

# Concurrent systems

Lecture 7: Crash recovery, lock-free programming, and transactional memory

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## Reminder from last time

- History graphs; good (and bad) schedules
- Isolation vs. strict isolation; enforcing isolation
- Two-phase locking; rollback
- Timestamp ordering (TSO)
- Optimistic concurrency control (OCC)
- Isolation and concurrency summary

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## This time

- Transactional durability: crash recovery and logging
  - Write-ahead logging
  - Checkpoints
  - Recovery
- Advanced topics
  - Lock-free programming
  - Transactional memory

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## Crash Recovery & Logging

- Transactions require ACID properties
  - So far have focused on I (and implicitly C).
- How can we ensure Atomicity & Durability?
  - Need to make sure that if a transaction always done entirely or not at all
  - Need to make sure that a transaction reported as committed remains so, even after a crash
- Consider for now a **fail-stop** model:
  - If system crashes, all in-memory contents are lost
  - Data on disk, however, remains available after reboot

The small print: we must keep in mind the limitations of “fail-stop”, even as we assume it. Failing hardware/software do weird stuff. Pay attention to hardware price differentiation.

## Using persistent storage

- Simplest “solution”: write all updated objects to disk on commit, read back on reboot
  - Doesn’t work, since crash could occur during write
  - Can fail to provide Atomicity and/or Consistency
- Instead split update into two stages
  1. Write proposed updates to a **write-ahead log**
  2. Write actual updates
- Crash during #1 => no actual updates done
- Crash during #2 => use log to redo, or undo

What can go wrong writing commits to disk? Even if sector writes are atomic, all affected objects may not fit in a sector – and large objects span multiple sectors. Many of the problems we experienced for in-memory commit (ordering and atomicity) apply to disks as well!

## Write-ahead logging

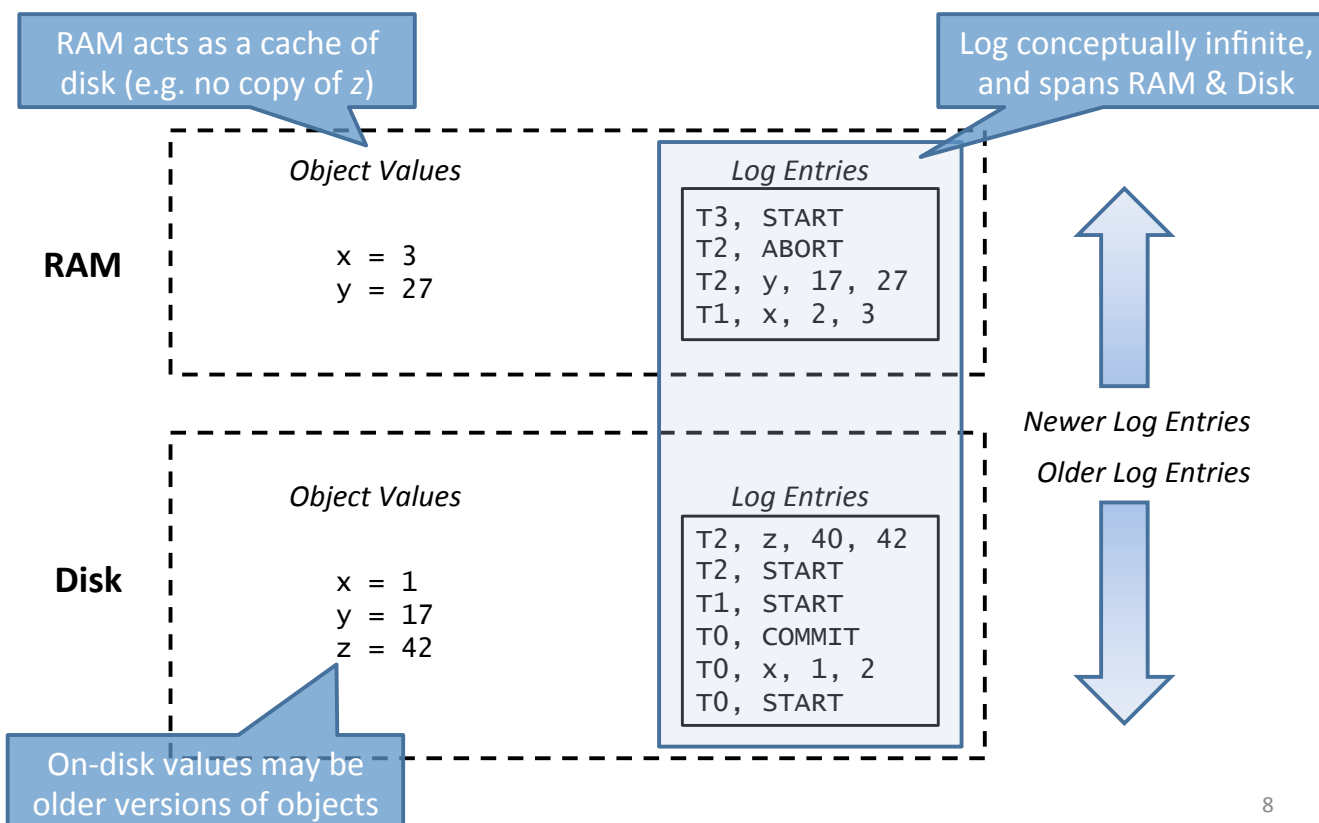
- Ordered append-only file on disk
- Contains entries like `<txid, obj, op, old, new>`
  - ID of transaction, object modified, (optionally) the operation performed, the old value **and** the new value
  - This means we can both “roll forward” (redo operations) and “rollback” (undo operations)
- When persisting a transaction to disk:
  - First log a special entry `<txid, START>`
  - Next log a number of entries to describe operations
  - Finally log another special entry `<txid, COMMIT>`
- We build composite-operation atomicity from fundamental atomic unit: **single-sector write**.
  - A lot like memory atomicity!

## Using a write-ahead log

- When executing transactions, perform updates to objects in memory with lazy write back
  - i.e. the OS can push changes to disk whenever it wants
- Initially can do the same with the log entries...
- But when wish to *commit* a transaction, must first **synchronously** flush a commit record to the log
  - Assume there is a `fsync()` operation or similar which allows us to force data out to disk
  - Only report transaction as committed when `fsync()` returns
- Can improve performance by delaying flush until we have a number of transaction to commit
  - Hence at any point in time we have some prefix of the write-ahead log on disk, and the rest in memory

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## The Big Picture



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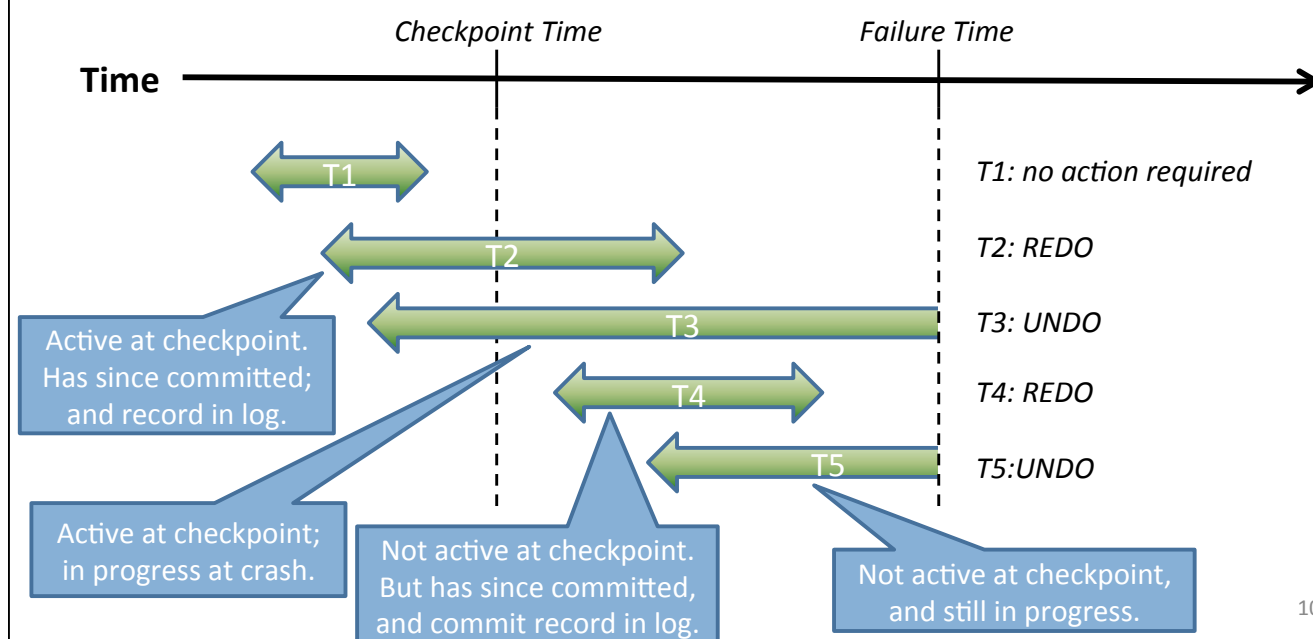
## Checkpoints

- As described, log will get very long
  - And need to process every entry in log to recover
- Better to periodically write a **checkpoint**
  - Flush all current in-memory log records to disk
  - Write a special checkpoint record to log which contains a list of active transactions
  - Flush all 'dirty' objects (i.e. ensure object values on disk are up to date)
  - Flush location of new checkpoint record to disk
- (Not fatal if crash during final write)

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## Checkpoints and recovery

- Key benefit of a checkpoint is it lets us focus our attention on possibly affected transactions



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## Recovery algorithm

- Initialize undo list **U** = { set of active txactions }
- Also have redo list **R**, initially empty
- Walk log forward from checkpoint record:
  - If see a START record, add transaction to **U**
  - If see a COMMIT record, move transaction from **U**->**R**
- When hit end of log, perform undo:
  - Walk backward and undo all records for all Tx in **U**
- When reach checkpoint record again, Redo:
  - Walk forward, and re-do all records for all Tx in **R**
- After recovery, we have effectively checkpointed
  - On-disk store is consistent, so can truncate the log

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## Transactions: summary

- Standard mutual exclusion techniques not great for dealing with >1 object
  - intricate locking (& lock order) required, or
  - single coarse-grained lock, limiting concurrency
- Transactions allow us a better way:
  - potentially many operations (reads and updates) on many objects, but should execute as if atomically
  - underlying system deals with providing isolation, allowing safe concurrency, and even fault tolerance!
- Transactions widely used in database systems

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## Advanced Topics

- Will briefly look at two advanced topics
  - lock-free data structures, and
  - transactional memory
- Then, next time, on to a case study

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## Lock-free programming

- What's wrong with locks?
  - Difficult to get right (if locks are fine-grained)
  - Don't scale well (if locks too coarse-grained)
  - Don't compose well (deadlock!)
  - Poor cache behavior (e.g. convoying)
  - Priority inversion
  - And can be expensive
- Lock-free programming involves getting rid of locks ... but not at the cost of safety!
- Recall TAS, CAS, LL/SC from our first lecture: what if we used them to implement something other than locks?

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## Assumptions

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- We have a shared memory system
- Low-level (assembly instructions) include:

```
val = read(addr);           // atomic read from memory
(void) write(addr, val);    // atomic write to memory
done = CAS(addr, old, new); // atomic compare-and-swap
```

- Compare-and-Swap (CAS) is **atomic**
  - reads value of addr ('val'), compares with 'old', and updates memory to 'new' iff old==val -- without interruption!
  - something like this instruction common on most modern processors (e.g. `cmpxchg` on x86 – or `LL/SC` on RISC)
- Typically used to build spinlocks (or mutexes, or semaphores, or whatever...)

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## Lock-free approach

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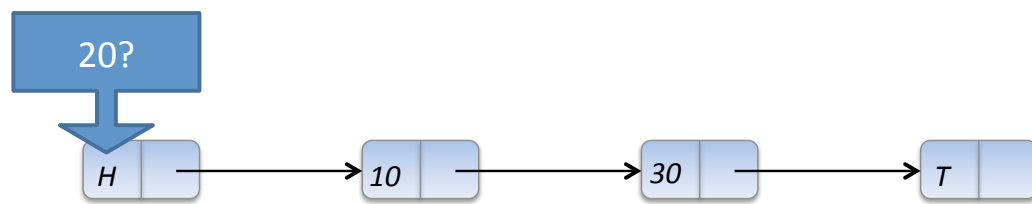
- Directly use CAS to update shared data
- As an example consider a lock-free linked list of integer values
  - list is singly linked, and sorted
- Represents the 'set' abstract data type, i.e.
  - find(int) -> bool
  - insert(int) -> bool
  - delete(int) -> bool
- Assumption: hardware supports atomic operations on pointer-size types

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## Searching a sorted list

- find(20):

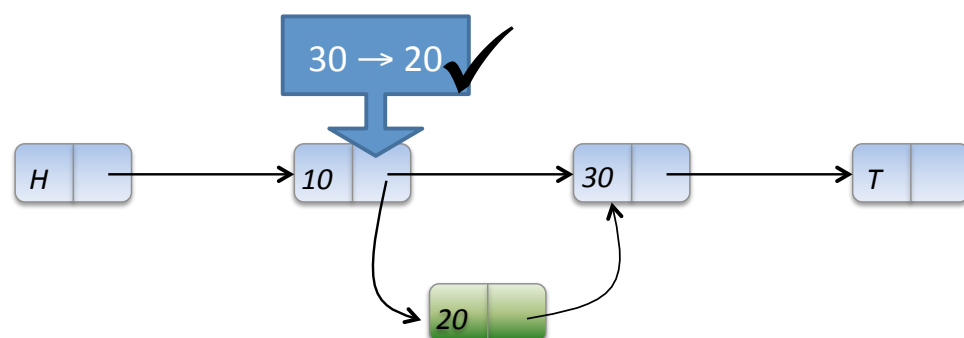


find(20) -> false

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## Inserting an item with CAS

- insert(20):



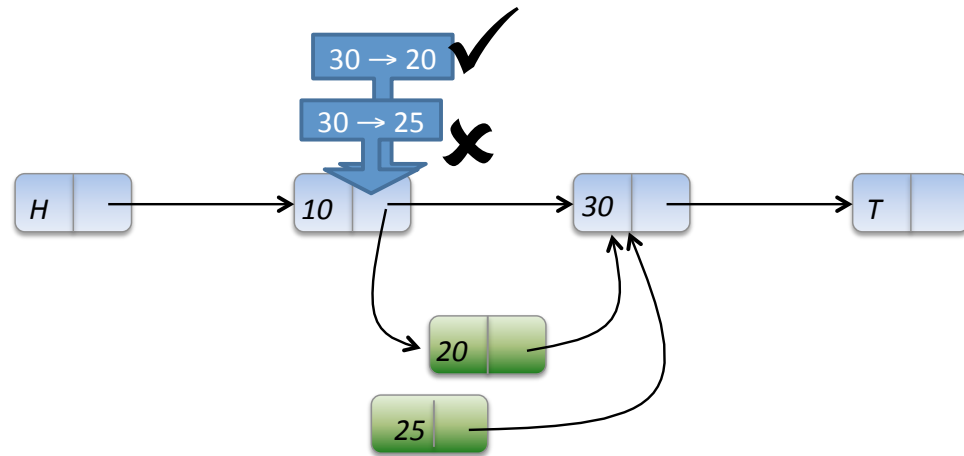
insert(20) -> true

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## Inserting an item with CAS

• insert(20):

• insert(25):

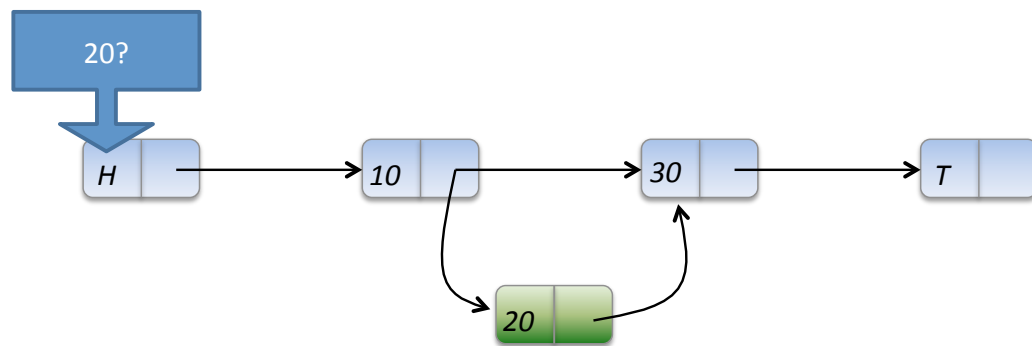


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## Concurrent find+insert

• find(20) -> false

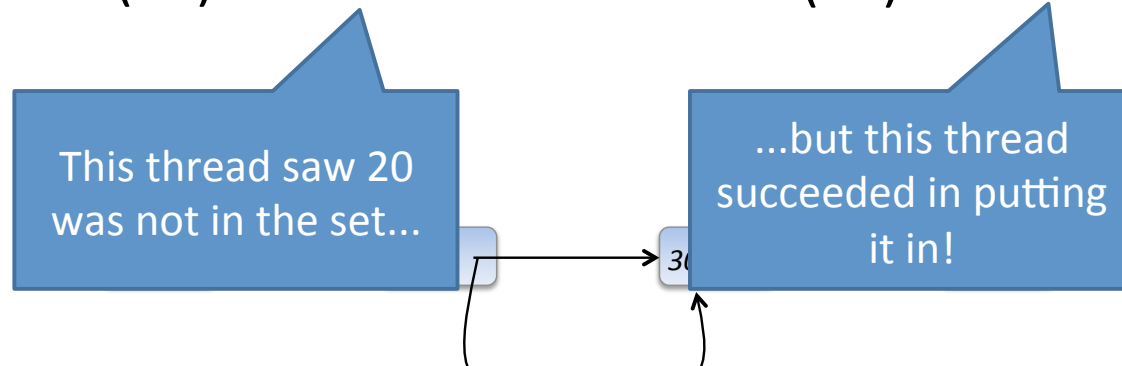
• insert(20) -> true



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## Concurrent find+insert

- find(20) -> false
- insert(20) -> true



- Is this a correct implementation of a set?
- Should the programmer be surprised if this happens?
- What about more complicated mixes of operations?

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## Linearisability

- As with transactions, we return to a conceptual model to define correctness
  - a lock-free data structure is 'correct' if all changes (and return values) are consistent with some serial view: we call this a **linearisable** schedule
- Hence in the previous example, we were ok:
  - can just deem the find() to have occurred first
- Gets a lot more complicated for more complicated data structures & operations!

On current hardware, synchronisation does more than just provide atomicity: it also provides ordering: "happens-before". Lock-free data structures need take this into account as well.

## Transactional Memory (TM)

- Steal idea from databases!

- Instead of:

```
lock(&mylock);
shared[i] *= shared[j] + 17;
unlock(&mylock);
```

- ▶ Use:

```
atomic {
    shared[i] *= shared[j] + 17;
}
```

- ▶ Has “obvious” semantics, i.e. all operations within block occur as if atomically

- ▶ Transactional since under the hood it looks like:

```
do { txid = tx_begin(&thd);
    shared[i] *= shared[j] + 17;
} while !(tx_commit(txid));
```

## TM advantages

- Simplicity:
  - programmer just puts atomic { } around anything he/she wants to occur in isolation
- Composability:
  - unlike locks, atomic { } blocks nest, e.g:

```
credit(a, x) = atomic {
    setbal(a, readbal(a) + x);
}
debit(a, x) = atomic {
    setbal(a, readbal(a) - x);
}
transfer(a, b, x) = atomic {
    debit(a, x);
    credit(b, x);
}
```

## TM advantages

- Cannot deadlock:
  - No locks, so don't have to worry about locking order
  - (Though may get livelock if not careful)
- No races (kinda):
  - Cannot forget to take a lock (although you can forget to put atomic { } around your critical section ;-)
- Scalability:
  - High performance possible via OCC
  - No need to worry about complex fine-grained locking
- There is still a simplicity vs. performance tradeoff
  - Too much atomic { } and implementation can't find concurrency. Too little, and race conditions

## TM is very promising...

- Essentially does 'ACI' but no D
  - no need to worry about crash recovery
  - can work entirely in memory
  - ~~some hardware support emerging (or promised)~~
- But not a panacea
  - Contention management can get ugly
  - Difficulties with irrevocable actions (e.g. IO)
  - Still working out exact semantics (type of atomicity, handling exceptions, signaling, ...)
- Recent x86 hardware has started to provide direct support for transactions; not widely used
  - ... And promptly withdrawn in errata

## Concurrent systems: summary

- Concurrency is essential in modern systems
  - overlapping I/O with computation
  - exploiting multi-core
  - building distributed systems
- But throws up a lot of challenges
  - need to ensure safety, allow synchronization, and avoid issues of liveness (deadlock, livelock, ...)
- Major risk of over-engineering
  - generally worth building sequential system first
  - and worth using existing libraries, tools and design patterns rather than rolling your own!

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## Summary + next time

- Transactional durability: crash recovery and logging
  - Write-ahead logging; checkpoints; recovery
- Advanced topics
  - Lock-free programming
  - Transactional memory
- Next time:
  - Concurrent system case study the FreeBSD kernel
  - Brief history of kernel concurrency
  - Primitives and debugging tools
  - Applications to the network stack

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