A BRIEF HISTORY OF SHARED MEMORY

STEPHEN BROOKES

CMU

OUTLINE

- **Revisionist history**
 - Rational reconstruction of early models
 - **Evolution** of recent models
- * A unifying framework
 - Fault-detecting trace semantics
- Some general results
 - Soundness of fault-avoiding logics

FRAMEWORK

- * An abstract notion of state and action
- * A recipe for constructing denotational models
 - ** sequential programs
 - * shared memory parallel programs
- * Designed to support compositional reasoning
 - * fault-avoiding correctness
 - * rely/guarantee properties

STATE AND ACTION

DEFINITION

A *state model* is a tuple $(S, A, \rightarrow, \sharp)$ with

$$S = (S, \otimes)$$
 states
 A actions
 $\rightarrow \subseteq S \times A \times S^{\dagger}$ footprint
 $S^{\dagger} = S \uplus \{error\}$

and

$$\otimes : S \times S \rightarrow S$$
 compatibility $\sharp \subseteq A \times A$ independence

satisfying natural axioms ...

STATE AXIOMS

 (S, \otimes) is a partial commutative monoid...

$$\sigma \otimes \tau \simeq \tau \otimes \sigma$$

$$\rho \otimes (\sigma \otimes \tau) \simeq (\rho \otimes \sigma) \otimes \tau$$

* ... with unique decomposition

$$\sigma \otimes \sigma_1 = \sigma \otimes \sigma_2 \Rightarrow \sigma_1 = \sigma_2$$

FOOTPRINT AXIOMS

* Successful action has unique cause

For all σ , λ at most one σ_1 such that $\sigma_1 \xrightarrow{\lambda} \sigma_1'$, $\sigma = \sigma_1 \otimes \sigma_2$

* Failure is irrevocable

If
$$\sigma_1 \otimes \sigma_2 \xrightarrow{\lambda} error$$
, then $\sigma_1 \xrightarrow{\lambda} error$

INDEPENDENCE AXIOMS

Independence implies non-interfering footprints

$$\lambda_1 \sharp \lambda_2 \quad \& \quad \sigma_1 \xrightarrow{\lambda_1} \sigma_1' \quad \& \quad \sigma_2 \xrightarrow{\lambda_2} \sigma_2'$$

$$\& \quad \sigma = \sigma_1 \otimes \tau_1 = \sigma_2 \otimes \tau_2$$

implies

$$\exists \tau_1', \tau_2'. \quad \sigma_1' \otimes \tau_1 = \sigma_2 \otimes \tau_2'$$

$$\& \quad \sigma_2' \otimes \tau_2 = \sigma_1 \otimes \tau_1'$$

$$\& \quad \sigma_1' \otimes \tau_1' = \sigma_2' \otimes \tau_2'$$

* Symmetry

 $\lambda_1 \sharp \lambda_2$ implies $\lambda_2 \sharp \lambda_1$

ENABLING

For any state model we can derive an enabling relation

$$\Rightarrow \subseteq S^{\dagger} \times A \times S^{\dagger}$$

Let
$$\sigma \stackrel{\lambda}{\Rightarrow} \sigma'$$
 iff $\exists \sigma_1, \sigma_1', \sigma_2 \in S$.

$$\sigma = \sigma_1 \otimes \sigma_2$$

$$\sigma' = \sigma_1' \otimes \sigma_2$$

$$\sigma' = \sigma_1' \otimes \sigma_2$$

$$\sigma' = \sigma_1' \otimes \sigma_2$$

Let
$$\sigma \stackrel{\lambda}{\Rightarrow} error$$
 iff $\sigma \stackrel{\lambda}{\rightarrow} error$ or $\sigma = error$

CONSEQUENCES

***** FRAME

$$\sigma_{1} \xrightarrow{\lambda} \tau_{1} \neq error \quad \& \quad \sigma_{1} \otimes \sigma_{2} \xrightarrow{\lambda} \tau$$
implies
$$\tau = \tau_{1} \otimes \sigma_{2}$$

* SAFETY MONOTONICITY

$$\sigma_1 \otimes \sigma_2 \xrightarrow{\lambda} error$$
implies
 $\sigma_1 \xrightarrow{\lambda} error$

CONSEQUENCES

Independent actions don't interfere

If
$$\lambda_1 \sharp \lambda_2$$
 then
$$\sigma \stackrel{\lambda_1}{\Rightarrow} \tau_1, \ \sigma \stackrel{\lambda_2}{\Rightarrow} \tau_2$$
implies
$$\exists \tau. \quad \tau_1 \stackrel{\lambda_2}{\Rightarrow} \tau, \ \tau_2 \stackrel{\lambda_1}{\Rightarrow} \tau$$

global transition traces

$$S = (Ide \rightarrow V) \cup \{1\}$$

$$** \sigma \otimes 1 = \sigma = 1 \otimes \sigma$$

$$\# A = S \times S$$

$$(\sigma, \tau)$$

$$\ll \sigma \to \tau$$

$$\#$$
 $(\sigma_1, \tau_1) \ddagger (\sigma_2, \tau_2) \text{ iff } \sigma_1 = \tau_1 = \sigma_2 = \tau_2$

cf. Park 1979

local transition traces

$$S = Ide \longrightarrow_{fin} V$$

- $A = \{(\sigma, \tau) \mid \text{dom } \sigma = \text{dom } \tau\}$
- $\sigma_1^{(\sigma, \tau)} \xrightarrow{error} \text{ iff } \sigma_1 \upharpoonright \text{dom}(\sigma) = \sigma \upharpoonright \text{dom}(\sigma_1) \subset \sigma$
- # $(\sigma_1, \tau_1) \ddagger (\sigma_2, \tau_2) \text{ iff } dom(\sigma_1) \cap dom(\sigma_2) = \emptyset$

action traces, shared store

- $S = Ide \longrightarrow_{fin} V$
- $A = \{i=v, i:=v \mid i \in Ide, v \in V\}$
- "="v" [i:v"]"
- $\sigma \xrightarrow{i=v, i:=v'} error \text{ iff } i \notin dom(\sigma)$

cf. CONCUR 2002

action traces, shared mutable state

- * - disjoint union, componentwise
- $A = A_{\text{store}} \cup \{[l] = v, [l] := v, \text{ alloc}(l, v), \text{ disp } l\}$
- $([],[]) \xrightarrow{\text{alloc(l,v)}} ([],[]:v])$
- $([],[]:v]) \stackrel{\text{disp } l}{\rightarrow} ([],[])$
- $(s, h) \stackrel{\text{disp } l}{\rightarrow} error \text{ iff } l \notin \text{dom}(h)$
- ¬(disp l # disp l)

cf. CONCUR 2004

permissions

- $S = Ide \xrightarrow{fin} V \times P$, (P, \oplus, \top) a permission algebra
- * - combines permissions, when compatible
- $A = \{(i=v,\pi), (i=v,\top) \mid \pi \in \mathbb{P}, v \in V\}$
- $[i:(v,\pi)] \xrightarrow{i=v,\pi} [i:(v,\pi)]$
- $[i:(v,\top)]^{i:=v',\top}[i:(v',\top)]$
- $\sigma \stackrel{\text{i:=v',}\top}{\rightarrow} error \text{ iff } \neg \exists v. (i, (v,\top)) \in \sigma$
- $(i=v,\pi_1) \ddagger (i=v,\pi_2)$ when $\pi_1 \oplus \pi_2$ defined

cf. MFPS'05

TRACES

- * A trace is a finite or infinite sequence of actions
- * α is (sequentially) executable iff $\exists \sigma. \sigma \stackrel{\alpha}{\Rightarrow} \cdot$
- # Let $\alpha \beta$ iff $\alpha \beta$ executable
- ** Let $Tr(A) \subseteq \mathcal{O}(A^{\infty})$ be sets of executable traces

SEMANTIC RECIPE

for sequential programs

 \Re Given a state model $\Sigma = (S, A, →, #)$ we can define a *trace semantics*

by structural induction

 \mathbb{C}_{Σ} is set of executable traces

SEMANTIC CLAUSES

FAULT-AVOIDING CORRECTNESS

DEFINITION

{p}c{q} is **valid** iff $\forall \sigma \in S. \ \forall \alpha \in \llbracket c \rrbracket. \ \forall \sigma'.$ $\sigma \models p \& \sigma \stackrel{\alpha}{\Rightarrow} \sigma' \text{ implies } \sigma' \neq \textit{error } \& \sigma' \models q$

every finite execution of c, from a state satisfying p, is error-free, and ends in a state satisfying q

VALIDATION THEOREM

For all sequential programs,

 $\llbracket \mathbf{c}_1 \rrbracket = \llbracket \mathbf{c}_2 \rrbracket$

implies

 $\forall C. \ \forall p,q.$

 ${p}C[c_1]{q}$ valid iff ${p}C[c_2]{q}$ valid

sequential commands with the same executable traces satisfy the same formulas, in all sequential contexts

PARALLEL PROGRAMS

 $\|\mathbf{c}_1\|_{\mathbf{C}_2}$

shared memory

* with r when b do c

conditional critical region

* resource r in c

local resource

r ∈ Res = set of resource names

RESOURCE ACTIONS

- $\Delta = \{ try \ r, acq \ r, rel \ r \mid r \in Res \}$
- * Each resource is exclusive
 - * acquired by at most one process at a time
 - * available when not currently acquired
 - process must acquire before release, keeps trying when unavailable

WELL-RESOURCED

A sequence $\alpha \in (A \cup \Delta)^{\infty}$ is well-resourced iff $\forall r. \ \alpha \upharpoonright \{acq \ r, rel \ r\} \leq (acq \ r \ rel \ r)^{\omega}$

acquires before releases

RESOURCE CONSTRAINTS

- ** Ability to do resource actions depends on resource sets R₁ held by *process*, R₂ held by *environment*
- These sets start empty and stay disjoint...

$$R_{1} \underset{R_{2}}{\overset{acq r}{\Rightarrow}} R_{1} \cup \{r\} \quad iff \quad r \notin R_{1} \cup R_{2}$$

$$R_{1} \underset{R_{2}}{\overset{rel r}{\Rightarrow}} R_{1} - \{r\} \quad iff \quad r \in R_{1}$$

$$R_{1} \underset{R_{2}}{\overset{try r}{\Rightarrow}} R_{1}$$

RACE CONDITIONS

- Concurrent execution of non-independent actions may yield unpredictable results
- * Introduce an action abort to model such races

- # Let $A^{\dagger} =_{\text{def}} A \cup \{abort\}$
- # Define $\sigma \xrightarrow{abort} \sigma'$ iff $\sigma' = error$

SEMANTIC RECIPE for parallel programs

** Let $Tr(A, \Delta)$ be sets of well-resourced traces over $A^{\dagger} \cup \Delta$

$$\operatorname{Tr}(A, \Delta) \subseteq \mathcal{O}(A^{\dagger} \cup \Delta)^{\infty}$$

** A parallel program will denote a set of well-resourced traces

$$\llbracket - \rrbracket : \operatorname{Com} \to \operatorname{Tr}(A, \Delta)$$

PARALLEL COMPOSITION

$$\llbracket \mathbf{c}_1 || \mathbf{c}_2 \rrbracket = \llbracket \mathbf{c}_1 \rrbracket_{\varnothing} ||_{\varnothing} \llbracket \mathbf{c}_2 \rrbracket$$

- $\alpha_{R_1|R_2} \beta$ resource-sensitive, race-detecting fair merges
- * Can be characterized as a greatest fixed point

$$(\lambda_{1}\alpha)_{R_{1}R_{2}} \| (\lambda_{2}\beta) =$$

$$\{\lambda_{1}\gamma \mid R_{1} \stackrel{\lambda_{1}}{\Longrightarrow} R'_{1}, \gamma \in \alpha_{R'_{1}R_{2}} \| (\lambda_{2}\beta) \}$$

$$\cup \{\lambda_{2}\gamma \mid R_{2} \stackrel{\lambda_{2}}{\Longrightarrow} R'_{2}, \gamma \in (\lambda_{1}\alpha)_{R_{1}R'_{2}} \beta \}$$

$$\cup \{abort \mid \neg(\lambda_{1} \sharp \lambda_{2}) \}$$

REGION

[with r when b do c] = wait* enter U wait^{\omega}

- ** wait = {try r} U (acq r) $\llbracket b \rrbracket_{\text{false}}$ (rel r)
- ** enter = $(acq r) \llbracket b \rrbracket_{true} \llbracket c \rrbracket (rel r)$

LOCAL RESOURCE

[resource r in c] = { $\alpha \setminus r \mid \alpha \in [c]_r$ }

- $\alpha \ r$ obtained by erasing {acq r, rel r, try r}
- α ∈ [c]_r iff α ∈ [c] and α \(\text{r} \leq \text{(acq r (try r)}^\infty rel r)\(\infty\)

resource not accessible by environment

FAULT-AVOIDING CORRECTNESS

DEFINITION

(as before)

VALIDATION THEOREM

For all parallel programs,

 $\llbracket \mathbf{c}_1 \rrbracket = \llbracket \mathbf{c}_2 \rrbracket$

implies

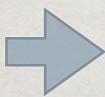
 $\forall C. \ \forall p,q.$

 ${p}C[c_1]{q}$ valid iff ${p}C[c_2]{q}$ valid

parallel commands with the same traces satisfy the same formulas, in all parallel contexts

... rational reconstruction

STATE MODEL



SEMANTICS

global S×S	global transition traces	Park '79
local S×S	local transition traces	LICS '96
reads/writes	store action traces	CONCUR' 02
store+heap	store/heap action traces	CONCUR' 04
permissive state	permissive action traces	MFPS '05

EXECUTABLE TRACES

- Walidity of {p}c{q} depends only on the executable traces of c
- But the *executable* traces of c₁||c₂ cannot be derived from the *executable* traces of c₁ and c₂
- So our semantic recipe for c₁||c₂ includes non-sequential traces
- But how non-sequential do we need to be?

DIJKSTRA'S PRINCIPLE

* A rule for designing correct concurrent programs

"... regard processes as independent, except when they synchronize"

Suggests working with "almost sequential" traces...

ALMOST SEQUENTIAL

... sequential except at synchronizations

* A trace α is almost sequential iff

$$\alpha \setminus \{try,rel\} = \alpha_1 \text{ (acq } r_1) \alpha_2 \text{ (acq } r_2) \dots$$

where each $\alpha_n \in A^{\infty}$ is *sequential*

- The almost sequential traces of c₁||c₂ are fair merges of almost sequential traces of c₁ and c₂
- Easy to adjust semantic clauses to obtain just the *almost sequential* traces

$$\llbracket \mathbf{c} \rrbracket_{as} \subseteq \llbracket \mathbf{c} \rrbracket$$

VALIDATION THEOREM

(improved)

For all parallel programs,

$$\begin{bmatrix} c_1 \end{bmatrix}_{as} = \begin{bmatrix} c_2 \end{bmatrix}_{as}$$
 implies

 $\forall C. \ \forall p,q.$

 ${p}C[c_1]{q}$ valid iff ${p}C[c_2]{q}$ valid

parallel commands with the same almost sequential traces satisfy the same formulas, in all parallel contexts

EQUIVALENT TRACES

... same effect, same resource protocol, in all contexts

 \Re For α, β ∈ A[∞] let α≈β iff

$$|\alpha| = |\beta|$$
 and $\forall \lambda$. $(\alpha \# \lambda \Leftrightarrow \beta \# \lambda)$

where
$$|\alpha| = \{(\sigma, \sigma') \mid \sigma \stackrel{\alpha}{\Rightarrow} \sigma'\}$$

** Extend to $Tr(A, \Delta)$ so that $\alpha \approx \beta$ iff

$$\alpha = \alpha_1 \delta_1 ... \alpha_n \delta_n ...$$

$$\beta = \beta_1 \delta_1 \dots \beta_n \delta_n \dots$$

where each $\,\alpha_{\rm i} \in ({\rm A}^{\dagger})^{\,\infty}\,,\,\delta_{\rm i} \in \Delta^{\!+}$

and
$$\forall n. \alpha_n \approx \beta_n$$

EQUIVALENT TRACE SETS

Let $T_1 \approx T_2$ iff $\forall \alpha \in T_1. \ \exists \beta \in T_2. \ \alpha \approx \beta$ and $\forall \beta \in T_2. \ \exists \alpha \in T_1. \ \alpha \approx \beta$

VALIDATION THEOREM

(improved again)

For all parallel programs,

 $\llbracket c_1 \rrbracket \approx \llbracket c_2 \rrbracket$

implies

 $\forall C. \forall p,q.$

 ${p}C[c_1]{q}$ valid iff ${p}C[c_2]{q}$ valid

parallel commands with equivalent trace sets satisfy the same formulas, in all parallel contexts

FOOTSTEP TRACES

- * Obtained from action trace model by quotient
- ***** Traces have form

$$(\sigma_1, \sigma_1')_{X_1} \delta_1 (\sigma_1, \sigma_1')_{X_2} \delta_2 ...$$

where each Xi is a read-only set

For all parallel programs

$$\begin{bmatrix} c_1 \end{bmatrix}_{f_{\mathcal{S}}} = \begin{bmatrix} c_2 \end{bmatrix}_{f_{\mathcal{S}}} \quad \text{iff} \quad \begin{bmatrix} c_1 \end{bmatrix}_{as} \approx \begin{bmatrix} c_2 \end{bmatrix}_{as}$$

cf. MFPS '06

ADVANTAGES

- ** For a *synchronization-free* parallel program the footstep traces form a non-deterministic relation on states
- * Taming the combinatorial explosion

VALIDATION THEOREM

(final version)

For all parallel programs

$$\begin{bmatrix} c_1 \end{bmatrix}_{f_{\mathcal{S}}} = \begin{bmatrix} c_2 \end{bmatrix}_{f_{\mathcal{S}}} \\
 \text{implies}$$

 $\forall C. \forall p,q.$

 ${p}C[c_1]{q}$ valid iff ${p}C[c_2]{q}$ valid

parallel commands with the same footstep traces satisfy the same formulas, in all parallel contexts

COMPOSITIONALITY

- Semantic model is compositional and supports reasoning about fault-avoiding partial correctness
- But partial correctness properties of c₁||c₂ cannot be deduced from partial correctness properties of c₁ and c₂
- For a compositional *logic*, we need to work with more general formulas
 - # fault-avoiding rely/guarantee properties

FAULT-AVOIDING LOGICS

 $\Gamma \vdash \{p\}c\{q\}$

- * I specifies protection rules and resource invariants
- ** Rely/guarantee interpretation...

every finite *interactive execution* of c, in an *environment that respects* Γ, from a state satisfying p, *respects* Γ, is *error-free*, and ends in a state satisfying q

Implies fault-avoiding correctness

EXAMPLES

** Separation logic

sequential pointer-programs

Reynolds

** Simple shared memory shared memory parallel, no pointers

Owicki/Gries

** Concurrent separation logic shared memory parallel, pointers

O'Hearn

** Permissions logic

shared memory parallel, pointers

Bornat et al

VALIDITY

Definition

$$\Gamma \vdash \{p\} c \{q\} \text{ is valid iff }$$

$$\forall \sigma \in S_{\Gamma}. \ \forall \alpha \in [\![c]\!]. \ \forall \sigma'.$$

$$\sigma \models p \& \sigma \stackrel{\alpha}{\Rightarrow} \sigma' \text{ implies } \sigma' \neq error \& \sigma' \models q$$

every finite interactive execution of c, in an environment that respects Γ , from a state satisfying ρ , respects Γ , is error-free, and ends in a state satisfying ρ

INTERACTIVE VALIDATION

THEOREM

For all parallel programs

$$\begin{bmatrix} c_1 \end{bmatrix}_{f_{\mathcal{S}}} = \begin{bmatrix} c_2 \end{bmatrix}_{f_{\mathcal{S}}} \\
 \text{implies}$$

 $\forall C. \ \forall \Gamma, p, q.$

 $\Gamma\vdash\{p\}C[c_1]\{q\}$ valid iff $\Gamma\vdash\{p\}C[c_2]\{q\}$ valid

parallel commands with

the same footstep traces

satisfy the same rely/guarantee formulas,

in all parallel contexts

SEPARATION LOGIC

- ** $(s,h) \models p_1 * p_2 \text{ iff } \exists s_1, s_2. \exists h_1 \perp h_2.$ $s = s_1 \cup s_2, h = h_1 \uplus h_2,$ $(s_1,h_1) \models p_1 \& (s_2,h_2) \models p_2$
- * p is precise iff

 \forall (s,h). \exists at most one h' \subseteq h such that (s,h') \models p

$$\Gamma = r_1(X_1):I_1,..., r_n(X_n):I_n$$

$$X_j \text{ disjoint, } I_j \text{ precise, } ...$$

PARALLEL RULE

$$\Gamma \vdash \{p_1\}c_1\{q_1\} \quad \Gamma \vdash \{p_2\}c_2\{q_2\}$$

$$\Gamma \vdash \{p_1 \star p_2\}c_1 \parallel c_2\{q_1 \star q_2\}$$

provided

```
free(c<sub>1</sub>)\capwrites(c<sub>2</sub>) \subseteq owned(\Gamma)
free(c<sub>2</sub>)\capwrites(c<sub>1</sub>) \subseteq owned(\Gamma)
free(p<sub>2</sub>, q<sub>2</sub>)\capwrites(c<sub>1</sub>) = \emptyset
free(p<sub>1</sub>, q<sub>1</sub>)\capwrites(c<sub>2</sub>) = \emptyset
```

REGION RULE

$$\Gamma \vdash \{(p \star I) \land b\} c \{q \star I\}$$

 Γ , $r(X):I \vdash \{p\}$ with r when b do $c\{q\}$

RESOURCE RULE

 $\Gamma, r(X): I \vdash \{p\}c\{q\}$

 $\Gamma \vdash \{p \star I\} \text{ with } r \text{ when } b \text{ do } c\{q \star I\}$

SOUNDNESS

* Each rule of concurrent separation logic is valid

Use semantic model to formalize

- local state
- ownership transfer

Proof reveals key role of precision

SIMILARLY...

- Soundness proofs for
 - ****** Owicki-Gries
 - ** permissions logic

based on appropriate choice of state model

CONCLUSIONS

- * A general, abstract notion of state model
- * A recipe for constructing semantic models
- * Suitable for compositional reasoning
 - * fault-avoiding partial correctness
 - ** rely/guarantee partial correctness properties
- Soundness proofs for fault-avoiding logics

FUTURE RESEARCH

- **Fault-avoiding logics**
 - total correctness
 - * safety and liveness
- **Semantic models**
 - # full abstraction?
- **Synchronization**
 - * other primitives
 - * abstract model?