WG21/P0868R1: Selected RCU Litmus Tests

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Abstract

This document provides a set of litmus tests for read-copy update (RCU) that are selected to help work out ordering constraints and requirements. All of these litmus tests illustrate patterns that a correct RCU implementation must prohibit, although a few of them are closely related to litmus tests that can be allowed. These litmus tests use a C-language syntax similar to that of the Linux kernel because we do not yet have an executable C++ memory model that includes RCU.

1 Introduction

This document assumes that the reader has some knowledge of RCU, for example, as provided by WG21/P0461R2 [6], WG21/P0297R1 [5], WG21/P0232R0 [8], and WG21/P0561R1 [7]. An good understanding of RCU read-side critical sections (rcu_reader) and RCU grace periods (for example, synchronize_rcu()) will be particularly helpful. Some knowledge of memory ordering and related tools is also helpful [1, 2].

For the tl;dr crowd, here is a rough summary of the relevant RCU rules, where an RCU read-side critical section is the lifetime of an rcu_reader and where an RCU grace period is the duration of a call to synchronize_rcu():

- 1. If any part of a given RCU read-side critical section precedes anything preceding a given RCU grace period, then that entire RCU read-side critical section, along with everything preceding it, must precede anything following that RCU grace period.
- If anything following a given RCU grace period precedes any part of a given RCU read-side critical section, then anything preceding that RCU grace period must precede that entire RCU read-side critical section, along with everything following it.
- 3. It is permissible for a given RCU grace period to completely overlap a given RCU read-side critical section, so that the grace period begins before the critical section begins and ends after the critical section ends. However, the reverse is absolutely forbidden as a consequence of the previous pair of rules.
- 4. RCU read-side critical sections are not required to impose any ordering other than that specified by the above rules. In particular, if a program contains no RCU grace periods, the RCU read-side critical sections need not have any effect whatsoever.
- 5. In the absence of RCU read-side critical sections, RCU grace periods have the same ordering properties as do full memory fence. However, if a given execution is forbidden in the absence of RCU read-side critical sections, adding such critical sections cannot cause that execution to become allowed. The C++ full memory fence is atomic_thread_fence(memory_order_seq_cst).

The goal is to arrive at wording that causes the C++ standard to enforce these rules. Section 2 gives an overview of litmus-test syntax and semantics, Section 3 presents a series of of litmus tests intended to illustrate ordering properties, Section 4 provides a rationale for the various ordering properties, Section 6 presents a prototype C11 memory model that includes RCU, and finally, Section 7 provides a decoder ring for the otherwise inexplicable litmus-test filenames.

2 A Tour Through A Litmus Test

This section takes a tour through Listing 2.1, a realistic RCU litmus test that is nevertheless not useful for semantics discussion due to its reliance on the infamous memory_order_consume load. However, this litmus test does represent the bread-and-butter use case within the Linux kernel, so it is a worthwhile illustration of litmus-test syntax and semantics.

Line 1 identifies the language ("C", which includes C11, as opposed as some other language or some CPU's assembly language) and names the test. As far as the litmus-test analysis tools are concerned, the name is arbitrary, but these tests use a convention that identifies the type of the test. This convention is explained in Section 7. There are other conventions: In some situations, a more concise but more specialized naming scheme is desirable, and in other situations the naming scheme is automatically generated by one of many tools and scripts.

Lines 2-4 contain initialization statements. All variables are by default initialized to zero, so in cases zero initialization is sufficient, line 3 could be omitted. However, lines 2 and 4 are required. There are two initialization statements on line 3. The first statement (0:r3=z0) specifies that process 0's local register r3 is to be initialized to

Listing 2.1: Classic RCU Use Case

```
1 C MP+o-sr-r+rlk-o-addr-o-rulk
2 {
 3
       *0:r3=z0; atomic_int *x0=y0;
   int
 4 }
 5
 6 PO(atomic_int *x0, atomic_int *y0)
7 {
8
     atomic_store_explicit(x0, r3, memory_order_relaxed);
 9
                                 /* std::synchronize_rcu(); */
     synchronize_rcu();
10
    y0 = 1;
11 }
12
13
14 P1(atomic_int *x0)
15 {
16
     int *r1;
17
     int r2:
18
    rcu_read_lock();
                                  /* std::rcu_reader rr; */
19
20
    r1 = atomic_load_explicit(x0, memory_order_consume);
21
    r2 = *r1:
22
    rcu_read_unlock();
23 }
24
25
26 exists
27 (1:r1=y0 /\ 1:r2=1)
```

the address of a global variable named z0. Because z0 isn't otherwise mentioned in the initialization section, its initial value is zero. The second statement (x0=y0) specifies that global variable x0 is initialized to the address of another zero-initialized global variable y0.

Variables not requiring initialization need not be declared, which raises the question of how global and local variables are distinguished. The answer evokes old memories of FORTRAN: Variables starting with "r" are local, and all others are global.¹

Lines 6-11 and 14-23 define processes PO() and P1(), respectively. Processes can be arbitrarily named, as long as the first letter is P and the remaining letters are numeric, and numbered consecutively from zero.

A given process can directly access only those global variables passed in by reference. Therefore, line 6 shows that P0 can directly access only x0 and y0. Similarly, line 14 shows that P1 can directly access only x0, however, it might indirectly access either y0 or z0 because the addresses of these two variables might be contained in x0.

Processes of course contain statements, and the current versions of litmus-test analysis tools [1, 2] only handle Linux-kernel statements for the various RCU-related primitives. As a service to the C++-savvy reader, close C++ equivalents are provided as comments. The tool understands ordering, so for example, the tool understands that the effects of lines 20 and 21 might become visible in either order, and in fact might appear in different orders to different processes.

These processes should be viewed as running concurrently, and the tools processing litmus tests carry out something similar to a full state-space search. These tools then classify all valid executions based on whether the logic expression in the exists clause on lines 26-27 holds or not. Please note that this expression is evaluated only "at the end of time" for each valid execution, "after all the dust has settled". For example, if the

¹ Back in ancient times, undeclared FORTRAN variables beginning with the letters "i", "j", "k", "I", "m", or "n" were implicitly INTEGER, and all other undeclared variables were implicitly REAL. Modern best practices dictate that a IMPLICIT NONE declaration be used, which requires that all variables be explicitly declared, thus preventing any number of hard-to-find bugs stemming from variable-name typos.

Listing 3.1: Two-Process Load Buffering

```
1 C LB+o-sr-o+rlk-o-o-rulk
 2 {
 3 }
 4
 5 PO(atomic_int *x0, atomic_int *x1)
 6
   {
 7
     int r1:
 8
9
    r1 = atomic_load_explicit(x0, memory_order_relaxed);
10
    synchronize_rcu();
                         /* std::synchronize_rcu(); */
    atomic_store_explicit(x1, 1, memory_order_relaxed);
11
12 }
13
14
15 P1(atomic_int *x0, atomic_int *x1)
16 {
17
    int r1;
18
    rcu_read_lock();
                           /* std::rcu_reader rr; */
19
20
    r1 = atomic_load_explicit(x1, memory_order_relaxed);
    atomic_store_explicit(x0, 1, memory_order_relaxed);
21
22
    rcu read unlock();
23 }
24
25 exists
26 (0:r1=1 /\ 1:r1=1)
```

expression evaluates to true midway through a particular valid execution, but evaluates to false at the end of that execution, then that execution will be classified as resulting in a false outcome.

Note also that the /\ in the litmus test denotes logical AND. The individual terms are evaluated in a manner similar to the initialization statements, so that 1:r1=y0 evaluates to true iff P1()'s local variable r1 ends up containing a value equal to the address of global variable y0. Similarly, 1:r2=1 evaluates to true iff P1()'s local variable r2 ends up containing the value 1.

The following section will discuss litmus tests that are less frequently used in practice, but which more clearly illustrate ordering requirements.

3 Litmus Tests

Section 3.1 presents a litmus test illustrating RCU's fundamental grace-period guarantee and Section 3.2 presents more ornate litmus tests. In the Linux kernel, any RCU implementation providing the fundamental grace-period guarantee can be proven to also satisfy the guarantees illustrated by the more ornate litmus tests. Proving (or disproving) this result in the context of the C++ memory model is important future work.

3.1 Basic Litmus Test

Listing 3.1 contains a basic litmus test that illustrates the lowest-level ordering guarantees that RCU provides. This idiom is used in change-of-state use cases where the state change need not be instantaneously visible throughout the application, but where specific processing must wait until the change becomes globally visible. In other words, if P1() sees P0()'s write, P0() must be guaranteed not to see P1()'s write, and vice versa. Similar guarantees must be provided for store buffering and message-passing litmus tests, but for simplicity, this paper focuses on load buffering.

The ordering guarantee has three cases:

- 1. PO()'s r1 ends with the value 1.
- 2. P1()'s r1 ends with the value 1.
- 3. Both r1 variables end with the value 0.

For the first case, if PO()'s r1 ends with the value 1, some part of P1()'s RCU readside critical section (spanning lines 19-22) precedes the call to PO's synchronize_rcu(). RCU therefore requires that the destructor for P1()'s RCU read-side critical section must in some sense precede the return from PO's synchronize_rcu(), whether "precedes" means synchronizes with, happens before, strongly happens before, or something else. Either way, it is necessary that anything within or before P1()'s RCU read-side critical section must happen before everything sequenced after P0's synchronize_rcu(). Therefore, when P0()'s r1 ends with the value 1, then P1()'s r1 must end with the value 0, so that the exists clause's expression cannot evaluate to true.

For the second case, if P1()'s r1 ends with the value 1, some part of P1()'s RCU read-side critical section (spanning lines 19-22) follows the return from P0's synchronize_rcu(). RCU therefore requires that the call to P0's synchronize_rcu() must in some sense precede the constructor for P1()'s RCU read-side critical section, whether "precedes" means synchronizes with, happens before, strongly happens before, or something else. Either way, it is necessary that anything sequenced before P0's synchronize_rcu() must happen before everything within or after P1()'s RCU read-side critical section. Therefore, when P1()'s r1 ends with the value 1, then P0()'s r1 must end with the value 0, so that the exists clause's expression cannot evaluate to true.

For the third case, we have no ordering information. It is still the case that there is ordering because RCU read-side critical sections are not allowed to span synchronize_rcu() invocations. So it is the case that either:

- 1. Anything within or before P1()'s RCU read-side critical section happens before everything sequenced after P0's synchronize_rcu(), or
- 2. Anything sequenced before PO's synchronize_rcu() must happen before everything within or after P1()'s RCU read-side critical section.

However, it is not possible to distinguish between these two outcomes.

3.2 Ornate Litmus Tests

Section 3.2.1 presents three-process load buffering with one reader, Section 3.2.2 presents three-process load buffering with two readers, Section 3.2.3 presents four-process load buffering, and finally Section 3.2.4 presents six-process load buffering.

3.2.1 Three-Process Load Buffering, One Reader

Listing 3.2 shows a litmus test with three processes, two invoking synchronize_rcu() and a third containing an RCU read-side critical section.

The interactions between P1() and P2() on the one hand and between P2() and P0() on the other can be modeled in a manner similar to the interactions between P0() and P1() in Listing 3.1. In particular, if P0()'s and P2()'s r1 both obtain the value 1, then:

Listing 3.2: Three-Process Load Buffering, One Reader

```
1 C LB+o-sr-o+o-sr-o+rlk-o-o-rulk
 2 {
3 }
 4
 5 PO(atomic_int *x0, atomic_int *x1)
 6 {
7
     int r1;
 8
o
9 r1 = atomic_load_explicit(x0, memory_order_relaxed);
10 synchronize_rcu(); /* std::synchronize_rcu(); */
11 atomic_store_explicit(x1, 1, memory_order_relaxed);
12 }
13
14
15 P1(atomic_int *x1, atomic_int *x2)
16 {
17
     int r1;
18
19
     r1 = atomic_load_explicit(x1, memory_order_relaxed);
      synchronize_rcu(); /* std::synchronize_rcu(); */
20
21 atomic_store_explicit(x2, 1, memory_order_relaxed);
22 }
23
24
25 P2(atomic_int *x2, atomic_int *x0)
26 {
27 int r1;
28
29 rcu_read_lock();
                                /* std::rcu_reader rr; */
3 r1 = atomic_load_explicit(x2, memory_order_relaxed);
31 atomic_store_explicit(x0, 1, memory_order_relaxed);
      atomic_store_explicit(x0, 1, memory_order_relaxed);
32 rcu_read_unlock();
33 }
34
35 exists
36 (0:r1=1 /\ 1:r1=1 /\ 2:r1=1)
```

- 1. Anything within or before P2()'s RCU read-side critical section happens before everything sequenced after P0's synchronize_rcu(), and
- 2. Anything sequenced before P1's synchronize_rcu() must happen before everything within or after P2()'s RCU read-side critical section.

However, careful consideration of RCU's safety properties indicates that this situation requires everything preceding P1()'s synchronize_rcu() to happen before everything following P0()'s synchronize_rcu(), so that P1()'s r1 must obtain the value 0. In other words, the choice of ordering type from synchronize_rcu() to a subsequent rcu_reader's constructor and the choice of ordering from a rcu_reader's destructor to a subsequent synchronize_rcu() must allow some sort of transitivity.

Alternatively, suppose that P1()'s and P2()'s r1 obtain the value 1. In this case, everything preceding both P0()'s and P1()'s invocations of synchronize_rcu() must happen before everything within or after P2()'s RCU read-side critical section, so that P0()'s r1 would obtain the value 0. Furthermore, synchronize_rcu() has all the ordering semantics of the atomic_memory_fence(memory_order_seq_cst) full fence, which means that line 10 synchronizes with line 20, which implies that line 9 happens before line 21.

Finally, suppose that P0()'s r1 and P1()'s r1 both obtain the value 1. In this case, everything within or before P2()'s RCU read-side critical section must happen before everything following either P0()'s and P1()'s invocations of synchronize_rcu(), so that P2()'s r1 would obtain the value 0. Again, synchronize_rcu() full-fence semantics imply that line 9 happens before line 21.

3.2.2 Three-Process Load Buffering, Two Readers

Listing 3.3 shows two reader processes (P1() and P2()) and a third process with not one but two invocations of synchronize_rcu().

Suppose that both P0()'s and P1()'s r1 both obtain the value 1. Then everything within or before P2()'s RCU read-side critical section, including line 32, happens before P0()'s first synchronize_rcu() returns. Because P1()'s r1 obtains the value 1, the call to P0()'s first invocation of synchronize_rcu() happens before everything within or after P1()'s RCU read-side critical section, including line 22. This means that line 32 happens before line 22, and therefore that P2()'s r1 must obtain the value 0.

Suppose that both P0()'s and P2()'s r1 both obtain the value 1. Because P0()'s r1 obtains 1, everything within or before P2()'s RCU read-side critical section happens before anything following the return from P0()'s first invocation of synchronize_rcu(), a set that includes the entirety of P0()'s second invocation of synchronize_rcu(). Now, P1()'s write to x2 in some sense precedes P2()'s read because P2()'s r1 obtained the value 1,² which in turn means that P1()'s write to x2 in some sense also precedes P0()'s second invocation of synchronize_rcu(). Therefore, everything within or before P1()'s RCU read-side critical section must happen before the return from P0()'s second synchronize_rcu(), which means that P2()'s r1 must obtain the value zero.

Finally, suppose that both P1()'s and P2()'s r1 both obtain the value 1. Because P1()'s r1 obtains 1, anything preceding the call to P0()'s second synchronize_rcu() invocation (including P0()'s first invocation of synchronize_rcu()) must happen

² Recall that RCU read-side critical sections are in no way shape or form allowed to completely overlap the execution of any synchronize_rcu() invocation.

Listing 3.3: Three-Process Load Buffering, Two Readers

```
1 C LB+o-sr-sr-o+rlk-o-o-rulk+rlk-o-o-rulk
 2 {
 3 }
 4
 5 PO(atomic_int *x0, atomic_int *x1)
 6 {
7
     int r1;
 8
     int r2;
 9
10 r1 = atomic_load_explicit(x0, memory_order_relaxed);
11
     synchronize_rcu(); /* std::synchronize_rcu(); */
synchronize_rcu(); /* std::synchronize_rcu(); */
12
13
     atomic_store_explicit(x1, 1, memory_order_relaxed);
14 }
15
16
17 P1(atomic_int *x1, atomic_int *x2)
18 {
19 int r1;
20
21 rcu_read_lock();
                               /* std::rcu_reader rr; */
22 r1 = atomic_load_explicit(x1, memory_order_relaxed);
23 atomic_store_explicit(x2, 1, memory_order_relaxed);
24 rcu_read_unlock();
25 }
26
27
28 P2(atomic_int *x2, atomic_int *x0)
29 {
30 int r1;
31
32 rcu_read_lock(); /* std::rcu_reader rr; */
33 r1 = atomic_load_explicit(x2, memory_order_relaxed);
34 atomic_store_explicit(x0, 1, memory_order_relaxed);
35
    rcu_read_unlock();
36 }
37
38 exists
39 (0:r1=1 /\ 1:r1=1 /\ 2:r1=1)
```

Listing 3.4: Four-Process Load Buffering

```
1 C LB+o-sr-o+o-sr-o+rlk-o-o-rulk+rlk-o-o-rulk
 2 {
 3 }
 4
 5 PO(atomic_int *x0, atomic_int *x1)
 6 {
 7
     int r1:
 8
 9
     r1 = atomic_load_explicit(x0, memory_order_relaxed);
10
    synchronize_rcu(); /* std::synchronize_rcu(); */
     atomic_store_explicit(x1, 1, memory_order_relaxed);
11
12 }
13
14
15 P1(atomic_int *x1, atomic_int *x2)
16 {
17
     int r1;
18
    r1 = atomic_load_explicit(x1, memory_order_relaxed);
19
20
                          /* std::synchronize_rcu(); */
    synchronize_rcu();
21
    atomic_store_explicit(x2, 1, memory_order_relaxed);
22 }
23
24
25 P2(atomic_int *x2, atomic_int *x3)
26 {
27
     int r1;
28
                           /* std::rcu_reader rr; */
29
    rcu read lock():
    r1 = atomic_load_explicit(x2, memory_order_relaxed);
30
31
    atomic_store_explicit(x3, 1, memory_order_relaxed);
32
    rcu_read_unlock();
33 }
34
35
36 P3(atomic int *x0. atomic int *x3)
37 {
38
    int r1;
39
    rcu read lock();
40
                           /* std::rcu_reader rr; */
41
    r1 = atomic_load_explicit(x3, memory_order_relaxed);
42
    atomic_store_explicit(x0, 1, memory_order_relaxed);
43
    rcu_read_unlock();
44 }
45
46 exists
47 (0:r1=1 /\ 1:r1=1 /\ 2:r1=1 /\ 3:r1=1)
```

before anything within or after P1()'s RCU read-side critical section. Again, P1()'s write to x2 in some sense precedes P2()'s read because P2()'s r1 obtained the value 1, which in turn means that P2()'s read from x2 in some sense also follows P0()'s first invocation of synchronize_rcu(). Therefore, everything preceding the call to P0()'s first invocation of synchronize_rcu() must happen before everything within or after P2()'s RCU read-side critical section, which means that P0()'s r1 must obtain the value zero.

This example shows that a consecutive pair of synchronize_rcu() invocations is stronger than that of a single invocation: If PO() had only one synchronize_rcu(), the resulting litmus test would be allowed, that is, all three instances of r1 could obtain the value 1. In contrast, a consecutive pair of atomic_thread_fence(memory_order_seq_cst) invocations is no stronger than a single invocation.

3.2.3 Four-Process Load Buffering

Listing 3.4 shows a four-process litmus test two processes using synchronize_rcu() and two processes having RCU read-side critical sections. The two interesting orders occur when PO()'s, P1()'s, and P3()'s r1 all obtain the value 1 and when P1()'s, P2()'s, and P3()'s r1 all obtain the value 1. In both orderings, P1()'s r1 obtains the value 1, which means that the two invocations of synchronize_rcu() are serialized, that is, P0()'s synchronize_rcu() ends before P1()'s synchronize_rcu() begins.

In the first order, where P0()'s, P1()'s, and P3()'s r1 all obtain the value 1, because P0()'s r1 obtains the value 1, everything within or preceding P3()'s RCU read-side critical section happens before P0()'s invocation of synchronize_rcu(), in particular, line 41 happens before line 11. Because P3()'s r1 obtains the value 1, line 31 happens before line 11. Now, P2()'s RCU read-side critical section is in no way, shape, or form allowed to completely overlap P1()'s invocation of synchronize_rcu(), which means that everything within or preceding P2()'s RCU read-side critical section happens before everything following P1()'s invocation of synchronize_rcu(), in particular, line 30 happens before line 21. This means that P2()'s r1 must obtain the value zero.

In the second order, when P1()'s, P2()'s, and P3()'s r1 all obtain the value 1, because P2()'s obtains the value 1, everything preceding P1()'s invocation of synchronize_rcu() happens before everything within and after P2()'s RCU read-side critical section, in particular, line 19 happens before line 31. Because P3()'s r1 obtains the value 1, line 19 happens before line 41. Now, P3()'s RCU read-side critical section is in no way, shape, or form allowed to completely overlap P0()'s invocation of synchronize_rcu(), which means that everything preceding P0()'s invocation of synchronize_rcu() happens before everything within or after P3()'s RCU read-side critical section, in particular, line 9 happens before line 42. This means that P0()'s r1 must obtain the value zero.

3.2.4 Six-Process Load Buffering

Listing 3.5 shows a six-process litmus test with three processes using synchronize_rcu() and three processes having RCU read-side critical sections. The two interesting orders occur when P0()'s, P1()'s, P2()'s, P4()'s, and P5()'s r1 all obtain the value 1 and when P1()'s, P2()'s, P3(), P4(), and P5()'s r1 all obtain the value 1. In both orderings, P1()'s and P2()'s r1 obtain the value 1, which means that the three invocations of synchronize_rcu() are serialized, that is, P0()'s synchronize_rcu() ends before P1()'s synchronize_rcu() begins and P1()'s synchronize_rcu() ends before P2()'s synchronize_rcu() begins.

In the first order, where P0()'s, P1()'s, P2()'s, P4()'s, and P5()'s r1 all obtain the value 1, because P0()'s r1 obtains the value 1, everything within or preceding P5()'s RCU read-side critical section happens before P1()'s invocation of synchronize_rcu(), in particular, line 62 happens before line 11. Because P5()'s r1 obtains the value 1, line 52 also in some sense precedes line 11. Now, P4()'s RCU read-side critical section is in no way, shape, or form allowed to completely overlap P1()'s invocation of synchronize_rcu(), which means that everything within or preceding P4()'s RCU read-side critical section happens before everything following P1()'s invocation of synchronize_rcu(). In particular, line 51 happens before line 21. Because P4()'s r1 obtains the value 1, line 41 also in some way precedes line 21. But P3()'s RCU read-side critical section is in no way, shape, or form allowed

Listing 3.5: Six-Process Load Buffering

```
1 C LB+o-sr-o+o-sr-o+o-sr-o+rlk-o-o-rulk+rlk-o-o-rulk
 2 {
 3 }
 4
 5 PO(atomic_int *x0, atomic_int *x1)
 6 {
 7
    int r1:
 8
   r1 = atomic_load_explicit(x0, memory_order_relaxed);
synchronize_rcu(); /* std::synchronize_rcu(); */
 9
10
    atomic_store_explicit(x1, 1, memory_order_relaxed);
11
12 }
13
14
15 P1(atomic_int *x1, atomic_int *x2)
16 {
    int r1;
17
18
19 r1 = atomic_load_explicit(x1, memory_order_relaxed);
    synchronize_rcu(); /* std::synchronize_rcu(); */
20
    atomic_store_explicit(x2, 1, memory_order_relaxed);
21
22 }
23
24
25 P2(atomic_int *x2, atomic_int *x3)
26 {
27
    int r1;
28
    r1 = atomic_load_explicit(x2, memory_order_relaxed);
29
     synchronize_rcu(); /* std::synchronize_rcu(); */
30
31
    atomic_store_explicit(x3, 1, memory_order_relaxed);
32 }
33
34
35 P3(atomic_int *x3, atomic_int *x4)
36 {
37
    int r1;
38
39
    rcu_read_lock();
                          /* std::rcu_reader rr; */
40
   r1 = atomic_load_explicit(x3, memory_order_relaxed);
41
     atomic_store_explicit(x4, 1, memory_order_relaxed);
42
    rcu_read_unlock();
43 }
44
45
46 P4(atomic_int *x4, atomic_int *x5)
47 {
48 int r1;
49
50 rcu_read_lock();
                          /* std::rcu_reader rr; */
51
    r1 = atomic_load_explicit(x4, memory_order_relaxed);
    atomic_store_explicit(x5, 1, memory_order_relaxed);
52
53
    rcu_read_unlock();
54 }
55
56
57 P5(atomic_int *x0, atomic_int *x5)
58 {
59
    int r1;
60
61 rcu_read_lock();
                          /* std::rcu_reader rr; */
   r1 = atomic_load_explicit(x5, memory_order_relaxed);
62
63
    atomic_store_explicit(x0, 1, memory_order_relaxed);
64
    rcu_read_unlock();
65 }
66
67 exists
68 (0:r1=1 /\ 1:r1=1 /\ 2:r1=1 /\ 3:r1=1 /\ 4:r1=1 /\ 5:r1=1)
```

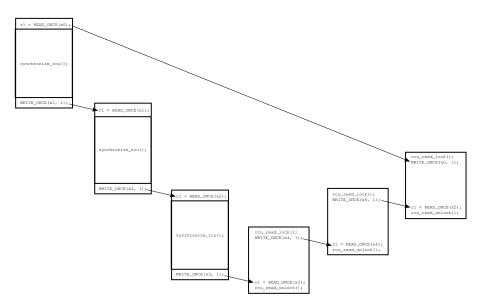


Figure 1: Visual Representation of Six-Process Load Buffering

to completely overlap P2()'s invocation of synchronize_rcu(), which means that everything within or preceding P3()'s RCU read-side critical section happens before everything following P2()'s invocation of synchronize_rcu(). In particular, line 40 happens before line 31. This means that P3()'s r1 must obtain the value zero.

In the second order, when P1()'s, P2()'s, P3()'s, P4()'s, and P5()'s r1 all obtain the value 1, because P3()'s obtains the value 1, everything preceding P2()'s invocation of synchronize_rcu() happens before everything within and after P3()'s RCU read-side critical section. Because P4()'s r1 obtains the value 1, line 29 happens before line 51. Now, P4()'s RCU read-side critical section is in no way, shape, or form allowed to completely overlap P1()'s invocation of synchronize_rcu(), which means that everything preceding P1()'s invocation of synchronize_rcu() happens before everything within or after P4()'s RCU read-side critical section, in particular, line 19 happens before line 52. Because P5()'s r1 obtains the value 1, line 19 happens before line 63. Now, P5()'s RCU read-side critical section is in no way, shape, or form allowed to completely overlap P0()'s invocation of synchronize_rcu(), which means that everything preceding P0()'s invocation of synchronize_rcu() happens before line 63. Now, P5()'s RCU read-side critical section is in no way, shape, or form allowed to completely overlap P0()'s invocation of synchronize_rcu() happens before everything within or after P5()'s RCU read-side critical section, in particular, line 11 happens before line 63. This means that P0()'s r1 must obtain the value zero.

4 RCU Ordering Rationale

To see why synchronize_rcu() includes the ordering semantics of a full memory fence, consider P0() and P1() in Listing 3.4. Without full-fence semantics, it might be that P1()'s r1 would obtain the value 1, but line 9's read not happen before line 21's write. This outcome would be quite surprising to most users, and furthermore it would be quite difficult to create a synchronize_rcu() implementation that interacted correctly with RCU read-side critical sections, but that failed to provide full-fence ordering semantics.

Another way to estimate ordering effects in simple RCU litmus tests is to assume that RCU grace periods are a given fixed duration and that RCU read-side critical sections are a slightly shorter fixed duration. Then if maximally obtuse memory-access reorderings are applied, the RCU relationships may be easily diagrammed. For example, the relationships for Listing 3.5, assuming that all r1 local variables other than that of P0() obtain the value one, are shown in Figure 1. Further consideration of this estimation approach gives rise to the *counting rule* for pure RCU litmus tests: As long as there are at least as many RCU grace periods as there are RCU read-side critical sections in the litmus test's cycle, the outcome will be forbidden.

This leads to the question that is the whole point of this paper: What ordering is required between rcu_reader constructors and destructors on the one hand and synchronize_rcu() on the other?

5 Candidate Solutions

The following sections propose various solutions to the RCU ordering problem. Note that these proposals are not necessarily all mutually exclusive.

5.1 Synchronizes-With

This section documents the initial state of D0556R4 ("Proposed Wording for Concurrent Data Structures: Hazard Pointer and Read-Copy-Update (RCU)").

This proposal assumes that synchronize_rcu() is implemented using a call to rcu_retire() whose deleter³ awakens the thread that invoked rcu_retire(), which allows specification of ordering to focus on rcu_retire(), and, by extension, the retire() member function of rcu_obj_base.

This proposal guarantees that for each instance R of rcu_reader, one of the following two things hold:

- 1. rcu_retire synchronizes with R's constructor, or
- 2. R's destructor synchronizes with the invocation of the deleter.

5.2 Happens-Before and Synchronizes-With

This section documents Andrew Hunter's proposed update to D0556R4 ("Proposed Wording for Concurrent Data Structures: Hazard Pointer and Read-Copy-Update (RCU)").

This proposal also assumes that synchronize_rcu() is implemented using a call to rcu_retire() whose deleter awakens the thread that invoked rcu_retire(), which again allows specification of ordering to focus on rcu_retire(), and, by extension, the retire() member function of rcu_obj_base.

This proposal guarantees that for each instance R of rcu_reader, one of the following two things hold:

- 1. rcu_retire happens before R's constructor, or
- 2. R's destructor synchronizes with the invocation of the deleter.

³ What the Linux kernel calls an RCU callback, C++ calls a deleter.

Listing 5.1: Split synchronize_rcu()

```
1 synchronize_rcu()
2 {
3 atomic_thread_fence(memory_order_seq_cst);
4 stmt1: /* nop */;
5 stmt2: /* nop */;
6 atomic_thread_fence(memory_order_seq_cst);
7 }
```

In other words, this proposal is the same as that of Section 5.1, except that the first option's *synchronizes with* has become *happens before*.

5.3 Split synchronize_rcu()

The preceding sections assume that synchronize_rcu() is implemented as an rcu_retire() whose callback awakens the thread that invoked the rcu_retire(). This section instead handles synchronize_rcu() directly, as proposed by Alan Stern.

This proposal splits synchronize_rcu() as shown in Listing 5.1. Given this split, the RCU ordering requirements could be expressed as: For any read-side critical section and any call to synchronize_rcu() in different threads, the behavior should be as if either:

- 1. The rcu_reader destructor *synchronizes with* stmt2 (this is the case where the corresponding RCU read-side critical section comes before the end of the grace period), or
- 2. The stmt1 in synchronize_rcu() synchronizes with the rcu_reader constructor (this is the case where the start of the RCU grace period comes before the corresponding RCU read-side critical section).

Note that the above definition best matches Linux-kernel RCU semantics given a fully functional strong fence. This proposal therefore assumes that one of the proposals for strengthening C++'s atomic_thread_fence(memory_order_seq_cst) eventually becomes part of the standard.

Within a given thread, for any read-side critical section and any call to synchronize_rcu():

- 1. The rcu_reader destructor is sequenced before synchronize_rcu(), or
- 2. The invocation of synchronize_rcu() is *sequenced before* the rcu_reader constructor.

Placing a synchronize_rcu() between a rcu_reader's constructor and destructor is not a strategy to win. If you are lucky, all that will happen is a deadlock. If you are not so lucky, you will invoke undefined behavior.

6 Prototype C11 Memory Model Including RCU

This section presents a C11 memory model that includes RCU. As such, this model replaces rcu_reader constructors with rcu_read_lock() and rcu_reader destructors with rcu_read_unlock(). This is of course merely a syntactic mapping that does not affect the underlying memory-ordering semantics.

Listing 6.1: Top-level c11.cat Model

```
1 "C++11" withinit
 2
 3 include "c11 base.cat"
 5 include "c11-sg1-from-olivier-via-paul.cat"
 7 include "c11-sc-fences-vafeiadis-et-al17.cat"
 9 include "rcu-utils.cat"
10
11 procedure rcu-c11(gp,rscs) =
    let A-cumul = scb?; rfe?
12
13
     let B-cumul = hb*
    let strong-fence = fencerel(F & SC)
14
    call rcu(A-cumul, B-cumul, strong-fence, gp, rscs)
15
16 end
17
18 call rcu-c11(gp,rscs)
```

This model may be run on a litmus test (for example, C11-RCU-MP.litmus) using the command "herd7 -c11 -cat c11.cat C11-RCU-MP.litmus". This section describes the RCU-related portions of the cat files, but please treat these descriptions with extreme scepticism, as they have not yet received any review. Any errors are the sole property of Paul E. McKenney.

Listing 6.1 shows a top-level cat model of C11 including RCU. Line 3 includes a file containing the base C11 model, line 5 includes a file containing the modifications to C11 proposed by Olivier Giroux [3] line 7 includes a file containing the modifications proposed by Vafeiadis et al. [4], and finally line 9 includes a file containing experimental definitions for RCU.

Lines 11–16 define the rcu-c11 procedure, which allows easy specification of upstream ordering (line 12), outbound ordering (line 13), and fence strength (line 14). These specifications are passed to the rcu procedure, which is defined in rcu-utils. cat. Line 18 invokes the rcu-c11 procedure.

Listings 6.2 and 6.2 display the base C11 model found in the herdtools distribution. Listings 6.4 and 6.5 display Olivier's and Vafeiadis et al.'s proposed modifications, respectively. These are shown for the benefit of readers wishing to see the full model, but are not described as they are not directly relevant to RCU.

The proposed RCU memory model is shown in Listing 6.6. This model was produced by Jade and Luc, and was based on the RCU portion of the Linux-kernel memory model [1, 2]. Lines 4–20 extract a relation linking the beginnings and ends of outermost RCU read-side critical sections into the variable crit. This extraction process starts with the pre-defined set variables Rcu-lock (which is a set of all rcu_read_lock() statements in the litmus test) and Rcu_unlock (which is a set of all rcu_read_unlock() statements in the litmus test).

The first step of this extraction uses six mutually recursive set functions on lines 4-13. These functions are as follows:

- unmatched-locks: This set contains rcu_read_lock() statements whose matching rcu_read_unlock() either does not exist or has not yet been located. This relation is computed by removing all matched rcu_read_lock() statements from the Rcu-lock set.
- unmatched-unlocks: This set contains rcu_read_unlock() statements whose matching rcu_read_lock() either does not exist or has not yet been located. This

Listing 6.2: Base C11 Memory Model, Part 1 of 2

```
1 "C++11" withinit
 2
 3 include "c11_cos.cat"
4 include "c11_los.cat"
 5
 6
 7 let asw = I * (M \setminus I)
 8 let sb = po
9 let mo = co
10
11 let cacq = ACQ | (SC & (R | F)) | ACQ_REL | (F & CON)
12 let crel = REL | (SC & (W | F)) | ACQ_REL
13 let ccon = R & CON
14
15 let fr = rf^{-1}; mo
16
17 let dd = (data | addr)+
18
19 let fsb = sb & (F * _)
20 let sbf = sb & (_ * F)
21
22 (* release_acquire_fenced_synchronizes_with,
23
    hypothetical_release_sequence_set,
24
      release_sequence_set *)
25
26 (* OLD: let rs = [crel] ; fsb? ; [A & W] ;
27
     (((mo ; [rmw]) | coi) & ~(coe ; [!rmw] ; mo))? *)
28
29 let rs_prime = int | (_ * (R & W))
30 let rs = mo & rs_prime \ ((mo \ rs_prime) ; mo)
31
32 (* OLD: let swra = ext (rs ; rf ; [A] ; sbf? ; [cacq]) *)
33 let swra =
34 ext &
35 (toid(crel) ; fsb? ; toid(A & W) ; rs? ; rf ;
36 toid(R & A) ; sbf? ; toid(cacq))
37
38 let swul = ext & (toid(UL) ; lo ; toid(LK))
39 let pp_{asw} = asw \setminus (asw ; sb)
40 let sw = pp_asw | swul | swra
41
42 (* with_consume_cad_set,
43 dependency_ordered_before *)
44 let cad = ((rf & sb) | dd)+
45 let dob =
46 (ext &
47
    (toid(W & crel) ; fsb? ; toid(A & W) ;
48
      rs?; rf; toid(ccon)));
49 cad?
50
```

Listing 6.3: Base C11 Memory Model, Part 2 of 2

```
51 (* happens_before,
     inter_thread_happens_before,
52
53
      consistent_hb *)
54 let ithbr = sw | dob | (sw ; sb)
55 let ithb = (ithbr | (sb ; ithbr))+
56 let hb = sb | ithb
57 acyclic hb as Hb
58
59 show (hb \ (IW * _)) & ext as hb
60
61 (* coherent_memory_use *)
62 let hbl = hb & loc
63
64 irreflexive ((rf^-1)? ; mo ; rf? ; hb) as Coh
65
66 (* visible_side_effect_set *)
67 let vis = (hbl & (W \ast R)) \ (hbl; toid(W) ; hbl)
68
69 (* consistent_atomic_rf *)
70 irreflexive (rf ; hb) as \ensuremath{\mathtt{Rf}}
71
72 (* consistent_non_atomic_rf *)
73 empty ((rf ; [R\A]) \ vis) as NaRf
74 empty [FW\A]; hbl; [W] as NaRf (* implicit read of Na final writes.. *)
75
76 irreflexive (rf | (mo ; mo ; rf^-1) | (mo ; rf)) as Rmw
77
78
79 (* locks_only_consistent_lo *)
80 irreflexive (lo ; hb) as Lo1
81
82 (* locks_only_consistent_locks *)
83 irreflexive
      (toid(LS) ; lo^-1 ; toid(LS) ; ~(lo ; toid(UL) ; lo)) as Lo2
84
85
86
87 (* data_races *)
88 let Mutex = UL|LS
89 let cnf = (((W * _) | (_ * W)) & loc) \ ((Mutex * _) | (_ * Mutex))
90 let dr = ext & (cnf \ hb \ (hb^-1) \ (A * A))
91
92 (* unsequenced_races *)
93 let ur = int & ((W * M) | (M * W)) &
            loc & ~id & ~(sb+) & ~((sb+)^-1)
94
95
96 (* locks_only_good_mutex_use, locks_only_bad_mutexes *)
97
98 let bl = (toid(LS); (sb & lo); toid(LK)) & ~(lo; toid(UL); lo)
99
100 let losbwoul = (sb & lo & ~(lo; toid(UL); lo))
101
102 let lu = toid(UL) &
      ~(toid(UL) ; losbwoul^-1 ; toid(LS) ; losbwoul ; toid(UL))
103
104
```

Listing 6.4: Olivier's Proposed C11 Modifications

```
1 "C++11 SG1 proposal for SC atomics from Olivier via Paul" withinit
 2
 3 include "c11_base.cat"
 4
 5 let r1 = (po | (sw & (SC * SC)) | po;hb;po)+ (*included in hb, but not all of hb*)
 6 let r2 = fsb? ; mo ; sbf?
 7 let r3 = rf^-1; toid(SC) ; mo
 8 let r4 = rf^-1 ; hbl ; toid(W)
9 let r5 = fsb; fr
10 let r6 = fr ; sbf
11 let r7 = fsb ; fr ; sbf
12
13 let scp = r1|r2|r3|r4|r5|r6|r7
14
15 acyclic (((SC * SC) & scp) \setminus id) as Spartial
16 show scp
17
18
19 undefined_unless empty dr as \ensuremath{\text{Dr}}
20 undefined_unless empty ur as unsequencedRace
21 undefined_unless empty bl as badLock
22 undefined_unless empty lu as badUnlock
```

Listing 6.5: Vafeiadis et al.'s Proposed C11 Modifications

```
1 "C++11 SG1 proposal for SC atomics from Olivier via Paul" withinit
 2
 3 include "c11_base.cat"
 4
5 let r1 = (po | (sw & (SC * SC)) | po;hb;po)+ (*included in hb, but not all of hb*)
 6 let r2 = fsb? ; mo ; sbf?
7 let r3 = rf^-1; toid(SC) ; mo
 8 let r4 = rf^{-1}; hbl; toid(W)
9 let r5 = fsb ; fr
10 let r6 = fr ; sbf
11 let r7 = fsb ; fr ; sbf
12
13 let scp = r1|r2|r3|r4|r5|r6|r7
14
15 acyclic (((SC * SC) & scp) \ id) as Spartial
16 show scp
17
18
19 undefined_unless empty dr as \ensuremath{\text{Dr}}
20 undefined_unless empty ur as unsequencedRace
21 undefined_unless empty bl as badLock
22 undefined_unless empty lu as badUnlock
```

Listing 6.6: Proposed C11 RCU Memory Model

```
1 "RCU utils"
 2
 3 (* Compute matching pairs of nested Rcu-lock and Rcu-unlock *)
 4 let matched = let rec
 5
         unmatched-locks = Rcu-lock \ domain(matched)
 6
     and unmatched-unlocks = Rcu-unlock \ range(matched)
 7
     and unmatched = unmatched-locks | unmatched-unlocks
     and unmatched-po = (unmatched * unmatched) & po
 8
 9
     and unmatched-locks-to-unlocks = (unmatched-locks *
10
        unmatched-unlocks) & po
11
    and matched = matched | (unmatched-locks-to-unlocks \
12
      (unmatched-po ; unmatched-po))
13
     in matched
14
15 (* Validate nesting *)
16 flag ~empty Rcu-lock \ domain(matched) as unbalanced-rcu-locking
17 flag ~empty Rcu-unlock \ range(matched) as unbalanced-rcu-locking
18
19 (* Outermost level of nesting only *)
20 let crit = matched \ (po^-1 ; matched ; po^-1)
21
22 let rscs = po; crit^-1; po
23
24 let gp = (po & ( _ * Sync-rcu));po?
25
26 let pb(A,B,sf) = A; sf; B
27 let link(A,B,sf) = B; (pb(A,B,sf))*; A
28
29 procedure rcu(A,B,sf,gp,rscs) =
   let mylink = link(A,B,sf)
30
     let gp-link = gp ; mylink
let rscs-link = rscs ; mylink
31
32
33
     let rec rcu-path = gp-link |
                          (gp-link ; rscs-link) |
34
35
                          (rscs-link ; gp-link)
36
                          (rcu-path ; rcu-path) |
37
                          (gp-link ; rcu-path ; rscs-link) |
38
                          (rscs-link ; rcu-path ; gp-link)
39
     irreflexive rcu-path as rcu
40
     (*flag: mylink; strong-fence; mylink included in mylink
41
42
             if flag raised then we got it wrong
43
             this is essentially Lemma 1*)
     flag ~empty((mylink; sf; mylink) \ mylink) as rcu-fail
44
45 \text{ end}
```

relation is computed by removing all matched rcu_read_unlock() statements from the Rcu-unlock set.

- unmatched: This set is the union of unmatched-locks and unmatched-unlocks called out above, that is, the set of rcu_read_lock() and rcu_read_unlock() statements whose matching statement either does not exist or has not yet been located.
- unmatched-po: This relation links any given unmatched rcu_read_lock() statement or rcu_read_unlock() statement to all subsequent unmatched statements within the same process. This relation is computed by forming the cross product of unmatched with itself, then restricting the resulting relation to a given process by intersecting with the program-order relation po.
- unmatched-locks-to-unlocks: This relation links rcu_read_lock() statement that have not yet been matched to all subsequent unmatched rcu_read_unlock() statements within the same process. This relation is computed by forming the cross product of unmatched_locks with unmatched-unlocks, then restricting the resulting relation to a given process by intersecting with the program-order relation po.
- matched: This relation links each rcu_read_lock() statement with the matching rcu_read_unlock() statement. If there is misnesting, and thus unmatched rcu_read_lock() or rcu_read_unlock() statements, then these unmatched statements will not appear in the matched relation. This relation is computed by removing all pairs of rcu_read_lock() and rcu_read_unlock() statements from unmatched-locks-to-unlocks that have at least one unmatched rcu_read_lock() or rcu_read_unlock() statement between them. Each step of recursion therefore adds innermost unmatched pairs of rcu_read_lock() and rcu_read_unlock() statements to the matched relation.

Lines 16 and 17 can then flag misnesting. Line 16 checks for elements of the Rcu-lock set that do not appear in the domain of the matched relation, that is, for unmatched rcu_read_lock() statements. Similarly, line 17 checks for elements of the Rcu-unlock set that do not appear in the range of the matched relation, that is, for unmatched rcu_read_unlock() statements.

Finally, line 20 forms the relation crit, which contains outermost matched pairs of rcu_read_lock() and rcu_read_unlock() statements. The trick is that po^-1; matched; po^-1 matches any pair of rcu_read_lock() and rcu_read_unlock() statements that are within an enclosing pair of rcu_read_lock() and rcu_read_unlock() statements. Removing this relation from the matched relation results in a relation having only outermost matched pairs of rcu_read_lock() and rcu_read_unlock() statements.

The remainder of Listing 6.6 (lines 24–45) defines the relationship between RCU read-side critical sections and RCU grace periods.

Line 24 defines the gp grace-period relationship, which any statement preceding a synchronize_rcu() statement to that synchronize_rcu() statement and to any statement following that synchronize_rcu() statement. This differs from the relations used for memory fences, which do not link to the memory fence itself. The reason for this difference is that, unlike memory fences, repeated synchronize_rcu() statements have stronger semantics than do isolated synchronize_rcu() statements. Lines 26 and 27 define the relation between successive RCU read-side critical sections and/or RCU grace periods. Recall that the arguments to these functions are defined by the rcu_c11() procedure back on lines 11–16 of Listing 6.1. Back on Listing 6.6, line 26 defines pb() ("propagates before"), which allows a strong fence⁴ preceded by A-cumul and followed by B-cumul to extend the link. Line 27 defines link(), which defines a link as being the A-cumul relationship concatenated with the B-cumul relationship, possibly with any number of pb() relationships in between.

Line 30 then defines mylink as shorthand for link(A,B,sf). Line 31 defines gp-link as an RCU grace period followed by a linking sequence, and line 32 similarly defines rscs-link as an RCU read-side critical section followed by a linking sequence. Lines 33–38 defines rcu-path, a relation containing sequences of RCU read-side critical sections and RCU grace periods (along with the linking sequences) that have at least as many grace periods as critical sections. Line 39 then prohibits any cycles in the rcu-path relation, thus implementing the RCU counting method [2].

Finally, line 44 performs a consistency check on the mylink relation, which should include successive links separated by a strong fence.

Referring back to Listing 6.1, lines 12 and 13 enable easy experimentation. Alternative formulations of the RCU additions to the C11 memory model may be carried out by altering the definitions of A-cumul and B-cumul.

7 Litmus-Test Filename Decoder Ring

The name of the file is "C-" followed by a litmus-test class name and process descriptors, and ended by ".litmus". Each process descriptor consists of "+" followed by operation designators separated by "-". The operator designators are as follows:

- a Acquire load (Linux-kernel smp_load_acquire()) or RCU pointer assignment (Linux-kernel rcu_assign_pointer()).
- addr Address dependency.
- ctrl Control dependency.

data Data dependency.

- I Lock acquisition (Linux-kernel spin_lock().
- L Strongly ordered lock acquisition (Linux-kernel spin_lock() followed by smp_mb_after_spinlock()).
- mb Full memory fence (Linux-kernel smp_mb()). Similar to C++
 atomic_thread_fence(memory_order_seq_cst).
- "ONCE" access, either Linux-kernel READ_ONCE() or WRITE_ONCE(), depending on the litmus-test name. These are similar to C++ volatile relaxed loads and stores.
- r Store release (Linux-kernel smp_store_release()) if a store, and the mythical consume load (Linux-kernel rcu_dereference()) if a load.

rlk Enter RCU read-side critical section (Linux-kernel rcu_read_lock()).

⁴ Specifically, atomic_thread_fence(memory_order_seq_cst).

rmb Read memory fence (Linux-kernel smp_rmb()).

rulk Exit RCU read-side critical section (Linux-kernel rcu_read_unlock()).

sr Wait for relevant RCU readers (Linux-kernel synchronize_rcu()).

u Lock release (Linux-kernel spin_unlock().

wmb Write memory fence (Linux-kernel smp_wmb()).

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