WAIT-FREE MEMORY RECLAMATION AND DATA STRUCTURES

RUSLAN NIKOLAEV RESEARCH ASSISTANT PROFESSOR VIRGINIATECH, SSRG

ABOUT ME

- Worked in industry (Microsoft, Pure Storage)
- Joined Virginia Tech, Electrical and Computer Engineering Department in 2017 as a Research Assistant Professor
 - Working on different projects in systems and concurrency
- Have research publications at SOSP, VEE, PODC, DISC, and PPoPP
 - Today's talk partially overlaps with my recent PPoPP '20 publication "Universal Wait-Free Memory Reclamation", which is co-authored with Prof. Binoy Ravindran from Virginia Tech

CONCURRENT DATA STRUCTURES

- Many-core systems today require efficient access to data
 - Concurrent data structures
- Multiple threads need to *safely* manipulate data structures (similar to sequential data structures)
 - "nothing bad will happen"

Thread	Thread	Thread
Α	_ В /	C

- Concurrency also adds a *liveness* property, which stipulates how threads will be able to make progress
 - "something good will happen eventually"



NON-BLOCKING PROGRESS GUARANTEES

- Obstruction-free: a thread performs an operation in a finite number of steps if executed in isolation from other threads
- Lock-free: at least one thread always makes progress in a finite number of steps
- Wait-free: all threads make progress in a finite number of steps

NON-BLOCKING PROGRESS GUARANTEES

- Obstruction-free: a thread performs an operation in a finite number of steps if executed in isolation from other threads
- Lock-free: at least one thread always makes progress in a finite number of steps
- Wait-free: all threads make progress in a finite number of steps

- Wait-freedom is the strongest form of non-blocking progress
- Wait-free algorithms are gaining more practical relevance and efficiency (Kogan and Petrank's fast-pathslow-path methodology, see [PPoPP '12])
- CAS (compare-and-swap) is used universally in lock-free and wait-free algorithms
- **F&A** (fetch-and-add) is often available as a specialized instruction

MEMORY RECLAMATION PROBLEM



One thread wants to de-allocate a memory block which is still reachable by concurrent threads

MEMORY RECLAMATION PROBLEM



One thread wants to de-allocate a memory block which is still reachable by concurrent threads

TREIBER'S LOCK-FREE STACK



PUSH and POP operations are implemented by updating Top using CAS

TREIBER'S LOCK-FREE STACK



• PUSH and POP operations are implemented by updating **Top** using CAS

TREIBER'S LOCK-FREE STACK



PUSH and POP operations are implemented by updating Top using CAS

EXAMPLE: NO RECLAMATION

```
struct Node {
    Node* next; // Next element
    Object* obj; // Stored object
};
Node* Top = nullptr;
```

EXAMPLE: NO RECLAMATION

```
struct Node {
   Node* next; // Next element
   Object* obj; // Stored object
};
Node* Top = nullptr;
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
         break;
```

EXAMPLE: NO RECLAMATION

```
struct Node {
   Node* next; // Next element
   Object* obj; // Stored object
};
Node* Top = nullptr;
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
         break;
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node = Top;
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          [ delete node ]
          break;
   return obj;
                                       13
```

RECYCLING ELEMENTS

- If we can avoid returning memory to the OS, the simplest approach is to recycle elements
- With simple data structures (such as Treiber's stack) we can easily do so but
 - When calling POP, the same pointer value may point to an already recycled element
 - The problem is known as "the ABA problem" and leads to the data structure corruption
 - Can be solved by using a "tag", which is adjacent to the stack top pointer and incremented each time; the tag
 uniquely identifies the object
 - Need to use WCAS (wide CAS), i.e., cmpxchg16b for x86-64

EXAMPLE: RECYCLING ELEMENTS

```
struct Node {
   Node* next; // Next element
   Object* obj; // Stored object
};
<Node*,Int> Top = { nullptr, 0 };
PUSH(Object* obj) {
   Node* node = [ allocate node ]
   node->obj = obj;
   while (true) {
      node->next = Top.Pointer;
      if (WCAS(&Top,
            { node->next, Top.Tag },
            { node, Top.Tag+1 }))
         break;
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node = Top.Pointer;
      if (node == nullptr)
          break;
      if (WCAS(&Top,
             { node, Top.Tag }
             { node->next, Top.Tag+1 })) {
          obj = node->obj;
          [ recycle node ]
          break;
                                       15
   return obj;
```

MORE GENERAL SOLUTION

- Need to postpone de-allocation of this memory block until it is safe to do so
 - But memory usage must be bounded for non-blocking progress guarantees
- Wait-free reclamation is especially difficult
 - No *universal* wait-free memory reclamation scheme existed for hand-crafted data structures until recently
 - The fast-path-slow-path [PPoPP '12] methodology cannot be applied to reclamation directly

QUESTIONS?

- Uses a *global* epoch counter (aka "era" in other algorithms)
- As part of per-thread state, each thread keeps a *reservation*
- Many variations of EBR exist, which differ on how to increment the epoch counter (conditionally vs. unconditionally) and when to trigger memory reclamation
 - For the original EBR only 3 distinct epoch values are needed
- As an example, consider a variant with unconditional epoch increments presented in [PPoPP '18]

<pre>global_epoch = 2</pre>



- Each data structure operation is wrapped
 - When *beginning*, a thread records the current global epoch value to its reservation
 - When **ending**, the thread resets its reservation

- Each data structure operation is wrapped
 - When *beginning*, a thread records the current global epoch value to its reservation
 - When **ending**, the thread resets its reservation

```
PUSH_EBR(Object* obj) {
    begin_op();
    PUSH(obj);
    end_op();
}
```

```
Object* POP_EBR() {
    begin_op();
    Object* obj = POP();
    end_op();
    return obj;
}
```

- Each data structure operation is wrapped
 - When *beginning*, a thread records the current global epoch value to its reservation
 - When **ending**, the thread resets its reservation

```
begin_op() {
    reservations[TID] = global_epoch;
}
```

$$[epoch = \infty] \longrightarrow [epoch = 2]$$

- Each data structure operation is wrapped
 - When *beginning*, a thread records the current global epoch value to its reservation
 - When ending, the thread resets its reservation

```
begin_op() {
    reservations[TID] = global_epoch;
    [epoch = ∞] → [epoch = 2]
}
end_op() {
    reservations[TID] = ∞;
}
```

- When deleting, postpone the actual deallocation by *retiring* a memory block
 - Store the global epoch counter at the moment of retiring ("retire epoch") and place the retired block to a thread-local list
 - Periodically increment the global epoch counter when retiring
 - Periodically scan previously retired blocks from the thread-local list and deallocate those for which the epoch at the moment of retirement is past all reservation values across *all* threads

-label anach - 2



reservations:

- When deleting, postpone the actual deallocation by *retiring* a memory block
 - Store the global epoch counter at the moment of retiring ("retire epoch") and place the retired block to a thread-local list
 - Periodically increment the global epoch counter when retiring
 - Periodically scan previously retired blocks from the thread-local list and deallocate those for which the epoch at the moment of retirement is past all reservation values across *all* threads



reservations:





EBR SUMMARY

- EBR tracks memory using "epochs"
 - Simple API
 - Very fast, especially when finding a good balance of how frequently retired nodes need to be scanned
- The scheme is **blocking**
 - If one thread is stuck and never calls end_op(), an unbounded number of blocks can be allocated and never deleted
 - Memory usage is thus unbounded
 - The program can eventually crash when memory is exhausted

HAZARD POINTERS

- Originally published in [TPDS '04]
- Wrap all pointer dereferences
 - **Reservations** keep pointers rather than epochs
 - Since a thread may reserve multiple pointers, several reservations per thread are needed
 - An *index* identifies a specific reservation in a thread
- When *retiring* a block, put it in a thread-local list
 - Periodically scan the list to check if any of the retired block **pointers** do not overlap with reservations across *all* threads
 - Deallocate such blocks

```
struct Node {
   Reclamation header;
   Node* next; // Next element
   Object* obj; // Stored object
};
Node* Top = nullptr;
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
         break;
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get protected(&Top, 0);
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear();
                                       27
   return obj;
```

```
struct Node {
   Reclamation header;
   Node* next; // Next element
   Object* obj; // Stored object
};
Node* Top = nullptr;
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
         break;
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get_protected(&Top, 0);
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear();
                                       28
   return obj;
```

```
get_protected(): safely retrieve a pointer to
the protected object by creating a reservation
```

```
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
          break;
   }
}
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get_protected(&Top, 0);
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear();
                                       29
   return obj;
```

```
struct Node {
   Reclamation header;
   Node* next; // Next element
   Object* obj; // Stored object
};
Node* Top = nullptr;
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
         break;
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get protected(&Top, 0);
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear();
                                       30
   return obj;
```

- retire(): mark an object for deletion
 - the retired object must be deleted from the data structure first, i.e., only in-flight threads can still access it

```
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
          break;
   }
}
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get protected(&Top, 0);
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear();
                                       31
   return obj;
```

```
struct Node {
   Reclamation header;
   Node* next; // Next element
   Object* obj; // Stored object
};
Node* Top = nullptr;
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
         break;
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get protected(&Top, 0);
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear():
   return obj;
```

```
clear(): reset all prior reservations made by the current thread in get_protected()
```

```
PUSH(Object* obj) {
   Node* node = malloc(...);
   node->obj = obj;
   while (true) {
      node->next = Top;
      if (CAS(&Top, node->next, node))
          break;
   }
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get_protected(&Top, 0);
       if (node == nullptr)
          break;
       if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear():
   return obj;
```

HAZARD POINTERS' SUMMARY

- Hazard Pointers track memory blocks using pointers
 - Lock-free in general
 - In certain cases can be used in wait-free manner
 - Typically much slower than EBR

COMBINATION OF EBR AND HAZARD POINTERS

- Combine EBR and Hazard Pointers
 - Use epochs (or "eras") for *reservations*, as in EBR (64-bit values)
 - Wrap all pointer dereferences, as in Hazard Pointers, using get_protected()
 - When allocating blocks, initialize them with the current **global** epoch value
- Each block records an interval ("allocation" and "retire" epochs)
 - To safely delete a block, its interval must not overlap with *all* reservations

COMBINATION OF EBR AND HAZARD POINTERS

- Hazard Eras [SPAA '17]
 - API is mostly compatible with Hazard Pointers, except when allocating memory blocks
 - Generally much faster than Hazard Pointers
- Interval-Based Reclamation (IBR) [PPoPP '18]
 - Simpler EBR-like API, but data structures need to modified to restart operations for starving threads
- Turns out that Hazard Eras (unlike Hazard Pointers) can be modified to guarantee wait-freedom
 - Wait-Free Eras (WFE) [PPoPP '20] is based on Hazard Eras but is wait-free
HAZARD ERAS' API CHANGES

```
struct Node {
    Reclamation header;
    Node* next; // Next element
    Object* obj; // Stored object
};
Node* Top = nullptr;
```

```
PUSH(Object* obj) {
    Node* node = alloc_block();
    node->obj = obj;
    while (true) {
        node->next = Top;
        if (CAS(&Top, node->next, node))
            break;
    }
}
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get protected(&Top, 0);
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear();
                                       37
   return obj;
```

HAZARD ERAS' API CHANGES

- alloc_block(): allocate and initialize a memory block
 - Wraps malloc()
 - Not in the original Hazard Pointers scheme but in Hazard Eras and WFE

PUSH(Object* obj)

```
Node* node = alloc_block();
node->obj = obj;
while (true) {
    node->next = Top;
    if (CAS(&Top, node->next, node))
        break;
}
```

```
Object* <u>POP()</u> {
   Object* obj = nullptr;
   while (true) {
      Node* node =
          get protected(&Top, 0);
      if (node == nullptr)
          break;
      if (CAS(&Top, node, node->next) {
          obj = node->obj;
          retire(node);
          break;
   clear();
                                       38
   return obj;
```

OTHER MEMORY RECLAMATION SCHEMES

- Schemes based on lock-free garbage collection
 - Can be unsuitable for C++, especially when using low-level programming models
- Schemes that rely on certain OS primitives or mechanisms
 - QSense [SPAA '16], DEBRA+ [PODC '15]
 - Can be convenient for user-space programs but problematic for kernel-space code or for strict non-blocking guarantees since typical OSes use locks

IMPORTANCE OF API FOR NON-BLOCKING PROGRESS

- IBR's API is similar to that of EBR, except it additionally wraps pointer dereferences (no indices needed)
 - Relatively simple, can be hidden inside smart pointers
 - Not always memory-bounded, e.g., when having *starving* threads
- The Hazard Eras' and WFE's APIs are based on Hazard Pointers' API
 - Hazard Pointers's API is carefully designed to make sure that a *finite* number of blocks are *reserved* (i.e., protected from reclamation)

QUESTIONS?

WAIT-FREEDOM CHALLENGE

```
struct Node {
                                        Object* <u>POP()</u> {
   Reclamation header;
                                           Object* obj = nullptr;
   Node* next; // Next element
                                            while (true) {
   Object* obj; // Stored object
                                               Node* node =
};
                                                  get protected(&Top, 0);
Node* Top = nullptr;
                                               if (node == nullptr)
                                                  break;
PUSH(Object* obj)
                                               if (CAS(&Top, node, node->next) {
   Node* node = alloc block();
                                                  obj = node->obj;
   node->obj = obj;
                                                  retire(node);
   while (true) {
                                                  break;
      node->next = Top;
      if (CAS(&Top, node->next, node))
         break;
                                            clear()
                                            return obj;
```

42

WAIT-FREEDOM CHALLENGE: HAZARD ERAS

int reservations[maxThreads][maxHEs];

```
int global_era = 0;
```

```
Node* get_protected(Node** ptr, int indx) {
    int prev = reservations[tid][indx];
    while (true) {
        Node* ret = *ptr;
        int new = global_era;
        if (prev == new)
            return ret;
        reservations[tid][indx] = new;
        prev = new;
    }
}
```

```
retire(Node* node) {
    ...
    increment_era();
    ...
}
increment_era() {
    F&A(&global_era, 1);
}
```

WAIT-FREEDOM CHALLENGE: HAZARD ERAS

int reservations[maxThreads][maxHEs];

```
int global_era = 0;
```

```
Node* get_protected(Node** ptr, int indx) {
    int prev = reservations[tid][indx];
    while (true) {
        Node* ret = *ptr;
        int new = global_era;
        if (prev == new)
            return ret;
        reservations[tid][indx] = new;
        prev = new;
    }
}
```

```
retire(Node* node) {
    ...
    increment_era();
    ...
}
increment_era() {
    F&A(&global_era, 1);
}
```

TIMNAT AND PETRANK'S FORMULATION

- [PPoPP '14] proposed a method to automatically convert lock-free data structures into wait-free ones
- The original lock-free data structure needs to be written in a "normalized" form
- Normalized data structures are defined in [PPoPP '14]
 - One of the key requirements is "Any modification of the shared data structure is executed using a CAS operation"
- Operations can be restarted if things go wrong, therefore get_protected() does not need to be unbounded
 - Examples include [PPoPP '17]'s implementations of CRTurnQueue and KPQueue using Hazard Pointers

- Although wait-free reclamation is feasible in special cases, it is much harder to guarantee for arbitrary formulated wait-free data structures
 - Specialized instructions such as F&A can still be useful in wait-free data structures for performance reasons
 - Even CAS-only wait-free data structures are not necessarily derived from "normalized" form
- Our recent [PPoPP '20] publication, Wait-Free Eras (WFE), solves wait-free memory reclamation for a more general case

- Bird's-eye view
 - Use a fast-path-slow-path method for get_protected()
 - retire() increments the global era (or alternatively alloc_block()): it calls a helper method before incrementing the era clock
- Wait-free consensus is achieved with the help of
 - F&A: available on x86-64 and AArch64 as of v8.1 and suitable for wait-free algorithms due to bounded execution time
 - WCAS: also available on x86-64 and AArch64



48

- Introduce tags to identify slow-path cycles
 - They prevent spurious (belated) updates
- Per-thread state: result is used for both input and output
 - Use pairs for result { .A, .B }
- Reservations also use pairs { .A, .B }
 - Two special reservations for helpers (maxHEs, maxHEs+1),
 i.e., the total number is maxHEs+2



block* get_protected_slow(block** ptr, int indx, block* parent) {

int allocEra = parent->allocEra;

int tag = reservations[tid][indx].B;

```
state[tid][indx].ptr = ptr;
state[tid][indx].era = allocEra;
state[tid][indx].result = { invptr, tag };
```

...

block* get_protected_slow(block** ptr, int indx, block* parent) {
 int allocEra = parent->allocEra;
 int tag = reservations[tid][indx].B;

```
state[tid][indx].ptr = ptr;
state[tid][indx].era = allocEra;
state[tid][indx].result = { invptr, tag };
```

// Try retrieving a pointer in a loop

```
block* get_protected_slow(block** ptr, int indx, block* parent) {
    int allocEra = parent->allocEra;
    int tag = reservations[tid][indx].B;
```

```
state[tid][indx].ptr = ptr;
state[tid][indx].era = allocEra;
state[tid][indx].result = { invptr, tag };
...
// Try retrieving a pointer in a loop
...
if (result.A != invptr) {
int era = result.B;
```

```
reservations[tid][indx].A = era;
```

```
reservations[tid][indx].B = tag+1;
```

```
return result.A;
```

...

```
help thread(int i, int j, int tid) {
   int_pair result = state[i][j].result;
   if (result.A != invptr)
      return;
   int era = state[i][j].era;
   reservations[tid][maxHEs].era = era;
   block** ptr = state[i][j].ptr;
   int tag = reservations[i][j].B;
   if (result.B != tag) {
      reservations[tid][maxHEs].era = \ow;
      return;
```

```
help_thread(int i, int j, int tid) {
   ...
   int prev = global_era;
   do {
      reservations[tid][maxHEs+1].A = prev;
      block* ret ptr = *ptr;
      int new = global era;
      if (prev == new) {
         // DONE! Can produce the result
          break;
       }
      prev = new;
   } while (state[i][j].result == { invptr, tag });
   reservations[tid][maxHEs+1].era = ∞;
   reservations[tid][maxHEs].era = ∞;
```

```
help_thread(int i, int j, int tid) {
   ...
   int prev = global_era;
   do {
      reservations[tid][maxHEs+1].A = prev;
      block* ret ptr = *ptr;
      int new = global_era;
      if (prev == new) {
          // DONE! Can produce the result
          break;
      prev = new;
   } while (state[i][j].result == { invptr, tag });
   reservations[tid][maxHEs+1].era = ∞;
   reservations[tid][maxHEs].era = ∞;
```

- Avoiding race conditions when scanning deleted nodes
 - Check reservations 0..maxHEs-1
 - Check reservations maxHEs, maxHEs+1
 - Check reservations 0..maxHEs-1 again

EVALUATION

- 4x24 Intel Xeon E7-8890 v4 (2.20GHz) 256GB RAM, GCC 8.3.0 with -O3
- Using the benchmark from IBR/PPoPP '18 (by Wen et al.) comparing:
 - Wait-Free Eras (WFE) [PPoPP '20]
 - Hazard Eras (HE) [SPAA '17]
 - Interval-Based Reclamation, 2GEIBR (IBR) [PPoPP '18]
 - Epoch-Based Reclamation (EBR)
 - Hazard Pointers (HP) [TPDS '04]
 - No reclamation (Leak Memory)
- Results are for write-intensive (50% insert, 50% delete) tests
 - See WFE/PPoPP '20 for read-mostly (90% get, 10% put) results

EVALUATION: KOGAN AND PETRANK'S WAIT-FREE QUEUE



EVALUATION: CRTURN WAIT-FREE QUEUE



EVALUATION: SORTED LOCK-FREE LINKED LIST



EVALUATION: LOCK-FREE HASH MAP



EVALUATION: LOCK-FREE NATARAJAN TREE



CONCLUSIONS

- Concurrent data structures require careful consideration of the memory reclamation problem
- Memory reclamation itself is subject to progress guarantee requirements
- Wait-free reclamation is feasible through WFE
 - Opens the way for wide adoption of wait-free data structures
 - The only remaining obstacle is efficient wait-free allocation and deallocation
 - Can spur further research in wait-free reclamation

AVAILABILITY

- My personal website
 - <u>https://rusnikola.github.io</u>
- WFE's code
 - <u>https://github.com/rusnikola/wfe</u>

AVAILABILITY

- My personal website
 - <u>https://rusnikola.github.io</u>
- WFE's code
 - <u>https://github.com/rusnikola/wfe</u>

