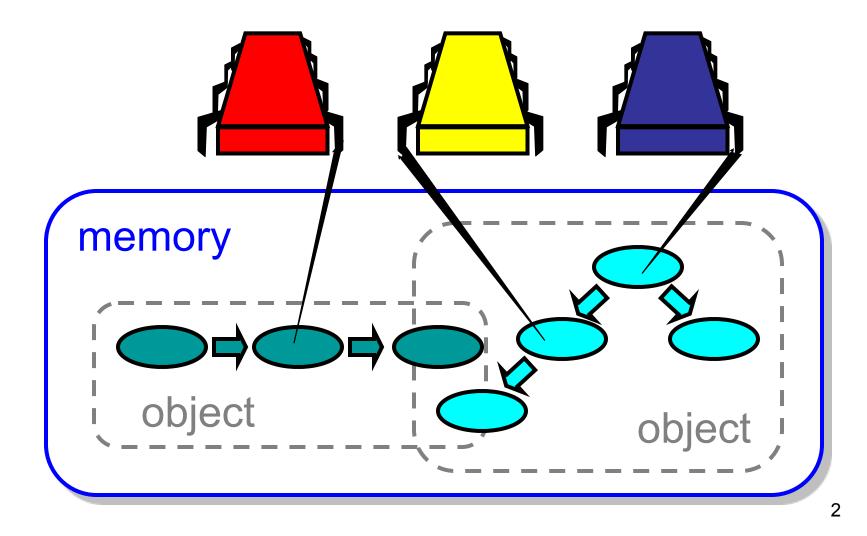
Linearizability: A method to specify concurrent and distributed objects

Concurrent Computation



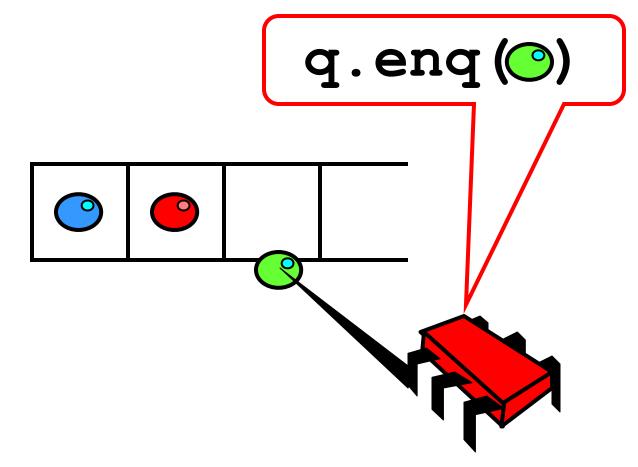
Objectivism

- What is a concurrent object?
 - How do we describe one?
 - How do we implement one?
 - How do we tell if we're right?

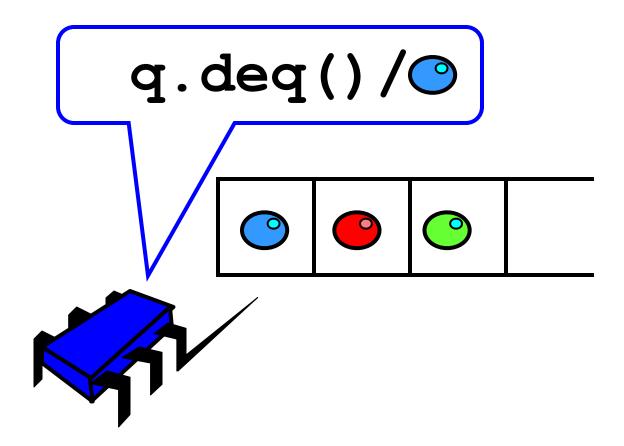
Objectivism

- What is a concurrent object?
 - How do we describe one?
 - How do we tell if we're right?

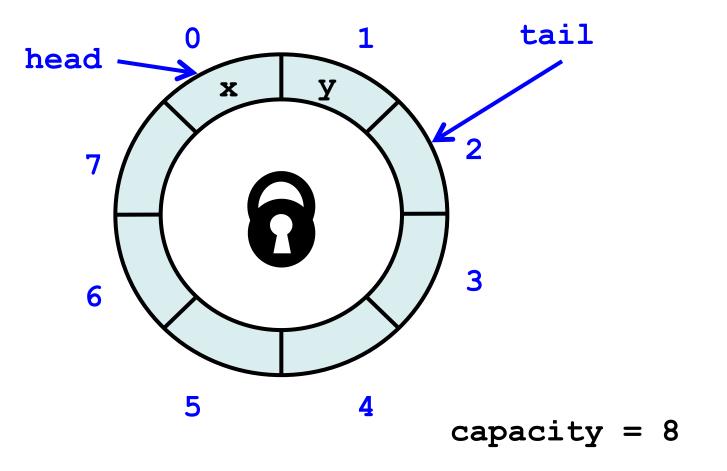
FIFO Queue: Enqueue Method



FIFO Queue: Dequeue Method

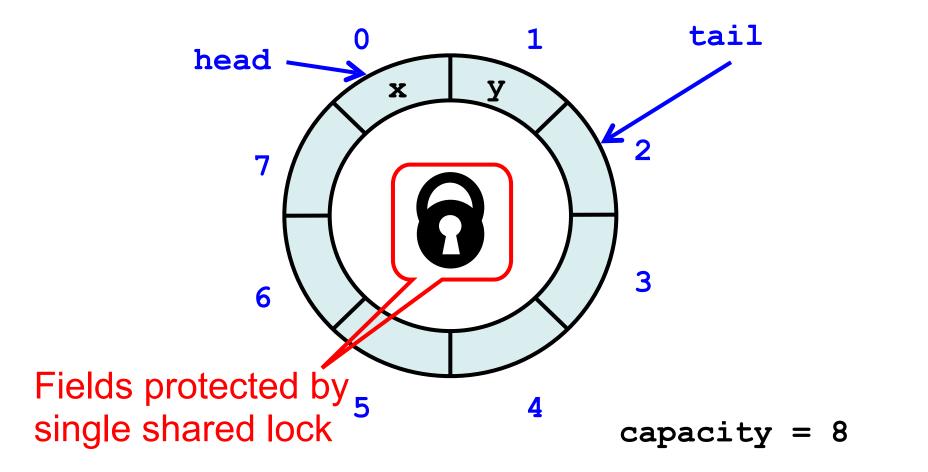


Lock-Based Queue



7

Lock-Based Queue

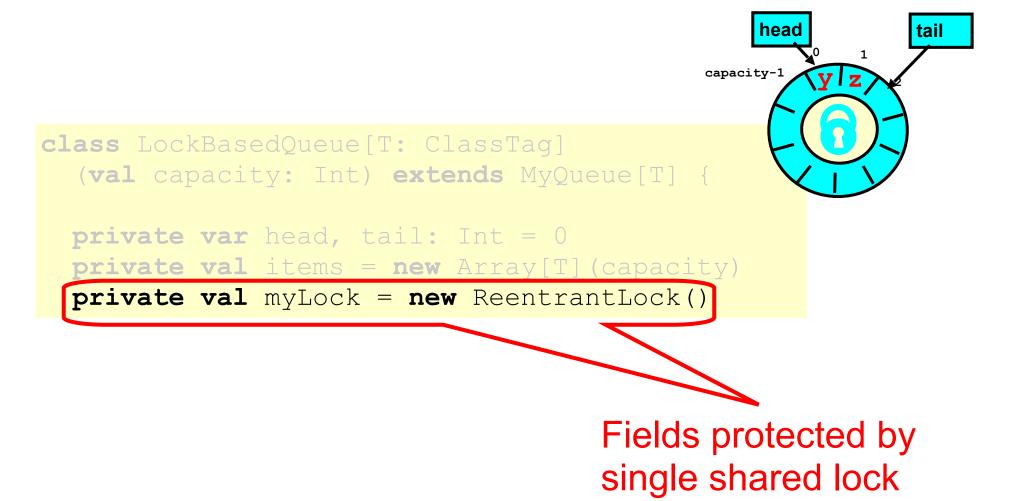


A Lock-Based Queue

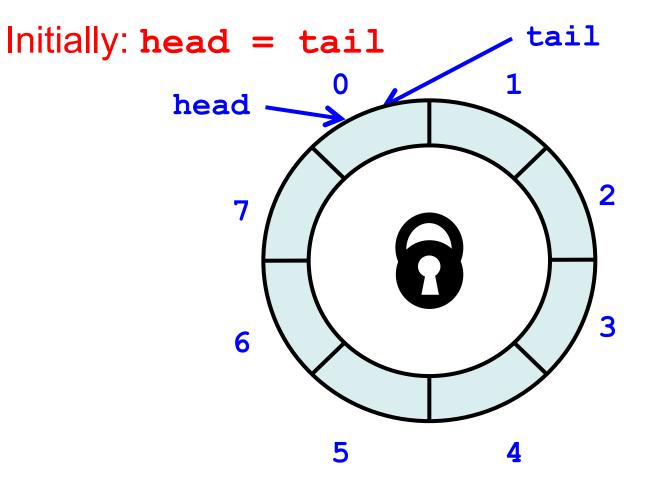
```
class LockBasedQueue[T: ClassTag]
 (val capacity: Int) extends MyQueue[T] {
```

```
private var head, tail: Int = 0
private val items = new Array[T](capacity)
private val myLock = new ReentrantLock()
```

A Lock-Based Queue

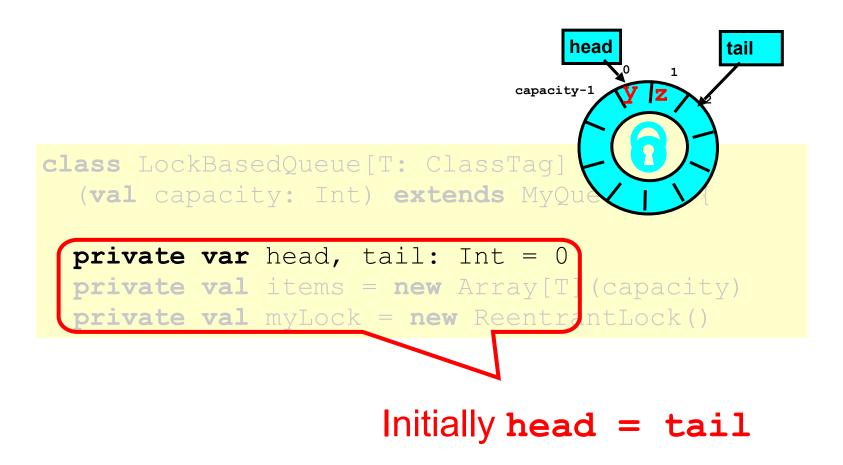


Lock-Based Queue

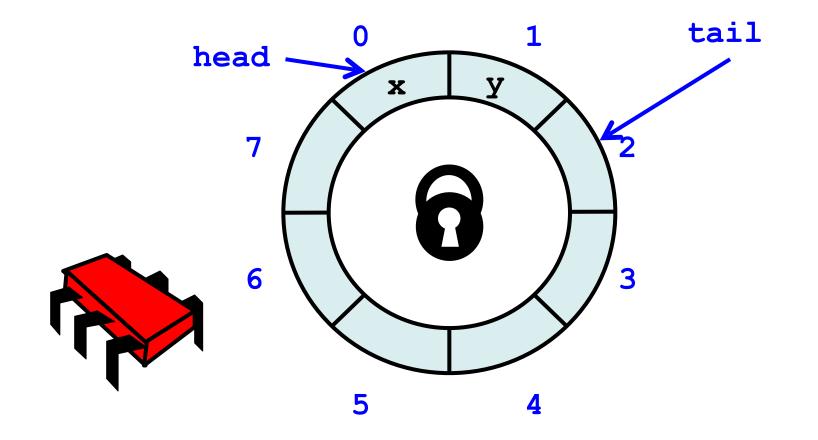


11

Lock-Based Queue

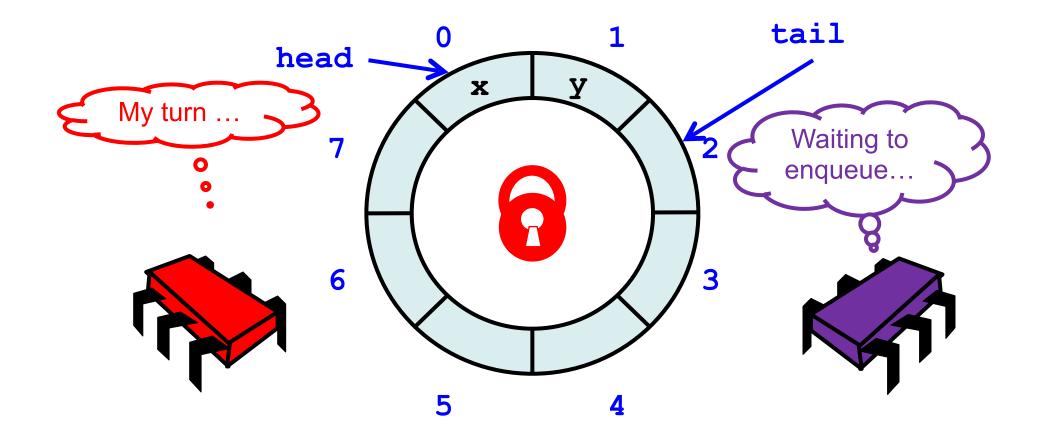


Lock-Based deq()

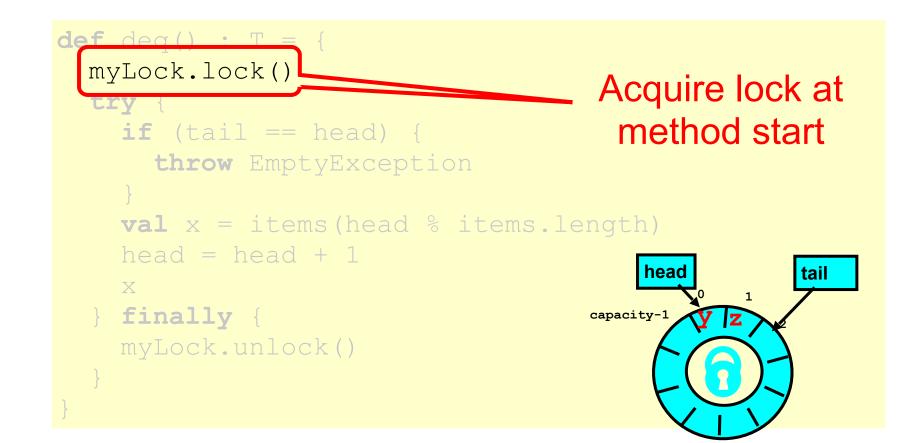


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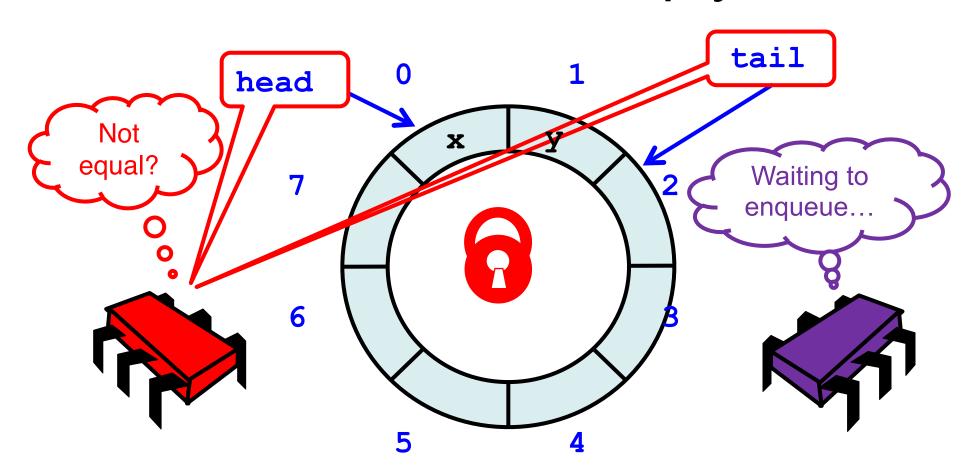
Acquire Lock

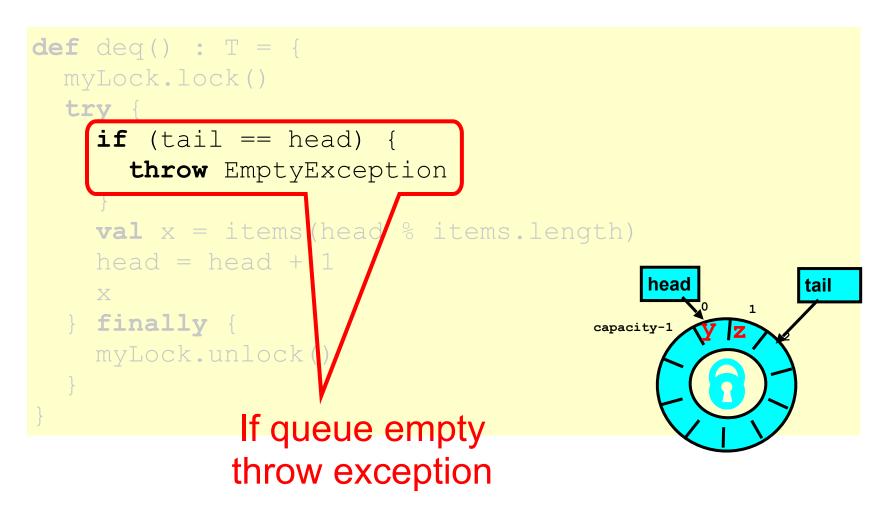


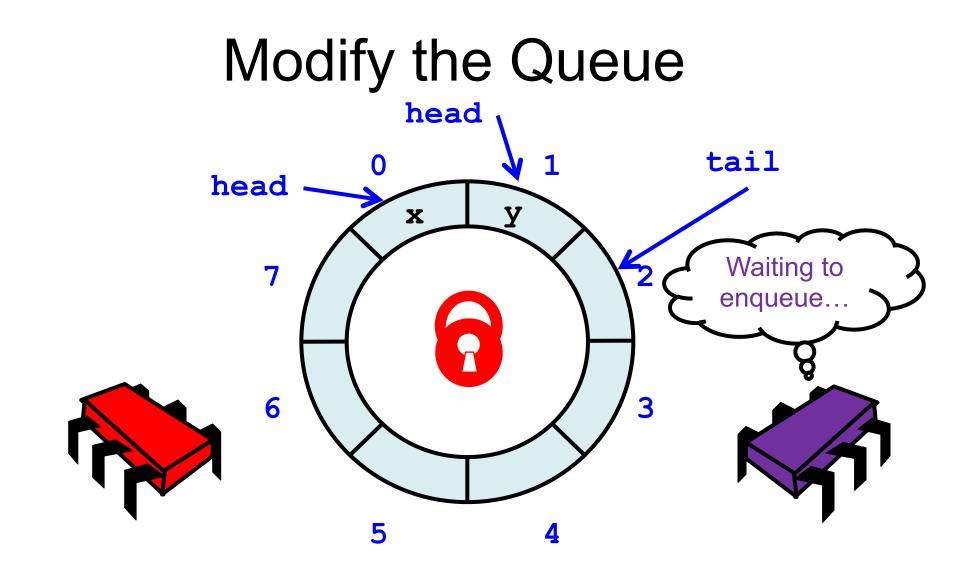
```
def deq() : T = {
  myLock.lock()
  try {
    if (tail == head) {
      throw EmptyException
    val x = items(head % items.length)
    head = head + 1
                                                   tail
                                        head
    Х
    finally {
                                    capacity-1
  }
    myLock.unlock()
```

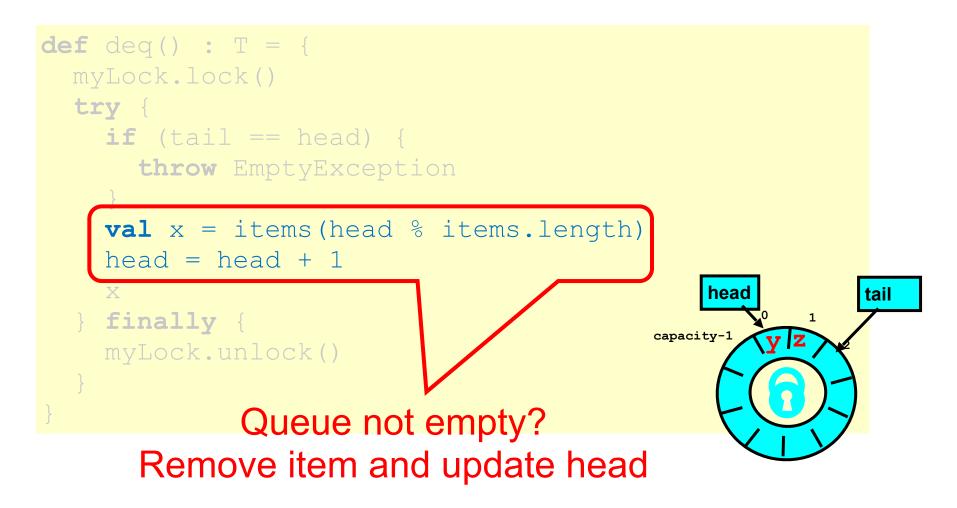


Check if Non-Empty





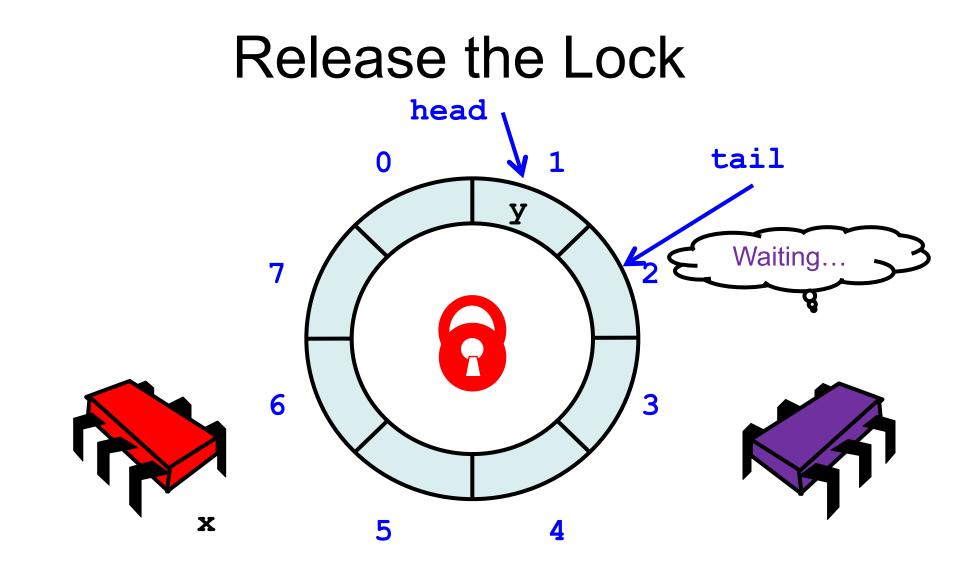


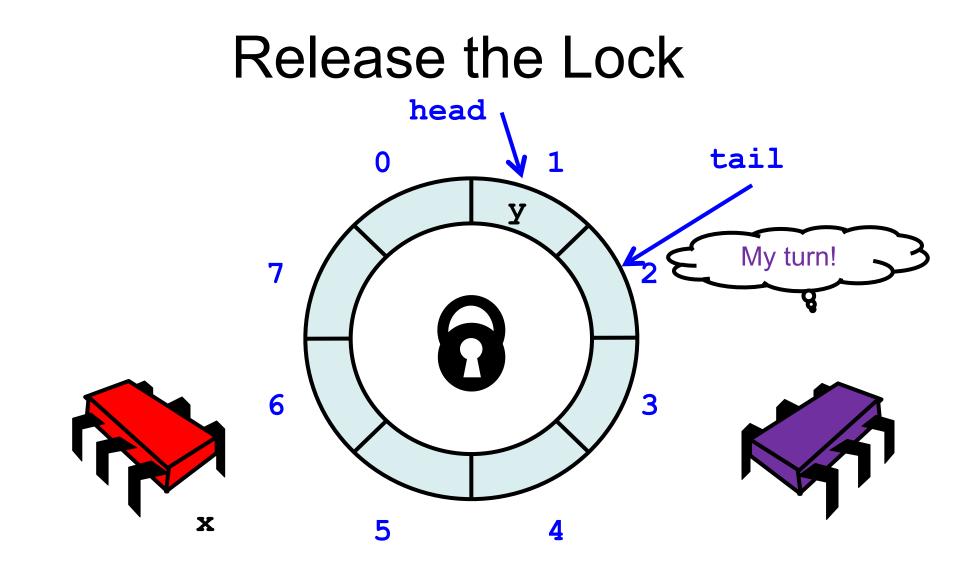


```
def deq() : T = \{
  myLock.lock()
  try {
    if (tail == head) {
      throw EmptyException
    val x = items(head % items.length)
    head = head + 1
    Х
                                                        tail
                                              head
    finally {
                                          capacity-1
                                                  v z
    my_ock.unlock()
  Return result
```



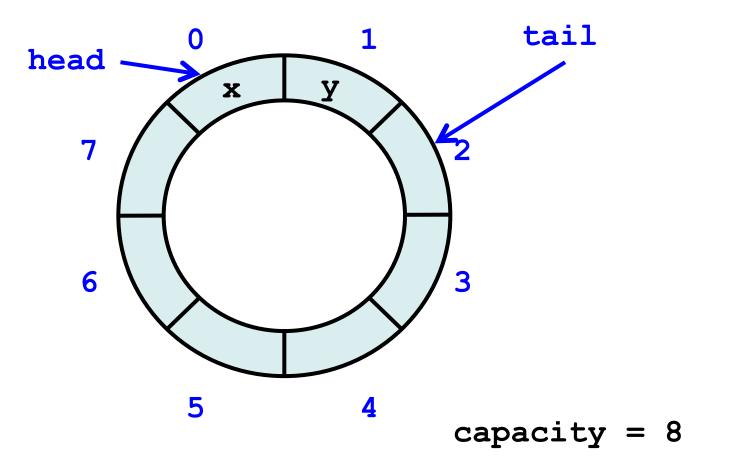
```
def deq() : T = \{
  myLock.lock()
  try {
    if (tail == head) {
       throw EmptyException
    val x = items(head % items.length)
                     anounce when bevause exclusive...
modifications are mutually exclusive.
                     Should be correct because
    head = head + 1
    Х
    finally {
  }
    myLock.unlock()
```

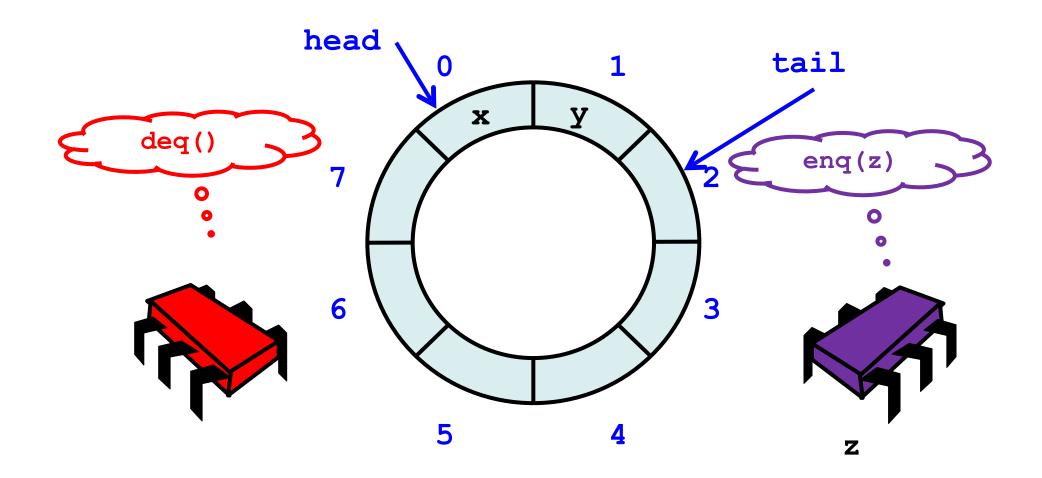




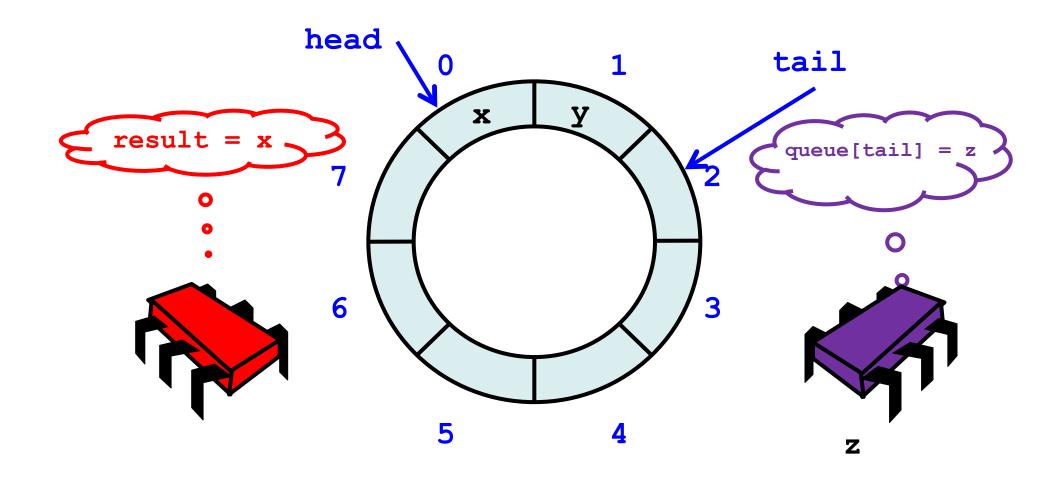
Now consider the following implementation

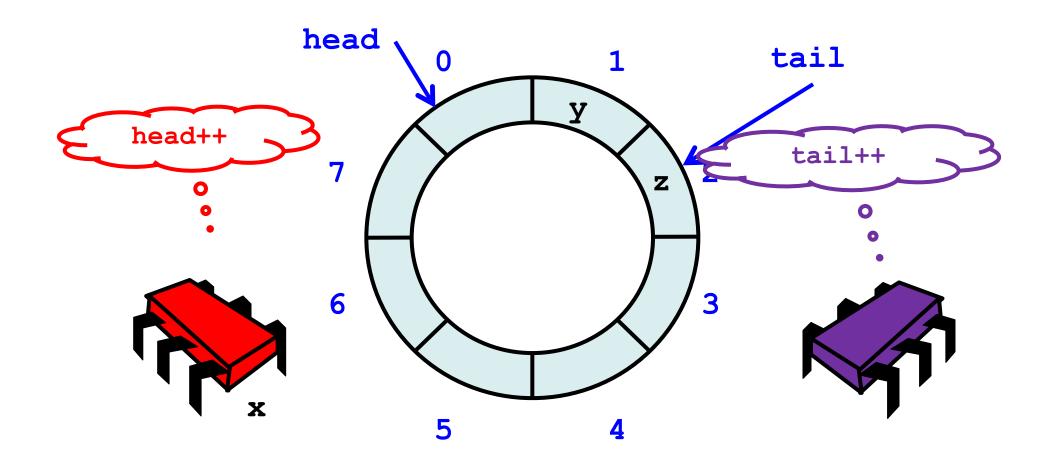
- The same thing without mutual exclusion
- For simplicity, only two threads
 - One thread enq only
 - The other deq only





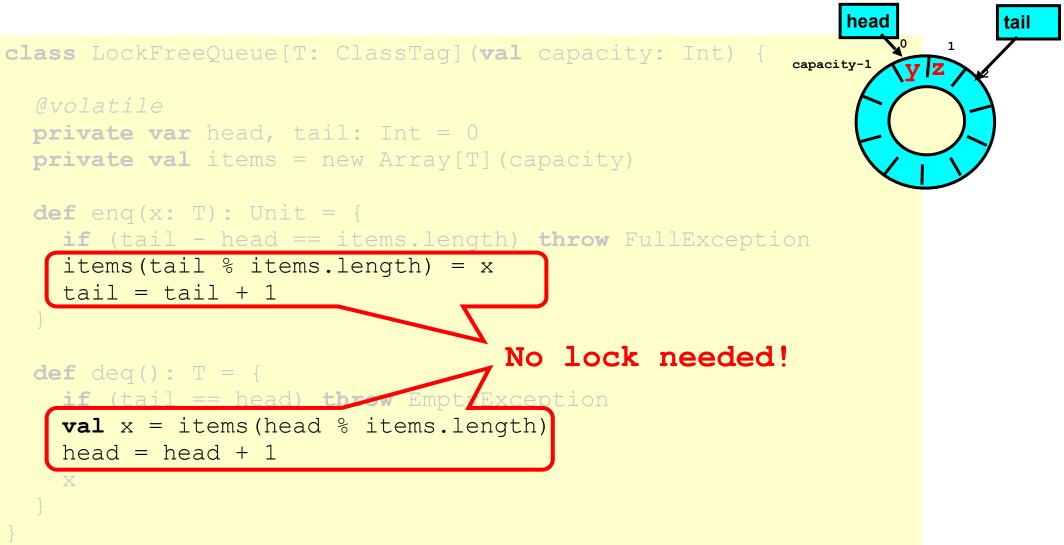
28





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```
head
                                                                        tail
class LockFreeQueue[T: ClassTag](val capacity: Int) {
                                                         capacity-1
                                                                 y z
  Qvolatile
 private var head, tail: Int = 0
  private val items = new Array[T] (capacity)
  def enq(x: T): Unit = {
    if (tail - head == items.length) throw FullException
    items(tail % items.length) = x
    tail = tail + 1
  def deq(): T = {
    if (tail == head) throw EmptyException
    val x = items(head % items.length)
    head = head + 1
    Х
```



```
class LockFreeQueue[T: ClassTag] (val capacity: Int) {
```

```
Qvolatile
private var head, tail: Int = 0
private val items = new Array[T] (capacity)
```

```
def enq(x: T): Unit = {
  if (tail - head == items.length) throw FullException
  items(tail % items.length) = x
  tail = tail + 1
```

```
nuv uu vve ueime not mutually exclusive?
modifications are not mutually
                            How do we define "correct" when
def deq(): T = {
  if (tail == head) throw EmptyException
  val x = items (head % items.length
  head = head + 1
  Х
```

What is a Concurrent Queue?

- Need a way to specify a concurrent queue object
- Need a way to prove that an algorithm implements the object's specification
- Lets talk about object specifications ...

Correctness and Progress

- In a concurrent setting, we need to specify both the safety and the liveness properties of an object
- Need a way to define
 - when an implementation is correct
 - the conditions under which it guarantees progress

Lets begin with correctness

Sequential Objects

- Each object has a state
 - Usually given by a set of *fields*
 - Queue example: sequence of items
- Each object has a set of *methods*
 - Only way to manipulate state
 - Queue example: enq and deq methods

Sequential Specifications

- If (precondition)
 - the object is in such-and-such a state
 - before you call the method,
- Then (postcondition, result)
 - the method will return a particular value
 - or throw a particular exception,
- and (postcondition, state)
 - the object will be in some other state
 - when the method returns

Pre and PostConditions for Dequeue

- Precondition:
 - Queue is non-empty
- Postcondition (result):
 - Returns first item in queue
- Postcondition (state):
 - Removes first item in queue

Pre and PostConditions for Dequeue

- Precondition:
 - Queue is empty
- Postcondition (result):
 - Throws Empty exception
- Postcondition (state):
 - Queue state unchanged

Why Sequential Specifications Totally Rock

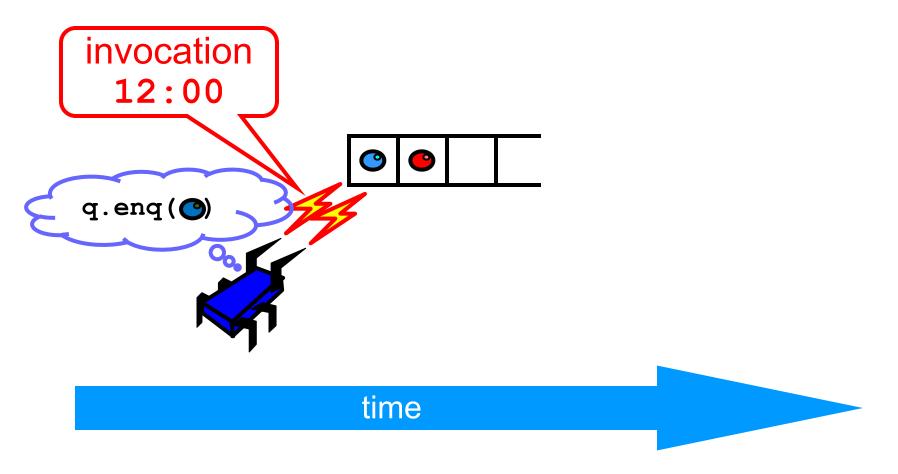
- Interactions among methods captured by side-effects on object state
 - State meaningful between method calls
- Documentation size linear in number of methods
 - Each method described in isolation
- Can add new methods
 - Without changing descriptions of old methods

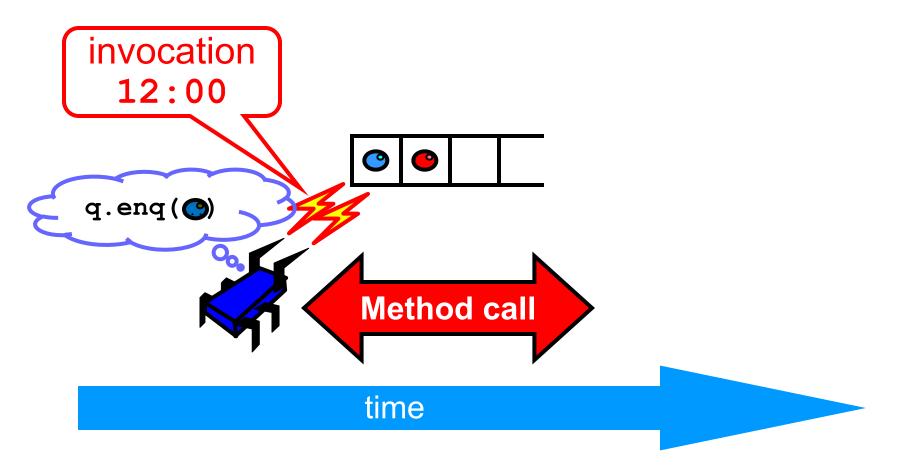
What About Concurrent Specifications ?

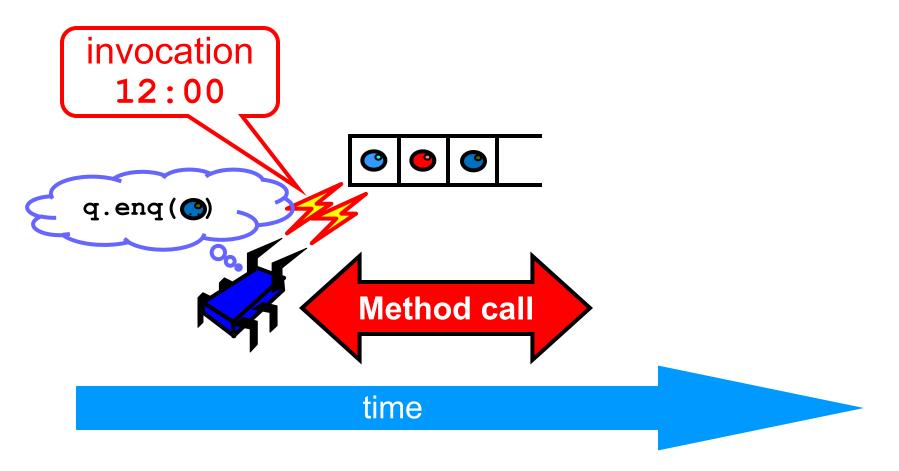
- Methods?
- Documentation?
- Adding new methods?

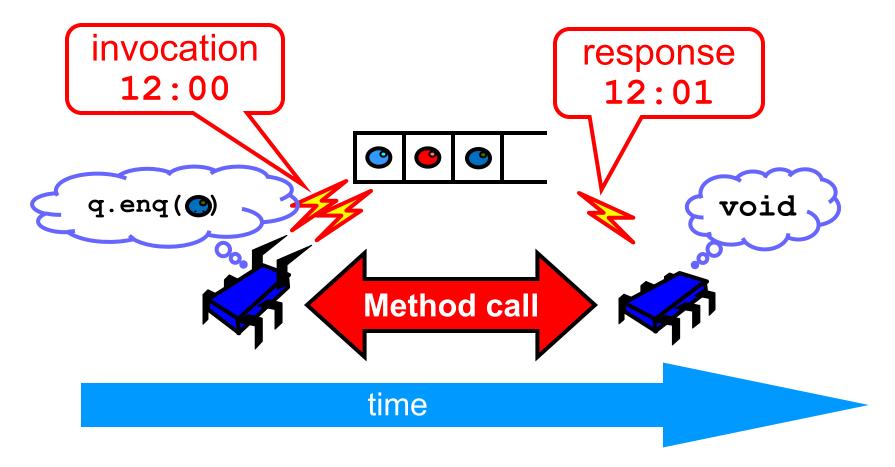




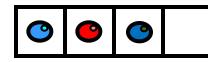


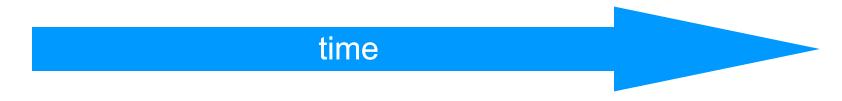


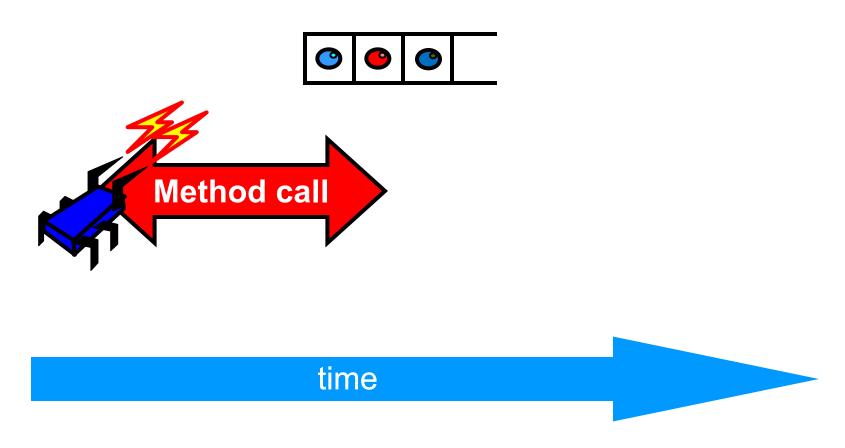


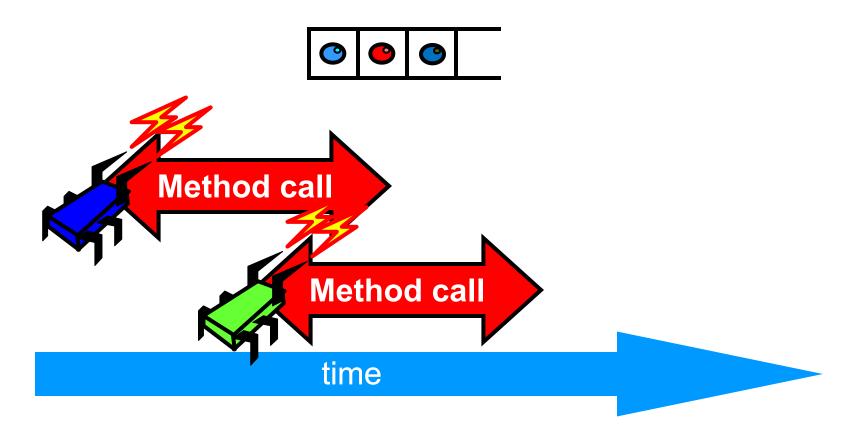


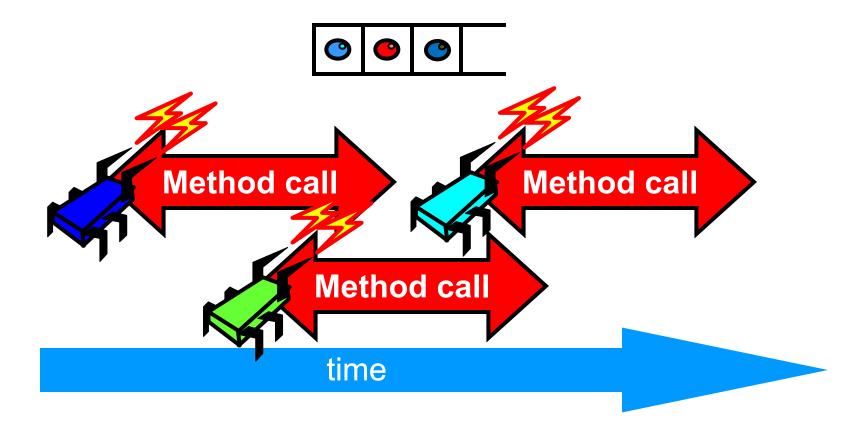
- Sequential
 - Methods take time? Who knew?
- Concurrent
 - Method call is not an event
 - Method call is a sequence of interval events.











- Sequential:
 - Object needs meaningful state only between method calls
- Concurrent
 - Because method calls overlap,
 object might *never* be between method calls

- Sequential:
 - Each method described in isolation
- Concurrent
 - Must characterize **all** possible interactions with concurrent calls
 - What if two enq() calls overlap?
 - Two deq() calls? enq() and deq()? ...

- Sequential:
 - Can add new methods without affecting older methods
- Concurrent:
 - Everything can potentially interact with everything else

- Sequential:
 - Can add new methods without affecting older methods
- Concurrent:
 - Everything can potentially interact with everything else



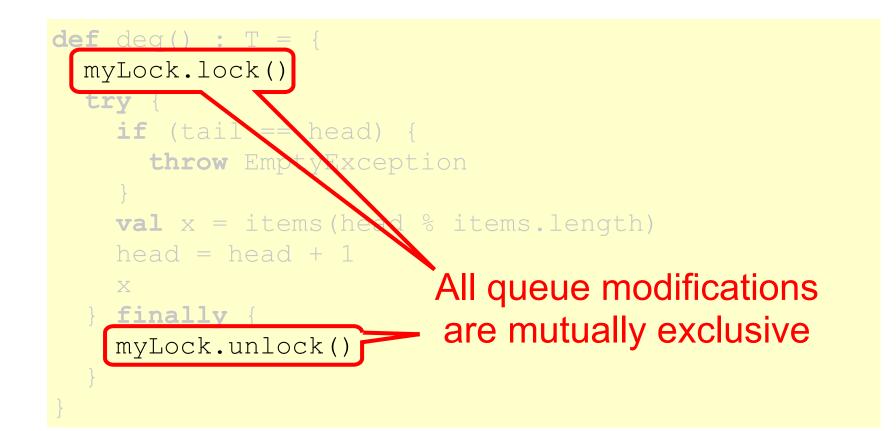
The Big Question

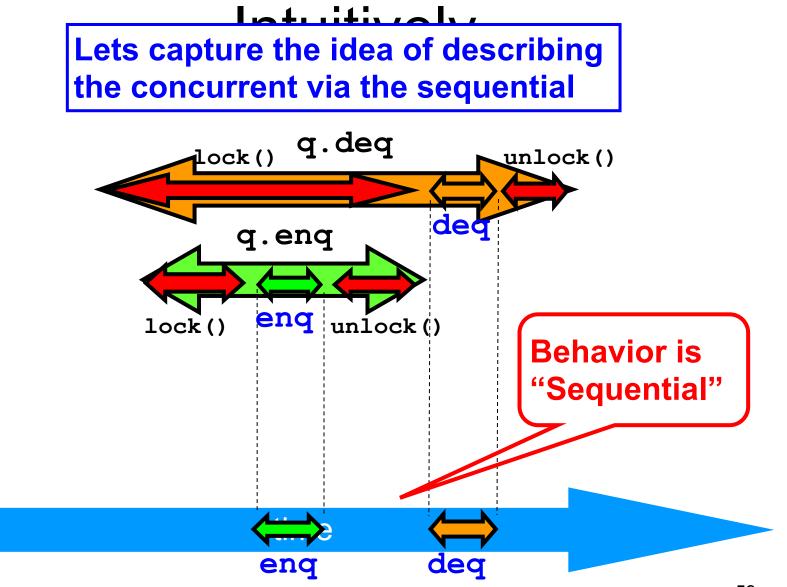
- What does it mean for a *concurrent* object to be correct?
 - What is a concurrent FIFO queue?
 - FIFO means strict temporal order
 - Concurrent means ambiguous temporal order

Intuitively...

```
def deq() : T = {
 myLock.lock()
  try {
    if (tail == head) {
      throw EmptyException
    }
    val x = items(head % items.length)
    head = head + 1
    Х
  } finally {
    myLock.unlock()
```

Intuitively...





Linearizability

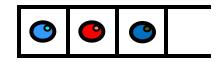
- Each method should
 - "take effect"
 - Instantaneously
 - Between invocation and response events
- Object is correct if this "sequential" behavior is correct
- Any such concurrent object is
 - Linearizable[™]

Is it really about the object?

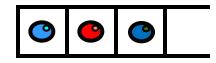
- Each method should
 - "take effect"
 - Instantaneously
 - Between invocation and response events
- Sounds like a property of an execution...
- A linearizable object: one *all* of whose possible *executions* are linearizable

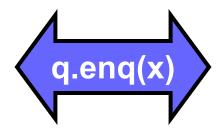
Proving execution linearizable

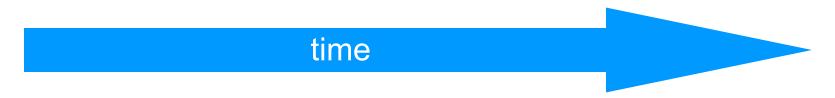
- Identify "linearization points"
 - Between invocation and response events
 - Correspond to the effect of the call
 - "Justify" the whole execution
- Multiple ways to identify linearization points exist
- If none found, execution is *non-linearizable*

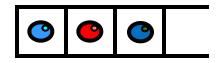


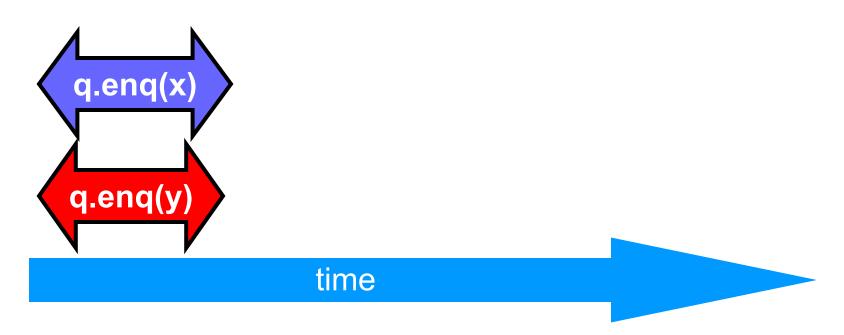


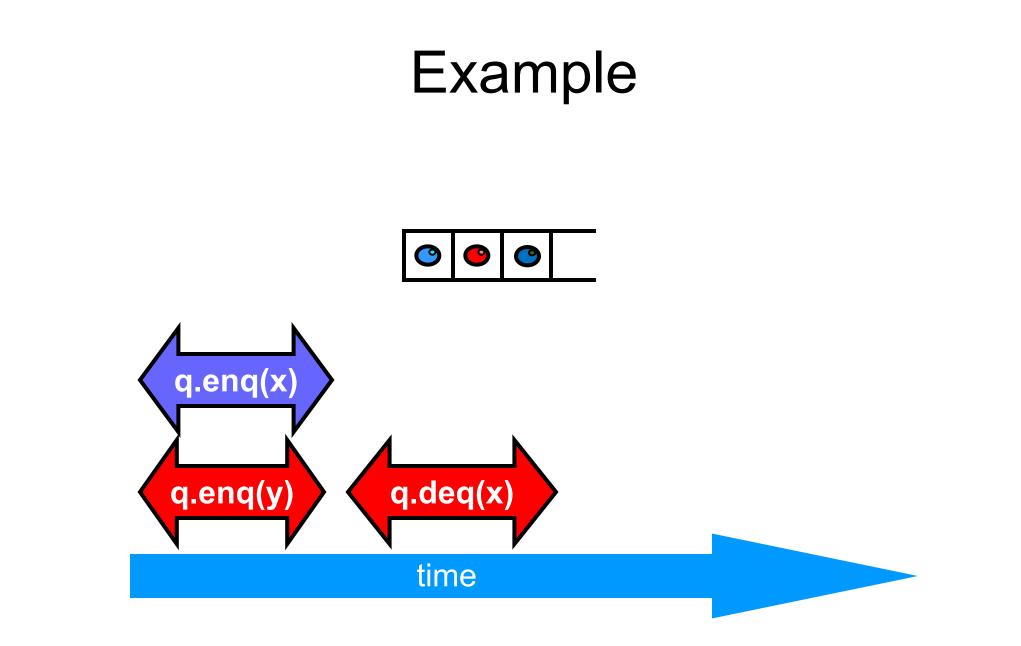


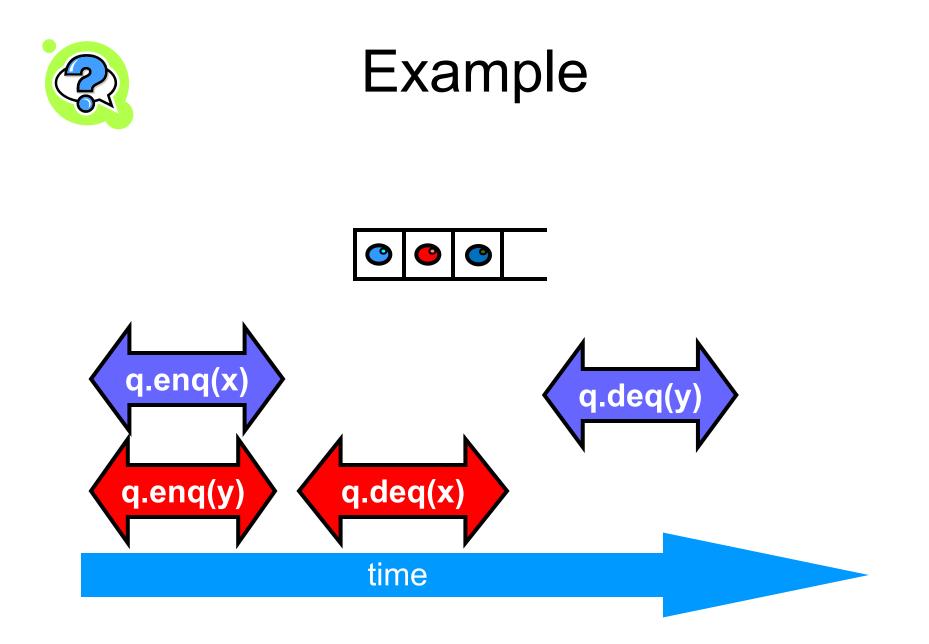


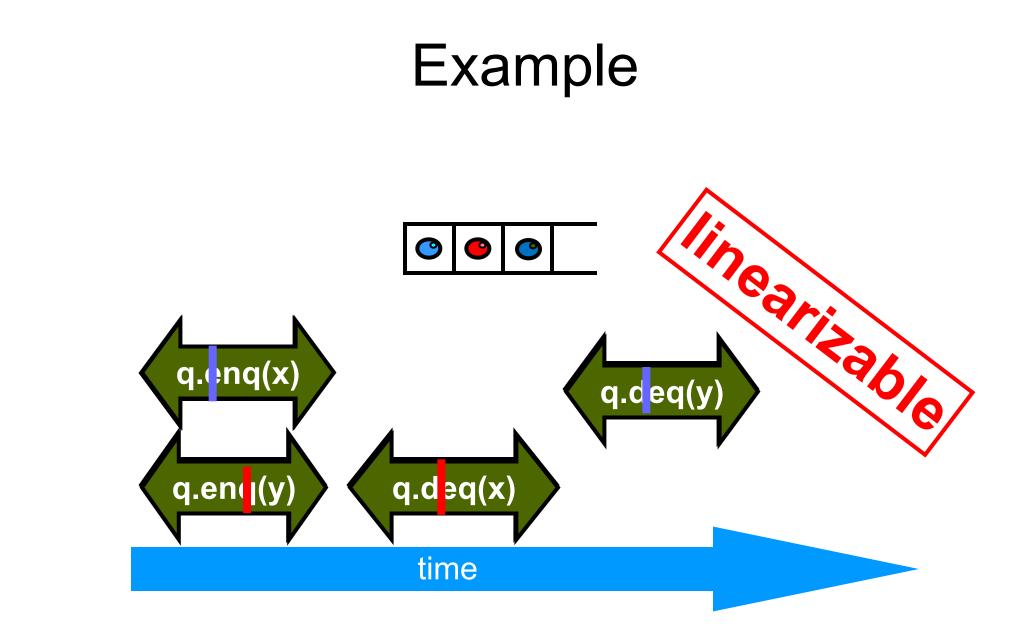


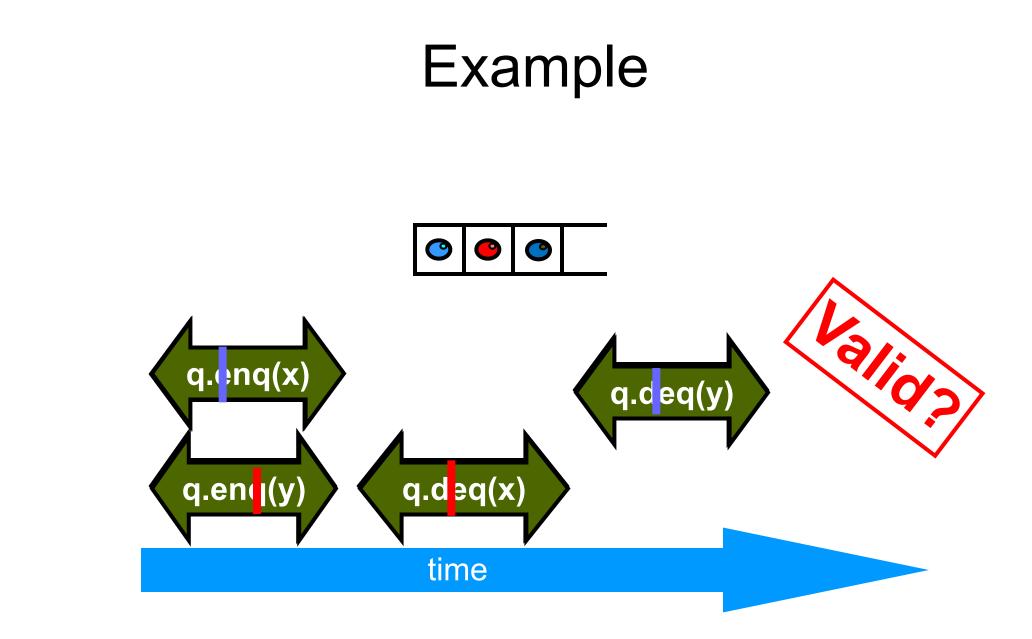


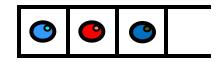


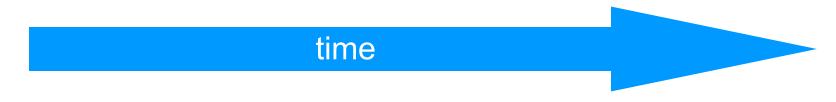


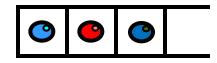


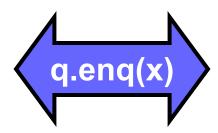




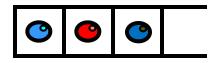


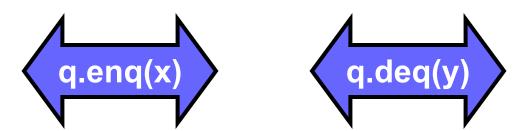






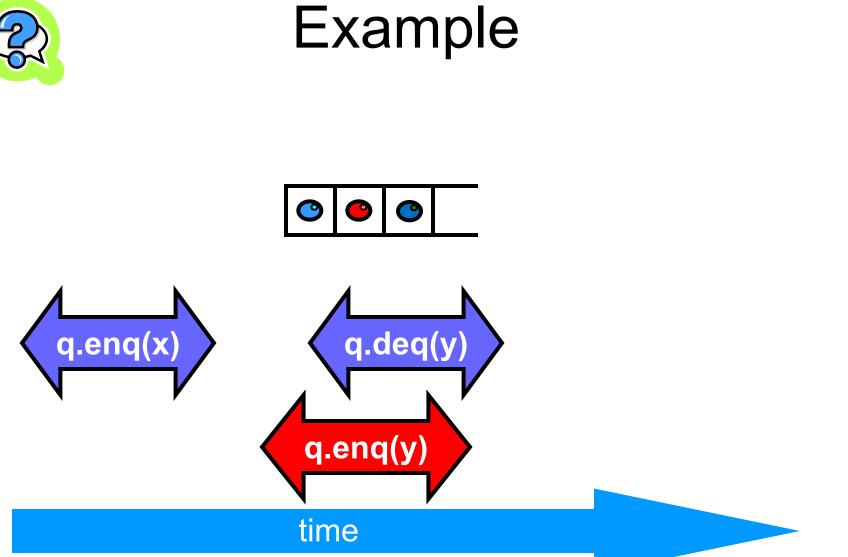






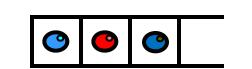


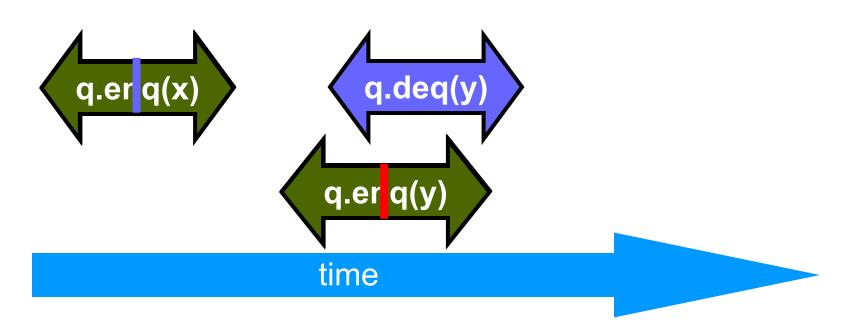


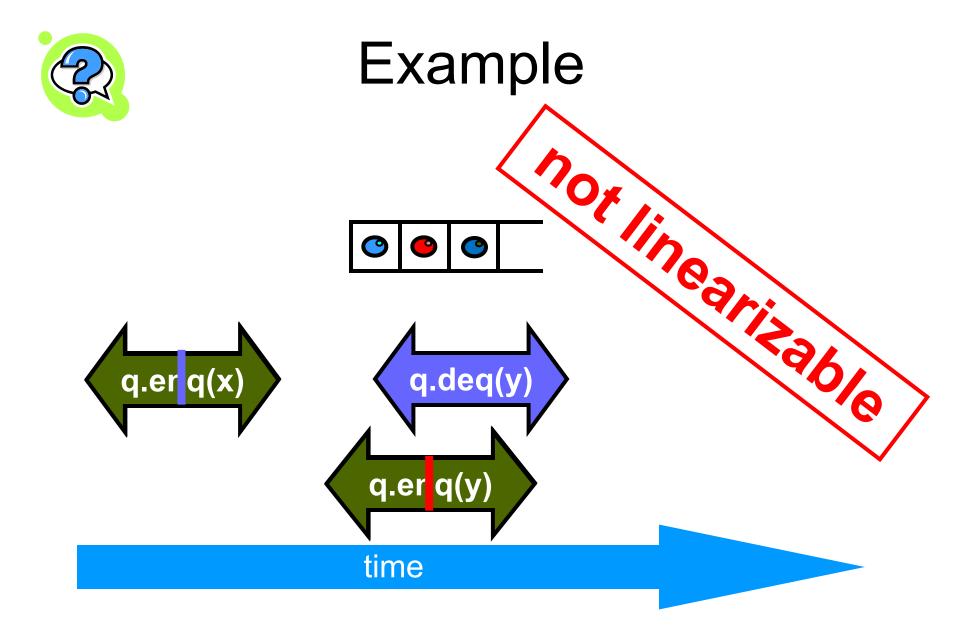




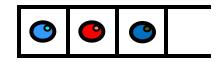








Example

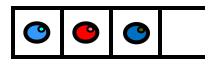


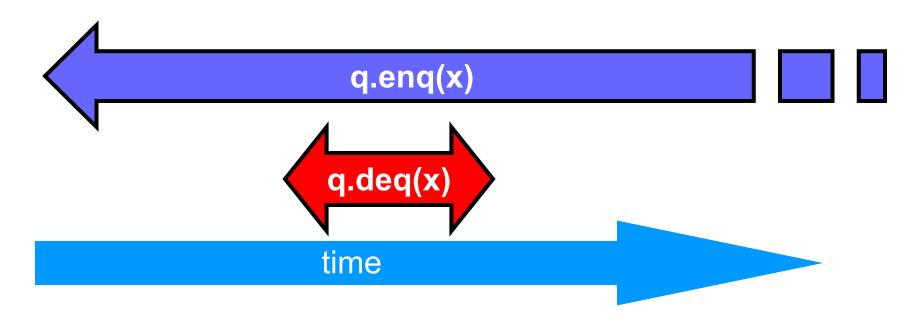


Example \bigcirc 0 \bigcirc q.enq(x) time



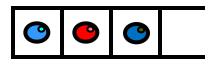


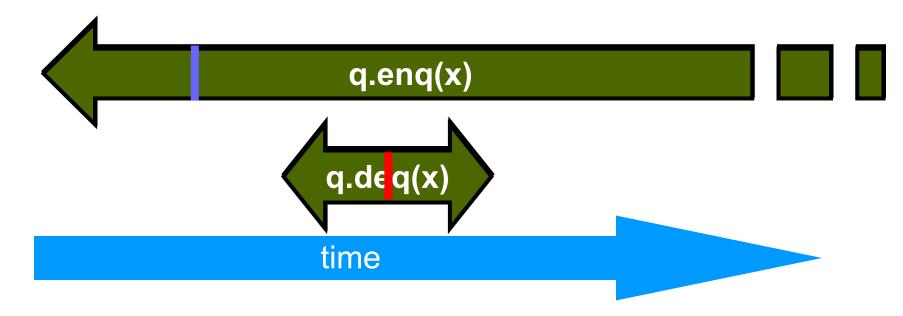


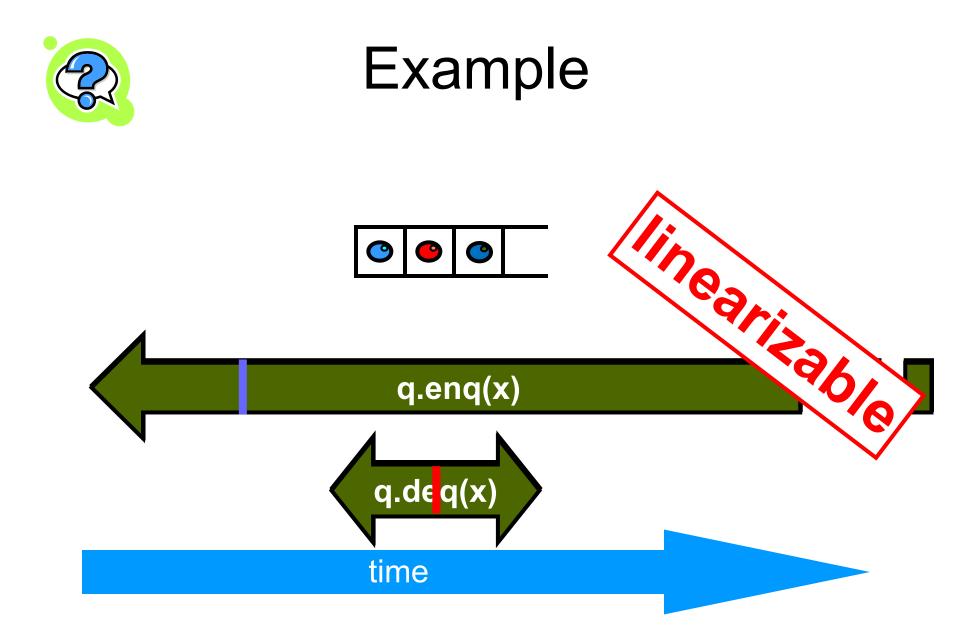




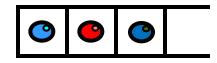


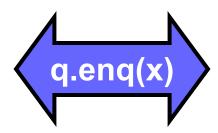


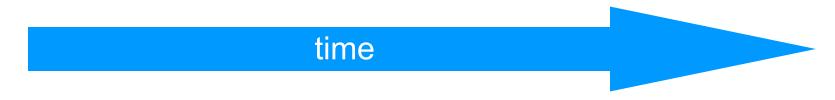




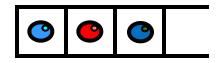
Example

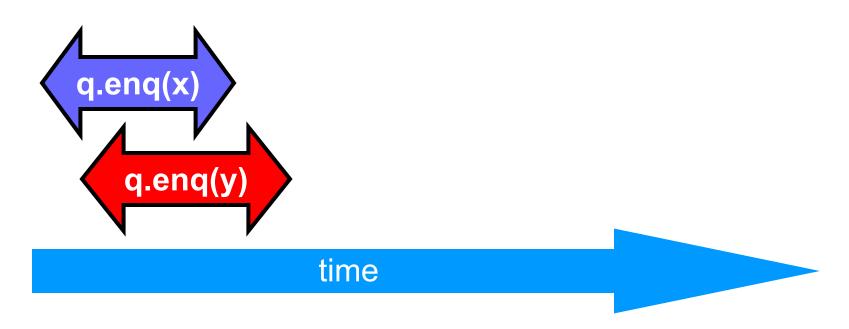


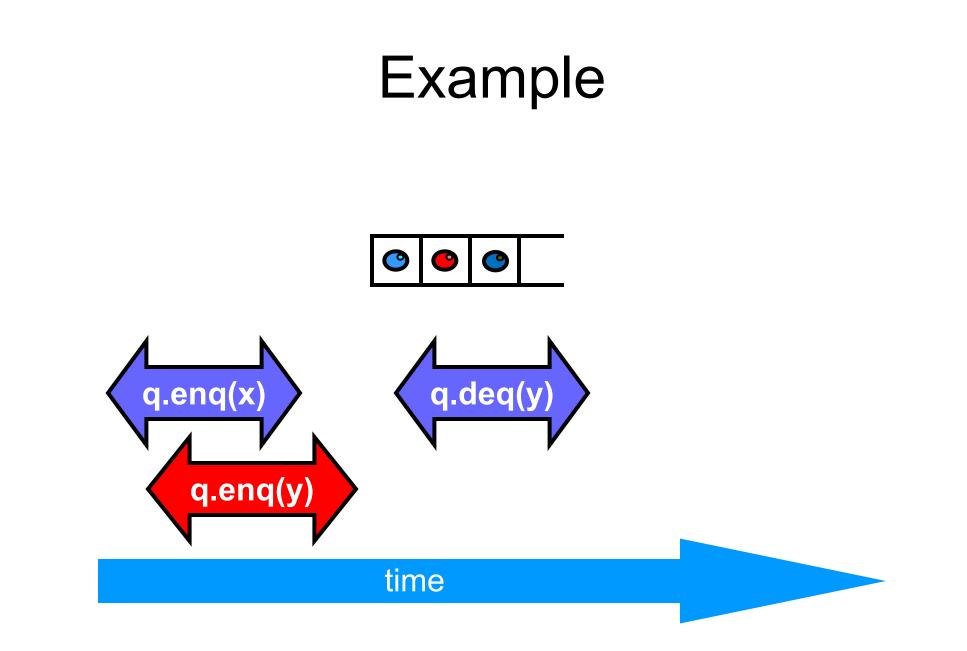




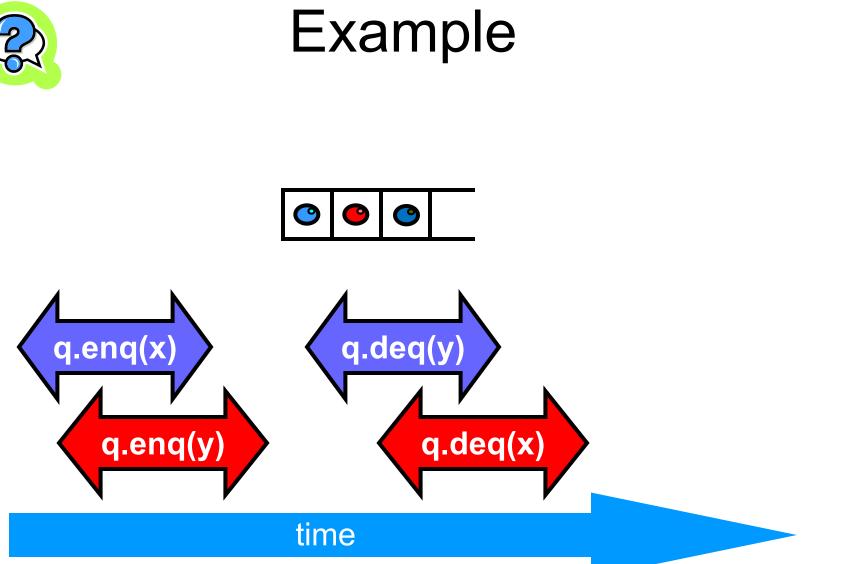
Example

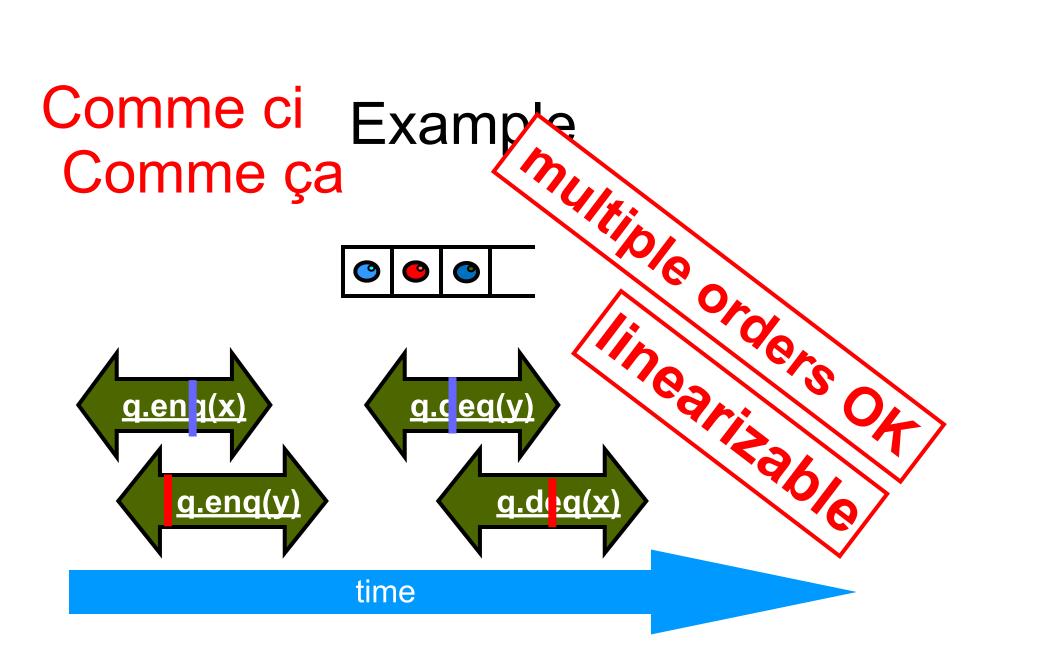


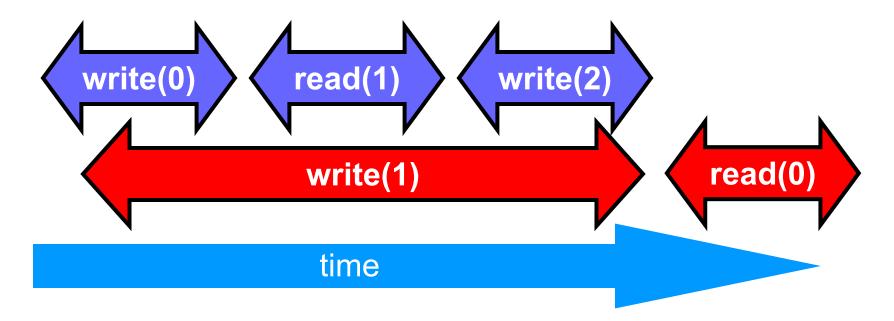


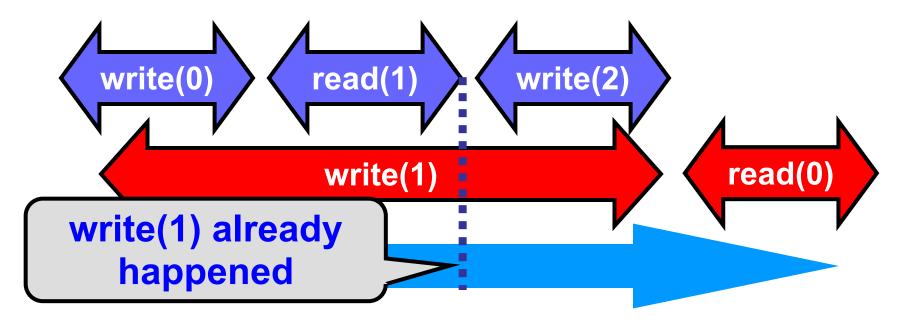


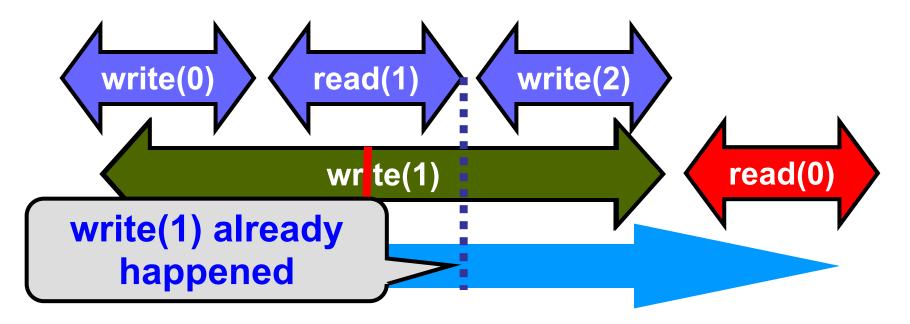


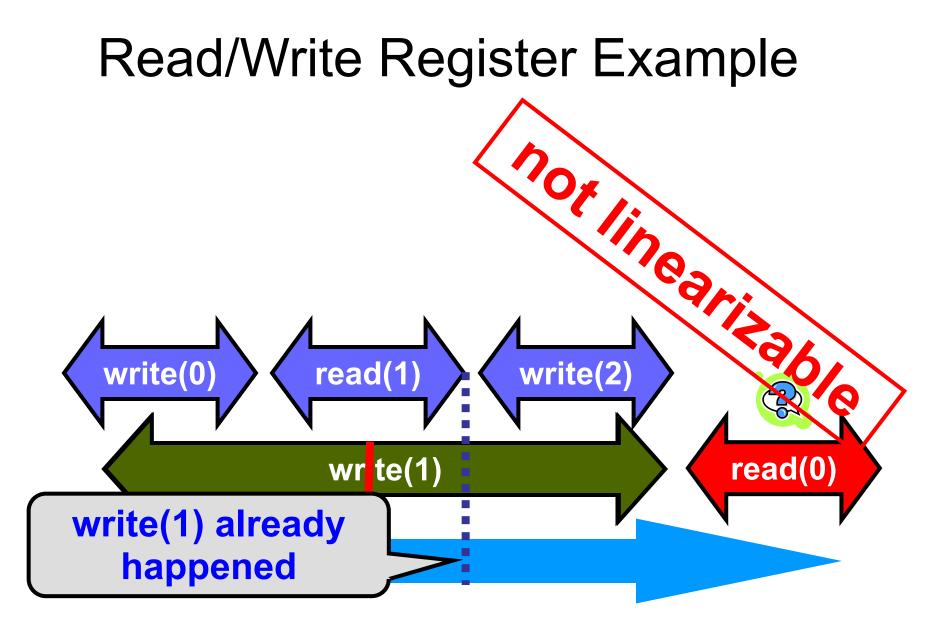


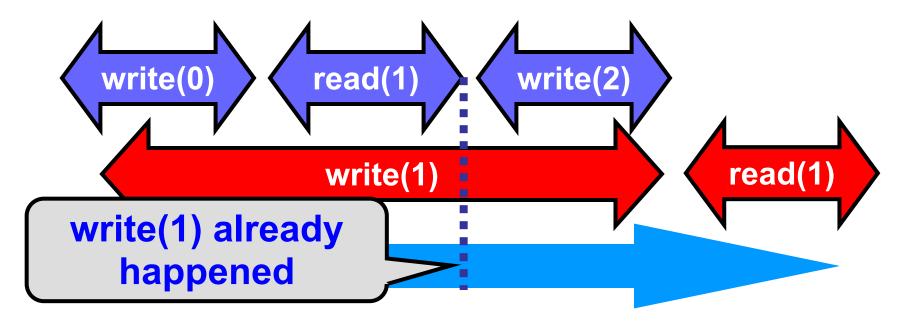


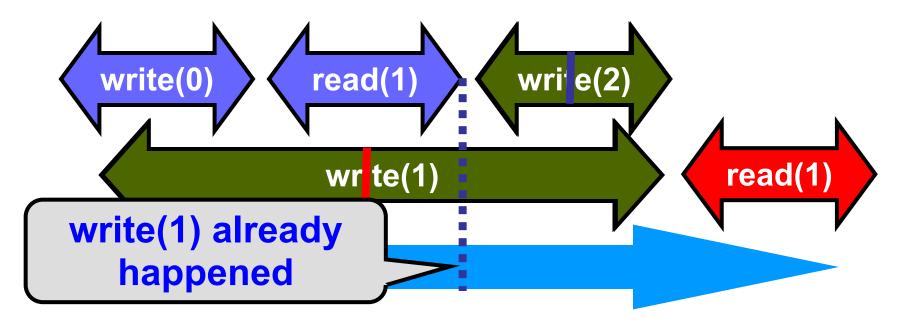


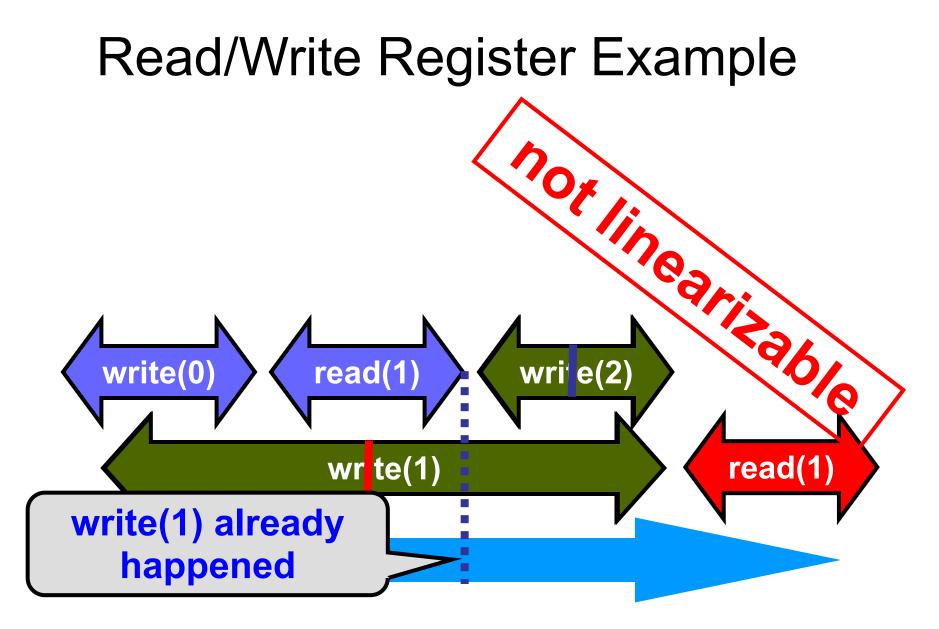


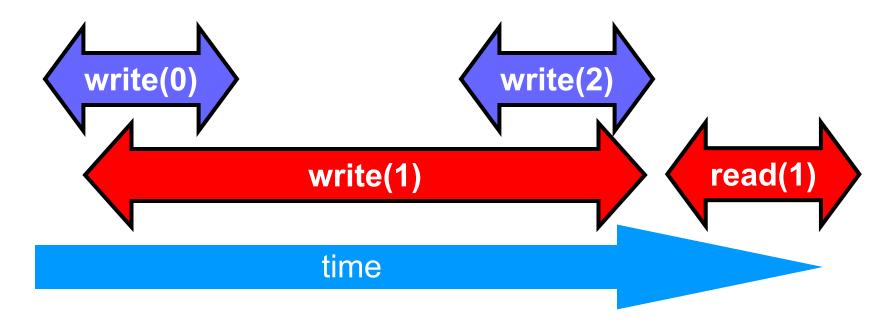


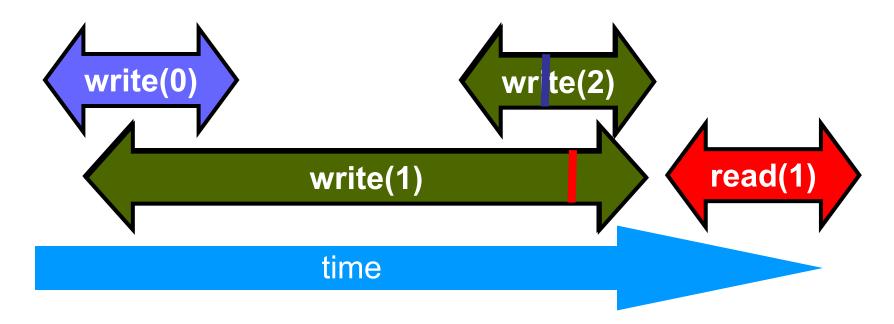


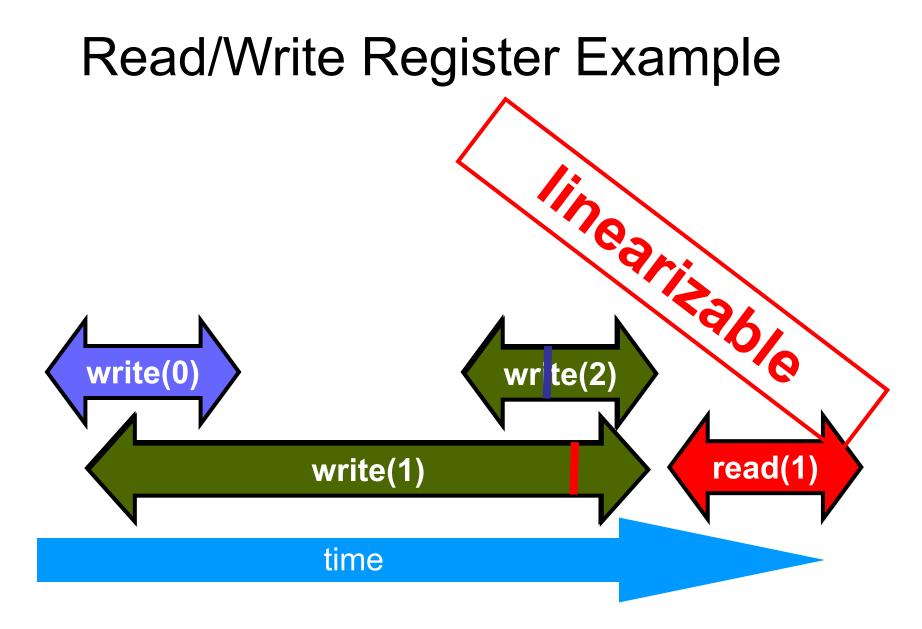












Talking About Executions

- Why?
 - Can't we specify the linearization point of each operation without describing an execution?
- Not Always
 - In some cases, linearization point depends on the execution

Formal Model of Executions

- Define precisely what we mean
 - Ambiguity is bad when intuition is weak
- Allow reasoning
 - Formal
 - But mostly informal
 - In the long run, actually more important

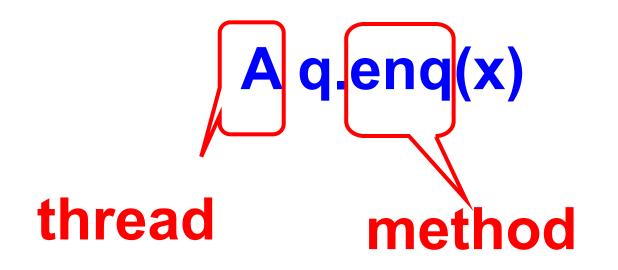
Split Method Calls into Two Events

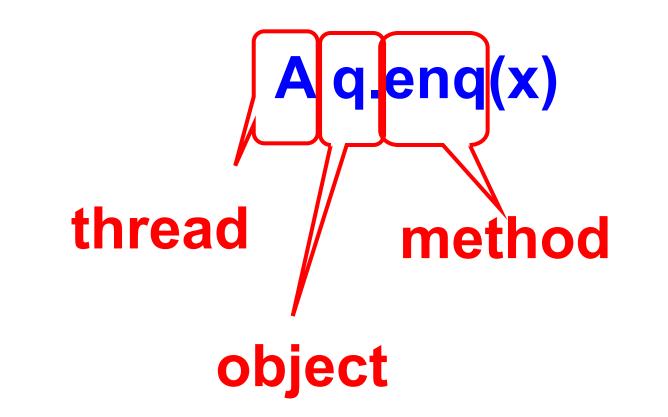
- Invocation
 - method name & args
 - -q.enq(x)
- Response
 - result or exception
 - -q.enq(x) returns void
 - -q.deq() returns x
 - -q.deq() throws empty

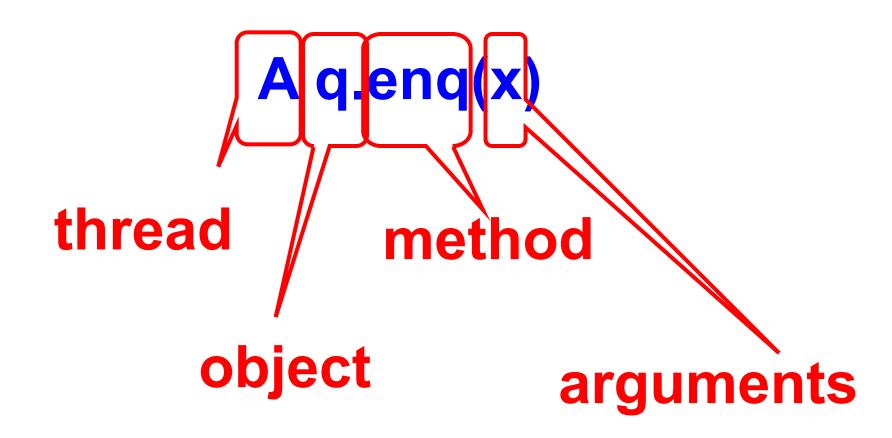
A q.enq(x)



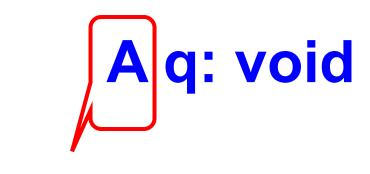
thread



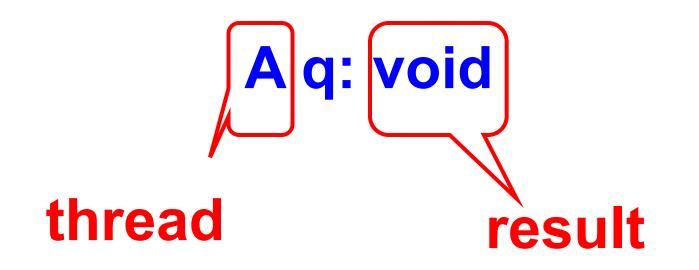


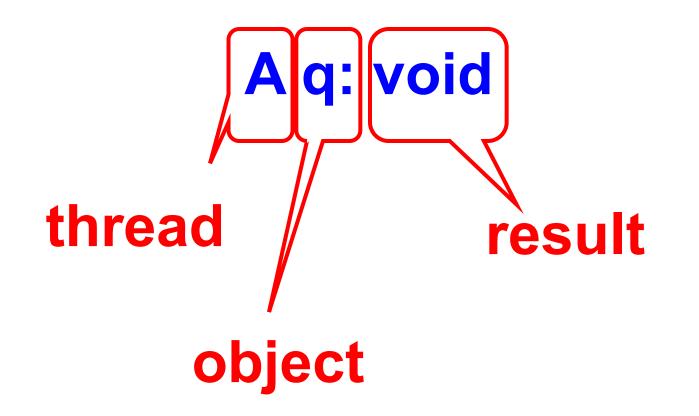


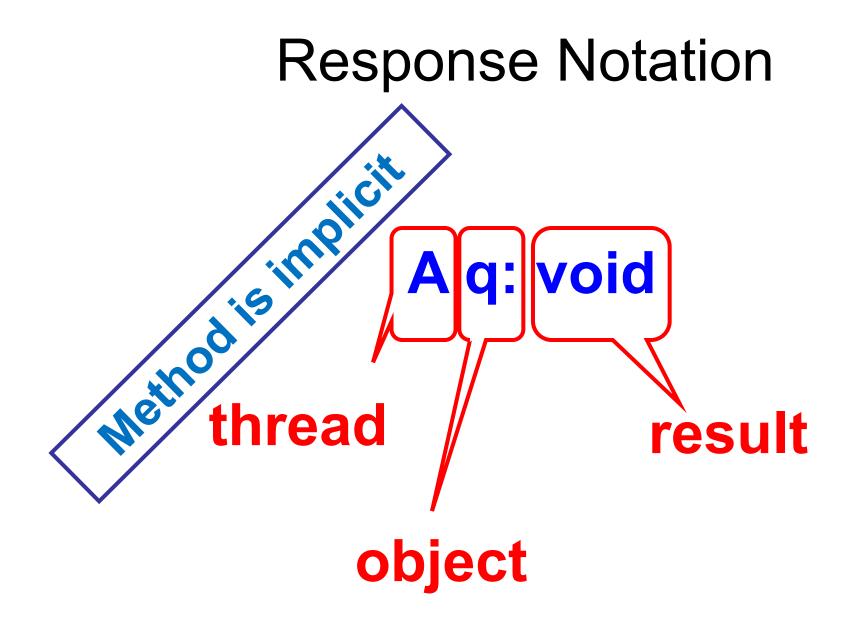
A q: void

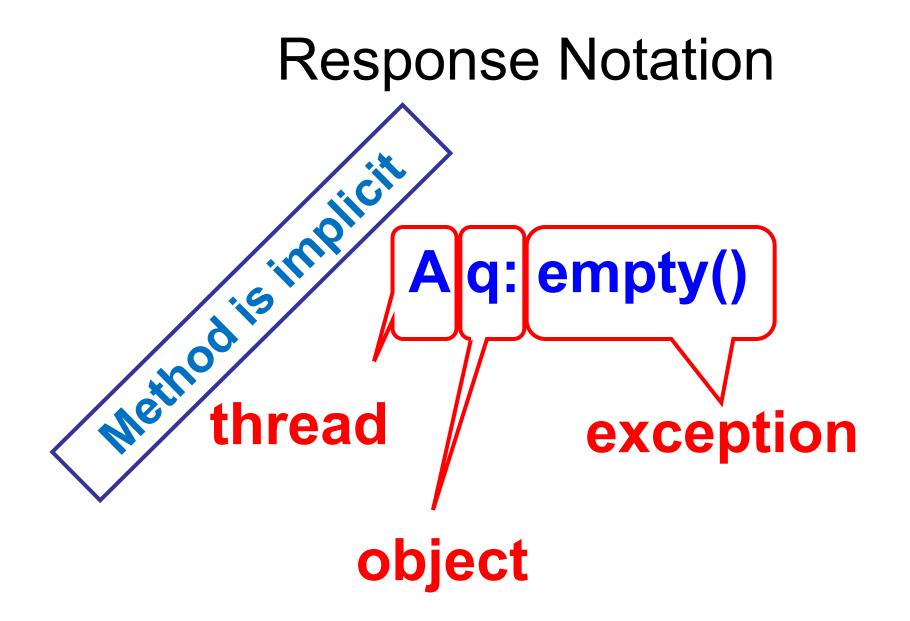


thread







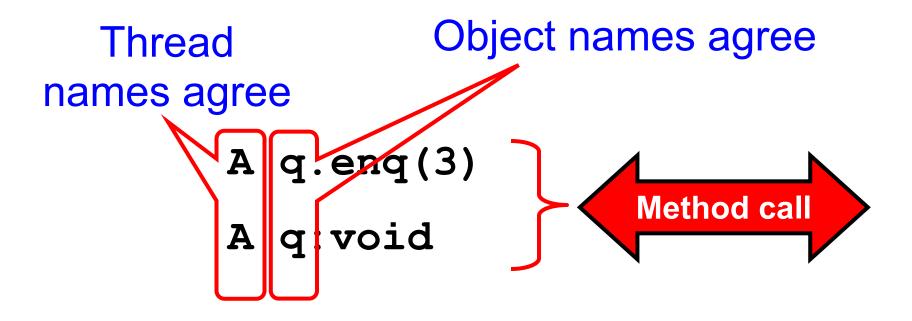


History - Describing an Execution

Sequence of invocations and responses

Definition

• Invocation & response *match* if



Object Projections

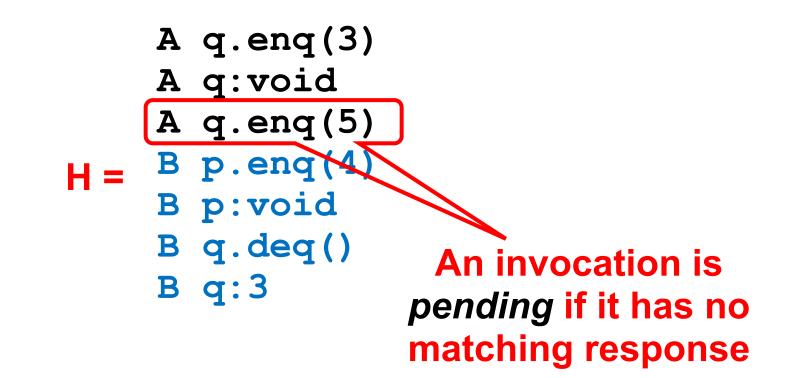
```
A q.enq(3)
A q:void
H = B p.enq(4)
B p:void
B q.deq()
B q:3
```

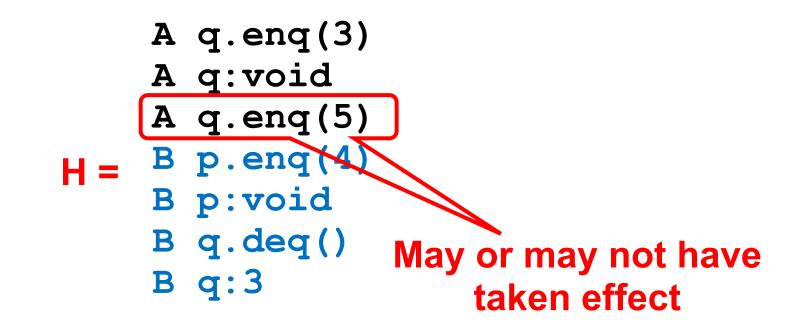
Object Projections

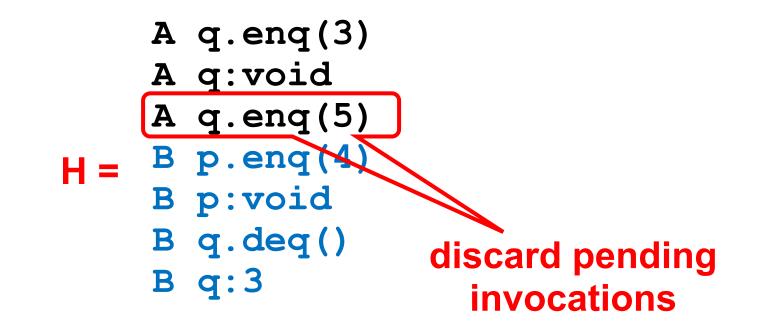
A q.enq(3) A q:void H|q = B q.deq() B q:3

Thread Projections

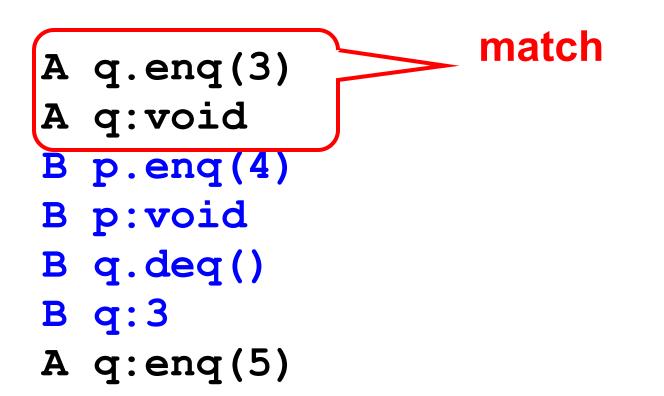
Thread Projections

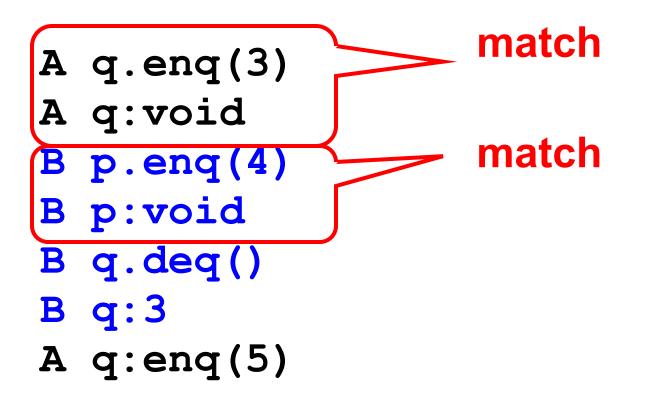


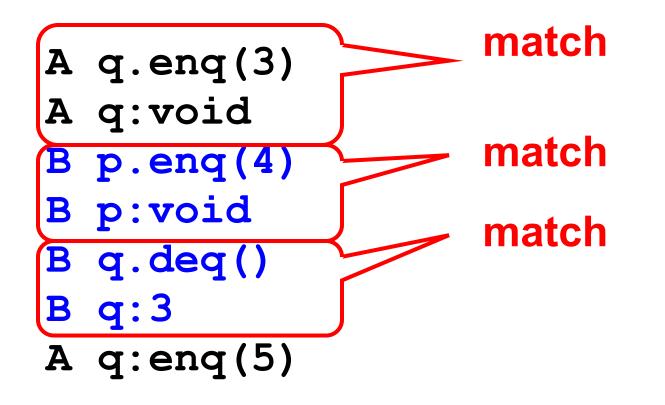


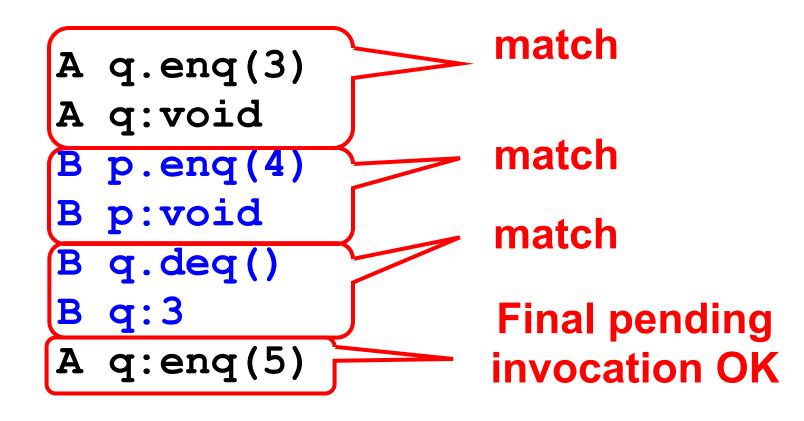


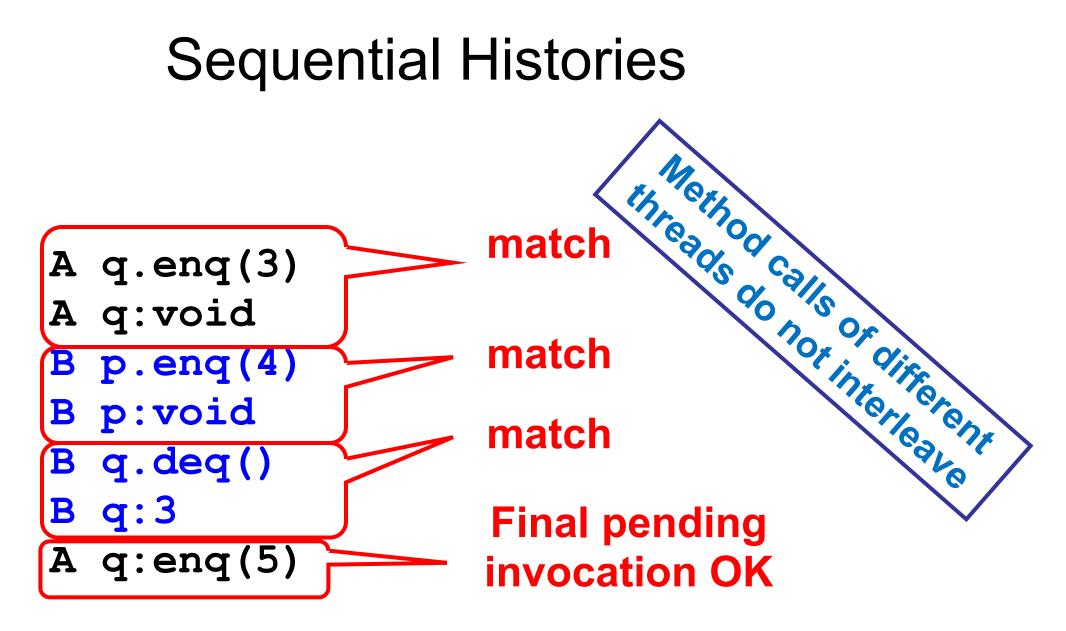
- A q.enq(3)
- A q:void
- B p.enq(4)
- B p:void
- B q.deq()
- B q:3
- A q:enq(5)







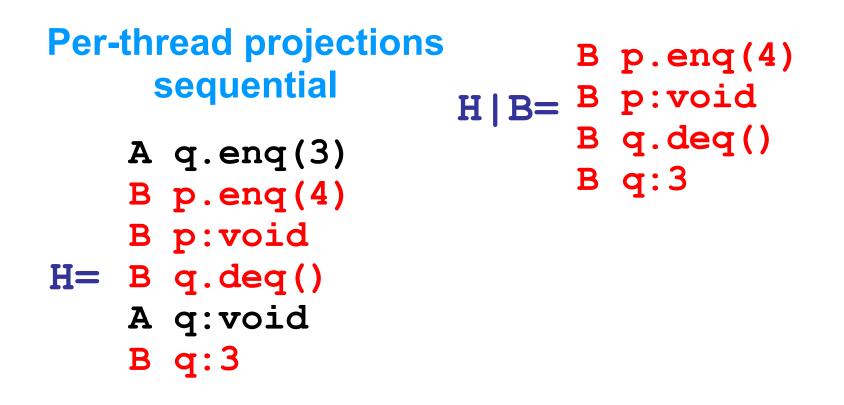




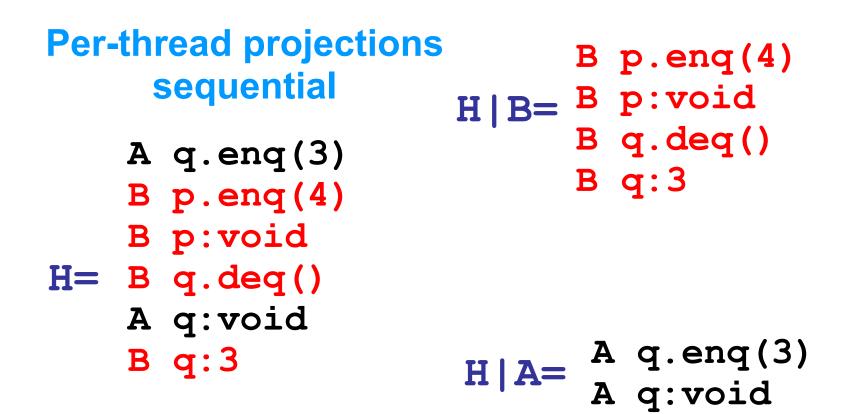
Well-Formed Histories

A q.enq(3) B p.enq(4) B p:void H= B q.deq() A q:void B q:3

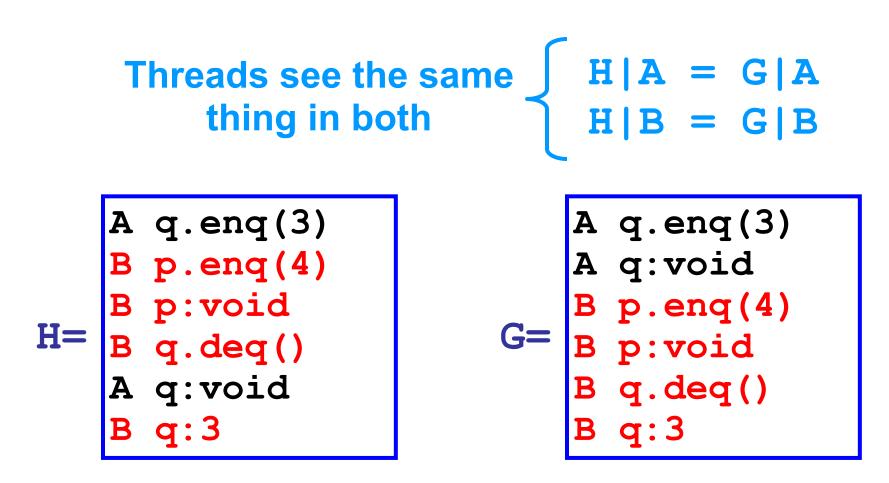
Well-Formed Histories



Well-Formed Histories



Equivalent Histories



Sequential Specifications

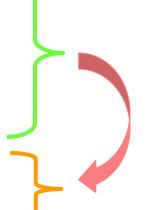
- A sequential specification is some way of telling whether a
 - Single-thread, single-object history
 - Is legal
- For example:
 - Pre and post-conditions
 - But plenty of other techniques exist ...

Legal Histories

- A sequential (multi-object) history H is legal if
 - For every object **x**
 - H|x is in the sequential spec for x
 - Not talking about threads now!

Precedence

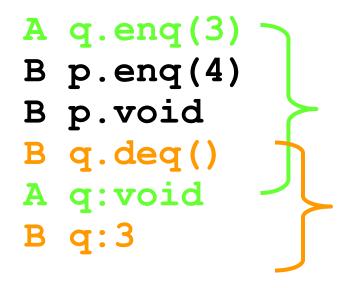
A q.enq(3)
B p.enq(4)
B p.void
A q:void
B q.deq()
B q:3



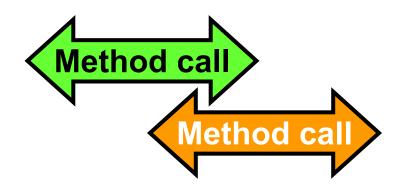
A method call precedes another if *response* event precedes *invocation* event



Non-Precedence

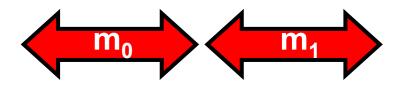


Some method calls overlap one another



Notation

- Given
 - History H
 - method executions m_0 and m_1 in H
- We say $m_0 \rightarrow_H m_1$, if
 - m₀ precedes m₁
- Relation $m_0 \rightarrow_H m_1$ is a
 - Partial order
 - Total order if H is sequential



Linearizability

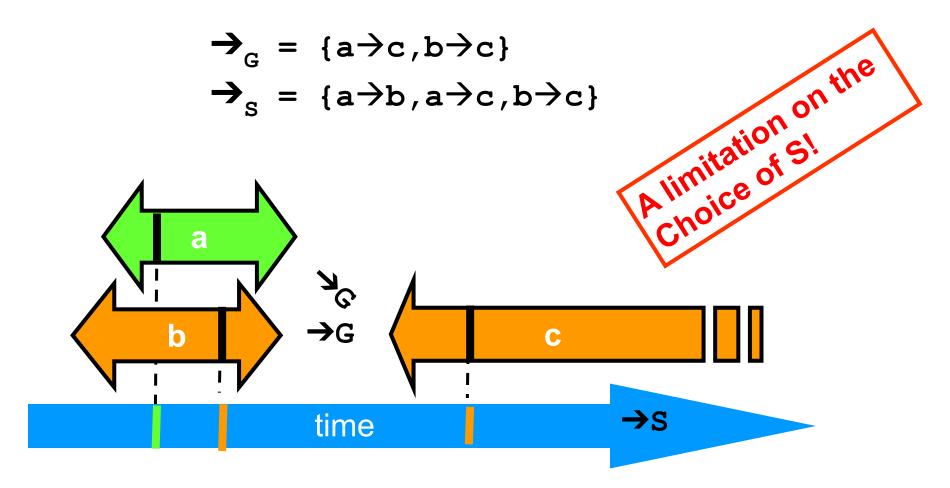
- History H is *linearizable* if it can be extended to G by
 - Appending zero or more responses to pending invocations
 - Discarding other pending invocations
- So that G is equivalent to
 - Legal sequential history S
 - where $\rightarrow_{\mathsf{G}} \subset \rightarrow_{\mathsf{S}}$

Remarks

- Some pending invocations
 - Took effect, so keep them
 - Discard the rest
- Condition $\rightarrow_{\mathsf{G}} \subset \rightarrow_{\mathsf{S}}$

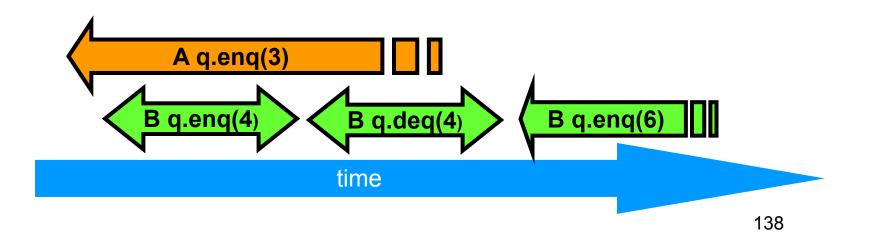
- Means that S respects "real-time order" of G

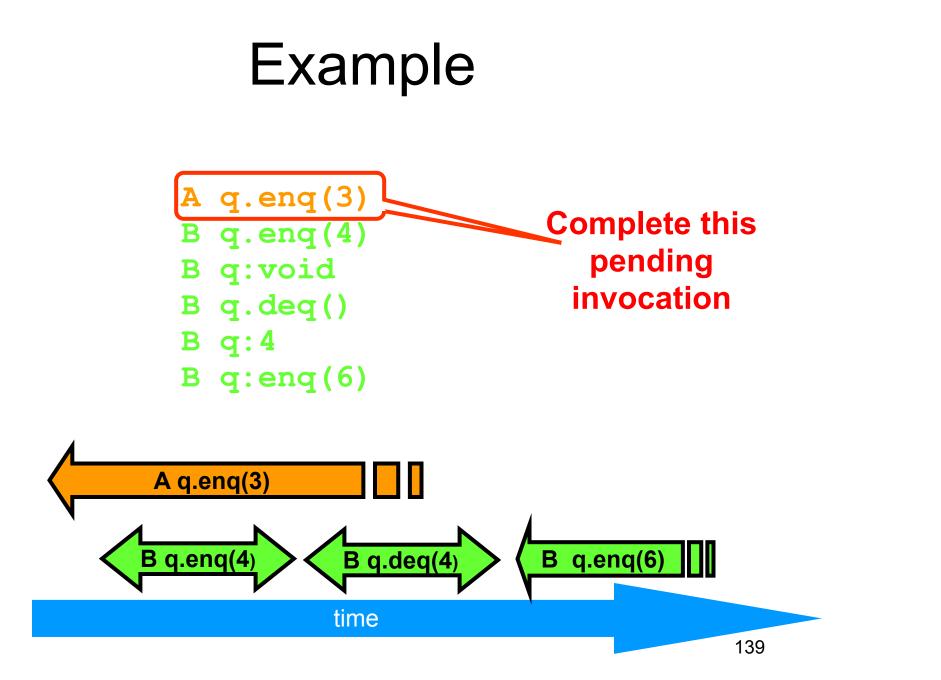
Ensuring $\rightarrow_{G} \subset \rightarrow_{S}$

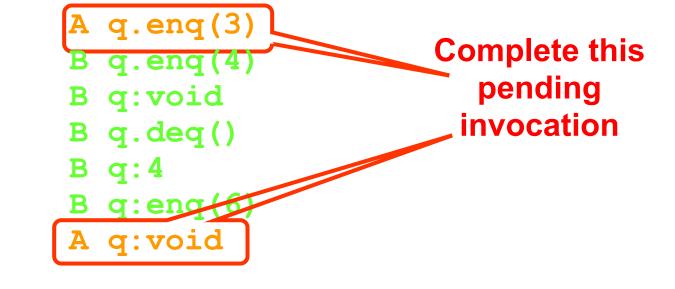


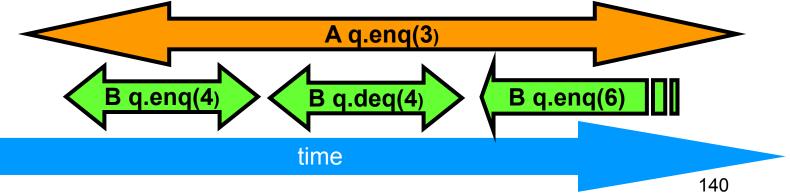
137

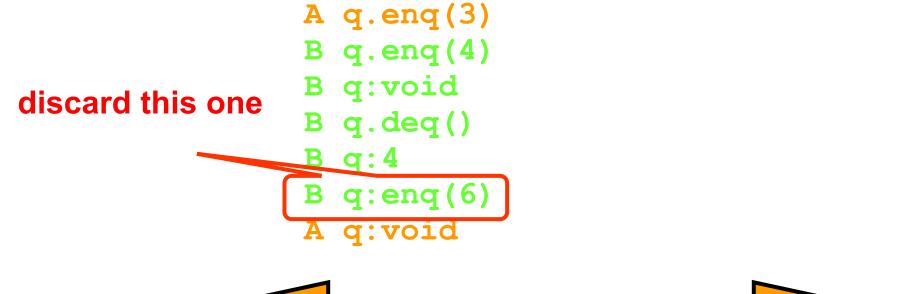
A q.enq(3)
B q.enq(4)
B q:void
B q.deq()
B q:4
B q:enq(6)

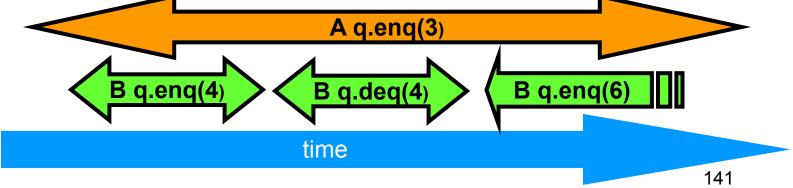






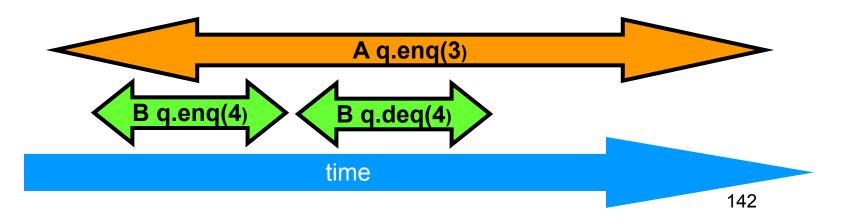




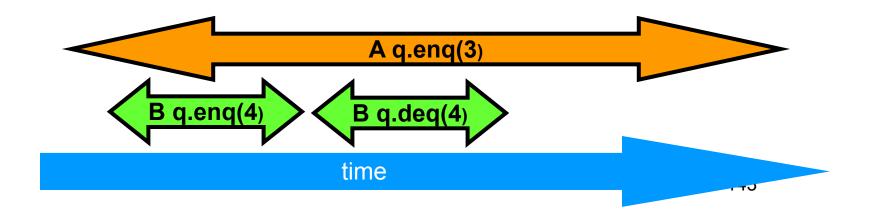


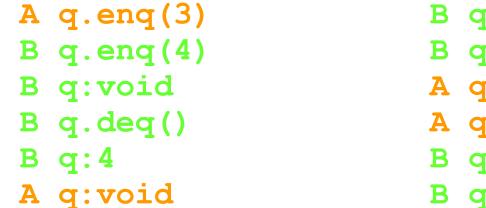
A q.enq(3)
B q.enq(4)
B q:void
B q.deq()
B q:4

A q:void



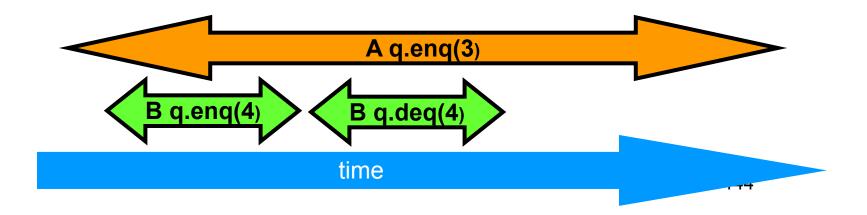
A q.enq(3)
B q.enq(4)
B q:void
B q.deq()
B q:4
A q:void



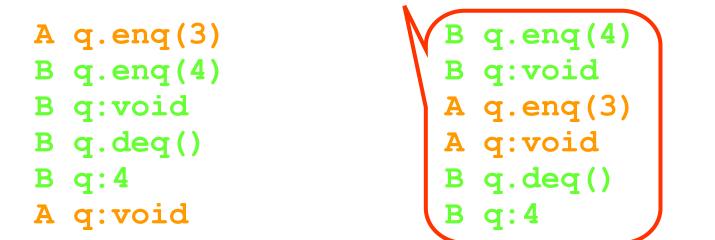


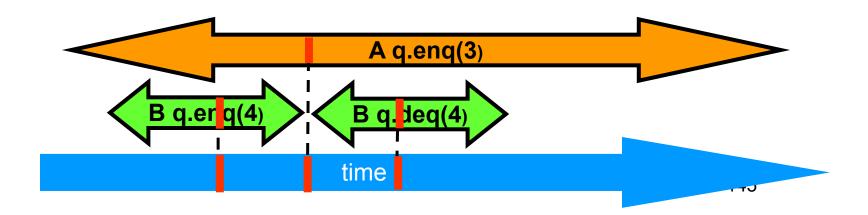


- B q:void
- A q.enq(3)
- A q:void
- B q.deq()
- B q:4



Equivalent sequential history



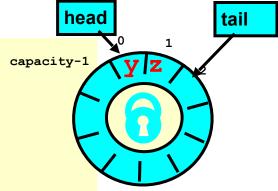


Why Does Composability Matter?

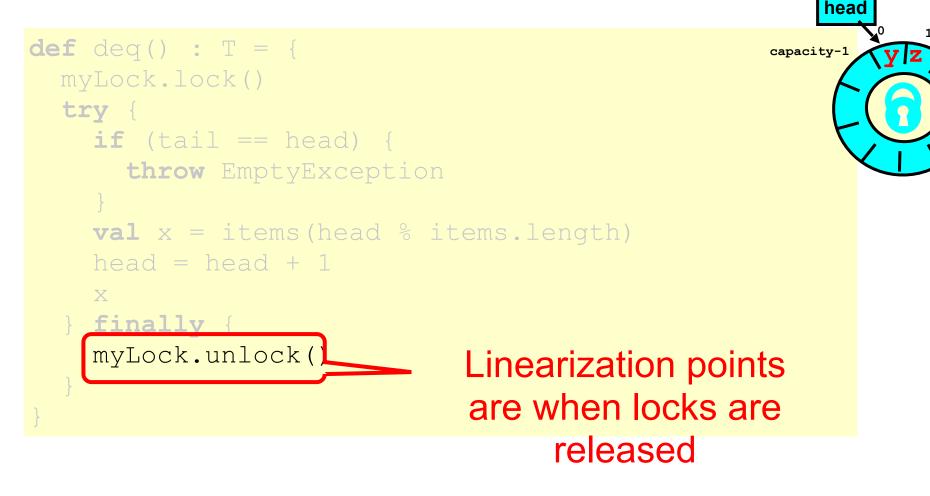
- Modularity
- Can prove linearizability of objects in isolation
- Can compose independently-implemented objects
 - A history of two linearizable objects is linearizable

Reasoning About Linearizability: Locking

```
def deq() : T = \{
 myLock.lock()
  try {
    if (tail == head) {
      throw EmptyException
    val x = items(head % items.length)
    head = head + 1
    Х
   finally {
  }
    myLock.unlock()
```



Reasoning About Linearizability: Locking



tail

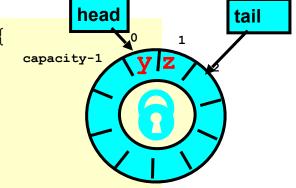
More Reasoning: Wait-free

class LockFreeQueue[T: ClassTag](val capacity: Int) {

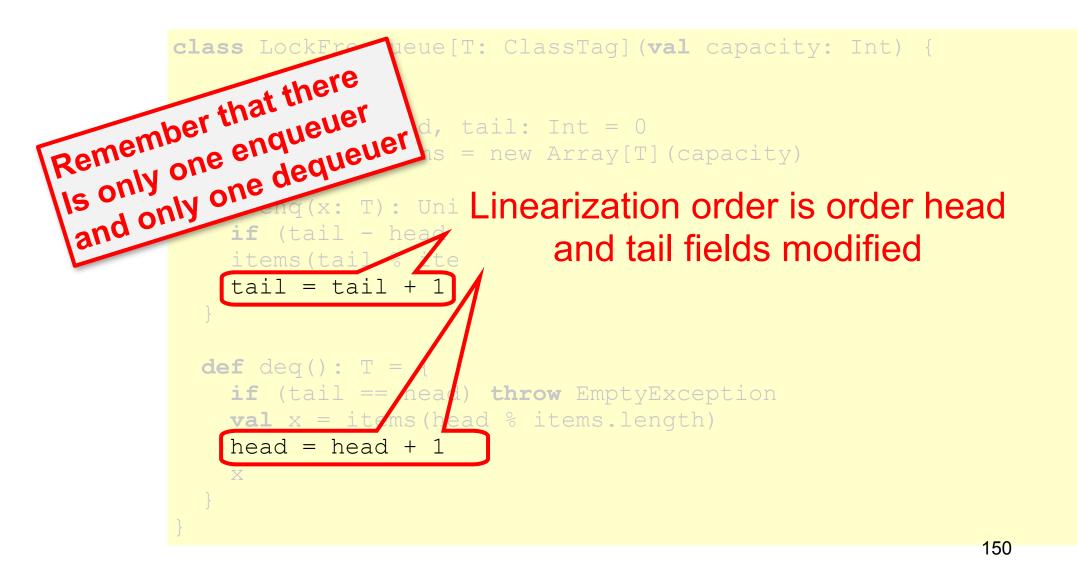
```
@volatile
private var head, tail: Int = 0
private val items = new Array[T](capacity)
```

```
def enq(x: T): Unit = {
    if (tail - head == items.length) throw FullException
    items(tail % items.length) = x
    tail = tail + 1
```

```
def deq(): T = {
    if (tail == head) throw EmptyException
    val x = items(head % items.length)
    head = head + 1
    x
}
```



More Reasoning: Wait-free



Strategy

- Identify one atomic step where method "happens"
 - Critical section
 - Machine instruction
- Doesn't always work
 - Might need to define several different steps for a given method

Linearizability: Summary

- Powerful specification tool for shared objects
- Allows us to capture the notion of objects being "atomic"
- Don't leave home without it

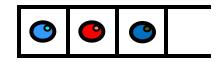
Alternative: Sequential Consistency

- History H is Sequentially Consistent if it can be extended to G by
 - Appending zero or more responses to pending invocations
 - Discarding other pending invocations
- So that G is equivalent to a

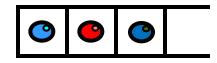
 Legal sequential history S
 Differs from linearizability

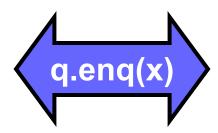
Sequential Consistency

- No need to preserve real-time order
 - Cannot re-order operations done by the same thread
 - Can re-order non-overlapping operations done by different threads
- Often used to describe multiprocessor memory architectures

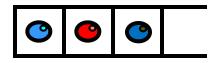


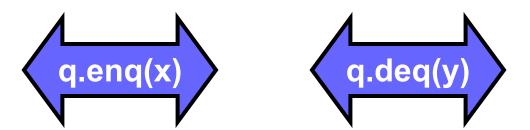






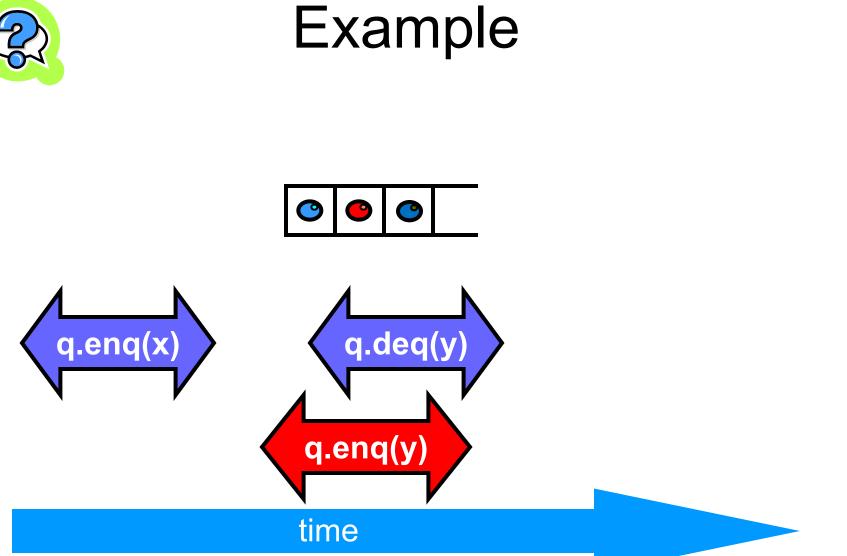






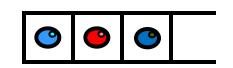


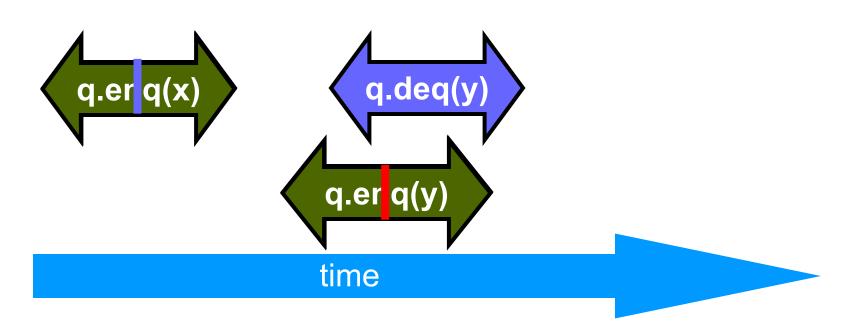


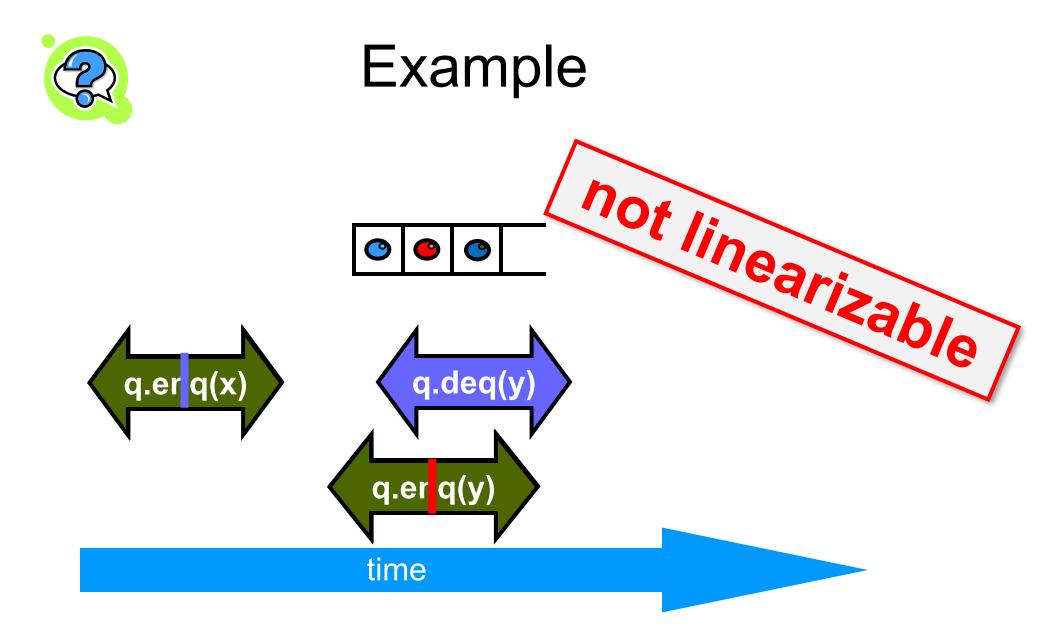


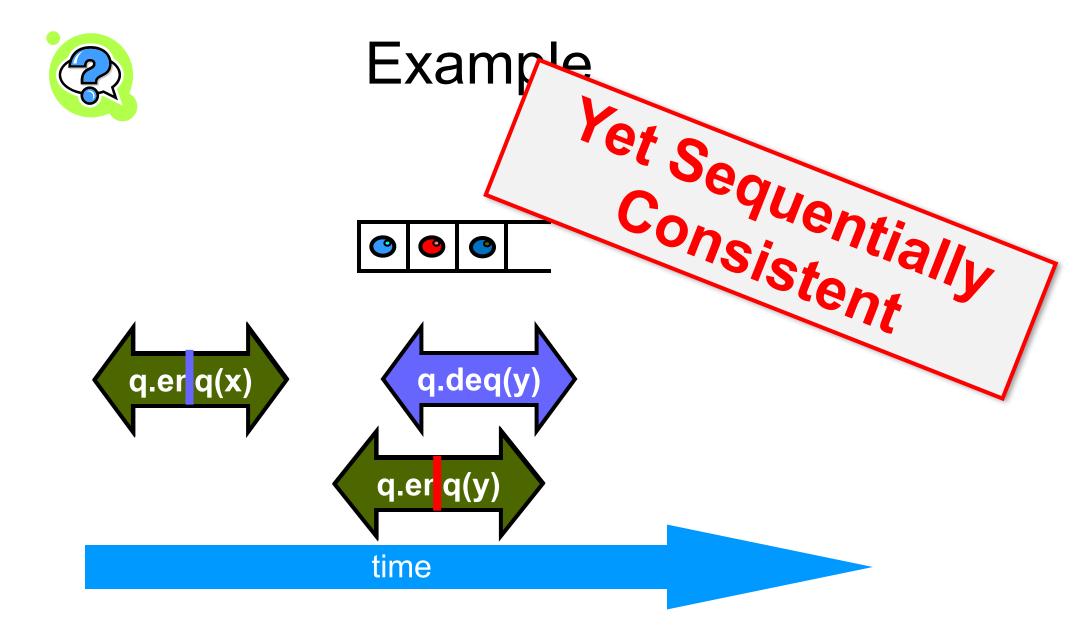












Theorem

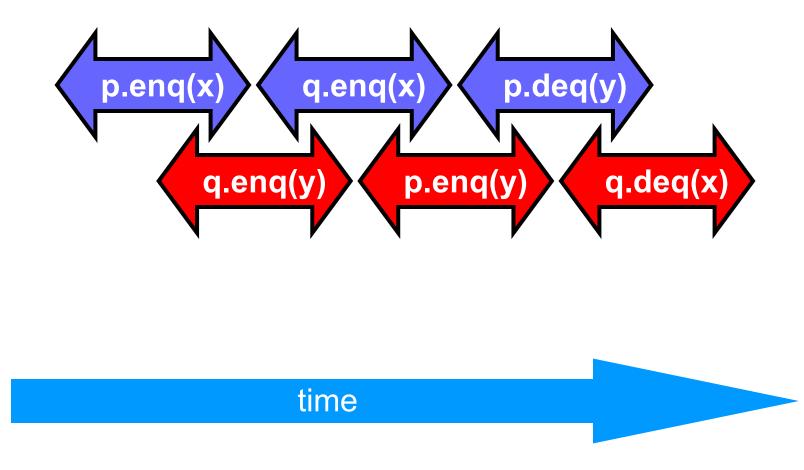
Sequential Consistency is not composable

FIFO Queue Example

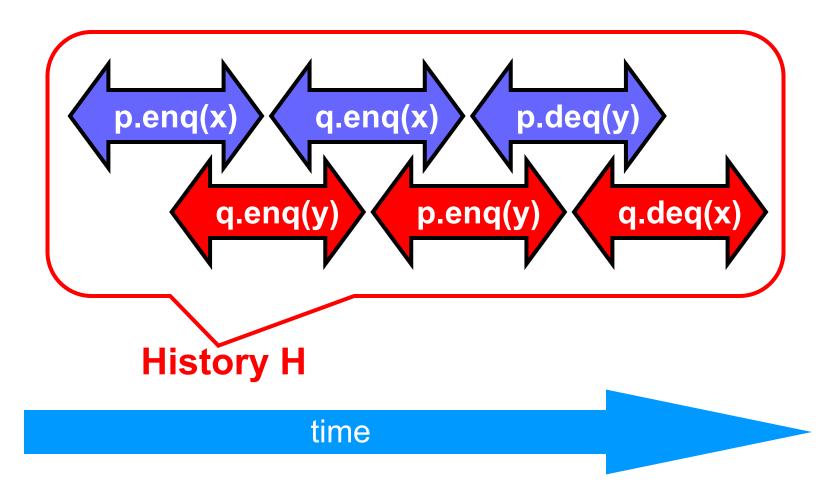
p.enq(x) q.enq(x) p.deq(y)



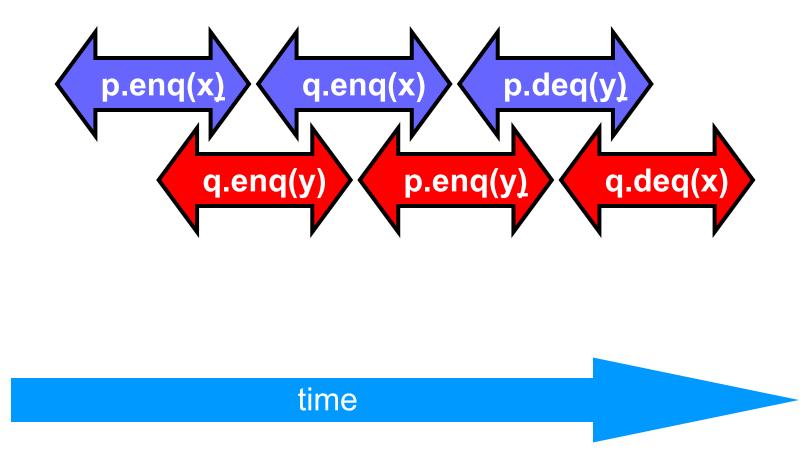
FIFO Queue Example



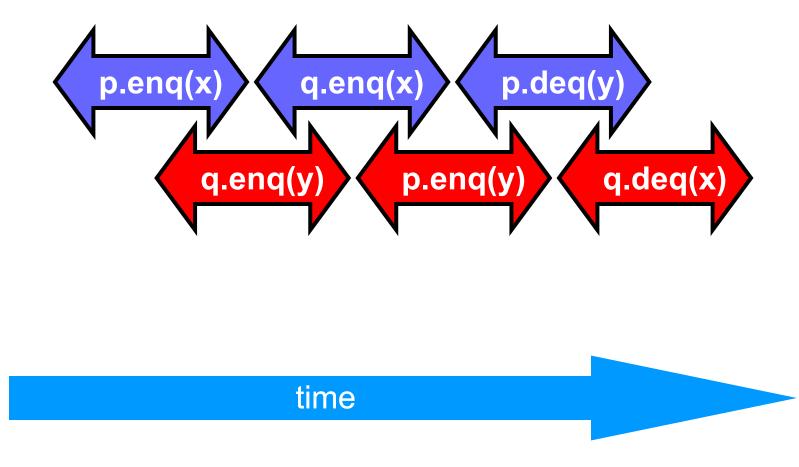
FIFO Queue Example



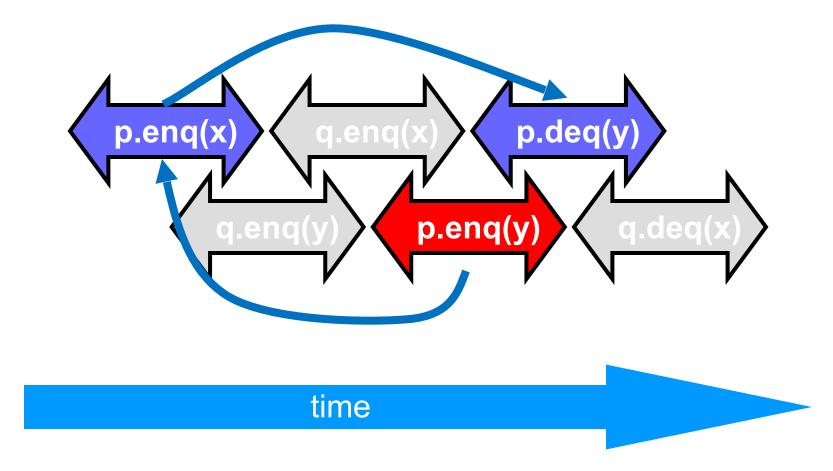
H|p Sequentially Consistent



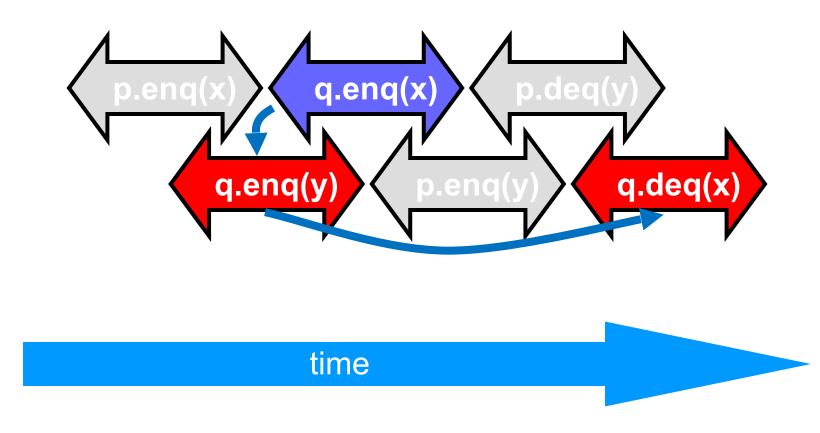
H|q Sequentially Consistent



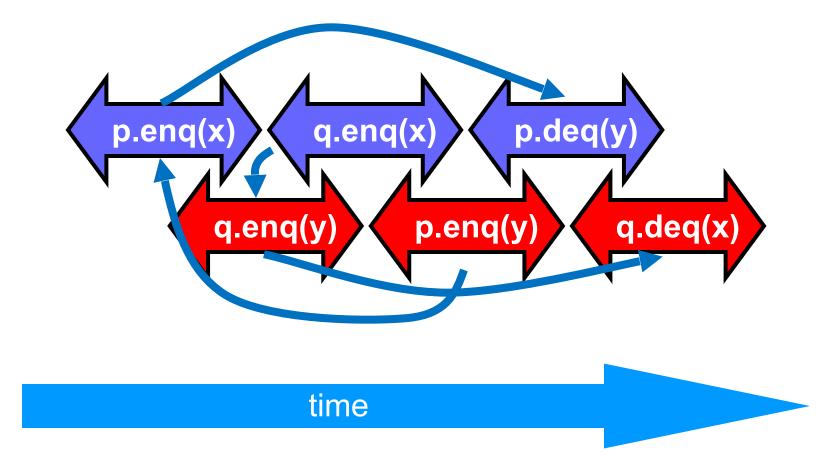
Ordering imposed by p



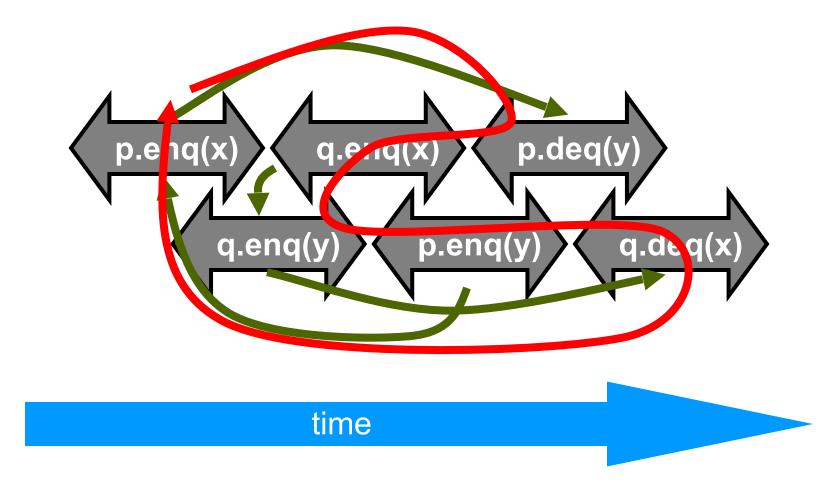
Ordering imposed by q



Ordering imposed by both



Combining orders



Fact

- Most hardware architectures don't even support sequential consistency
- Because they think it's too strong
- Here's another story ...

Linearizability

- Linearizability
 - Operation takes effect instantaneously between invocation and response
 - Uses sequential specification, locality implies composablity



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