Wait-free Computing

Prof R. Guerraoui Distributed Programming Laboratory



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AMD Opteron (4 cores)





SUN's Niagara CPU2 (8 cores)





CCX – Crosssbar	L2T – L2 tag arrays
CCU – Clock control	MCU – Memory controller
DMU/PEU – PCI Express	MIO – Miscellaneous I/O
EFU – Efuse for redundancy	PSR – PCI Express SERDES
ESR – Ethernet SERDES	RDP/TDS/RTX/MAC – Ethernet
FSR – FBD SERDES	SII/SIO – I/O data path to and from memory
L2B – L2 write-back buffers	SPC – SPARC cores
L2D – L2 data arrays	TCU – Test and control unit

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Principles of an architecture

Two fundamental components that *fall apart*: processors and memory



Concurrent processes



Shared object

Counter

```
public class Counter
private int c = 0;
public long getAndIncrement()
{
return c++;
}
```



Implicit use of a lock

```
public class SynchronizedCounter {
    private int c = 0;
    public synchronized void increment() {
        c++;
    }
    public synchronized void getAndincrement()
{
        return c++;
    }
    public synchronized int value() {
        return c;
    }
}
```

Locking with compare&swap()

- A Compare&Swap object maintains a value x, init to ⊥, and y;
- It provides one operation: c&s(old,new);
 - ✓ Sequential spec:
 - c&s(old,new)

{y := x; if x = old then x := new; return(y)}

Locking with compare&swap()

```
lock() {
repeat until
unlocked = this.c&s(unlocked,locked)
}
unlock() {
   this.c&s(locked,unlocked)
   }
```

Locking with test&set()

- A *Test&Set* object maintains binary values x, init to 0, and y;
- It provides one operation: t&s()

✓ Sequential spec:

✓ t&s() {y := x; x: = 1; return(y);}

Locking with test&set()

```
lock() {
repeat until (0 = this.t&s());
}
unlock() {
    this.setState(0);
    }
```

Locking with test&set()

```
lock() {
while (true)
 {
 repeat until (0 = this.getState());
 if 0 = (this.t&s()) return(true);
 }
unlock() {
         this.setState(0);
     }
```

Explicit use of a lock

```
Lock l = ...;
l.lock();
try {
// access the resource protected by this lock
} finally {
l.unlock();
}
```

Locking (mutual exclusion)

- *Difficult:* 50% of the bugs reported in Java come from the mis-use of « synchronized »
- *Fragile:* a process holding a lock prevents all others from progressing
- Slow: the act of locking itself impacts performance

Locked object

One process at a time

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Processes are asynchronous

Page faults
Pre-emptions
Failures
Cache misses, ...

Processes are asynchronous

- A cache miss can delay a process by ten instructions
- A page fault by few millions
- An os preemption by hundreds of millions...

Coarse grained locks => slow

Fine grained locks => errors

Processes are asynchronous

 Page faults, pre-emptions, failures, cache misses, ...

A process can be delayed by millions of instructions ...



Wait-free atomic objects

- Wait-freedom: every process that invokes an operation eventually returns from the invocation (robust ... unlike locking)
- Atomicity: every operation appears to execute instantaneously (as if the object was locked...)

In short

The fundamental question is how to *wait-free* implement high-level *atomic* objects out of primitive base objects

Concurrent processes

Shared object

- We assume a finite set of processes
- Processes are denoted by p1,...pN or p, q, r
- Processes have unique identities and know each other (unless explicitly stated otherwise)

Processes are sequential units of computations

Inless explicitly stated otherwise, we make no assumption on process (relative) speeds



- A process either executes the algorithm assigned to it or crashes
- A process that crashes does not recover (in the context of the considered computation)
- A process that does not crash in a given execution (computation or run) is called correct (in that execution)

Processes p1 Vcrash p2 p3

On objects and processes

 Processes execute local computation or access shared objects through their operations

For Every operation is expected to return a reply



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On objects and processes

Sequentiality means here that, after invoking an operation op1 on some object O1, a process does not invoke a new operation (on the same or on some other object) until it receives the reply for op1

Remark. Sometimes we talk about operations when we should be talking about operation invocations



Atomicity

Every operation appears to execute at some indivisible point in time (called linearization point) between the invocation and reply time events

Atomicity


Atomicity



Atomicity (the crash case)



Atomicity (the crash case)



Atomicity (the crash case)



Any correct process that invokes an operation eventually gets a reply, no matter what happens to the other processes (crash or very slow)



- Wait-freedom conveys the robustness of the implementation
- With a wait-free implementation, a process gets replies despite the crash of the n-1 other processes
- Note that this precludes implementations based on locks (mutual exclusion)



Example 1

- The reader/writer synchronization problem corresponds to the *register* object
- Basically, the processes need to read or write a shared data structure such that the value read by a process at a time t, is the last value written before t

Register

A register has two operations: read() and write()

We assume that a *register* contains an integer for presentation simplicity, i.e., the value stored in the *register* is an integer, denoted by x (initially 0)

Sequential specification

Sequential specification read() return(x) write(v) *✓* X <- V; return(ok)



Atomicity?





Atomicity?





Atomicity? write(1) - ok p1 read() - 1p2 read() - 0p3









Atomicity?

write(1) - ok



Example 2

- The producer/consumer synchronization problem corresponds to the *queue* object
- Producer processes create items that need to be used by consumer processes
- An item cannot be consumed by two processes and the first item produced is the first consumed

Queue

A queue has two operations: enqueue() and dequeue()

We assume that a *queue internally* maintains a list x which exports operation *appends()* to put an item at the end of the list and *remove()* to remove an element from the head of the list

Sequential specification

dequeue()

- if(x=0) then return(nil);
- else return(x.remove())

« enqueue(v)

- r x.append(v);
- return(ok)

Atomicity?



Atomicity?







Registers

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Register

- A register has two operations: read() and write()
- Sequential specification
- < read()</pre>
 - return(x)
 - write(v)
 - r x <- v; return(ok)</pre>

Simplifications

- We assume that *registers* contain only integers
- Unless explicitly stated otherwise, registers are initially supposed to contain 0

Space of registers

Dimension 1: binary (boolean) – multivalued

- C Dimension 2:
 - SRSW (single reader, single writer)
 - MRSW (multiple reader, single writer)
 - MRMW (multiple reader, multiple writer)
- ✓ Dimension 3: safe regular atomic






2 decades of hard work

Theorem: A multivalued MRMW atomic
 register can be implemented with binary
 SRSW safe *register*

Algorithms

- The process executing the code is implicitly assumed to be pi
- We assume a system of N processes
- NB. We distinguish base and high-level registers

Conventions

- The operations to be implemented are denoted *Read()* and *Write()*
- Those of the base registers are denoted read() and write()
- We omit the *return(ok)* instruction at the end of *Write()* implementations

(1) From (binary) SRSW safe to (binary) MRSW safe

We use an array of SRSW registers Reg[1,..,N]

r Read()

return (Reg[i].read());

Write(v)

- r for j = 1 to N
 - r Reg[j].write(v);

(2) From binary MRSW safe to binary MRSW regular

We use one MRSW safe registerRead()

return(Reg.read());

- Write(v)
 - \checkmark if old \neq v then
 - r Reg.write(v);
 - old := v;

(3) From *binary* to *M-Valued* MRSW regular

We use an array of MRSW registers Reg[0,1,..,M] init to [1,0,..,0]

r Read()

 \checkmark for j = 0 to M

r if Reg[j].read() = 1 then return(j)

Write(v)

- Reg[v].write(1);
- ✓ for j=v-1 downto 0
 - Reg[j].write(0);

(4) From SRSW *regular* to SRSW *atomic*

We use one SRSW register Reg and two local variables t and x

Read()
 (t',x') = Reg.read();
 if t' > t then t:=t'; x:=x';
 return(x)

 Write(v)

r t := t+1;

Reg.write(v,t);

(5) From SRSW atomic to MRSW atomic

- We use N*N SRSW atomic registers RReg[(1,1),(1,2),...,(k,j),...(N,N)] to communicate among the readers
 - In RReg[(k,j)] the reader is pk and the writer is pj
- We also use n SRSW atomic *registers* WReg[1,..,N] to store new values
 - the writer in all these is p1
 - the reader in WReg[k] is pk

(5) From SRSW atomic to MRSW atomic (cont'd)

Write(v)

- r t1 := t1+1;
- \checkmark for j = 1 to N
 - WReg.write(v,t1);

(5) From SRSW atomic to MRSW atomic (cont'd)

Read() \checkmark for j = 1 to N do r (t[j],x[j]) = RReg[i,j].read(); r(t[0],x[0]) = WReg[i].read();(t,x) := highest(t[..],x[..])Value with highest timestamp \checkmark for j = 1 to N do r RReg[j,i].write(t,x); return(x)

(6) From *MRSW* atomic to *MRMW* atomic

We use N MRSW atomic registers Reg[1,..,N]; the writer of Reg[j] is pj

```
    Write(v)
    for j = 1 to N do
        (t[j],x[j]) = Reg[j].read();
        (t,x) := highest(t[..],x[..]);
        t := t+1;
        Reg[i].write(t,v);
    }
```

(6) From MRSW atomic to MRMW atomic (cont'd)



The Power of Registers

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Registers

- *Question 1:* what objects can we implement with registers?
- Question 2: what objects we cannot implement?

Wait-free implementations of atomic objects

- An atomic object is simply defined by its sequential specification; i.e., by how its operations should be implemented when there is no concurrency
- Implementations should be *wait-free*: every process that invokes an operation eventually gets a reply (unless the process crashes)

Counter (sequential spec)

- A counter has two operations inc() and read() and maintains an integer x init to 0

Naive implementation

The processes share one register Reg

read():

return(Reg.read())

inc():

- r temp:= Reg.read()+1;
- r Reg.write(temp);

return(ok)



Atomic implementation

- The processes share an array of registers Reg[1,..,n]
- *r inc():*
 - Reg[i].write(Reg[i].read() +1);return(ok)

Atomic implementation



Snapshot (sequential spec)

- A snapshot has operations update() and scan() and maintains an array x of size n
- *scan():*
 return(x)
 update(i,v): x[i] := v;
 return(ok)

Very naive implementation

- Each process maintains an array of integer variables x init to [0,..,0]
- *scan():*
 return(x)
 update(i,v): x[i] := v;
 return(ok)



Less naive implementation

- The processes share one array of N registers Reg[1,..,N]
- scan():
 - \checkmark for j = 1 to N do
 - r x[j] := Reg[j].read();
 - return(x)

update(i,v):

r Reg[i].write(v); return(ok)







Non-atomic vs atomic snapshot

What we implement here is some kind of regular snapshot:

- A scan returns, for every index of the snapshot, the last written values or the value of any concurrent update
- We call it collect

Key idea for atomicity

- To scan, a process keeps reading the entire snapshot (i.e., it collect), until two results are the same
- This means that the snapshot did not change, and it is safe to return without violating atomicity



Enforcing atomicity

- The processes share one array of N registers Reg[1,..,N]; each contains a value and a timestamp
- We use the following operation for modularity
- collect():
 - r for j = 1 to N do
 r x[j] := Reg[j].read();
 return(x)

Enforcing atomicity (cont'd)

scan():

- r temp1 := self.collect();
- while(true) do
 - rtemp2 := self.collect();
 - ✓ if (temp1 = temp2) then
 - return (temp1.val)

rtemp1 := temp2;

r update(i,v):

- ts := ts + 1;
- Reg[i].write(v,ts);
- return(ok)


Key idea for atomicity & wait-freedom

- The processes share an array of *registers* Reg[1,..,N] that contains each:
 - a value,
 - a timestamp, and
 - a copy of the entire array of values

Key idea for atomicity & wait-freedom (cont'd)

- To scan, a process keeps collecting and returns a collect if it did not change, or some collect returned by a concurrent scan
 - Timestamps are used to check if the collect changes or if a scan has been taken in the meantime
- To *update*, a process *scans* and writes the value, the new timestamp and the result of the scan

Snapshot implementation

Every process keeps a local timestamp ts

update(i,v):

- r ts := ts + 1;
- r Reg[i].write(v,ts,self.scan());

return(ok)

Snapshot implementation

scan():

- r t1 := self.collect(); t2:= t1
- while(true) do
 - r t3:= self.collect();
 - r if (t3 = t2) then return (t3);
 - \checkmark for j = 1 to N do
 - r if(t3[j,2] ≥ t1[j,2]+2) then
 - return (t3[j,3])
 - r t2 := t3

Return the first value in each cell in t3



The Limitations of Registers

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Registers

- Question 1: what objects can we implement with registers? Counters and snapshots (previous lecture)
- **Question 2:** what objects we cannot implement? (this lecture)

Shared memory model



Shared memory model



Shared memory model



Fetch&Inc

- A counter that contains an integer
- Operation fetch&inc() increments the counter and returns the new value

The consensus object

- One operation *propose()* which returns a value.
 When a propose operation returns, we say that the process decides
- No two processes decide differently
- Every decided value is a proposed value

The consensus object

- Proposition:
 - ✓ Consensus can be implemented among two processes with Fetch&Inc and registers
- Proof (algorithm): consider two processes p0 and p1 and two registers R0 and R1 and a Fetch&Inc C.

2-Consensus with Fetch&Inc

- Uses two registers R0 and R1, and a Fetch&Inc object C (with one fetch&inc() operation that returns its value)
- (NB. The value in C is initialized to 0)
- Process pl:

```
  propose(vl)
  RI.write(vl)
  val := C.fetch&inc()
  if(val = 1) then
  ✓ return(vl)
  – else return(R{1-l}.read())
```

Impossibility [FLP85,LA87]

- Proposition: there is no asynchronous deterministic algorithm that implements consensus among two processes using only registers
- Corollary: there is no algorithm that implements Fetch&Inc among two processes using only registers

Queue

- The queue is an object container with two operations: enq() and deq()
- Can we implement a (atomic wait-free) queue?

2-Consensus with queues

Uses two registers R0 and R1, and a queue Q Q is initialized to {winner, loser}

```
Process pl:
```

```
propose(vl)
RI.write(vl)
item := Q.dequeue()
if item = winner return(vl)
return(R{1-l}.read())
```



Correctness

Proof (algorithm):

- (wait-freedom) by the assumption of a wait-free register and a wait-free queue plus the fact that the algorithm does not contain any wait statement
- (validity) If pI dequeues winner, it decides on its own proposed value. If pI dequeues loser, then the other process pJ dequeued winner before. By the algorithm, pJ has previously written its input value in RJ. Thus, pI decides on pJ's proposed value;
- (agreement) if the two processes decide, they decide on the value written in the same register.

More consensus implementations

- A Test&Set object maintains binary values x, init to 0, and y; it provides one operation: test&set()
 - ✓ Sequential spec:
 - ✓ test&set() {y := x; x: = 1; return(y);}
- A Compare&Swap object maintains a value x, init to ⊥, and provides one operation: compare&swap(v,w);
 - ✓ Sequential spec:
 - c&s(old,new) {if x = old then x := new; return(x)}

2-Consensus with Test&Set

Uses two registers R0 and R1, and a Test&Set object T

Process pl:

	propose(vI)
	RI.write(vI)
	val := T.test&set()
	if(val = 0) then
\checkmark	return(vl)
	else return(R{1-I}.read())

N-Consensus with C&S

- Uses a C&S object C
- Process pl:

	propose(vl)
•	val := C.c&s(⊥,vI)
•	if(val = ⊥) then
\checkmark	return(vl)
	– else return(val)

Impossibility [FLP85,LA87]

- Proposition: there is no asynchronous deterministic algorithm that implements consensus among two processes using only registers
- Corollary: there is no algorithm that implements a queue (Fetch&Inc,...) among two processes using only registers

Registers

- Question 1: what objects can we implement with registers? Counters and snapshots (previous lecture)
- Question 2: what objects we cannot implement? All objects that (together with registers) can implement consensus (this lecture)

Impossibility (Proof)

- Proposition: there is no algorithm that implements consensus among two processes using only registers
- Proof (by contradiction): consider two processes p0 and p1 and any number of *registers*, R1..Rk..

Assume that a consensus algorithm A for p0 and p1 exists.

Elements of the model

- A configuration is a global state of the distributed system
- A new configuration is obtained by executing a *step* on a previous configuration: the step is the unit of execution

Elements of the model

 The adversary decides which process executes the next step and the algorithm deterministically decides the next configuration based on the current one

What is distributed computing? A game



A game between an adversary and a set of processes





The adversary decides which process goes next

The processes take steps



Elements of the model

 The adversary decides which process executes the next step and the algorithm deterministically decides the next configuration based on the current one

Elements of the model

- Schedule: a sequence of steps represented by process ids
- The schedule is chosen by the system
- An asynchronous system is one with no constraint on the schedules: any sequence of process ids is a schedule

Consensus

- The algorithm must ensure that agreement and validity are satisfied in every schedule
- Every process that executes an infinite number of steps eventually decides

Impossibility (elements)

- (1) a (initial) configuration C is a set of (initial) values of p0 and p1 together with the values of the registers: R1..Rk,..;
- (2) a step is an elementary action executed by some process pl: it consists in reading or writing a value in a register and changing pl's state according to the algorithm A;
- (3) a schedule S is a sequence of steps; S(C) denotes the configuration that results from applying S to C.

Impossibility (elements)

- Consider u to be 0 or 1; a configuration C is *u*valent if, starting from C, no matter how the processes behave, no decision other than u is possible
- We say that the configuration is *univalent*.
 Otherwise, the configuration is called *bivalent*







Impossibility (structure)

- Lemma 1: there is at least one initial bivalent configuration
- Lemma 2: given any bivalent configuration C, there is an arbitrarily long schedule S(C) that leads to another bivalent configuration

The conclusion

- Lemmas 1 and 2 imply that there is a configuration C and an *infinite* schedule S such that, for any prefix S' of S, S'(C) is bivalent.
- In infinite schedule S, at least one process executes an infinite number of steps and does not decide
- A contradiction with the assumption that A implements consensus.

The initial configuration C(0,1) is bivalent

Proof: consider C(0,0) and p1 not taking any step: p0 decides 0; p0 cannot distinguish C(0,0) from C(0,1) and can hence decides 0 starting from C(0,1); similarly, if we consider C(1,1) and p0 not taking any step, p1 eventually decides 1; p1 cannot distinguish C(1,1) from C(0,1) and can hence decides 1 starting from C(0,1). Hence the bivalency.

Given any bivalent configuration C, there is an arbitrarily long schedule S such that S(C) is bivalent

Proof (by contradiction): let S be the schedule with the maximal length such as D= S(C) is bivalent; p0(D) and p1(D) are both univalent: one of them is 0-valent (say p0(D)) and the other is 1-valent (say p1(D))

 Proof (cont'd): To go from D to p0(D) (vs p1(D)) p0 (vs p1) accesses a register; the register must be the same in both cases; otherwise p1(p0(D)) is the same as p0(p1(D)): in contradiction with the very fact that p0(D) is 0-valent whereas p1(D) is 1-valent

Proof (cont'd): To go from D to p0(D), p0 cannot read R; otherwise R has the same state in D and in p0(D); in this case, the registers and p1 have the same state in p1(p0(D)) and p1(D); if p1 is the only one executing steps, then p1 eventually decides 1 in both cases: a contradiction with the fact that p0(D) is 0-valent; the same argument applies to show that p1 cannot read R to go from D to p1(D)

Thus both p0 and p1 write in R to go from D to p0(D) (resp., p1(D)). But then p0(p1(D))=p0(D) (resp. p1(p0(D))=p1(D)) --- a contradiction.

The conclusion (bis)

Lemmas 1 and 2 imply that there is a configuration C and an *infinite* schedule S such that, for any prefix S' of S, S'(C) is bivalent.

In infinite schedule S, at least one process executes an infinite number of steps and does not decide

A contradiction with the assumption that A implements consensus.