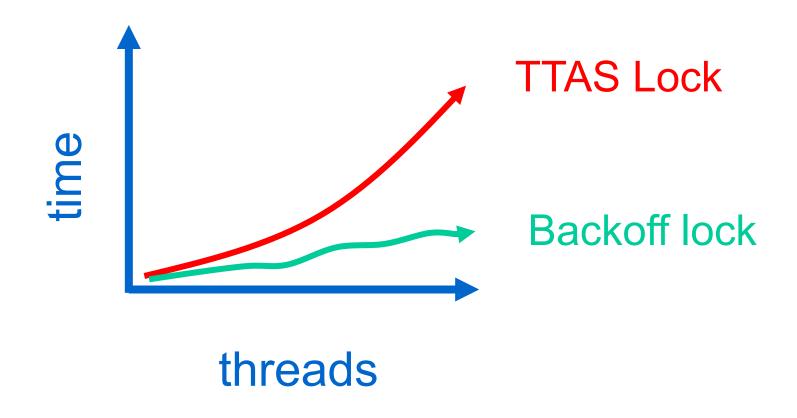
```
public class packaff implamants lack f
Back off for random duration
 int delay = MIN_DELAY;
 while (true) {
  while (state.get()
  if (!lock.getAndSet(true))
   sleep(random() % delay);
   delay = 2 * delay;
}}}
```



```
public class packaff implaments lack f
    Double max delay, within reason
  int delay = MIN_DELAY;
  while (true) {
   while (state.get())
   if (!lock.getAndSet(true))
    return;
   sleep(random() % delay);
  if (delay < MAX_DELAY)
  delay = 2 * delay;</pre>
```



Spin-Waiting Overhead





Backoff: Other Issues

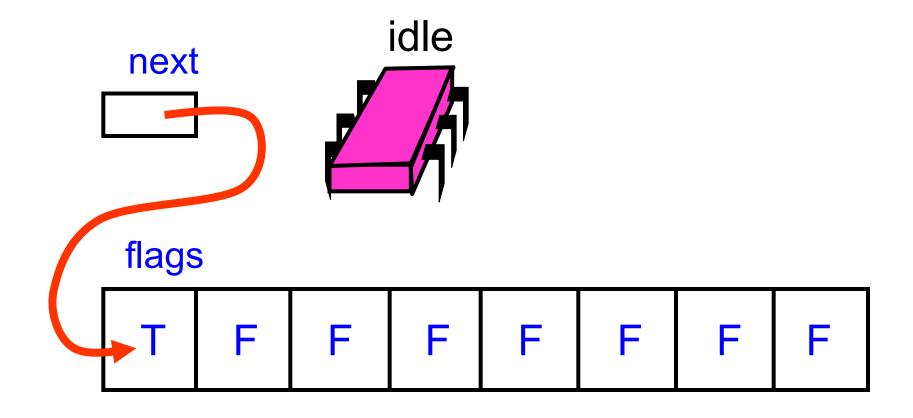
- Good
 - Easy to implement
 - Beats TTAS lock
- Bad
 - Must choose parameters carefully
 - Not portable across platforms



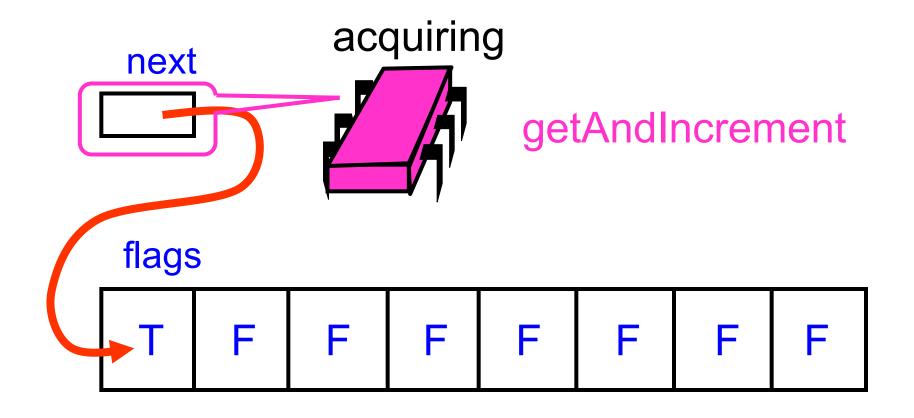
Idea

- Avoid useless invalidations
 - By keeping a queue of threads
- Each thread
 - Notifies next in line
 - Without bothering the others

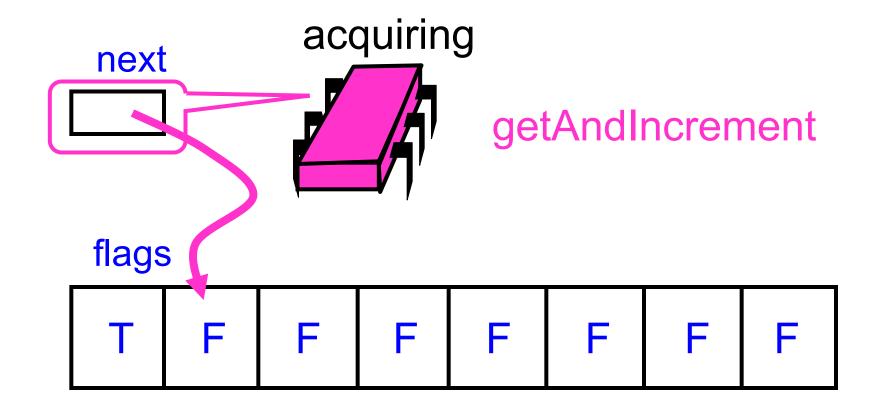




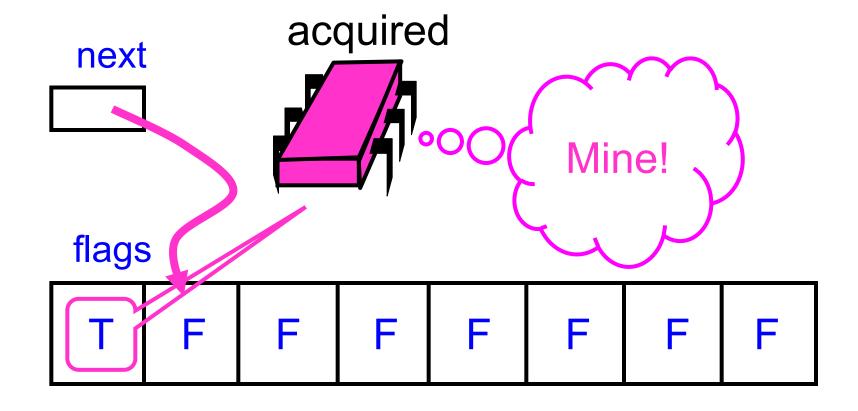




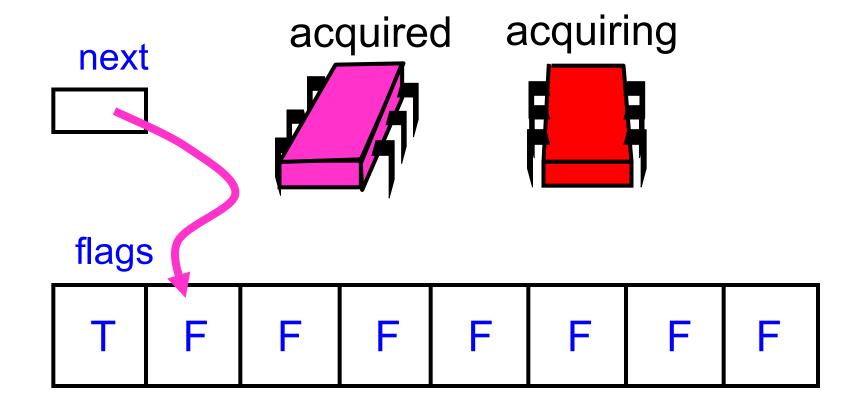




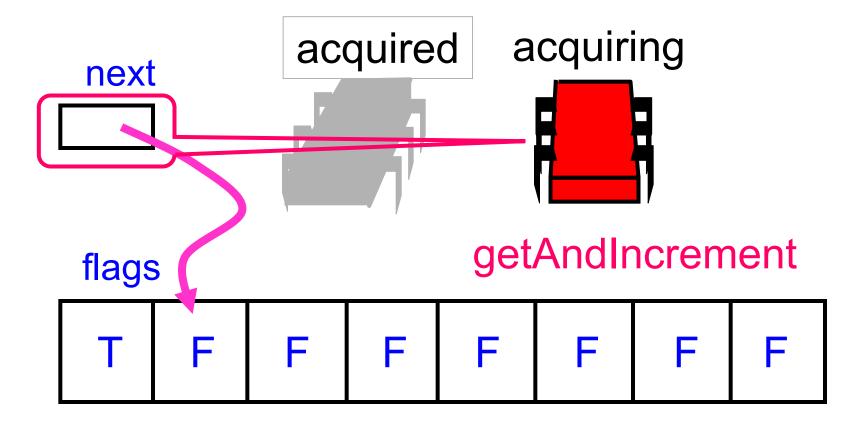




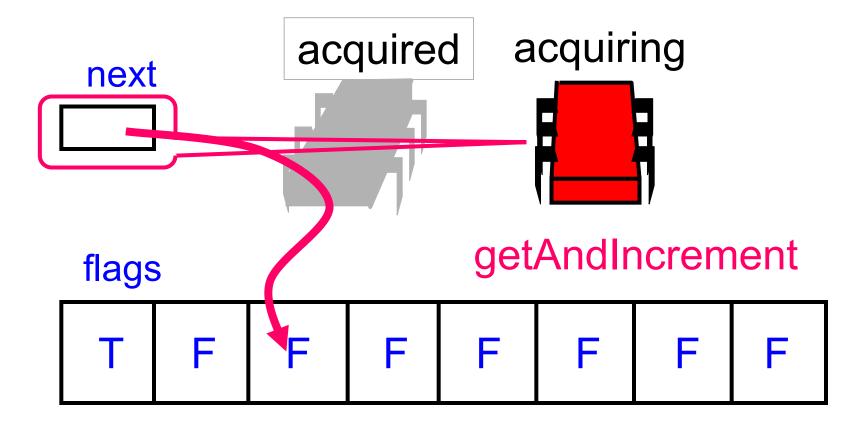




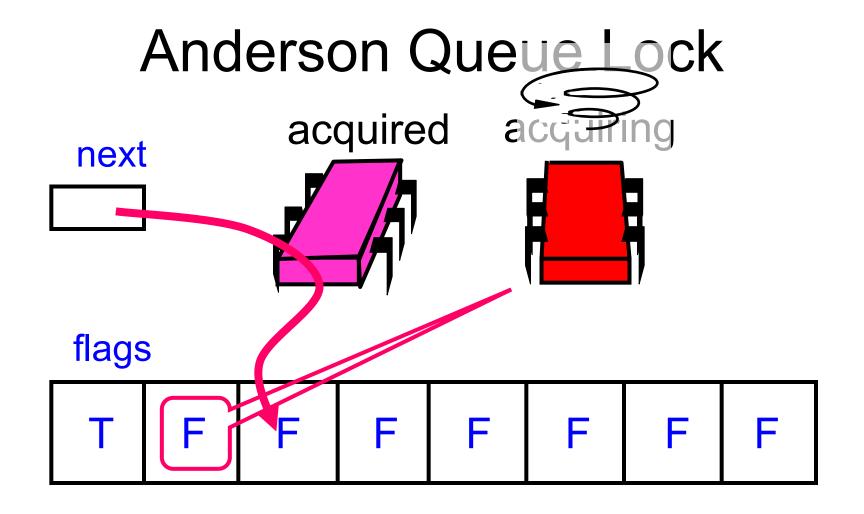




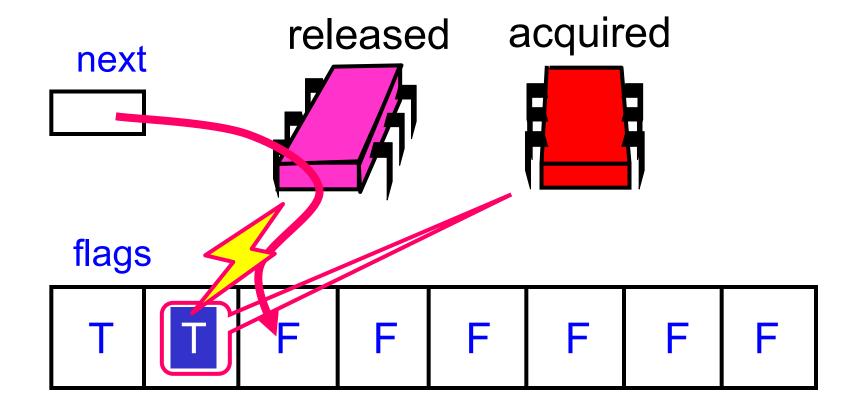




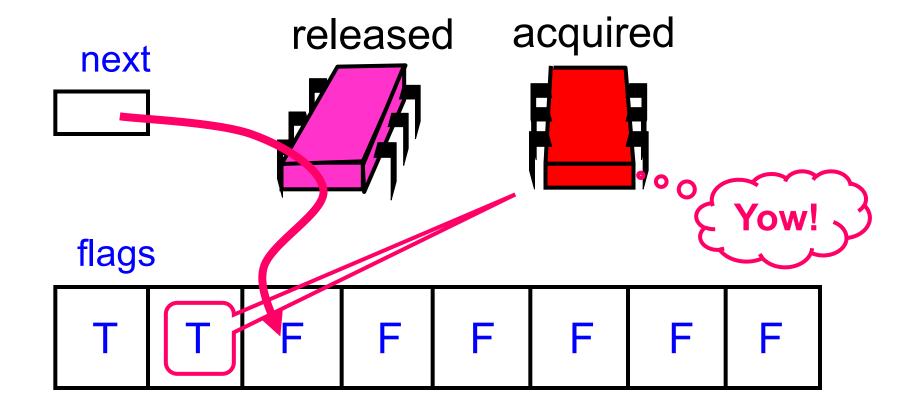














```
class ALock implements Lock {
  boolean[] flags={true,false,...,false};
  AtomicInteger next
  = new AtomicInteger(0);
  ThreadLocal<Integer> mySlot;
```



```
class Alock implements lock {
boolean[] flags={true, false,..., false};
AtomicInteger next
= new AtomicInteger(0);
ThreadLocal<Integer> myslot;

One flag per thread
```



```
class ALock implements Lock {
  boolean[] flags={true, false, ..., false};
  AtomicInteger next
  = new AtomicInteger(0);
  ThreadLocal<Integer> mySlot;
```





```
class ALock implements Lock {
 boolean[] flags={true,false,...,false};
AtomicInteger next
  = new AtomicInteger(0);
ThreadLocal<Integer> mySlot;
            Thread-local variable
```



```
public lock() {
mySlot = next.getAndIncrement();
while (!flags[mySlot % n]) {};
flags[mySlot % n] = false;
public unlock() {
flags[(mySlot+1) % n] = true;
```



```
public lock() {
mySlot = next.getAndIncrement();
while (!flags[mySlot % n]) {};
flags[myslot % n] = false;
public unlock() {
flags[(mySlot+1) % n]
                       Take next slot
```



```
public lock() {
mySlot = next.getAndIncrement();
while (!flags[mySlot % n]) {};
flags[mySlot % n] = false;
public unlock() {
flags[(mySlot+1) Spin until told to go
```



```
public lock() {
myslot = next.getAndIncrement();
while (!flags[myslot % n]) {};
flags[myslot % n] = false;
public unlock() {
flags[(myslot+1) % n] = true;
               Prepare slot for re-use
```

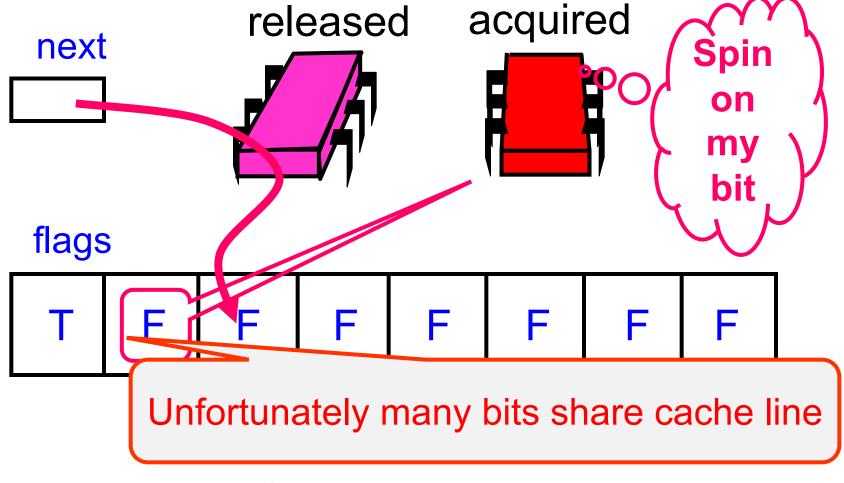


Anderson Queue Lock

```
public lock() { Tell next thread to go
 mySlot = next.getAnaincrement();
 while (!flags[mySlot % //]
 flags[mySlot % n] = fx
    ic unlock
 flags[(mySlot+1) % n] = true;
```

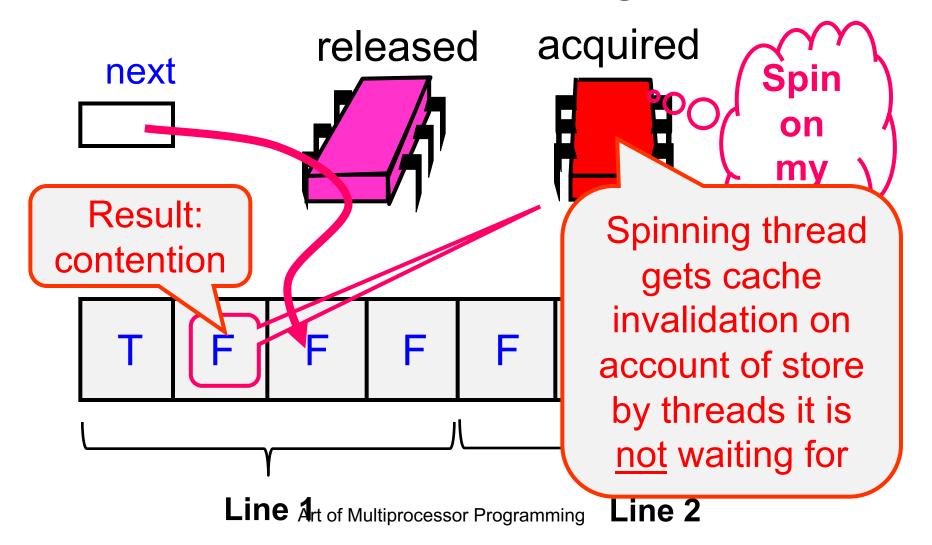


Local Spinning



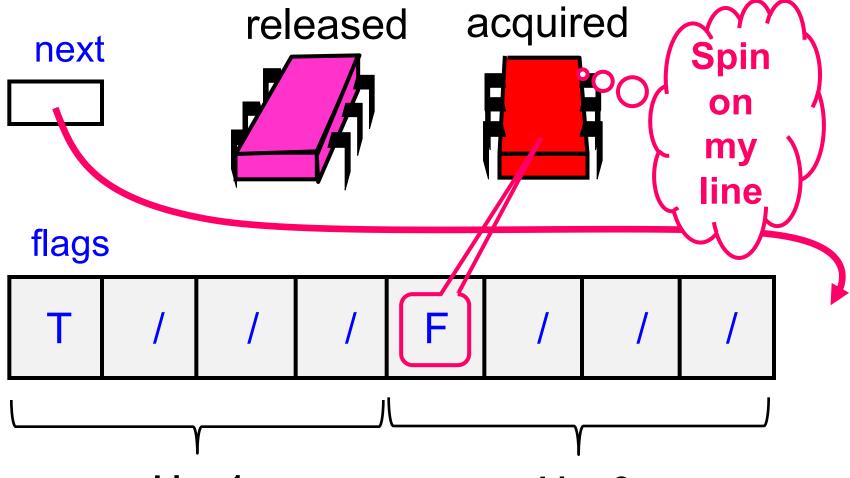


False Sharing



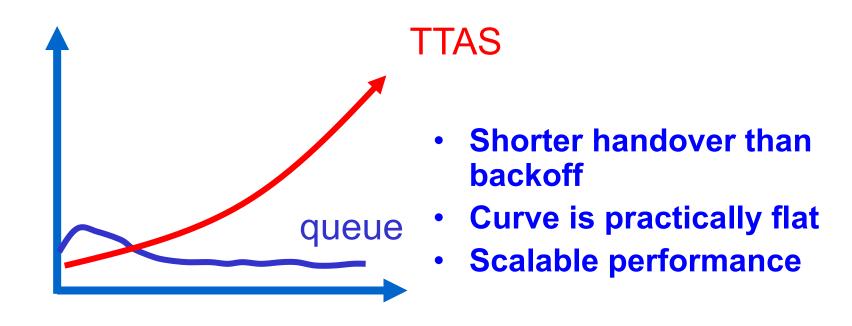


The Solution: Padding





Performance





Anderson Queue Lock

Good

- First truly scalable lock
- -Simple, easy to implement
- –Back to FIFO order (like Bakery)



Anderson Queue Lock

Bad

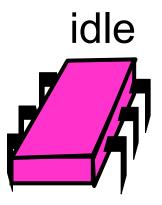
- -Space hog...
- One bit per thread → one cache line per thread
 - What if unknown number of threads?
 - What if small number of actual contenders?

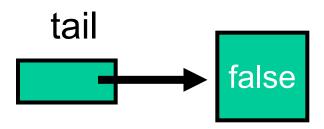


CLH (Craig-Landin-Hagersten) Lock

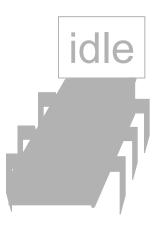
- FIFO order
- Small, constant-size overhead per thread

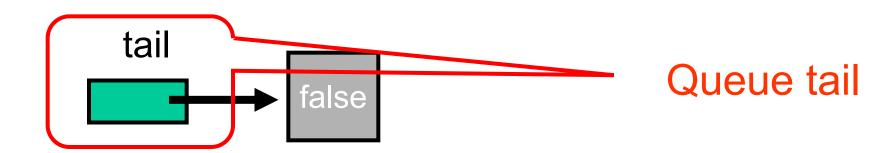




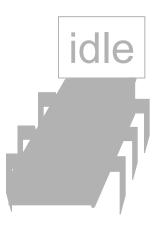


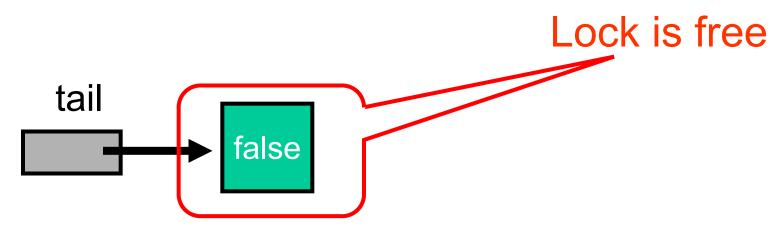




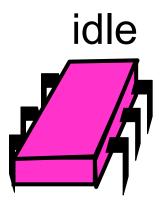


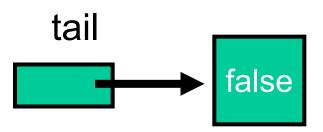








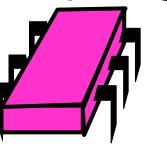


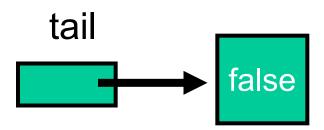




Purple Wants the Lock

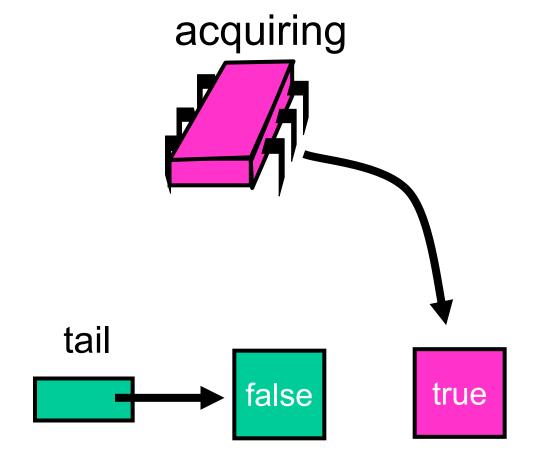
acquiring





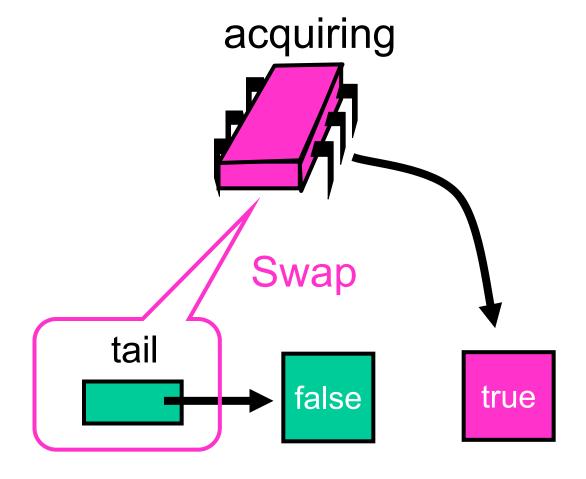


Purple Wants the Lock



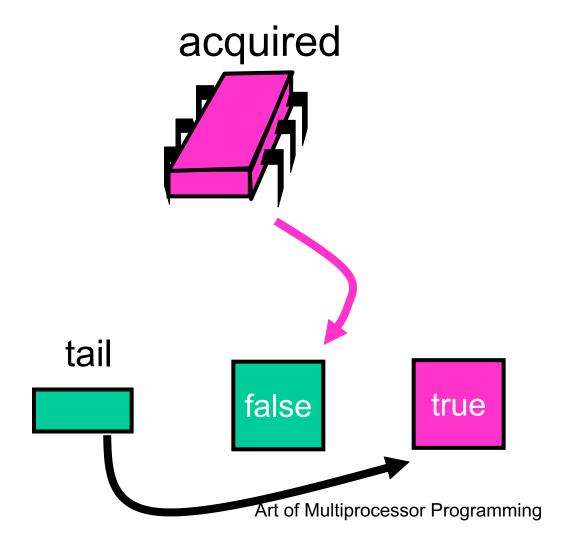


Purple Wants the Lock

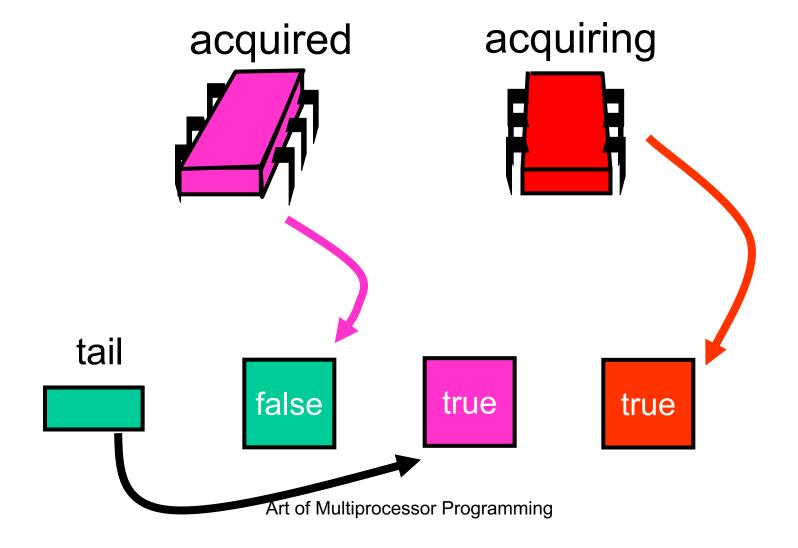




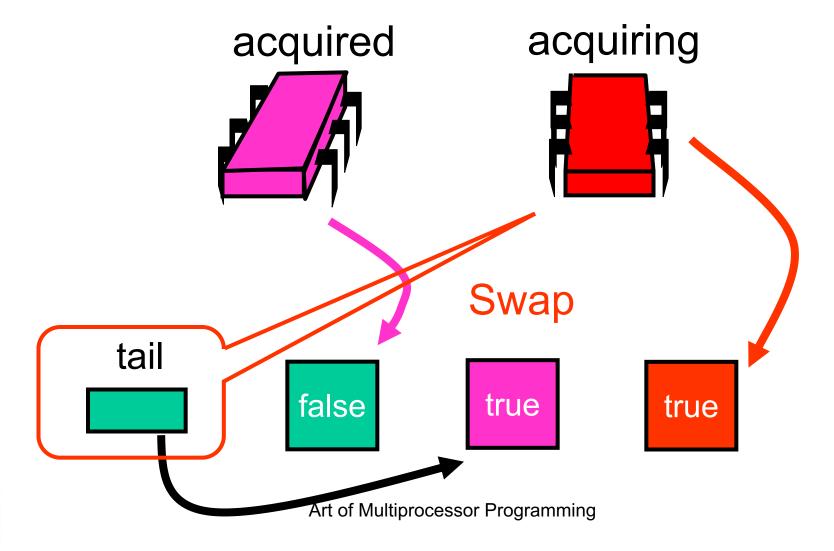
Purple Has the Lock



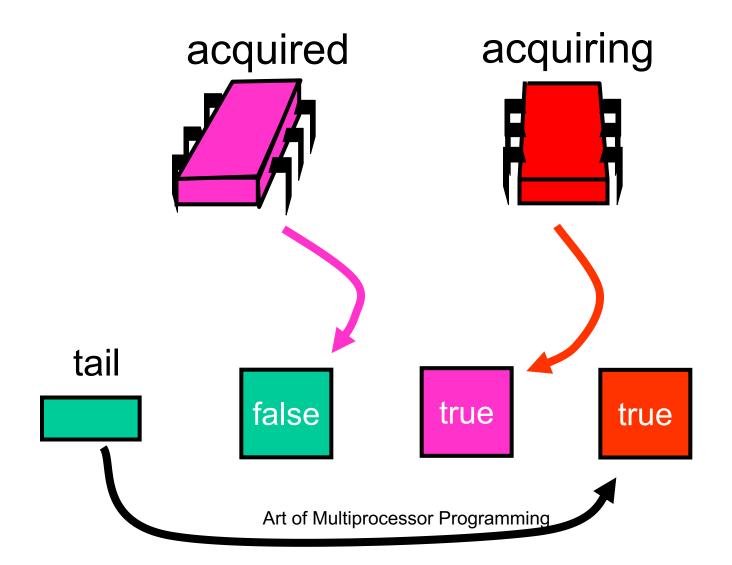




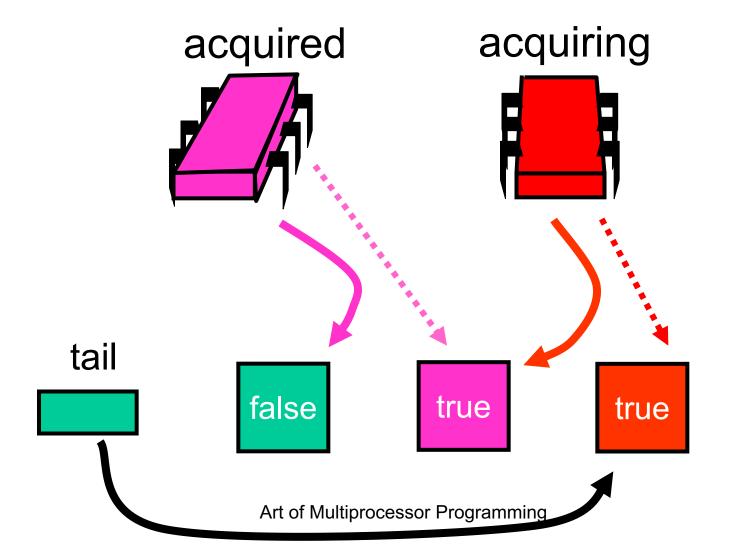




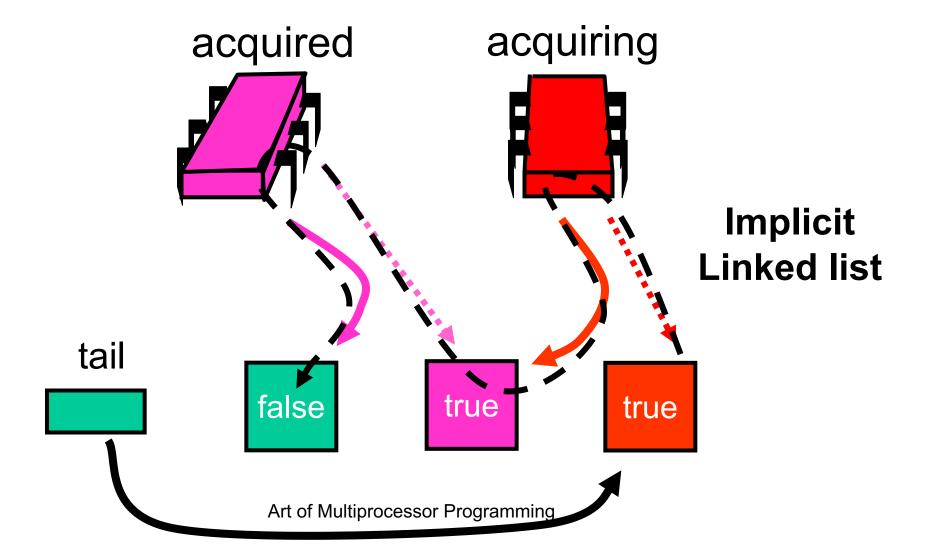




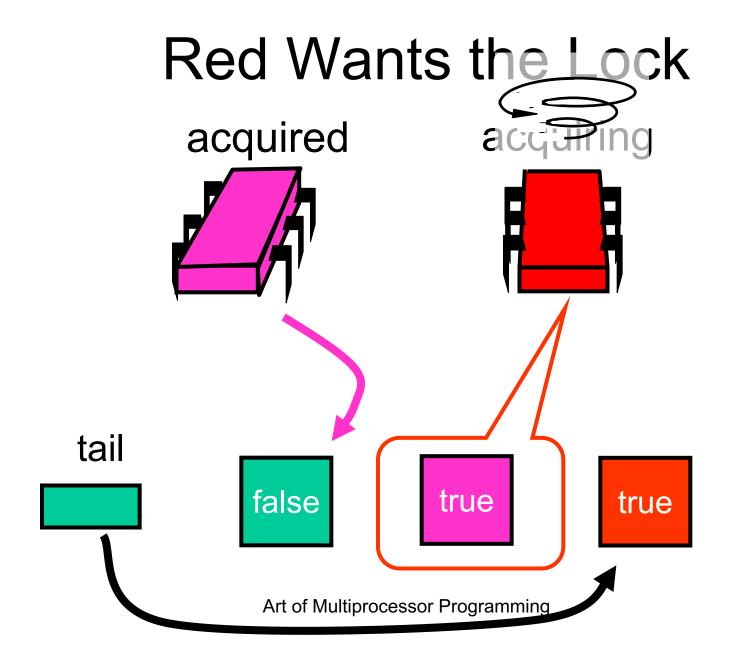




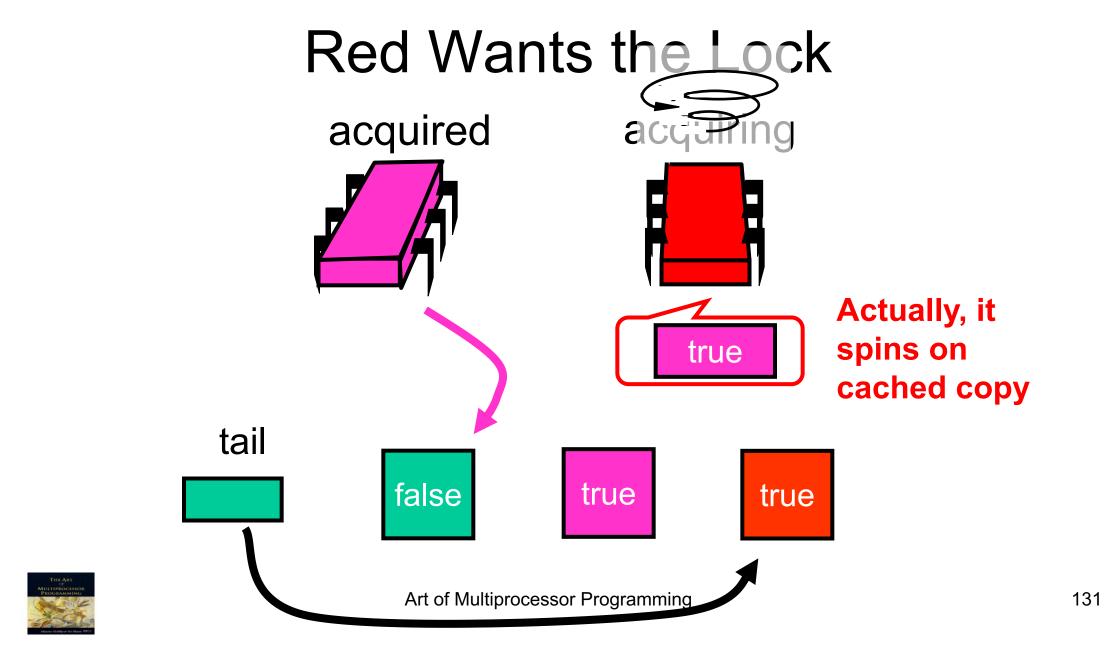




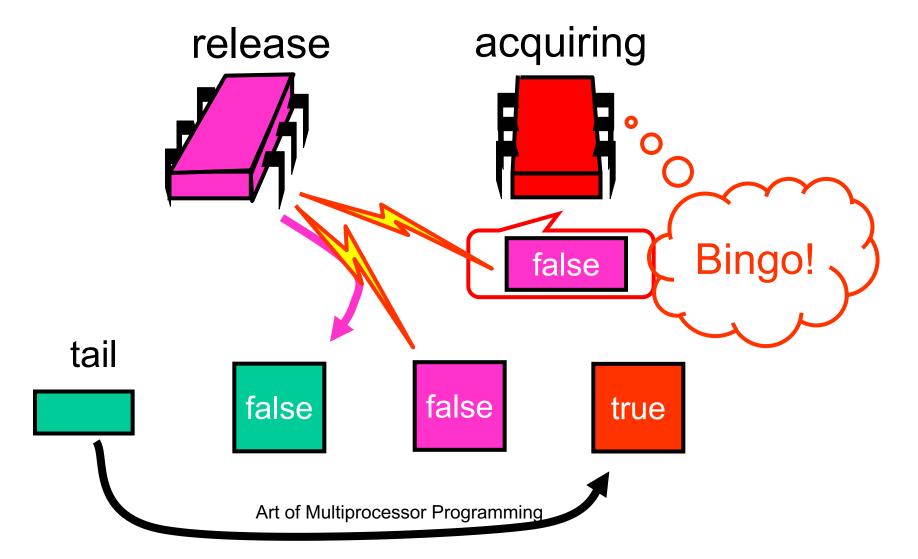








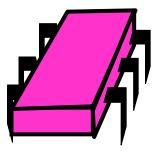
Purple Releases



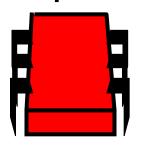


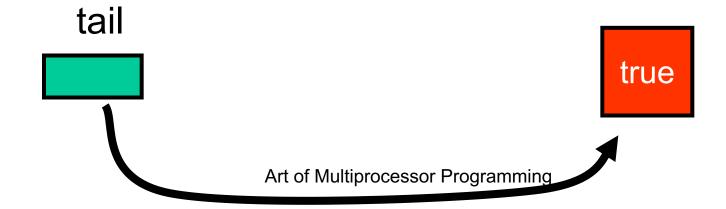
Purple Releases

released



acquired







Space Usage

- Let
 - L = number of locks
 - -N = number of threads
- ALock
 - -O(LN)
- CLH lock
 - -O(L+N)



```
class Qnode {
  AtomicBoolean locked =
    new AtomicBoolean(true);
}
```



```
class Qnode {
   AtomicBoolean locked =
   new AtomicBoolean(true);
}
```

Not released yet



```
class CLHLock implements Lock {
AtomicReference<Qnode> tail;
ThreadLocal<Qnode> myNode
    = new Qnode();
 public void lock() {
  Qnode pred
    = tail.getAndSet(myNode);
 while (pred.locked) {}
}}
```



```
class CLHLock implements Lock {
AtomicReference<Qnode> tail;
ThreadLocal<Qnode> myNode
    = new Qnode();
 public void lock()
 Qnode pred
    = tail.getAndSet(myNode);
 while (pred.locked) {}
 }}
                        Queue tail
```



```
class CLHLock implements Lock {
AtomicReference<Qnode> tail;
ThreadLocal<Qnode> myNode
    = new Qnode();
 public void lock(
  Qnode pred
    = tail.getAndSet(myNode);
  while (pred.locked) {
 }}
                      Thread-local Qnode
```



```
class CLHLock implements Lock {
AtomicReference<Qnode> tail;
ThreadLocal<Qnode> myNode
                          Swap in my node
   = new Qnode();
 public void lock()
 Qnode pred
   = tail.getAndSet(myNode);
 while (pred.locked) {}
 }}
```



```
class CLHLock implements Lock {
AtomicReference<Qnode> tail;
ThreadLocal<Qnode> myNode
   releases lock
public void lock() {
 Qnode pred
   = tail.getAndSet(myNode);
 while (pred.locked) {}
```



```
Class CLHLock implements Lock {
    ...
    public void unlock() {
        myNode.locked.set(false);
        myNode = pred;
    }
}
```



```
Class CLHLock implements Lock {
 public void unlock() {
 myNode.locked.set(false);
  myNode = pred;
                    Notify successor
```



```
Class CLHLock implements Lock {
 public void unlock() {
  myNode.locked.set(false);
 myNode = pred;
                        Recycle
                  predecessor's node
```



CLH Queue Lock

```
Class CLHLock implements Lock {
    ...
    public void unlock() {
        myNode.locked.set(false);
        myNode = pred;
    }
}
```

(we don't actually reuse myNode. Code in book shows how it's done.)



CLH Lock

- Good
 - Lock release affects predecessor only
 - Small, constant-sized space
- Bad
 - Doesn't work for uncached NUMA architectures

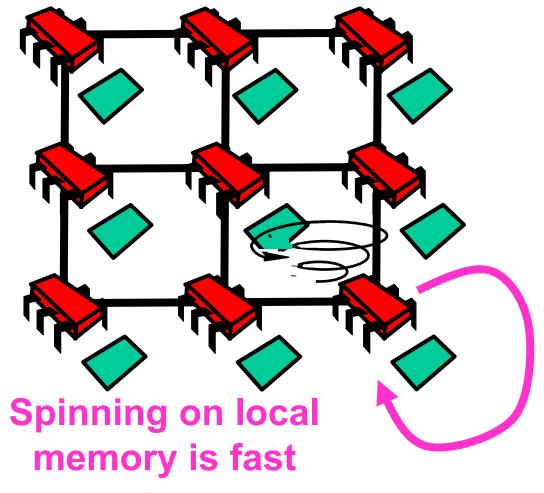


NUMA Architecturs

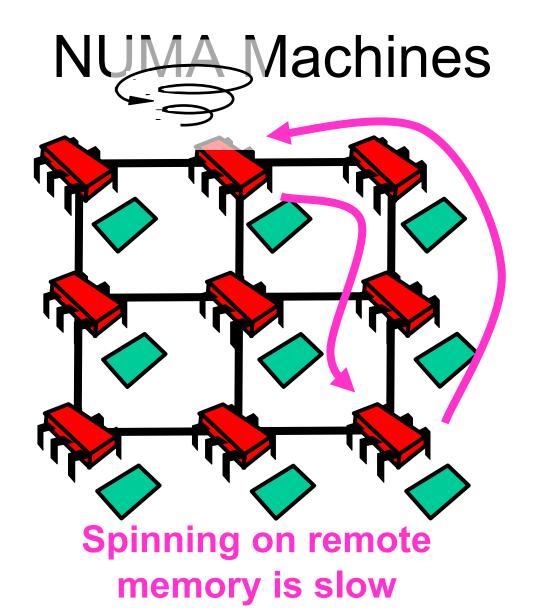
- Acronym:
 - Non-Uniform Memory Architecture
- Illusion:
 - Flat shared memory
- Truth:
 - No caches (sometimes)
 - Some memory regions faster than others



NUMA Machines









CLH Lock

- Each thread spins on predecessor's memory
- Could be far away



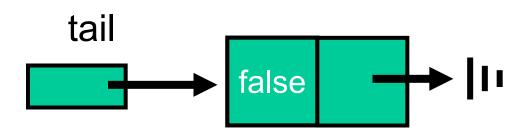
MCS Lock

- FIFO order
- Spin on local memory only
- Small, Constant-size overhead
- Linux implemented MCS
 - kernel/locking/qspinlock.c

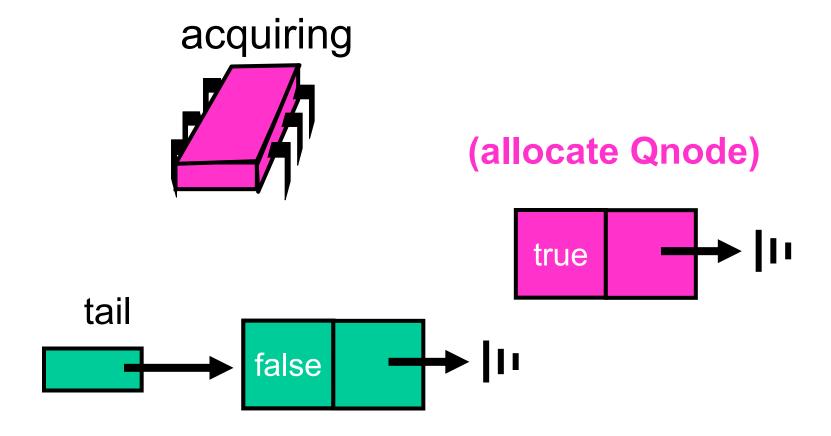


Initially

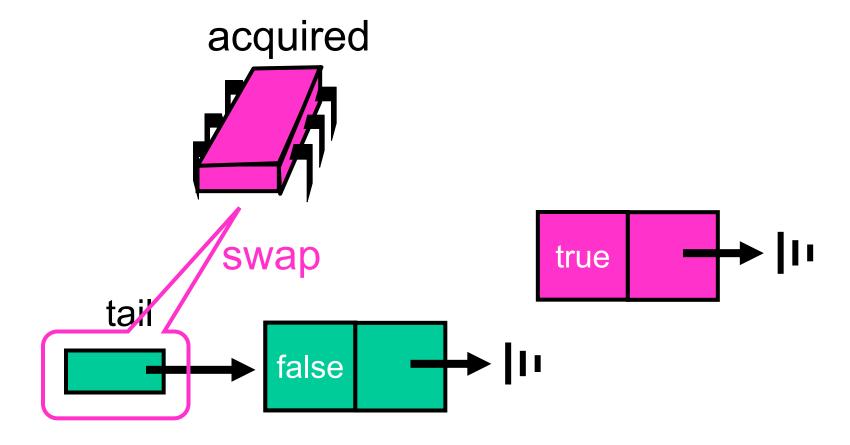




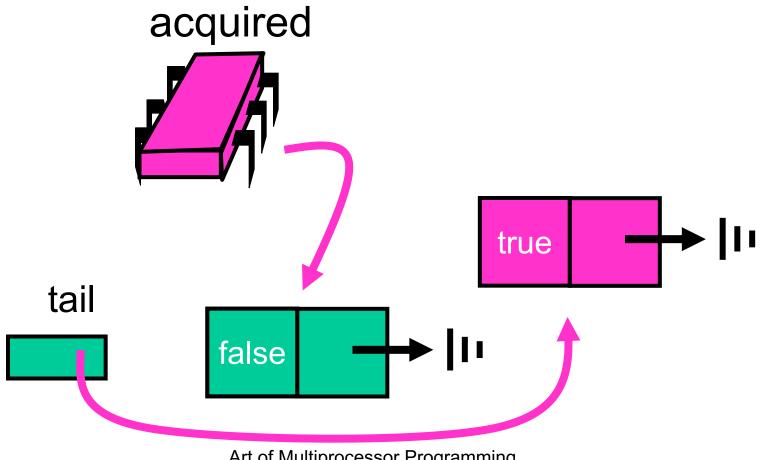






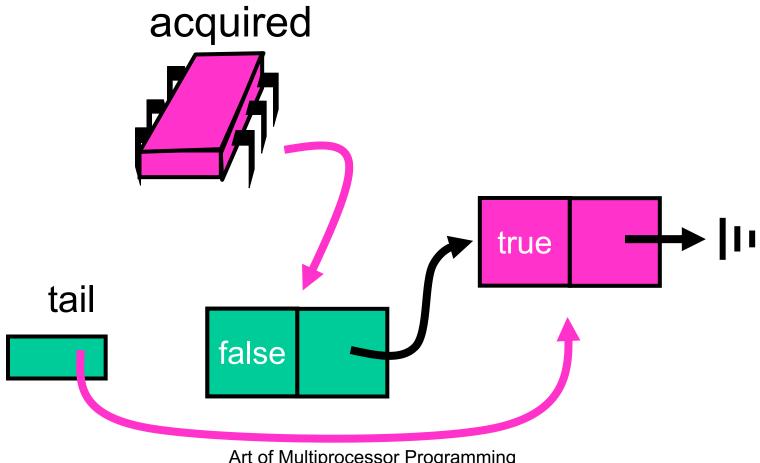




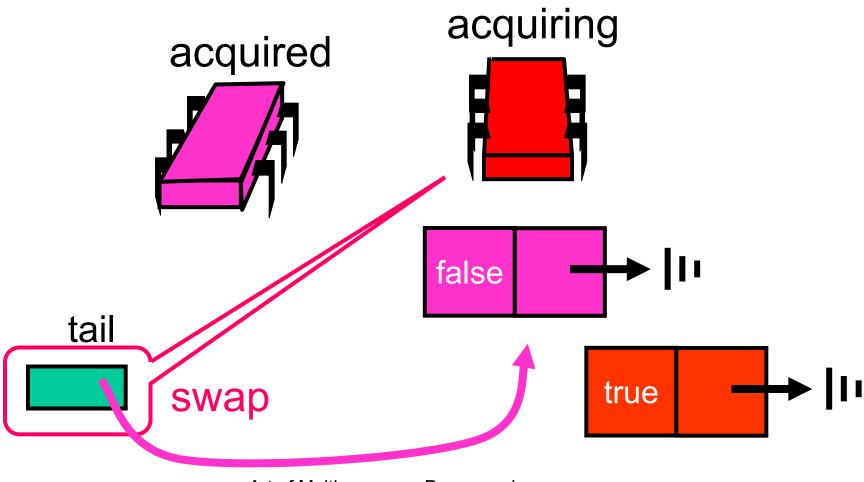




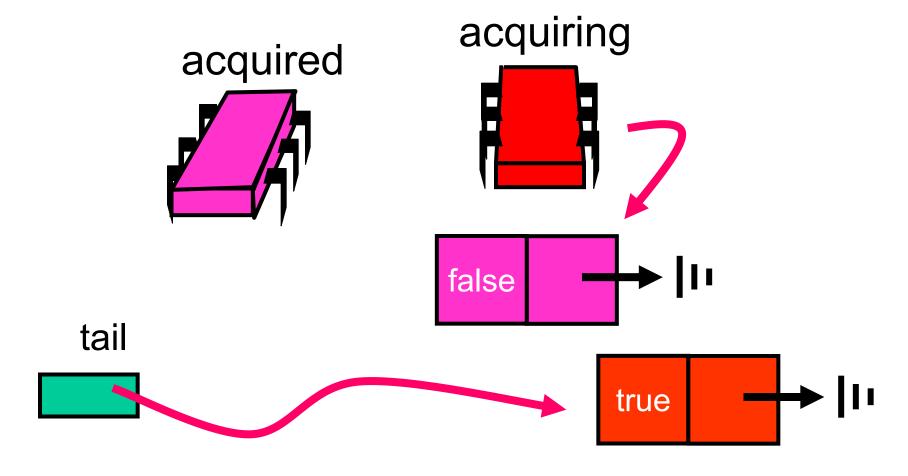
Acquired



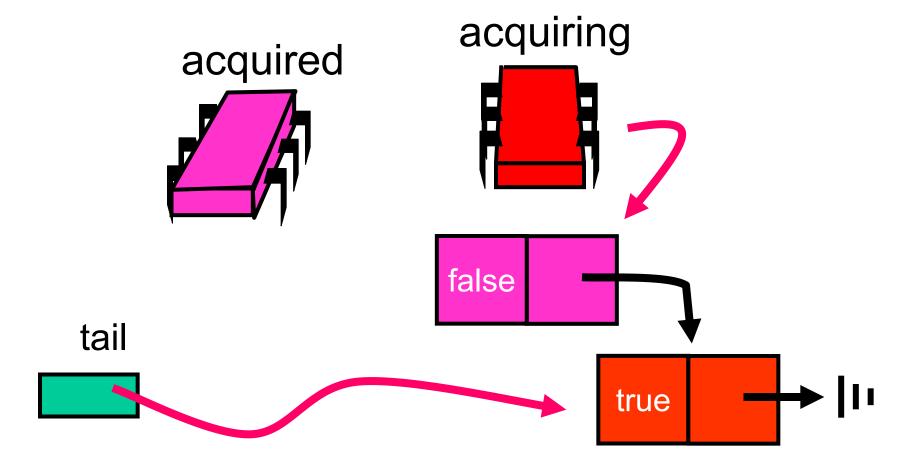




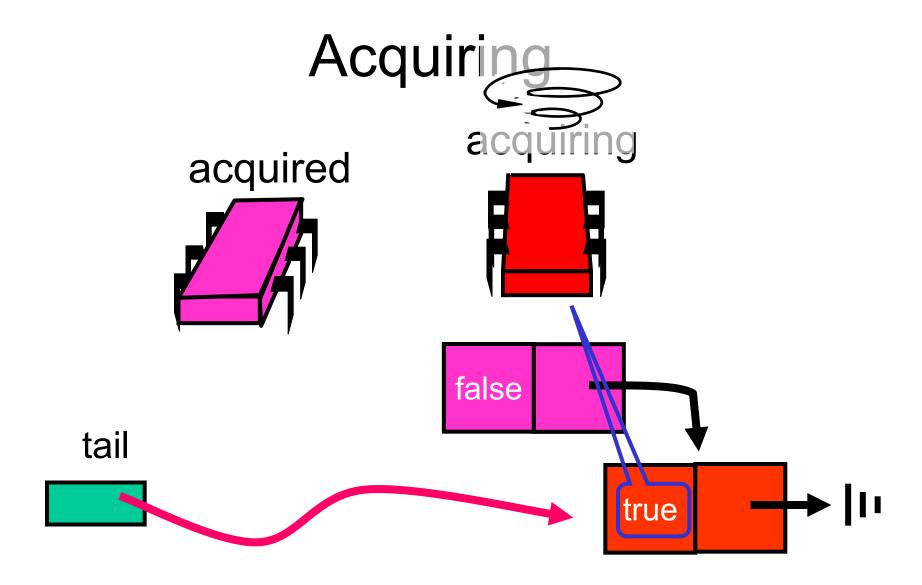




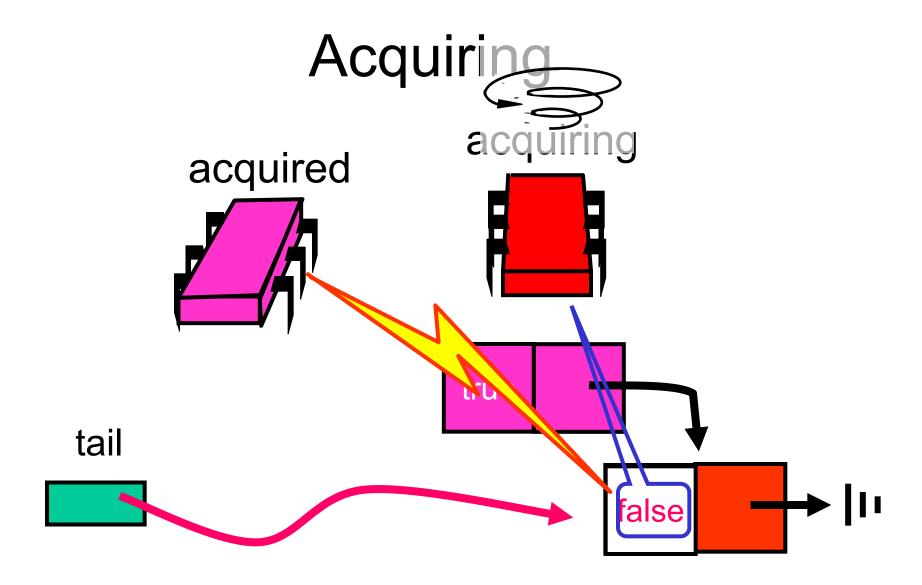




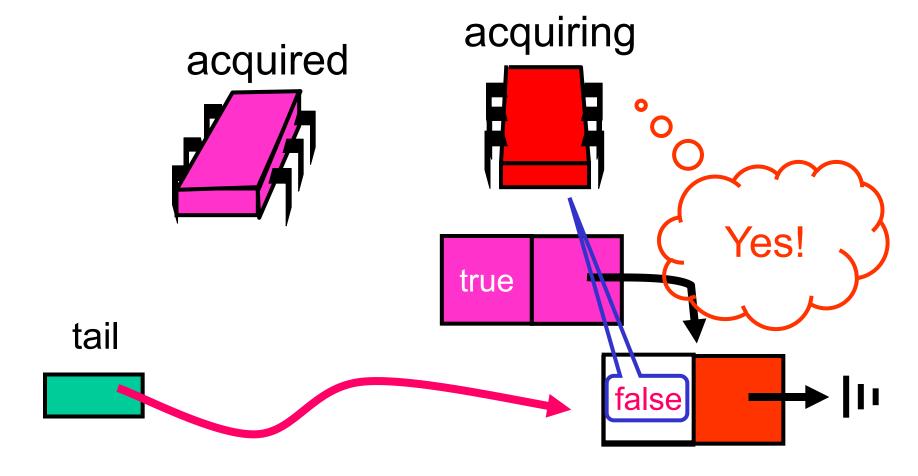














```
class Qnode {
  boolean locked = false;
  qnode next = null;
}
```



```
class MCSLock implements Lock {
AtomicReference tail;
 public void lock() {
  Qnode qnode = new Qnode();
  Qnode pred = tail.getAndSet(qnode);
  if (pred != null) {
   qnode.locked = true;
   pred.next = qnode;
  while (qnode.locked) {}
  }}}
```



```
class MCSLock implements Lock {
                                 Make a
AtomicReference tail;
                                  QNode
 public void lock()
 Qnode qnode = new Qnode();
  Qnode pred = tail.getAndSet(qnode);
  if (pred != null) {
   qnode.locked = true;
   pred.next = qnode;
   while (qnode.locked) {}
  }}}
```



```
class MCSLock implements Lock {
AtomicReference tail;
 public void lock() {
 Qnode qnode = new Qnode();
 Qnode pred = tail.getAndSet(qnode);
  if (pred != null) {
  qnode.locked = true;add my Node to
   pred.next = qnode;
                          the tail of
  while (qnode.locked) {}
                            queue
  }}}
```



```
class MCSLock implements Lock {
                          Fix if queue was
AtomicReference tail;
                            non-empty
 public void lock() {
  Qnode qnode = new Qno
  Qnode pred = tail.getAndSet(qnode);
  if (pred != null) {
  qnode.locked = true;
   pred.next = qnode;
   while (qnode.locked) {}
  }}}
```



```
class MCSLock implements Lock {
AtomicReference tail; Wait until
 public void lock() {      unlocked
 Qnode qnode = new Qnode();
 Qnode pred = tail.getAndSet(qnode);
 if (pred != null) {
   qnode.locked = true
   pred.next = qnode;
  while (qnode.locked) {}
 }}}
```



MCS Queue Unlock

```
class MCSLock implements Lock {
AtomicReference tail;
 public void unlock() {
  if (qnode.next == null) {
   if (tail.CAS(qnode, null)
    return;
  while (qnode.next == null) {}
qnode.next.locked = false;
}}
```



```
class MCSLock implements Lock {
AtomicReference tail;
 public void unlock() {
  if (qnode.next == null) {
   if (tail.CAS(qnode,
    return;
  while (qnode.next == nu
                             Missing
 qnode.next.locked = false;
                            successor
}}
```



```
:k {
  If really no successor,
           return
  if (qnode.next == nu
   if (tail.CAS(qnode, null)
    return;
   while (qnode.next == null) {}
 qnode.next.locked = false;
}}
```

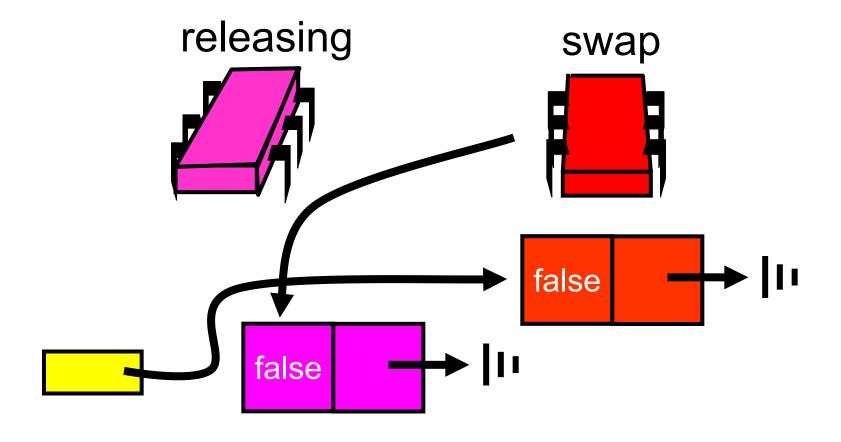


```
:k {
     Otherwise wait for
  successor to catch up
  if (qnode.next == null) {
  if (tail.CAS(qnode, null)
   while (qnode.next == null) {}
 qnode.next.locked = false;
}}
```

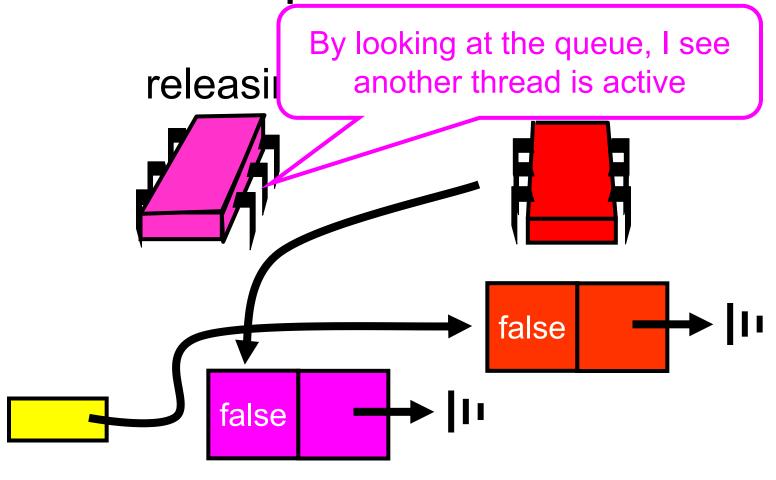


```
class MCSLock implements Lock {
AtomicRef
public vo. Pass lock to successor
 if (qnode.next == null) {
  if (tail.CAS(qnode, null)
    return;
  while (qnode.next == null) {}
qnode.next.locked = false;
```

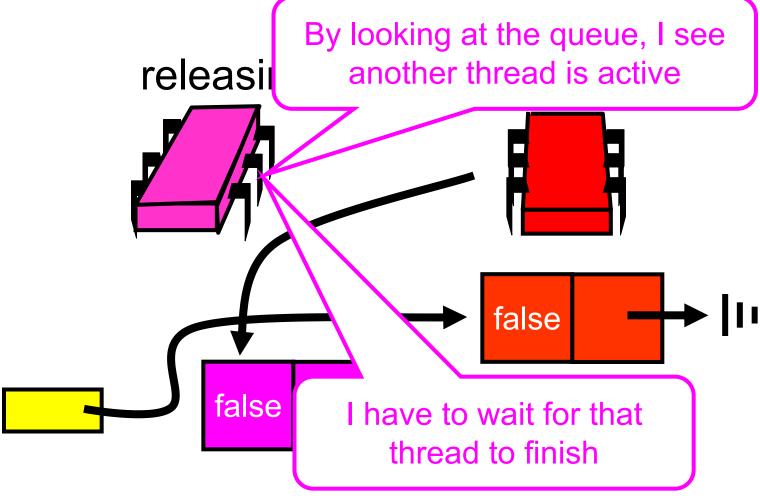




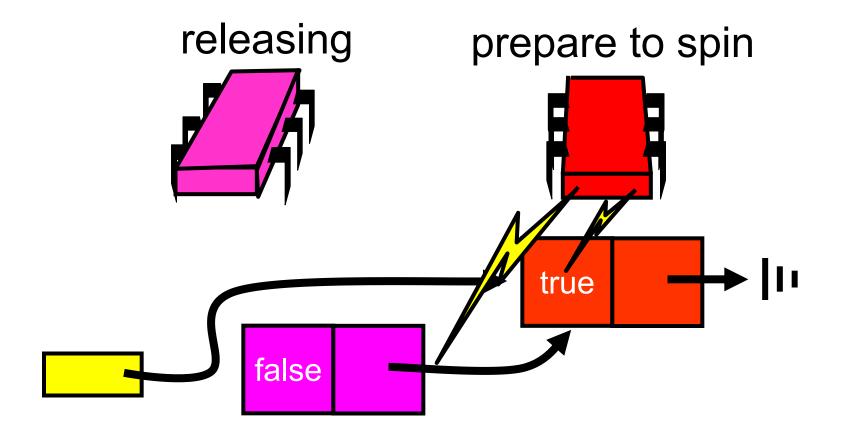




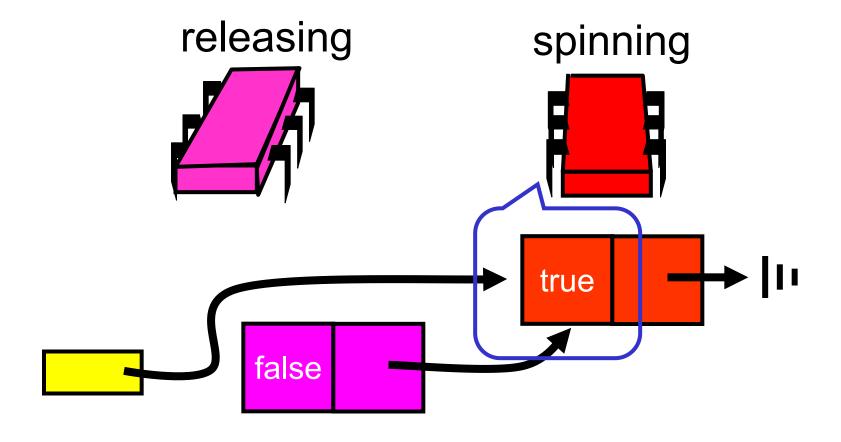




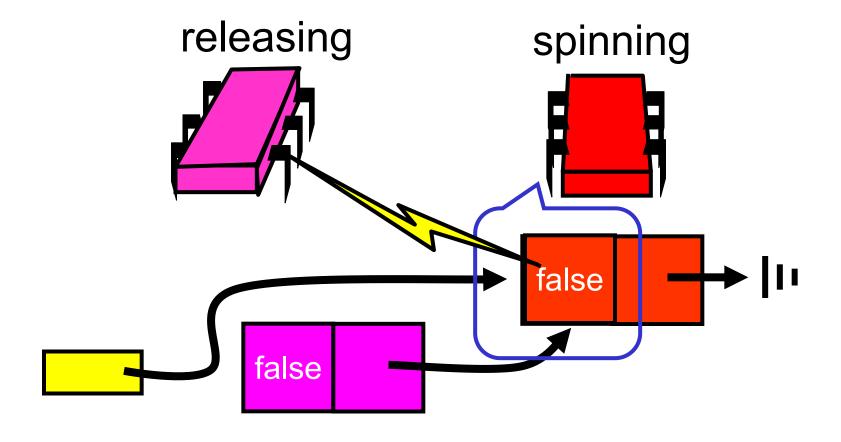




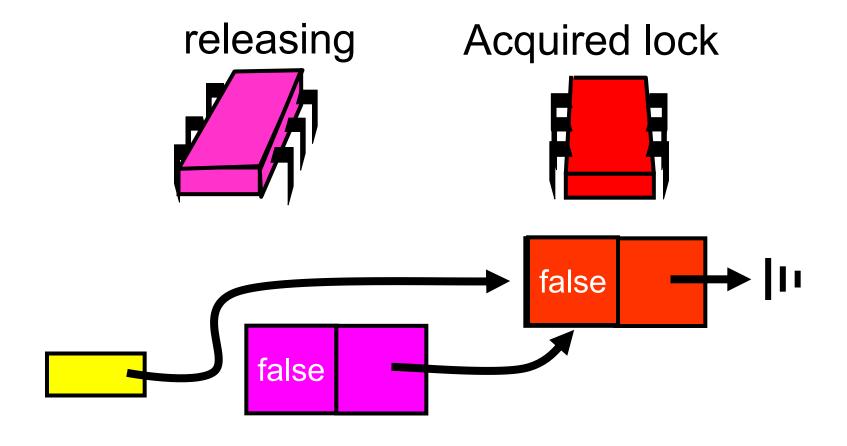














One Lock To Rule Them All?

- TTAS+Backoff, CLH, MCS, ToLock...
- Each better than others in some way
- There is no one solution
- Lock we pick really depends on:
 - the application
 - the hardware
 - which properties are important

