CS636: Concurrent Data Structures

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Content influenced by many excellent references, see References slide for acknowledgements.

Need for Concurrent Data Structures

Multithreaded/concurrent programming is now mainstream

Using more hardware resources may not always translate to speedup

Challenges with Concurrent Programming



Need for Concurrent Data Structures



Designing a Concurrent Set Data Structure

Designing A Set Data Structure

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

add(x)

• adds x to the set and returns true if and only if x was not already present

remove(x)

 removes x from the set and returns true if and only if x was present

contains(x)

 returns true if and only if x is present in the set

Designing A Set Data Structure using Linked Lists

class Node {
 T data;
 int key;
 Node next;
}

- Two sentinel nodes
 - head and tail



 key field is the data's hash code, to help with efficient search.

A Set Instance



Invariants

- No duplicates
- Nodes are sorted based on the key value
- tail is reachable from head

A Thread Unsafe Set Data Structure

```
public class UnsafeList<T> {
    private Node head;
```

```
public UnsafeList() {
    head = new Node(Integer.MIN_VALUE);
    head.next = new Node(Integer.MAX_VALUE);
}
```

A Thread Unsafe Set Data Structure: add()

```
public boolean add(T x) {
  Node pred, curr;
  int key = x.hashcode();
  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(x);
   node.next = curr;
   prev.next = node;
   return true;
}
```

}

A Thread Unsafe Set Data Structure: remove()

```
public boolean remove(T x) {
  Node pred, curr;
  int key = x.hashcode();
  pred = head;
  curr = pred.next;
  while (curr.key < key) {</pre>
    pred = curr;
    curr = curr.next;
  }
```

```
if (key == curr.key) {
    pred.next = curr.next;
    return true;
} else {
    return false;
}
```

}

A Thread Unsafe Set Data Structure: contains()

```
public boolean contains(T x) {
  Node pred, curr;
  int key = x.hashcode();
  pred = head;
  curr = pred.next;
  while (curr.key < key) {</pre>
    pred = curr;
    curr = curr.next;
  }
```

```
if (key == curr.key) {
   return true;
} else {
   return false;
}
```

A Thread Unsafe Set Data Structure: remove()

```
public boolean remove(T x) {
                                     if (key == curr.key) {
                                       pred.next = curr.next;
 Node pred, curr;
                                       return true;
  int key = x.hashcode():
  pred
       Can you give an example to show remove() is not
  curr
       Thread Safe?
 while
    prea = curr;
    curr = curr.next;
```

Unsafe Set: Incorrect remove()



- Thread 1 is executing remove(a)
- Thread 2 is executing remove(b)

A Concurrent Set Data Structure

```
public class CoarseList<T> {
    private Node head;
    private Lock lock = new ReentrantLock();
```

```
public CoarseList() {
    head = new Node(Integer.MIN_VALUE);
    head.next = new Node(Integer.MAX_VALUE);
}
```

A Concurrent Set Data Structure: add()

```
public boolean add(T x) {
  Node pred, curr;
  int key = x.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(x);
    node.next = curr;
    prev.next = node;
    return true;
  }
} finally {
 lock.unlock();
```

A Concurrent Set Data Structure: remove()

```
public boolean remove(T x) {
  Node pred, curr;
  int key = x.hashcode();
  lock.lock();
  try {
    pred = head;
    curr = pred.next;
    while (curr.key < key) {</pre>
      pred = curr;
      curr = curr.next;
    }
```

```
if (key == curr.key) {
    pred.next = curr.next;
    return true;
  } else {
    return false;
  }
} finally {
  lock.unlock();
}
```

Performance Metrics of Concurrent Data Structures

- Speedup measures how effectively is an application utilizing resources
 - Linear speedup is desirable
 - Data structures whose speedup grows with resources is desirable
- Amdahl's law says we need to reduce amount of serialized code
- Lock contention
 - Lock implementations with single memory location can introduce additional coherence traffic and memory traffic due to unsuccessful acquires
- Blocking or nonblocking

Challenges in Designing Concurrent Data Structures

- Multiple threads can access a shared object
 - E.g., a node in our Set data structure
- Situation:
 - Thread 1 is checking for contains(a)
 - Thread 2 is executing remove(a)
- How do you reason about the outcome?

Reasoning about Correctness

- Identify invariants and make sure they always hold
 - An item is in the set if and only if it is reachable from head
- Safety property is linearizability
- Liveness property are starvation and deadlock-freedom

- Say you perform some operations on an object
 - Each operation requires an invocation on that object, followed by a response
- A history is a sequence of invocations and responses on an object made by concurrent threads



 Sequential history is where all invocations and responses are instantaneous



 Sequential history is where all invocations and responses are instantaneous



Linearizability

- A history (set of operations) σ is **linearizable** if
 - For every completed operation in σ, the operation returns the same result in the execution as it would return if every operation in σ would have been completed one after the other
 - If an operation op1 completes before operation op2, then op1 precedes op2 in $\sigma.$

Linearizability

- A history (set of operations) σ is **linearizable** if
 - For every completed operation in σ, the operation returns the same result in the execution as it would return if every operation in σ would have been completed one after the other
 - If an operation op1 completes before operation op2, then op1 precedes op2 in σ .
- Simpler words
 - Invocations and response can be reordered to form a sequential history
 - Sequential history is correct according to the semantics of the object
 - If a response preceded an invocation in the original history, it must still precede it in the sequential reordering

• Sequential history

Thread 1 invokes	Thread 1 fails	Thread 2 invokes	Thread 2
acquire(lock)		acquire(lock)	succeeds
	time	Is this	linearizable?

Sequential history
 Thread 1 invokes acquire(lock)
 Thread 1 fails
 Thread 2 invokes acquire(lock)
 time
 Successful linearization

Thread 2 invokes
acquire(lock)Thread 2
succeedsThread 1 invokes
acquire(lock)Thread 1 fails

Linearization Point

- Linearization point is between the function invocation and response
- A single atomic step where the method call "takes effect"

What are the linearization points for add(), remove() and contains() for the coarsely synchronized Set?



Linearizability vs Serializability

Linearizability	Serializability
 Property about operations on individual objects Local property 	 Property about transactions or group of operations on one or more objects
	 Global property

• Requires real-time ordering

• Requires output is equivalent to some serial ordering

Linearizability vs Serializability

Linearizability	Serializability	
 Property about operations on individual objects Local property 	 Property about transactions or group of operations on one or more objects Global property 	
 Requires real-time ordering 	 Requires output is equivalent to some serial ordering 	
"Linearizability can be viewed as a special case of strict serializability where		

transactions are restricted to consist of a single operation applied to a single object" – Herlihy and Wing

Types of Synchronization

Coarse-grained synchronization **Fine-grained synchronization Optimistic synchronization** Lazy synchronization Nonblocking synchronization

Fine-Grained Synchronization

Add a lock object to each list node

class Node {
 T data;
 int key;
 Node next;
 Lock lock;
}

What are a few possible ideas to implement add() and remove()?

Is one lock per node enough?

Thread 1	Thread 2	
<pre>node0.mtx_lock.lock();</pre>		
<pre>node1 = node0.next;</pre>		
<pre>node0.mtx_lock.unlock();</pre>		

// Remove node1 from list

node1.mtx_lock.lock();

Is one lock per node enough?



- Thread 1 is executing remove(a)
- Thread 2 is executing remove(b)

Fine-Grained Synchronization: add()

```
public boolean add(T x) {
  int key = x.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 (key == curr.key) { return false; } else { Node node = new Node(x); node.next = curr; prev.next = node; return true; } finally { curr.unlock(); } finally { pred.unlock();

}

}
Fine-Grained Synchronization: remove()

```
public boolean remove(T x) {
  int key = x.hashcode();
 head.lock();
  Node pred = null, curr = null;
  try {
    pred = head; curr = pred.next;
    curr.lock();
    try {
      while (curr.key < key) {</pre>
        pred.unlock();
        pred = curr;
        curr = curr.next;
        curr.lock();
      }
```

```
if (key == curr.key) {
      pred.next = curr.next;
      return true;
   } else {
      return false;
  } finally {
    curr.unlock();
} finally {
 pred.unlock();
```

}

}

Need to avoid Deadlocks

- Deadlocks are always a problem with fine-grained locking
- For the Set data structure, each thread must acquire locks in some pre-determined order

Fine-Grained Set Design

Are there other problems with our fine-grained Set design?

Optimistic Synchronization

Optimistic strategy

- Access data without acquiring a lock
- Lock only when required
- Validate that the condition before locking is still valid
- If valid, then continue with access/mutation
- If invalid, start over

Optimistic strategy works well if conflicts are rare

Optimistic Synchronization: add()

```
public boolean add(T x) {
  int key = x.hashcode();
 while (true) {
    Node pred = 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 Node(x);
      node.next = curr; prev.next = node;
      return true;
} finally {
  curr.unlock(); pred.unlock();
}
```

How could you validate?

- Double check that the optimistic result is still valid
- Check that prev is reachable from head and prev.next == curr

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

Is validation necessary?

Is validation necessary?

• Thread 1 is executing remove(p)



Optimistic Synchronization: remove()

```
public boolean remove(T x) {
  int key = x.hashcode();
 while (true) {
    Node pred = 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 {
  curr.unlock(); pred.unlock();
}
```

Optimistic Synchronization: contains()

```
public boolean contains(T x) {
  int key = x.hashcode();
 while (true) {
    Node pred = head;
    Node curr = pred.next;
    while (curr.key < key) {</pre>
      pred = curr;
      curr = curr.next;
    }
    pred.lock(); curr.lock();
```

```
try {
    if (validate(pred, curr)) {
        return curr.key == key;
    }
} finally {
    curr.unlock(); pred.unlock();
}
```

Optimistic Synchronization Design

Are there problems with our optimistic synchronizationbased Set design?

Lazy Synchronization



Lazy Synchronization: add()

```
public boolean add(T x) {
  int key = x.hashcode();
 while (true) {
   Node pred = head;
   Node curr = pred.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(x); node.next = curr; prev.next = node; return true; } } } finally { curr.unlock(); } } } finally { pred.unlock();

How could you validate?

 Check that both prev and curr are unmarked and prev.next
 = curr

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

}

Is validation really necessary?



- Thread 1 is executing remove(b)
- Thread 2 is executing remove(a)

Is validation really necessary?



Lazy Synchronization: remove()

```
public boolean remove(T x) {
  int key = x.hashcode();
 while (true) {
    Node pred = head;
    Node curr = pred.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;
        prev.next = curr.next;
        return true;
  } finally {
    curr.unlock(); }
} finally {
 pred.unlock();
```

Lazy Synchronization: contains()

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

Detecting Conflicting Accesses: Example 1



Thread 2 executes remove(p..x)



• Thread 2 is executing remove(p..x)

Nonblocking Synchronization

- Why do we need nonblocking designs?
- Eliminate locks altogether
- Idea: Use RMW instructions like CAS to update next field

Nonblocking Synchronization with CAS



- Thread 1 is executing remove(a)
- Thread 2 is executing add(b)

Nonblocking Synchronization with CAS



- Thread 1 is executing remove(a)
- Thread 2 is executing remove(b)

Possible Workaround

- Cannot allow updates to a node once it has been logically or physically removed from the list
- Treat the next and marked fields as atomic

In Java, we have AtomicMarkableReference<T> from the
java.util.concurrent.atomic package



AtomicMarkableReference<T>

- public boolean compareAndSet(T expectedReference, T newReference, boolean expectedMark, boolean newMark);
- public boolean attemptMark(T expectedReference, boolean newMark);
- public T get(boolean[] marked);

Designing the Nonblocking Set

- The next field is of type AtomicMarkableReference<Node>
- A thread logically removes a node by setting the mark bit in the next field
- As threads traverse the list, they clean up the list by physically removing marked nodes
- Threads performing add() and remove() do not traverse marked nodes, they remove them before continuing

Why?

Helper Code

- Helper method public Window find(Node head, int key)
 - Traverses the list seeking to set pred to the node with the largest key less than key, and curr to the node with the least key greater than or equal to key

```
class Window {
  public Node pred, curr;
  Window(Node myPred, Node myCurr) {
    pred = myPred; curr = myCurr;
  }
}
```

Helper Code

```
public Window find(Node head, int key) {
  Node pred = null, curr = null, succ = null;
  boolean[] marked = {false};
  boolean snip;
  retry: while (true) {
    pred = head;
    curr = pred.next.getReference();
   while (true) {
      succ = curr.next.get(marked);
      while (marked[0]) {
        snip = pred.next.compareAndSet(curr, succ, false,
false);
        if (!snip) continue retry;
        curr = succ;
        succ = curr.next.get(marked);
      }
```

```
if (curr.key >= key)
        return new Window(pred,
curr);
      pred = curr;
      curr = succ;
```

Nonblocking Synchronization: add()

```
public boolean add(T x) {
 int key = x.hashcode();
 while (true) {
   Window w = find(head, key);
   Node pred = w.pred, curr = w.curr;
    if (curr.key == key) return false;
    else {
      Node node = new Node(x);
      node.next = new AtomicMarkableReference(curr, false);
      if (pred.next.compareAndSet(curr, node, false, false))
        return true;
    \} \} \}
```

Nonblocking Synchronization: remove()

```
public boolean remove(T x) {
 int key = x.hashcode();
 boolean snip;
 while (true) {
   Window w = find(head, key);
   Node pred = w.pred, curr = w.curr;
    if (curr.key != key) return false;
   else {
     Node succ = curr.next.getReference();
      snip = curr.next.attemptMark(succ, true);
      if (!snip) continue;
      pred.next.compareAndSet(curr, succ, false, false);
     return true;
```

CS636 } } }

Nonblocking Synchronization: contains()

```
public boolean contains(T x) {
 boolean[] marked = new boolean[];
 int key = x.hashcode();
 Node curr = head;
 while (curr.key < key) {</pre>
    curr = curr.next;
    Node succ = curr.next.get(marked);
  }
 return curr.key == key && !marked[0];
}
```

Pool Data Structure

Allows duplicates

May not support membership test (i.e., no contains() method)

Example: stack, queue, bounded/unbounded buffers

Pools

Data Structure Variants

- Bounded vs Unbounded
 - Different requirements and implementation challenges

```
public interface Pool<T> {
   void put(T item);
   T get();
}
```

- Different method call invocation semantics
 - Blocking vs nonblocking
 - Synchronous vs asynchronous
 - Total vs partial

Bounded Partial Queue



Enqueue and dequeue operations are at the two ends – allows for concurrent modifications

Bounded Partial Queue

• Given these requirements, what do we need to have a correct concurrent implementation?

Bounded Partial Queue

• Given these requirements, what do we need to have a correct concurrent implementation? • Lock for mutual exclusion of enqueues and dequeues?
Bounded Partial Queue

• Given these requirements, what do we need to have a correct concurrent implementation?

Possible Java classes we can use:ReentrantLock

- Lock for mutual exclusion of concurrent enqueues
- Lock for mutual exclusion of concurrent dequeues

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Bounded Partial Queue

• Given these requirements, what do we need to have a correct concurrent implementation?

Possible Java classes we can use:

- ReentrantLock
- Condition

- Lock for mutual exclusion of concurrent enqueues
- Lock for mutual exclusion of concurrent dequeues
- Condition variable to indicate queue is empty
- Condition variable to indicate queue is full

Bounded Partial Queue

• Given these requirements, what do we need to have a correct concurrent implementation?

Possible Java classes we can use:

- ReentrantLock
- Condition
- AtomicInteger

- Lock for mutual exclusion of concurrent enqueues
- Lock for mutual exclusion of concurrent dequeues
- Condition variable to indicate queue is empty
- Condition variable to indicate queue is full
- An atomic variable to track the current size

Bounded Partial Queue: enq()

```
public void enq(T x) {
  boolean wakeDeg = false;
  enqLock.lock();
  try {
    while (size.get() == MAX_CAP)
      notFull.await();
    Node e = new Node(x);
    tail.next = e;
    tail = e;
    if (size.getAndIncrement() == 0)
      wakeDeq = true;
  } finally {
    enqLock.unlock();
  }
```

```
if (wakeDeq) {
    deqLock.lock();
    try {
        notEmpty.signalAll();
    } finally {
        deqLock.unlock();
    }
    } // end if (wakeDeq)
} // end enq()
```

Bounded Partial Queue: enq()

```
public void enq(T x) {
  boolean wakeDeg = false;
  enqLock.lock();
  try {
    while (size.get() == MAX_CAP)
      notFull.await();
    Node e = new Node(x);
    tail.next = e;
    tail = e;
    if (size.getAndIncrement() == 0)
      wakeDeq = true;
  } finally {
    enqLock.unlock();
```

```
if (wakeDeq) {
     deqLock.lock();
     try {
       notEmpty.signalAll();
     } finally {
       deqLock.unlock();
     }
   } // end if (wakeDeq)
 } // end enq()
    Where is the
linearization point?
```

}

Bounded Partial Queue: enq()

```
public void enq(T x) {
  boolean wakeDeq = false;
  enqLock.lock();
  try {
    while (size.get() == MAX_CAP)
      notFull.await();
    Node e = new Node(x);
    tail.next = e;
    tail = e;
    if (size.getAndIncrement() == 0)
      wakeDeq = true;
  } finally {
    enqLock.unlock();
  }
```

```
if (wakeDeq) {
    deqLock.lock();
    try {
        notEmpty.signalAll();
    } finally {
        deqLock.unlock();
    }
    } // end if (wakeDeq)
} // end enq()
```

What if the queue was unbounded and the methods are total?

Bounded Partial Queue: deq()

```
public void deq() {
  boolean wakeEnq = false;
  T result;
  deqLock.lock();
  try {
    while (size.get() == 0)
      notEmpty.await();
    result = head.next.value;
    head = head.next;
    if (size.getAndDecrement() == MAX_CAP)
      wakeEnq = true;
  } finally {
    deqLock.unlock();
  }
```

```
if (wakeEnq) {
  enqLock.lock();
  try {
    notFull.signalAll();
  } finally {
    enqLock.unlock();
  }
```

Evaluating the Bounded Partial Queue

- Need to ensure correct interleaving of concurrent calls to enq() and deq()
 - Special cases: Queue has zero or one element

- Shared updates to the size variable could be a bottleneck
 - Can we do something about it?

Unbounded Total Queue

- enq() always enqueues an item
 - It may run in to OOM error which we will ignore
- deq() returns an error if the queue is empty

Unbounded Total Queue

```
public void enq(T x) {
  enqLock.lock();
  try {
    Node e = new Node(x);
    tail.next = e;
    tail = e;
  } finally {
    enqLock.unlock();
```

```
public T deq() {
 T result;
  deqLock.lock();
 try {
    if (head.next == null)
      return null;
    result = head.next.value;
    head = head.next;
  } finally {
    deqLock.unlock();
  }
  return result;
```

}

A Natural Next Step!

• Unbounded lock-free queue

Possible Java classes we can use:

AtomicReference<T>

Unbounded Lockfree Queue: enq()

```
public void enq(T x) {
                                                     } else {
  Node node = new Node(x);
                                                       tail.compareAndSet(last, next);
 while (true) {
                                                     }
   Node last = tail.get();
                                                  } // end if (last == ...
                                                } // end while (true)
   Node next = last.next.get();
    if (last == tail.get()) {
                                              } // end enq()
      if (next == null) {
        if (last.next.compareAndSet(next,
node)) {
                                                     Where is the
          tail.compareAndSet(last, node);
          return;
                                                 linearization point?
```

Ensure that tail remains valid!





• Thread 1 is executing enq(b)

Ensure that tail remains valid!





Thread 2 is executing deq(a)

Unbounded Lockfree Queue: deq()

```
public void deq(void) {
  while (true) {
    Node first = head.get();
    Node last = tail.get();
    Node next = first.next.get();
    if (first == head.get()) {
      if (first == last) {
        if (next == null)
          return null;
        tail.compareAndSet(last, next);
      } else {
```

```
T val = next.value;
if (head.compareAndSet(first, next))
return val;
} // end else
} // end if (first == head...)
} // end while (true)
} // end deq()
```



• Thread 1 will execute deq(a)



• Thread 1 is executing deq(a), gets delayed



 Other threads execute deq(a, b, c, d), then execute enq(a)



• Other threads execute deq(a, b, c, d), then execute enq(a)



head.compareAndSet(first, next)

• Thread 1 is executes CAS for deq(a), CAS succeeds

To Lock or Not to Lock!

Use a middle path more often than not

- Combine blocking and nonblocking schemes
- For e.g., lazily synchronized Set
 - add() and remove() were blocking
 - contains() was nonblocking

Please spend several hours reasoning about the correctness of your concurrent data structures, if you are writing one!

References

- M. Herlihy and N. Shavit The Art of Multiprocessor Programming.
- M. Moir and N. Shavit Concurrent Data Structures.
- Stephen Tu Techniques for Implementing Concurrent Data Structures on Modern Multicore Machines.