

# Proving MCAPI Executions are Correct

## Applying SMT Technology to Message Passing

### ABSTRACT

Asynchronous message passing is an important paradigm in writing applications for embedded heterogeneous multicore systems. The Multicore Association (MCA), an industry consortium promoting multicore technology, is working to standardize message passing into a single API, MCAPI, for bare metal implementation and portability across platforms. Correctness in such an API is difficult to reason about manually, and testing against reference solutions is equally difficult as reference solutions implement an unknown set of allowed behaviors, and programmers have no way to directly control API internals to expose or reproduce errors. This paper encodes an MCAPI execution as an SMT problem, which if satisfiable, yields a feasible execution schedule on the same trace, such that it resolves non-determinism in the MCAPI runtime in the way that it now fails user provided assertions. Such an encoding is useful for test, debug, and verification of MCAPI program execution. The novelty in the encoding is the use of match pairs (potential send and receive couplings). Match-pair encoding for MCAPI executions, when compared to other encoding strategies, is simpler to reason about, results in significantly fewer terms in the SMT problem, and captures feasible behaviors that are ignored in previously published techniques. Further, to our knowledge, this is the first SMT encoding that is able to run in *infinite-buffer* semantics, meaning the runtime has unlimited internal buffering as opposed to no internal buffering. Our results demonstrate that our SMT encoding uses 70% fewer clauses of that of the existing technique. In addition, our encoding runs on average eight times faster and uses two times less memory than the existing technique on the benchmarks in our experiment.

### Keywords

Abstraction, refinement, SMT, message passing

## 1. INTRODUCTION

Embedded devices fill all sorts of crucial roles in our lives. They exist as medical devices, as network infrastructure, and they control our automobiles. Embedded devices continue to become more powerful as computing hardware becomes smaller and more modular. It is now becoming commonplace to find multiple processing units inside a single device. The Multicore Association (MCA) [3] is an industry group that has formed to define specifications for low-level communication, resource management, and task management for multicore devices.

One specification that the MCA has released is the Multicore Association Communications API (MCAPI) [4]. The specification defines basic data type, data structures, and functions that can be used to perform simple message passing operations between different computing entities within a device. Messages can be passed across persistent channels that force an ordering of the messages, or they can be passed to specific *endpoints* within the system. The specification places few ordering constraints on messages passed from one endpoint to another. This freedom introduces into the system possibilities that two or more messages are racing if the order of their arrival at the destinations are non-deterministic [18]. Without a way to explore this non-determinism in the MCAPI runtime, it is not possible to test and debug the program executions.

Sharma et al. created a method of using concrete execution to verify MCAPI programs, but it was later discovered that this method does not completely explore the entire execution space of certain kinds of MCAPI programs [19]. The method provides match pairs – couplings for potential sends and receives that we use in our work. Instead of exploring all relevant interleavings of a program in the concrete execution in [19], Wang et al. provided a symbolic algorithm that verifies each partitioned concurrent trace program (CTP) with shared memory semantics using a satisfiability solver [21]. Elwakil et al. also defined a method of representing MCAPI program executions as Satisfiability Modulo Theory (SMT) problems building on the method of [21] adapting it to message passing, but this method does not capture all allowed MCAPI program executions [10]. Further, this method assumes that the user is able to provide the exact set of match pairs. Such an assumption is not reasonable for large complex program traces. In this paper, however, we provide an algorithm that generates an over-approximated set of match pairs. In order to prevent the problems discussed above, this paper discusses a new method that provides both efficiency

and correctness.

There are two ways to implement the MCAPI semantics for matching sends to receives including an *infinite-buffer* semantics (the message is copied into a runtime provided buffer on the API call) or a *zero-buffer* semantics (the message is copied into a endpoint provided buffer) [20]. An *infinite-buffer* semantics provides more non-deterministic behaviors because a particular endpoint can receive more messages under the circumstance of *infinite-buffer* semantics while the *zero-buffer* semantics can only allow one message to be received by a specific endpoint at a time. We present an encoding for MCAPI program executions that works for both *zero-buffer* and *infinite-buffer* semantics that requires fewer terms than [10] but includes all possible program executions unlike [10]. In other words, the solution for our encoding provides efficiency. Our encoding uses match pairs from [19] that captures the non-determinism of program executions. Most importantly, this method correctly captures all possible execution traces allowed by the MCAPI specification in a trace of a concurrent program execution as an SMT problem enabling the exploration of inherent non-determinism that may exist in any MCAPI runtime implementation. Our main contributions in this paper include:

1. A correct and efficient SMT encoding of an MCAPI program execution that detects all program errors if the user provided match pairs are precise or over-approximated.
2. An  $O(N^2)$  algorithm to generate an over-approximation of possible match-pairs, where  $N$  is the size of the execution trace as lines of code.

The rest of the paper is organized as follows: Section 2 presents an MCAPI program execution in which two program traces exist due to non-determinism in the MCAPI runtime. Section 3 defines an SMT encoding of an MCAPI program execution that captures non-determinism in message order by defining the set of possible match pairs between sends and receives on a common endpoint. It is proved that an over-approximated match set in our SMT encoding of an MCAPI program execution can reflect the actual execution traces as the true set does. Section 4 solves the outstanding problem in other encodings of generating feasible match pairs to use in the encoding. It presents a  $O(N^2)$  algorithm that over-approximates the precise match set, where  $N$  is the size of the execution trace in lines of code. Section 5 presents the experimental results that show our encoding to be correct and efficient, as other existing encodings both omit critical program behaviors and require more SMT clauses. Section 6 discusses related work, and Section 7 presents our conclusions and future work.

## 2. EXAMPLE

It is a challenge to explain intended behavior in simple scenarios consisting of a handful of calls when dealing with concurrency. Consider the MCAPI program execution in Figure 1 that includes three tasks that use send (`mcapi_msg_send_i`) and receive (`mcapi_msg_rcv_i`) calls to communicate with each other. Line numbers appear in the first column for each task, and the declarations of the local variables are omitted for space. Picking up the scenario just after the endpoints

are defined, lines 02 and 05 of task 0 receive two messages on the endpoint `e0` in variables `A` and `B` which are converted to integer values and stored in variables `a` and `b` on lines 04 and 07; task 1 receives one message on endpoint `e1` in variable `C` on line 03 and then sends the message “1” on line 05 to `e0`; and finally, task 2 sends messages “4” and “Go” on lines 04 and 06 to endpoints `e0` and `e1` respectively. Task 0 has additional code (lines 08 - 09) to assert properties of the values in `a` and `b`. The `mcapi_wait` calls block until the associated send or receive buffer is able to be used. Given the scenario, we might ask the question: “What are the possible values of `a` and `b` after the scenario completes?”

The intuitive trace is presented in the first four columns of Figure 2. Note that the first column contains the line number of each command shown in the trace. The second column contains the task number in Figure 1. The third column presents the commands identified by the source line numbers shown in Figure 1. Also, we define a shorthand for each command of send (denoted as S), receive (denoted as R), or wait (denoted as W) in the fourth column for presenting future examples. For each command  $O_{i,j}(k, \&h)$ ,  $O \in \{S, R\}$  or  $W(\&h)$ ,  $i$  represents the task number,  $j$  represents the source line number,  $k$  represents the destination task number, and  $h$  represents the command handler. Note that a specific destination task number can be assigned to each receive for a provided program trace, which implies the matched send in the program runtime. We use the “\*” notation when a receive has yet to be matched to a specific send. From the trace, variable `a` should contain 4 and variable `b` should contain 1 since task 2 must first send message “4” to `e0` before it can send message “Go” to `e1`; consequently, task 1 is then able to send message “1” to `e0`. The assume notation asserts the control flow taken by the program execution which in this example, asserts the true branch of the condition on line 08 of task 0. At the end of execution the assertion on line 09 of task 0 holds and no error is found. Such intuition is a valid program execution.

For our example in Figure 1, if we use *zero-buffer* semantics as buffer setting, the send call on line 05 of task 1 cannot match with the receive call on line 02 of task 0. This is because the send call on line 04 of task 2 must be completed before the send call on line 06 of task 2 can match with the receive call on line 03 of task 1. When using *infinite-buffer*, however, we can have another scenario shown in the fifth and sixth column of Figure 2 written in the shorthand notation. The variable `a` contains 1 instead of 4, since the message “1” is sent to `e0` after sending the message “Go” to `e1` as it is possible for the send on line 04 of task 2 buffered in transit. The specification indicates that the wait on line 05 of task 2 returns once the buffer is available. That only means the message is somewhere in the MCAPI runtime under *infinite-buffer* semantics; it does not mean the message is delivered. As such, it is possible for the message to be buffered in transit allowing the send from task 1 on line 05 to arrive at `e0` first and be received in variable “`a`”. Such a scenario is a program execution that results in an assertion failure at line 09 in Figure 1.

From the discussion above, it is important to consider non-determinism in the MCAPI runtime when testing or debugging an MCAPI program execution. Note that we use

*infinite-buffer* for the program execution in the rest of our discussion but describe how the encoding changes for *zero-buffer* semantics. The next section presents an encoding algorithm that takes an MCAPI program execution with a set of possible send-receive match pairs and generates an SMT problem that if satisfied proves that non-determinism can be resolved in a way that violates a user provided assertion and if unsatisfiable proves the trace correct (meaning the user assertions hold on the given execution). The encoding can be solved by an SMT solver such as Yices [8] and Z3 [17], and the non-deterministic behavior of the program execution can be resolved.

### 3. SMT MODEL

The novelty of the SMT encoding in this paper is its use of match pairs rather than the state-based or order-based encoding of prior work [10, 9]. The algorithm to create the encoding takes as input a set of possible match pairs and a trace through an MCAPI program with the appropriate assumes and asserts as shown in Figure 2. A match pair is the coupling of a receive to a particular send. Figure 3(a) is the set of possible match pairs for the program in Figure 1 using our shorthand notation defined in Figure 2. The set admits, for example, that  $R_{0,2}$  can be matched with either  $S_{1,5}$  or  $S_{2,4}$ . The SMT encoding in this paper asks the SMT solver to resolve the match pairs for the system in such a way that the final values of program variables meet the assumption on control flow but violate some assertion.

Before presenting our SMT encoding for a specific example, we need to define auxiliary operators and notations in detail.

*Definition 1.* The nearest-enclosing wait  $NW_R$  for a receive  $R$  is the nearest wait operation following  $R$  in an execution trace that witnesses the completion of  $R$ .

The nearest-enclosing wait for a receive asserts that the receive is complete indicating the message has already been in the buffer and that all the previous receives from the same task are complete as well. The intuitive example below shows that the wait  $W(\&h2)$  witnesses the completion of the receive  $R_{0,1}$  and  $R_{0,2}$  in Task 0. As such, the wait  $W(\&h2)$  is their nearest-enclosing wait.

Task 0	Task 1
$R_{0,1}(*, \&h1)$	$S_{1,1}(0, \&h3)$
$R_{0,2}(*, \&h2)$	$W(\&h3)$
$W(\&h2)$	$S_{1,2}(0, \&h4)$
$W(\&h1)$	$W(\&h4)$

*Definition 2.* The send operation  $S$  is defined as a tuple  $(M, e, value, event)$  such that  $M, e, value, event \in \mathbb{N}$  where  $\mathbb{N}$  is the set of natural numbers.  $M$  represents the event of a matched receive,  $e$  represents the endpoint,  $value$  is the value being sent and  $event$  indicates the program order.

*Definition 3.* The receive operation  $R$  is defined as a tuple  $(M, e, value, event, NW)$  such that  $M, e, value, event, NW \in \mathbb{N}$  where  $\mathbb{N}$  is the set of natural numbers.  $M$  represents the event of a matched send,  $e$  represents the endpoint,

$value$  is the value being received  $event$  indicates the program order and  $NW$  is the nearest-enclosing wait for the receive.

Definition 2 and Definition 3 are essential to our SMT encoding such that each field must be assigned by the SMT solver in a way that is consistent with all the constraints in the encoding. Such constraints include the *Happens-Before* relation in Definition 4, the match pair encoding in Definition 5 and the message non-overtaking rules.

*Definition 4.* The *Happens-Before* (HB) relation operator is denoted  $\prec_{HB}$  that asserts two operations are ordered.

The HB operator takes two events  $a$  and  $b$  as operands where  $a, b \in \mathbb{N}$  and  $\mathbb{N}$  is the set of natural numbers. The expression  $a \prec_{HB} b$  indicates that the event  $a$  happens before  $b$  in an execution trace. In our SMT encoding, every location in an execution trace is assigned an event, for example,  $event_{op}$  is the event for the operation  $op$ , and the HB operator orders those locations (i.e., program order, etc.). Basically, the HB operator asserts that two receives(sends) with common endpoints from the same source are ordered. Given that a send is immediately completed and the completion of a receive must be witnessed by the nearest-enclosing wait, this operator also asserts, for any matched pair, that the send happens before the nearest-enclosing wait of the matched receive.

*Definition 5.* The match pair for a receive  $R$  and a send  $S$  is denoted  $\langle R, S \rangle$ , where the field  $M, value$  and  $e$  of the record  $R$  and  $S$  must be consistent. Also, the HB relation  $events \prec_{HB} NW_R$  must be satisfied.

As discussed above, the match pair in Definition 5 ensures that a receive is matched with a send by assigning each field an identical value. It also asserts that no two sends(receives) can match an identical receive(send). Note that the encoding is going to use the “ $M$ ” value of a send in conjunction with the HB relation to enforce message non-overtaking when messages are sent from the same source. Consider a simple example below that sends two messages from a Task 0 to Task 1,

Task 0	Task 1
$S_{0,1}(1, \&h1)$	$R_{1,1}(*, \&h3)$
$S_{0,2}(1, \&h2)$	$R_{1,2}(*, \&h4)$
$W(\&h1)$	$W(\&h3)$
$W(\&h2)$	$W(\&h4)$

The “ $M$ ” values in the send records will be assigned to the order tracking events for  $R_{1,1}$  and  $R_{1,2}$  in the final encoding. Message non-overtaking from transactions on common endpoints is encoded by forcing the send events to be received in program order using the HB relation as below in our simple example:

$$M_{S_{0,1}} \prec_{HB} M_{S_{0,2}}$$

Prior SMT models of MCAPI program executions implicitly compute match pairs by adding possible *Happens-Before*

Task 0	Task 1	Task 2
00 initialize(NODE_0,&v,&s);	00 initialize(NODE_1,&v,&s);	00 initialize(NODE_2,&v,&s);
01 e0 = create_endpoint(PORT_0,&s);	01 e1 = create_endpoint(PORT_1,&s);	01 t2 = create_endpoint(PORT_2,&s);
	02 e0 = get_endpoint(NODE_0,PORT_0,&s);	02 t0 = get_endpoint(NODE_0,PORT_0,&s);
02 msg_rcv_i(e0,A,sizeof(A),&h1,&s);		03 t1 = get_endpoint(NODE_1,PORT_1,&s);
03 wait(&h1,&size,&s,MCAPI_INF);	03 msg_rcv_i(e1,C,sizeof(C),&h3,&s);	
04 a = atoi(A);	04 wait(&h3,&size,&s,MCAPI_INF);	04 msg_send_i(e2,e0,"4",2,N,&h5,&s);
		05 wait(&h5,&size,&s,MCAPI_INF);
05 msg_rcv_i(e0,B,sizeof(B),&h2,&s);	05 msg_send_i(e1,e0,"1",2,N,&h4,&s);	
06 wait(&h2,&size,&s,MCAPI_INF);	06 wait(&h4,&size,&s,MCAPI_INF);	06 msg_send_i(e2,e1,"Go",3,N,&h6,&s);
07 b = atoi(B);		07 wait(&h6,&size,&s,MCAPI_INF);
	07 finalize(&s);	
08 if(b > 0);		08 finalize(&s);
09 assert(a == 4);		
10 finalize(&s);		

Figure 1: An MCAPI concurrent program execution

Trace 1				Trace 2			
Line	Task	Command	Shorthand	Task	Command		
0	2	04 msg_send_i(e2,e0,"4",2,N,&h5,&s);	S <sub>2,4</sub> (0,&h5)	2	04 S <sub>2,4</sub> (0,&h5)		
1	2	05 wait(&h5,&size,&s,MCAPI_INF);	W(&h5)	2	05 W(&h5)		
2	0	02 msg_rcv_i(e0,A,sizeof(A),&h1,&s);	R <sub>0,2</sub> (2,&h1)	2	06 S <sub>2,6</sub> (1,&h6)		
3	0	03 wait(&h1,&size,&s,MCAPI_INF);	W(&h1)	2	07 W(&h6)		
4	2	06 msg_send_i(e2,e1,"Go",3,N,&h6,&s);	S <sub>2,6</sub> (1,&h6)	1	03 R <sub>1,3</sub> (2,&h3)		
5	2	07 wait(&h6,&size,&s,MCAPI_INF);	W(&h6)	1	04 W(&h3)		
6	0	04 a = atoi(A);		1	05 S <sub>1,5</sub> (0,&h4)		
7	1	03 msg_rcv_i(e1,C,sizeof(C),&h3,&s);	R <sub>1,3</sub> (2,&h3)	1	06 W(&h4)		
8	1	04 wait(&h3,&size,&s,MCAPI_INF);	W(&h3)	0	02 R <sub>0,2</sub> (1,&h1)		
9	1	05 msg_send_i(e1,e0,"1",2,N,&h4,&s);	S <sub>1,5</sub> (0,&h4)	0	03 W(&h1)		
10	1	06 wait(&h4,&size,&s,MCAPI_INF);	W(&h4)	0	04 a = atoi(A);		
11	0	05 msg_rcv_i(e0,B,sizeof(B),&h2,&s);	R <sub>0,5</sub> (1,&h2)	0	05 R <sub>0,5</sub> (2,&h2)		
12	0	06 wait(&h2,&size,&s,MCAPI_INF);	W(&h2)	0	06 W(&h2)		
13	0	07 b = atoi(B);		0	07 b = atoi(B);		
14	0	08 assume(b > 0);		0	08 assume(b > 0);		
15	0	09 assert(a == 4);		0	09 assert(a == 4);		

Figure 2: Two execution traces of the MCAPI program execution in Figure 1

relations on sends and receives with the conditions under which those orderings are valid. The SMT solver is then asked to resolve the *Happens-Before* relation by choosing specific orders of sends and receives. Match pair encoding, as presented in this work, though it has the same computational complexity as order based encoding (you still need to figure out match pairs on endpoints), is simpler to reason about directly rather than implicitly through orders, results in significantly fewer terms in the SMT problem, and does not restrict out possible matches that exist under infinite-buffer semantics.

The presentation of the SMT encoding is structured as

$$smt = (defs \ constraints \ match)$$

where the field *defs* represents all definitions of the send, receive operations and the variables; The field *constraints* represents all constraint clauses, including the assert clauses and the clauses built by the HB relations; and the field *match* represents the set of match pairs.

The input for generating the SMT encoding is an execution trace of an MCAPI program together with a set of match pairs. The first trace in Figure 2 with the set of match pairs in Figure 3(a) is such an example. Given an input, the algorithm for generating our encoding is enumerated as follows. For convenience, we use the notation  $event_{op}$  following each command *op* to represent the *event* field of *op* in our encoding.

1. create event variables for every location in the execution trace. Further create send and receive records for all appropriate locations in the trace. Put these in the *def* section;
2. for each assume, add a statement to *constraints*, and for each assert, add a negated assert to *constraints*;
3. add HB relations in *constraints* to assert program order in each task, including the program order of the sends(receives) with common endpoints, the program order of the receive and its nearest-enclosing wait and the program order for enforcing message non-overtaking;
4. add match pairs in the *match* section to resolve the program non-determinism.

We use our execution trace in Figure 2 (left side) with the set of match pairs in Figure 3(a) as input to go through the algorithm above for generating an SMT encoding shown in Figure 3(b). Note that we use the wait command with handler in Figure 2 to denote the wait command for a send or receive. First, we use step 1 of the algorithm above to generate the *defs* “area” that is not shown because the definitions are not novel to our solution. Second, we use step 2 to generate the asserts shown on lines 11 and 12 for the assume and assert commands of the original execution trace in Figure 2. The first assert on line 11 works as the assume (line 14 at trace 1) in Figure 2, such that it prevents the SMT solver from finding solutions that are not consistent with control flow which requires “ $b \geq 0$ ”. The second assert on line 12 is negated as the goal is to find schedules that violate the property. Third, we use step 3 to generate lines

```

defs is not shown;

constraints;
00 eventR0,2 <HB eventW(kh1)
01 eventW(kh1) · event <HB eventR0,5
02 eventR0,5 · event <HB eventW(kh2)
03 eventW(kh2) · event <HB eventassume
04 eventassume <HB eventassert
05 eventR1,3 <HB eventW(kh3)
06 eventW(kh3) <HB eventS1,5
07 eventS1,5 <HB eventW(kh4)
08 eventS2,4 <HB eventW(kh5)
09 eventW(kh5) <HB eventS2,7
10 eventS2,7 <HB eventW(kh6)
11 (assert (> b 0))
12 (assert (not (= a 4)))

match;
13 (R0,2,S2,4) ∨ (R0,2,S1,5)
14 (R0,5,S2,4) ∨ (R0,5,S1,5)
15 (R1,3,S2,7)

```

(a)

(b)

**Figure 3: A match pair set and SMT encoding of the system in Figure 1. (a) The match pairs based on endpoints. (b) The SMT encoding where  $<_{HB}$  creates a *Happens-Before* constraint, a pair surrounded by  $\langle$  and  $\rangle$  creates a match pair constraint, and assume and assert creates an assume and assert, respectively.**

00 - 10, which asserts program order within each thread. Finally, we use steps 4 to generate the *match* “area” of the SMT encoding. In particular, we send the set of match pairs in Figure 3(a) to the algorithm and generate each match pair and collect those on the same receive into a disjunction on line 13 - 15.

Other than the basic structure of the SMT encoding, we use the function

$$ANS(smt) \mapsto \{\mathbf{SAT}, \mathbf{UNSAT}\}$$

to return the solution of an SMT problem, such that **SAT** represents a satisfiable solution that finds a trace of the MCAPI program execution that violates the user defined correctness property, and **UNSAT** represents an unsatisfiable solution indicating that all possible execution traces either meet the correctness property in the same control flow, or follow a different control flow. Note that **UNSAT** and **SAT** are ordered such that **UNSAT** < **SAT**.

The SMT encoding defined above is used to capture the non-deterministic behavior of an MCAPI program execution by giving a complete set of match pairs. As we discussed in the previous section, the MCAPI program in Figure 1 contains two outcomes of execution as defined in the MCAPI specification under the infinite-buffer semantics. The SMT encoding we present in Figure 3(b) captures both execution traces, since the set of match pairs in Figure 3(a) is a complete set where all matches that can occur in the real execution for our running example in Figure 1 are included, and all matches that cannot occur in the real execution are not included. Further, the following theorem states that we can over-approximate the true set of match pairs and still prove correctness. If there is no error with the over-approximated set, then there is no error arising from non-determinism in the runtime on that program execution. If there is an error from the over-approximated set, that error is also guaran-

<i>defs</i> is not shown;	<i>defs</i> is not shown;
<i>constraints</i> ;	<i>constraints</i> ;
00 event <sub>R0,2</sub> $\neg_{HB}$ event <sub>W(kh1)</sub>	00 event <sub>R0,2</sub> $\neg_{HB}$ event <sub>W(kh1)</sub>
01 event <sub>W(kh1)</sub> .event $\neg_{HB}$ event <sub>R0,5</sub>	01 event <sub>W(kh1)</sub> .event $\neg_{HB}$ event <sub>R0,5</sub>
02 event <sub>R0,5</sub> .event $\neg_{HB}$ event <sub>W(kh2)</sub>	02 event <sub>R0,5</sub> .event $\neg_{HB}$ event <sub>W(kh2)</sub>
03 event <sub>W(kh2)</sub> .event $\neg_{HB}$ event <sub>assume</sub>	03 event <sub>W(kh2)</sub> .event $\neg_{HB}$ event <sub>assume</sub>
04 event <sub>assume</sub> $\neg_{HB}$ event <sub>assert</sub>	04 event <sub>assume</sub> $\neg_{HB}$ event <sub>assert</sub>
05 event <sub>R1,3</sub> $\neg_{HB}$ event <sub>W(kh3)</sub>	05 event <sub>R1,3</sub> $\neg_{HB}$ event <sub>W(kh3)</sub>
06 event <sub>W(kh3)</sub> $\neg_{HB}$ event <sub>S1,5</sub>	06 event <sub>W(kh3)</sub> $\neg_{HB}$ event <sub>S1,5</sub>
07 event <sub>S1,5</sub> $\neg_{HB}$ event <sub>W(kh4)</sub>	07 event <sub>S1,5</sub> $\neg_{HB}$ event <sub>W(kh4)</sub>
08 event <sub>S2,4</sub> $\neg_{HB}$ event <sub>W(kh5)</sub>	08 event <sub>S2,4</sub> $\neg_{HB}$ event <sub>W(kh5)</sub>
09 event <sub>W(kh5)</sub> $\neg_{HB}$ event <sub>S2,7</sub>	09 event <sub>W(kh5)</sub> $\neg_{HB}$ event <sub>S2,7</sub>
10 event <sub>S2,7</sub> $\neg_{HB}$ event <sub>W(kh6)</sub>	10 event <sub>S2,7</sub> $\neg_{HB}$ event <sub>W(kh6)</sub>
11 (assert (> b 0))	11 (assert (> b 0))
12 (assert (not (= a 4)))	12 (assert (not (= a 4)))
<i>match</i> ;	<i>match</i> ;
13 (R0,2, S2,4)	13 (R0,2, S1,5)
14 (R0,5, S1,5)	14 (R0,5, S2,4)
15 (R1,3, S2,7)	15 (R1,3, S2,7)

(a)

(b)

**Figure 4: Two SMT encodings of the system in Figure 1. (a) The SMT encoding for Trace 1 in Figure 2. (b) The SMT encoding for Trace 2 in Figure 2.**

teed to be a real error in the program runtime. Note that two SMT problems  $smt_\alpha$  and  $smt_\beta$  in the following theorem have identical *defs* and *constraints* sets, and the match set of  $smt_\alpha$  is the subset of that of  $smt_\beta$  so that  $smt_\beta$  represents an over-approximation of  $smt_\alpha$ .

**Theorem 1.** The relation for the solutions of two SMT problems  $smt_\alpha = (defs\ constraints\ match_\alpha)$  and  $smt_\beta = (defs\ constraints\ match_\beta)$  is,

$$ANS(smt_\alpha) \leq ANS(smt_\beta)$$

where  $set(match_\alpha) \subseteq set(match_\beta)$ . Note that  $set(match)$  represents the input set of match pairs for the **MATCH** clauses in the *match* field.

**Proof Sketch.** Consider the MCAPI program in Figure 1 as an example. Figure 4(a) and (b) are two different SMT encodings for our running example in Figure 1 generated from different sets of possible match pairs, such that Figure 4(a) encodes trace 1 in Figure 2 and Figure 4(b) encodes trace 2 in Figure 2. By solving the encodings in Figure 4(a) and (b) for trace 1 and 2 in Figure 2 respectively, we get an unsatisfiable solution for Figure 4(a), and a satisfiable solution for Figure 4(b). As we discussed in Section 2, trace 1 is an execution trace without failure of the assertion, and trace 2 is the one that fails the assertion. Compare both encodings with that in Figure 3(b), we find that the fields *defs* and *constraints* are identical except for the set of match pairs. In particular, the input set of match pairs of either Figure 4(a) or (b) is the subset of that in Figure 3(b). As discussed above, the encoding in Figure 3(b) captures the non-deterministic behavior of our running program in Figure 1, which encodes trace 1 and 2 in Figure 2 into one single SMT problem. Thus, an SMT solver will return a satisfiable solution for the encoding in Figure 3(b). Thus,  $ANS$  on the encoding in Figure 3(b) is greater than or equal to the  $ANS$  on the encoding in either Figure 4(a) or (b). In other words, adding more match pairs can only move the  $ANS$  from **UNSAT** to **SAT**.

The formal proof of Theorem 1 is in the long version of our

paper at “<http://students.cs.byu.edu/~yhuang2/downloads/paper.pdf>”. The proof defines a formal operational semantics given by a term rewriting system using a *CESK*<sup>1</sup> style machine only the machine is augmented to include additional structure for modeling message passing. The operational framework defines how to execute a program, following the specified trace, and defines when that execution is a success (causes no assertion violation), a failure (causes an assertion violation), infeasible (causes an assume to not hold), or an error (execution is not allowed by the MCAPI semantics.). Further, the machine generates the terms of the SMT encoding as it rewrites the machine states. The proof defines a combination operator and shows that several SMT encodings can be combined such that the combined SMT encoding returns “SAT” if one of those encodings has a satisfiable solution. As such, Theorem 1 is formally proved by applying the combination operator for  $smt_\alpha$  and  $smt_\beta$ .

Given  $set(match_\alpha)$  and  $set(match_\beta)$  in the theorem above a complete set of match pairs and an over-approximated set, respectively, we can further prove that  $ANS(smt_\alpha) = ANS(smt_\beta)$  by giving the following theorem. Note that a match pair  $(R, S) \in set(match_\beta)/set(match_\alpha)$  is called “bogus”, since it cannot exist in a real execution of the program.

**Theorem 2.** Any match pair  $(R, S)$  used in a satisfying assignment of an SMT encoding  $smt$  is a valid match pair and reflects an actual possible MCAPI program execution.

**Proof.** Proof by contradiction. Assume that  $(R, S)$  is a “bogus” match pair that causes  $ANS(smt) = \mathbf{SAT}$ . Since  $(R, S)$  is not a valid match pair, match  $R$  and  $S$  requires program order, message non-overtaking, or no-multiple match to be violated. In other words, the HB constraints encoded in  $smt$  are not satisfied. Based on the fact above, the answer of  $smt$  is **UNSAT** and it contradicts the previous hypothesis. Thus,  $(R, S)$  is a valid match pair in  $smt$  and reflects an actual possible MCAPI program execution.  $\square$

By proving Theorem 2, we infer that a “bogus” match pair can only cause an unsatisfying assignment of an SMT problem. Further, given that  $set(match_\alpha)$  and  $set(match_\beta)$  reflect a complete set and a over-approximated set respectively, the answers of  $smt_\alpha$  and  $smt_\beta$  discussed above are equal since any “bogus” match pair involved in  $smt_\beta$  is only used in unsatisfying assignments.

It is possible to use our encoding for *zero-buffer* semantics as well. For *zero-buffer* semantics, reorganize the encoding as follows: For each match pair that cannot exist in the program runtime under the *zero-buffer* setting, add extra HB clauses in the SMT encoding to prevent incorrect behavior. For example in Figure 1, to prevent  $R_{1,3}$  from being matched with  $S_{2,6}$  before  $R_{0,2}$  is matched with  $S_{2,4}$  as prohibited by the *zero-buffer* semantics, an HB relation is added such that the wait command  $W(\&h1)$  for  $R_{0,2}$  happens before  $S_{2,6}$ .

## 4. GENERATING MATCH PAIRS

The exact set of match pairs can be generated by simulating the program trace and using a depth-first search to enumerate non-determinism arising from concurrent sends and

<sup>1</sup>The *CESK* machine state is represented with a **C**ontrol string, **E**nvironment, **S**ore, and **K**ontinuation.

```

//initialization
input an MCAPI program
initialize list_r by traversing each task of the program and storing
each receive command
initialize list_s by traversing each task of the program and storing
each send command

//check each receive and send with the same endpoint
for r in list_r
  for s in list_s
    //check matching criteria for r and send
    if
      1.the endpoint of r is equal to the destination end-
      point of s, and
      2.the index of r is larger or equal to the index of s, and
      3.the index of r is less or equal to the index of s
      plus the number of sends with the same destination end-
      point of s
      minus the number of sends with the same source and destination
      endpoints of s
    then
      add pair (r, s) to match_set
    else
      do next iteration
    end if
  end for
end for

output match_set;

```

**Figure 5: Pseudocode for generating over-approximated match pairs**

receives. Such an effort, however, solves the very problem we are trying to solve because if you simulate the program trace exploring all non-determinism, then you may as well verify all runtime choices for property violations at the same time. In this section, we present an algorithm that does not require an exhaustive enumeration of runtime behavior in simulation. Our algorithm over-approximates the match pairs such that match pairs that can exist in the runtime are all included and some “bogus” match pairs that cannot exist in the runtime may or may not be included.

The algorithm generates the over-approximated match pair set by matching each pair of the send and receive commands at common endpoints and then pruning obvious matches that cannot exist in any runtime implementation of the specification. Figure 5 presents the major steps of the algorithm. The algorithm proceeds by first linearly traversing each task of the program storing each receive and send command into two distinct structured lists. The receive list `list_r` is structured as in (1) and the send list `list_s` is structured as in (2).

$$\begin{aligned}
 &(\mathbf{e}_0 \rightarrow ((0, \mathbf{R}_{0,1}), (1, \mathbf{R}_{0,2}), \dots)) \\
 &(\mathbf{e}_1 \rightarrow ((0, \mathbf{R}_{1,1}), (1, \mathbf{R}_{1,2}), \dots)) \\
 &\dots \\
 &(\mathbf{e}_n \rightarrow ((0, \mathbf{R}_{n,1}), (1, \mathbf{R}_{n,2}), \dots))
 \end{aligned} \tag{1}$$

The list in (1) keeps record of the receive commands uniquely identified by the endpoint  $e_x$ , where  $x$  is the number of the endpoint. The integer in the first field of each pair indicates the program order of the receive commands within each task on the specified endpoint. Note that the receive command with lower program order should be served first in the program runtime. The receive command in the second field of the list is defined as a record  $\mathbf{R}$  in Definition 3 of the previous section. The notations  $\mathbf{R}_{0,1}$ ,  $\mathbf{R}_{0,2}$ , etc. represent the unique identifiers for the receives. Recall that we operate on a program trace so there are no loops and all instances

Task 0	Task 1	Task 2
$\mathbf{R}_{0,1}(*, \&\mathbf{h1})$	$\mathbf{S}_{1,1}(0, \&\mathbf{h5})$	$\mathbf{S}_{2,1}(0, \&\mathbf{h8})$
$\mathbf{W}(\&\mathbf{h1})$	$\mathbf{W}(\&\mathbf{h5})$	$\mathbf{W}(\&\mathbf{h8})$
$\mathbf{R}_{0,2}(*, \&\mathbf{h2})$	$\mathbf{R}_{1,2}(*, \&\mathbf{h6})$	
$\mathbf{W}(\&\mathbf{h2})$	$\mathbf{W}(\&\mathbf{h6})$	
$\mathbf{S}_{0,3}(1, \&\mathbf{h3})$	$\mathbf{S}_{1,3}(0, \&\mathbf{h7})$	
$\mathbf{W}(\&\mathbf{h3})$	$\mathbf{W}(\&\mathbf{h7})$	
$\mathbf{R}_{0,4}(*, \&\mathbf{h4})$		
$\mathbf{W}(\&\mathbf{h4})$		

**Figure 6: Another MCAPI concurrent program**

of send and receive operations are uniquely identified.

$$\begin{aligned}
 &\text{“dst”} \quad \text{“src”} \quad \text{“src”} \\
 &(\mathbf{e}_0 \rightarrow ((\mathbf{e}_1 \rightarrow ((0, \mathbf{S}_{1,1}), (1, \mathbf{S}_{1,2}), \dots), (\mathbf{e}_2 \rightarrow (\dots, \dots)))) \\
 &(\mathbf{e}_1 \rightarrow ((\mathbf{e}_0 \rightarrow ((0, \mathbf{S}_{0,1}), (1, \mathbf{S}_{0,2}), \dots), (\mathbf{e}_2 \rightarrow (\dots, \dots)))) \\
 &\dots \\
 &(\mathbf{e}_n \rightarrow ((\mathbf{e}_0 \rightarrow ((0, \mathbf{S}_{0,3}), (1, \mathbf{S}_{0,4}), \dots), (\mathbf{e}_1 \rightarrow (\dots, \dots))))
 \end{aligned} \tag{2}$$

Also, we keep record of the send commands using the second list in (2) that is uniquely identified by the destination endpoint  $e_x$ . Each sublist for the destination endpoint is uniquely identified by the source endpoint  $e_y$ . Similarly, the integer in the first field of each pair indicates the program order of the send command within the same task from a common source and to a common endpoint. The send command in the second field of the list is defined as a record  $\mathbf{S}$  in Definition 2 of the previous section. The notations  $\mathbf{S}_{1,1}$ ,  $\mathbf{S}_{1,2}$ , etc. represent the unique identifiers for the sends.

Figure 6 is an example program in our shorthand notation to present our algorithm. The sends  $\mathbf{S}_{1,1}$ ,  $\mathbf{S}_{1,3}$  and  $\mathbf{S}_{2,1}$  have Task 0 as an identical destination endpoint. The send  $\mathbf{S}_{0,3}$  has Task 1 as the destination endpoint. In our running example in Figure 6, we generate our receive list and send list in equation (3) and (4), respectively.

$$\begin{aligned}
 &(0 \rightarrow ((0, \mathbf{R}_{0,1}), (1, \mathbf{R}_{0,2}), (2, \mathbf{R}_{0,4}))) \\
 &(1 \rightarrow ((0, \mathbf{R}_{1,2})))
 \end{aligned} \tag{3}$$

$$\begin{aligned}
 &(0 \rightarrow ((1 \rightarrow ((0, \mathbf{S}_{1,1}), (1, \mathbf{S}_{1,3})), (2 \rightarrow ((0, \mathbf{S}_{2,1})))))) \\
 &(1 \rightarrow ((0 \rightarrow ((0, \mathbf{S}_{0,3}))))))
 \end{aligned} \tag{4}$$

Note that  $\mathbf{R}_{0,1}$  is the first receive operation in endpoint 0, and  $\mathbf{S}_{2,1}$  is the first send from the source endpoint 2 to the destination endpoint 0.

The second step for our algorithm is to linearly traverse both lists to generate match pairs between send and receive commands. Observe that the sends defined with an identical destination endpoint and an identical source endpoint are processed in a FIFO order according to the MCAPI runtime specification. The same is true of receives on a common endpoint in a common task. The FIFO ordering, sometimes referred to as message non-overtaking, lets us prune match pairs that obviously cannot be generated in any valid implementation of the MCAPI runtime.

Let  $I_r$  and  $I_s$  be the program order indication in the lists of (1) and (2) respectively and similarly  $\mathbf{R}$  and  $\mathbf{S}$  be the corresponding actions. Note that  $I_r$  and  $I_s$  are increased by 1 for two consecutive receives or sends, respectively. Further,  $n_s(*, \text{dst})$  is the number of send actions from any source

to  $dst$  and  $n_s(src, dst)$  is the number of sends from  $src$  to  $dst$ , where  $src$  and  $dst$  represent the source and destination endpoints, respectively. A send and receive can be matched if and only if

1. the destination endpoint of  $S$  is identical to the endpoint of  $R$ ;
2.  $I_r \geq I_s$ ;
3. and  $I_r \leq I_s + (n_s(*, dst) - n_s(src, dst))$ .

If all rules of the criteria are satisfied for a send and a receive, we build a match pair for the send and the receive in the result set `match_set`. In our concrete example,  $R_{0,1}$  is matched with  $S_{1,1}$  or  $S_{2,1}$ , but it cannot be matched with  $S_{1,3}$  since the second rule is not satisfied such that the order for  $R_{0,1}$  is less than the order of  $S_{1,3}$ . We repeatedly apply the criteria to match sends and receives until we completely traverse the lists in (1) and (2). The generated set of match pairs for our example in Figure 6 is imprecise such that some extra match pairs, which we call “bogus”, that cannot exist in the real execution trace are included. In particular, the match pair  $(S_{2,1} R_{0,4})$  is a “bogus” match pair because it is not possible to order  $S_{1,3}$  before  $R_{0,2}$  since  $R_{1,2}$  can only match with  $S_{0,3}$  that must occur after  $R_{0,2}$ . Fortunately, the encoding in this paper is strong enough to preclude that bad match pair in any satisfying solution.

Now let us analyze the time complexity of the algorithm. Traversing the tasks linearly takes  $O(N)$  to complete, where  $N$  is the total lines of code of the program. Traversing the list of receives and the list of sends takes  $O(mn)$  to complete, where  $m$  is the total number of sends and  $n$  is the total number of receives. Note that  $m + n \leq N$ . Totally, the algorithm takes  $O(N + mn) \leq O(N + N^2) \approx O(N^2)$  to complete.

## 5. EXPERIMENTS AND RESULTS

We used the MCA provided reference solution to generate MCAPI program traces. The reference solution uses the *PThread* library to create multiple MCAPI tasks. Our tool takes the trace as input, computes the match-pair set, and outputs the trace encoding. We use the Z3 SMT solver [17] to check the satisfiability of the generated SMT encoding. In all tests, the correctness properties are numerical assertions over variables. The experiments are conducted on a PC with a 2.40 GHz Intel Quad Core processor and 8 GB memory running Ubuntu 14.

We launched two series of experiments under *infinite-buffer* semantics. In the first series of experiments, we compare the performance of a program with different sizes of match pairs. We manually generate an MCAPI program where a receiver(Task 0) and fifty senders(Task 1 to Task 50) are created. Each sender sends a message to the receiver. The receiver finally issues an assert that the message from Task 50 is sent to the buffer of the last receive operation of Task 0. Under this scenario, the set of match pairs consists of every combination of a send in task 1 to task 50 and a receive in task 0. We call this precise set of match pairs under this scenario the *Worst-Case* of fifty-message program, which provides a huge sum of non-deterministic behaviors of program

Test Programs	Performance	
	Time(s)	Memory(MB)
	0.040	4.87
	0.090	7.82
	0.160	9.96
	24.650	30.44
	27.110	28.40
	41.800	34.20
	138.130	54.74
	211.270	65.57
	504.960	83.19
	947.160	105.29

**Table 1: Comparison of the encodings for an MCAPI program with different settings of match pairs**

Test Programs				Performance			
Name	# Mesg	Choices		EG(s)	MG(s)	Time(s)	Memory(MB)
<i>LE</i>	620			1.49	0.051	0.73	33.41
<i>Router</i>	200			0.417	0.032	1.67	15.03
<i>MultiM</i>	100			0.632	0.436	1006.49	135.19
<i>pktuse</i>	512	45056(?)		10.190	9.088	7569.840	1539.90

**Table 2: Comparison of the encodings for four examples**

executions. Given the *Worst-Case*, we then reduce the size of match pairs gradually only ensuring that the match pair of the send in Task 50 and the last receive in Task 0 exists so that the assert can be checked. As such, we can further discuss how the size of match pairs change the performance of a program.

Table 1 shows the comparison of our encodings for a specific example with different settings of match pairs. The first column presents the number of runtime choices to resolve the non-determinism. The next two columns show the performance of each encoding, including the running time and the memory usage to solve the encoding. Observe that the running time and the memory usage are increased with the number of match pairs. Also, we can see from the second column that Z3 handles 800 match pairs much better than 850 match pairs by evaluating the running time. From the results above, it is obvious that the size of match pairs is extremely important for the performance of an encoding. Note that the *Worst-Case* in the last row hardly exists in practice. Thus, a soundly precise set of match pairs leads to better performance. This conclusion also attracts our attention on developing a more efficient method of generating match pairs in future work.

We launch the second series of experiments in order to evaluate our encoding strategy for verifying problems in message passing applications. The first program *LE* basically elects a leader from several candidates by message passing. The second program *Router* implements a simple router algorithm that each node sends multiple messages to the previous and the next node respectively for updating its routing table. This process does not end until all the routing tables are updated. The third program *MultiM* extends the example in Figure 6 such that extra iterations are added to the original program execution to generate longer execution trace. The last program *Pktuse* is from the benchmark [1] that each of the five tasks randomly sends several messages to other



tasks.

Table 2 shows the results of running our encodings. Other than the metrics used in Table 1, we add the time of generating the encoding and the match pairs in the third and fourth column respectively. Note that the time shown in the third column includes the time in the fourth column. It is noticeable that the program *LE* and *Router* have small number of choices in resolving the program behavior even though the number of messages is large. Therefore, the SMT solver performs very small cost for those problems. In contrast, the program *MultiM* has much more choices in resolving the behavior but less messages, leading to a longer running time and larger memory usage in the SMT solver. The last program *pktuse* uses much longer time to generate the match pairs because of both of the large number of messages and choices. As a result, more non-deterministic behaviors are captured leading to extremely long running time and large memory usage in solving the encoding.

By comparing the performance of diverse encodings on two series of experiments shown above, our encoding is demonstrated that the number of messages and choices in resolving the program behavior determines the “complexity” of a program execution. Also, our encoding scales well for programs with large number of messages and numerous match pairs.

## 6. RELATED WORK

Morse et al. provided a formal modeling paradigm that is callable from C language for the MCAPI interface [16]. This model correctly captures the behavior of the interface and can be applied for model checking analysis for C programs that use the API.

In [20], Vakkalanka et al. provided POE, a DPOR algorithm [11] of their dynamic verifier, ISP, for MPI programs. POE explores all interleavings of an MPI program, and is able to detect hidden deadlocks under *zero-buffer* setting. If *infinite-buffer* is applied, however, some interleavings may not be found. [20] also defines *Intra-Happens-Before-Order (Intra-HB)*, a set of partial order of MPI events that constrains the Happens-Before relations between commands in any control flow path. Those relations are essential to their POE algorithm of their dynamic verifier ISP. Our SMT structure encodes all the relations in *Intra-HB*, such that it can follow any control flow path executed by the algorithm in [20].

In [19], Sharma et al. provided MCC, a dynamic verifier for MCAPI programs. MCC systematically explores all interleavings of an MCAPI program by concretely executing the program repeatedly. MCC uses DPOR [11] to reduce the redundant interleavings of the execution, however, it does not include all possible traces allowed by the MCAPI specification. Wang et al. provided a symbolic algorithm that detects errors in all feasible permutations of statements in an execution trace in the shared memory system [21]. In this method, the program is partitioned into several concurrent trace programs (CTPs), and the encoding for each CTP is verified using a satisfiability solver. Elwakil et al. provided a similar work with ours [9, 10]. In their work, the method of [21] is used and adapted to the message passing system. As shown in the previous section of this paper, their method

does not correctly encode all possible execution traces of an MCAPI program.

The SMT/SAT based Bounded Model Checking is one avenue of verifying and debugging systems. Burckhardt et al. presented CheckFence prototype in [6], which exhaustively checks all executions of a test program by translating the program implementation into SAT formulas. The standard SAT solver can construct counterexample if incorrect executions exist. Instead of over-approximating at the beginning and then further compressing the observations, CheckFence in [6] increments the observations each time step by adding constraints to SAT formulas. Dubrovin et al. provides a method in [7] that translates an asynchronous system into a transition formula for three partial order semantics. Other than adding constraints to the SAT/SMT formulas in order to compress the search space, the method in [7] decreases the search bound by allowing several actions to be executed simultaneously within one step. Kahlon et al. presented a Partial Order Reduction method called *MPOR* in [13]. This method cannot only be applied to the explicit state space search as other partial order reduction methods do, but also can be applied to the SMT/SAT based Bounded Model Checking. *MPOR* guarantees that exactly one execution is calculated per each Mazurkiewicz trace, in order to reduce the search space. There are several applications of the SMT/SAT based Bounded Model Checking. [15] presented a precise verification of heap-manipulating programs using SMT solvers. [14] presented some challenges in SMT-based verification for sequential system code, and tackled these issues by extending the standard SMT solvers.

The application of static analysis is another interesting thread of research to test or debug message passing programs. [22] and [5] are the approaches for MPI [2], another message passing interface standard. [12] presented a system that uses static analysis to determine offline the topology of the communications and nodes in the input MCAPI program.

## 7. CONCLUSIONS AND FUTURE WORK

We have presented an SMT encoding of an MCAPI program execution that uses match pairs rather than the state-based or order-based encoding in the prior work. Unlike the existing method of SMT encoding, our encoding is the first encoding that correctly captures the non-deterministic behavior of an MCAPI program execution under *infinite-buffer* semantics allowed in the MCAPI specification. In this paper, we proved that we can generate such an encoding by giving an execution trace and a complete set of match pairs. Further, we have proved that the same results can be obtained even if the match pairs are over-approximated as input. Also, we have provided an algorithm with  $O(N^2)$  time complexity that over-approximates the true set of match pairs, where  $N$  is the total number of code lines of the program. By comparing to the existing work in [10], the experimental results shows that our encoding is capable of capturing correct behavior of an MCAPI program execution. Further, our encoding reduces 70% clauses of that of the work in [10]. Also, it runs average eight times faster and uses two times less memory than that in [10].

The precision of the set of match pairs is essential to the efficiency of SMT encodings. Currently we have an over-

approximated generation method which still keeps several “bogus” match pairs in the generated set. New methods for generating a much more precise set of match pair are required. Also The method of DPOR are considered to combine with our SMT encoding to generate the execution traces. We can then use the SMT encoding to further improve the DPOR technique.

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