# Andrews Chapter 02

# Synchronization

- Mutual exclusion.
- Condition synchronization.

### Semantics of concurrent programs

- State: the values of all the variables at a point in time.
- Atomic action: Action which indivisibly examine or change state.
- **History or interleaving or trace:** A particular sequence of the atomic actions of a program. Results in a particular sequence of states:  $s_0 \to s_1 \to s_3 ... \to s_n$
- Critical section: A section that cannot be interleaved with other actions in other processes that reference the same variables.

### Properties of concurrent programs

- **Property:** Something which is true of every possible history of a program.
  - Safety properties: program never enters a bad state. Example: Mutual exclusion.
  - Liveness properties: program eventually enters a good state. Example: Eventual entry into a critical section (no deadlock).
- Partial correctness: final state is correct, assuming the program terminates. A safety property.
- **Termination:** every loop and procedure call terminates. All histories are finite. A liveness property
- Total correctness: partially correct and terminates.

## Demonstrating properties of concurrent programs

- Testing and debugging.
- Operational reasoning.
- $\bullet$  m threads executing n atomic actions each:

			(mn)	!	
			$\overline{(m!)^n}$	$\overline{\iota}$	
m	n		m	n	
3	1	6	4	1	24
3	2	90	4	2	2520
3	3	1680	4	3	369600
3	4	34650	4	4	63063000
3	5	756756	4	5	11732745024
3	6	17153136	4	6	2308743493056
3	7	399072960	4	7	472518347558400
3	8	9465511770	4	8	99561092450391000

#### Formal Methods

What has not changed over time is that concurrent and distributed programs cannot be "hacked." Formal methods *must* be used in their specification and verification, making the subject an ideal vehicle to introduce students to formal methods.

— M. Ben-Ari

### Assertional reasoning

- Axiomatic semantics
- Use assertions to characterize sets of states:
  - All states in which the assertion is true.
- Atomic actions are *predicate transformers*.
- Prove that bad states can't happen.
- Can statically analyze programs.
- Very difficult to use correctly.
- Best to combine with testing and operational reasoning.

```
string line;
read a line of input from stdin into line;
while (!EOF) {  # EOF is end of file
  look for pattern in line;
  if (pattern is in line)
     write line;
  read next line of input;
}
```

Finding Patterns: Sequential Program

### Independence of parallel processes

- Read set: variables read by a part of a program.
- Write set: variables written to by a part of a program (and maybe read).
- Two parts are **independent** if the write set of each part is disjoint from both the read and write sets of the other part.
- Two parts are independent if both only read shared variables, or each part reads different variables than the ones written into by the other part.
- Which parts of the pattern finding program are independent?

```
string line;
read a line of input from stdin into line;
while (!EOF) {
  co look for pattern in line;
    if (pattern is in line)
       write line;
  // read next line of input into line;
  oc;
}
```

Finding Patterns: Concurrent Program with Interference

```
string line1, line2;
read a line of input from stdin into line1;
while (!EOF) {
  co look for pattern in line1;
    if (pattern is in line1)
       write line1;
  // read next line of input into line2;
  oc;
}
```

Finding Patterns: Disjoint Processes

```
string line1, line2;
read a line of input from stdin into line1;
while (! EOF) {
  co look for pattern in line1;
    if (pattern is in line1)
      write line1;
  // read next line of input into line2;
  oc;
  line1 = line2;
}
```

Finding Patterns: Co Inside While

```
string buffer; # contains one line of input
bool done = false; # used to signal termination
co # process 1: find patterns
  string line1;
  while (true) {
    wait for buffer to be full or done to be true;
    if (done) break;
    line1 = buffer;
    signal that buffer is empty;
    look for pattern in line1;
    if (pattern is in line1)
      write line1;
    # process 2: read new lines
  string line2;
  while (true) {
    read next line of input into line2;
    if (EOF) {done = true; break; }
    wait for buffer to be empty;
    buffer = line2;
    signal that buffer is full;
OC;
```

Figure 2.1 Finding patterns in a file.

### Maximum of an array

```
Sequential:
int m = 0;
for [i = 0 to n-1]
  if (a[i] > m)
    m = a[i];
```

#### Incorrect but fast:

```
int m = 0;
co [i = 0 to n-1] {
  if (a[i] > m)
     m = a[i];
}
```

#### Correct but slow:

#### Pointless:

#### Correct and fast:

### Atomic actions and await statements

```
int y = 0, z = 0;
co x = y+z; // y = 1; z = 2; oc;
```

- Final value of **x** could be 0,1,2, or 3
- There is *never* a state in which **y+z** is 2

### Assumptions for our machines

- Values of basic types are stored in memory elements that are read and written as atomic actions.
- Values are manipulated by loading into registers, operating on them, and storing results back into memory.
- Each process has its own set of registers. (Either separate cores, dedicated registers, or a *context switch*.
- Intermediate results when a complex expression is evaluated are stored in registers or private memory (e.g. a private stack).

### Appearance of atomicity

- If evaluating expression **e**, one process does not reference a variable altered by another process, expression evaluation will appear to be atomic.
  - None of the values on which **e** depends could change during the evaluation
  - No other process can see any temporary values that might be created while the expression is evaluated
- If an assignment  $\mathbf{x} = \mathbf{e}$  does not reference any variable altered by another process then the assignment will appear atomic.

### **At-Most-Once Property**

- A **critical reference** in an expression is a reference to a variable that is changed by another process.
- Assume a critical reference is to a simple variable.
- An assignment **x** = **e** is **at-most-once** if either
  - e contains at most one critical reference and x is not read by another process
  - e contains no critical references
- Such an assignment statement will appear to be atomic.

#### Examples

No critical references:

One critical reference and one lhs read by another:

Neither satisfies at-most-once:

int 
$$x = 0$$
,  $y = 0$ ;  
co  $x = y+1$ ; //  $y = x+1$ ; oc;

Values could be 1 and 2, 2 and 1, or even 1 and 1

#### The Await Statement

- <await (B) S;>
- B specifies a delay condition.
- S is a sequence of statements guaranteed to terminate.
- Atomic actions are specified by angle brakets, < and >
- Therefore B is guaranteed to be true when execution of S begins.
- No internal state in S is visible to other processes.
- What is this?

 0) 
$$s = s - 1;>$$

• Can we go the other way?

### Await is very powerful

- Await is convenient to use.
- Await is expensive to implement.
- Mutual exclusion:

```
<S;>
```

- For example:  $\langle x = x+1; y = y+1; \rangle$
- If S is a single assignment that is at-most-once, then <S;> is the same as S;
- Condition synchronization:

• Example, delay until count > 0:

• If B is at-most-once, then < await (B); > can be implemented as:

```
while (not B);
```

### Atomic actions

- An **unconditional** atomic action is one that does not contain a delay condition B.
- A **conditional** atomic action is an **await** statement with a guard B.
- If B is false, it can only become true as the result of actions by other processes.

```
int buf, p = 0, c = 0;
process Producer {
  int a[n];
  while (p < n) {
    \langle await (p == c); \rangle
    buf = a[p];
    p = p+1;
process Consumer {
  int b[n];
  while (c < n) {
    \langle await (p > c); \rangle
    b[c] = buf;
    c = c+1;
```

**Figure 2.2** Copying an array from a producer to a consumer.

Formal Logic

A	B	$\mid \neg A \mid$	$A \wedge B$	$A \vee B$	$A \Rightarrow B$	$A \equiv B$
TRUE	TRUE	FALSE	TRUE	TRUE	TRUE	TRUE
TRUE	FALSE	FALSE	FALSE	TRUE	FALSE	FALSE
FALSE	TRUE	TRUE	FALSE	TRUE	TRUE	FALSE
FALSE	FALSE	TRUE	FALSE	FALSE	TRUE	TRUE

### Logic: axioms

$$A \wedge (B \vee C) \equiv (A \wedge B) \vee (A \wedge C)$$
 $A \vee (B \wedge C) \equiv (A \vee B) \wedge (A \vee C)$ 

$$\neg \neg A \equiv A$$

$$A \vee A \equiv A$$

$$A \vee \neg A \equiv \text{TRUE}$$

$$A \vee \text{TRUE} \equiv \text{TRUE}$$

$$A \vee \text{FALSE} \equiv A$$

$$A \wedge \text{TRUE} \equiv A$$

$$A \wedge \text{FALSE} \equiv \text{FALSE}$$

$$A \wedge A \equiv A$$

$$A \wedge \neg A \equiv \text{FALSE}$$

$$A \Rightarrow \text{TRUE} \equiv \text{TRUE}$$

$$A \Rightarrow \text{FALSE} \equiv \neg A$$

$$\text{TRUE} \Rightarrow A \equiv A$$

$$\text{FALSE} \Rightarrow A \equiv \text{TRUE}$$

$$A \Rightarrow A \equiv \text{TRUE}$$

$$A \Rightarrow B \equiv \neg A \lor B$$

$$A \Rightarrow B \equiv \neg B \Rightarrow \neg A$$

$$\neg (A \Rightarrow B) \equiv A \land \neg B$$

$$A \land (A \lor B) \equiv A$$

$$A \lor (A \land B) \equiv A$$

$$A \land (\neg A \lor B) \equiv A \land B$$

$$A \land (\neg A \lor B) \equiv A \land B$$

$$A \lor (\neg A \land B) \equiv A \lor B$$

$$\neg (A \land B) \equiv \neg A \lor \neg B$$

$$\neg (A \lor B) \equiv \neg A \land \neg B$$

### Logic: inference rules

• Modus Ponens

$$\frac{A \Rightarrow B, A}{B}$$

• Modus Tollens

$$\frac{A \Rightarrow B, \neg B}{\neg A}$$

• Conjunction

$$\frac{A,B}{A \wedge B}$$

• Simplification

$$\frac{A \wedge B}{A}$$

• Addition

$$\frac{A}{A \vee B}$$

• Disjunctive syllogism

$$\frac{A \vee B, \neg A}{B}$$

• Hypothetical syllogism

$$\frac{A \Rightarrow B, B \Rightarrow C}{A \Rightarrow C}$$

• Constructive dilemma

$$\frac{A \vee B, A \Rightarrow C, B \Rightarrow D}{C \vee D}$$

• Destructive dilemma

$$\frac{\neg C \vee \neg D, A \Rightarrow C, B \Rightarrow D}{\neg A \vee \neg B}$$

### Proof strategies

- Conditional proof: To prove something like  $X \Rightarrow Y$ :
  - Assume X is true on one line of a proof.
  - Show that Y follows on some later line.
  - Box up those lines to show that you're done.
- Indirect proof: To prove something like X:
  - -Assume  $\neg X$  on one line of a proof.
  - Show that a contradiction  $(Z \text{ and } \neg Z)$  shows up on later lines.
  - Box up those lines to show that you're done.

### Example conditional proof

Prove:  $P \Rightarrow (Q \Rightarrow (P \land Q))$ 

assumption for conditional proof

 $4. \mid Q \Rightarrow (P \land Q)$ 

somehow...

5.  $P \Rightarrow (Q \Rightarrow (P \land Q))$ 

1 4 conditional

Now we need to find a proof of  $Q \Rightarrow (P \land Q)$ 

### Example conditional proof

Prove:  $P \Rightarrow (Q \Rightarrow (P \land Q))$ 

We use a *nested proof*:

1.	P	
2.	Q	
2		

$$o$$
.  $P \wedge Q$ 

6. 
$$Q \Rightarrow (P \land Q)$$

7. 
$$P \Rightarrow (Q \Rightarrow (P \land Q))$$

assumption for conditional proof

assumption for conditional proof

somehow...

conditional proof

conditional proof

But line 5 follows immediately from lines 1 and 2 by conjunction! We can eliminate lines 3 and 4.

### Example conditional proof

Prove:  $P \Rightarrow (Q \Rightarrow (P \land Q))$ 

1. | P

2.

Q

3.  $P \wedge Q$ 

 $4. \quad Q \Rightarrow (P \land Q)$ 

5.  $P \Rightarrow (Q \Rightarrow (P \land Q))$ 

assumption for conditional proof

assumption for conditional proof

1 2 conjunction

conditional proof

conditional proof

Prove:  $A \Rightarrow (B \Rightarrow A)$ 

1. 
$$\neg (A \Rightarrow (B \Rightarrow A))$$
2.  $\cdots$ 

assumption for indirect proof

$$3. \mid Z$$

$$5. \mid \neg Z$$

6. 
$$A \Rightarrow (B \Rightarrow A)$$

indirect proof

Z can be anything at all, so we have more freedom with this method.

Prove:  $A \Rightarrow (B \Rightarrow A)$ 

- 3.
- 5.

6. 
$$A \Rightarrow (B \Rightarrow A)$$

Now what? Start making deductions!

assumption for indirect proof

somehow

somehow

3 5 indirect proof

Prove:  $A \Rightarrow (B \Rightarrow A)$ 

$$2. \mid A \land \neg (B \Rightarrow A)$$

$$3. \mid A$$

$$4. \quad | \neg (B \Rightarrow A)$$

5. 
$$B \wedge \neg A$$

$$6. \mid B$$

$$7. \mid \neg A$$

8. 
$$A \Rightarrow (B \Rightarrow A)$$

Now what?

assumption for indirect proof

equiv to line 1

simplification from line 2

simplification from line 2

equiv to line 4

simplification from line 5

simplification from line 5

indirect proof

Prove:  $A \Rightarrow (B \Rightarrow A)$ 

2. 
$$A \land \neg (B \Rightarrow A)$$

$$3. \mid A$$

$$4. \quad | \neg (B \Rightarrow A)$$

5. 
$$B \wedge \neg A$$

$$6. \mid B$$

$$7. \mid \neg A$$

8. 
$$A \Rightarrow (B \Rightarrow A)$$

Lines 3 and 7 give the contradiction.

assumption for indirect proof equiv to line 1 simplification from line 2

simplification from line 2

equiv to line 4

simplification from line 5

simplification from line 5

3 7 indirect proof

# Example proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

Ideas?

### Example proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

1. 
$$A \Rightarrow C$$

2. | ...

3. 
$$A \Rightarrow (B \lor C)$$

4. 
$$(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$$

assumption

somehow

conditional proof

Ideas?

## Example proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

1. 
$$A \Rightarrow C$$

 $2. \mid A$ 

3.

4.  $B \vee C$ 

 $5. \mid A \Rightarrow (B \lor C)$ 

6. 
$$(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$$

assumption

assumption

somehow

conditional proof

conditional proof

## Example proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

1. 
$$A \Rightarrow C$$

2.

3.

5.

$$B \vee C$$

6.

$$A \Rightarrow (B \lor C)$$

7.  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

Ideas?

assumption

assumption

modus ponens

somehow

conditional proof

conditional proof

## Example proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

1.  $A \Rightarrow C$ 

 $A \mid A \mid$ 

 $3. \mid C$ 

 $4. \mid B \vee C$ 

 $5. \quad A \Rightarrow (B \lor C)$ 

6.  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

assumption

assumption

modus ponens

addition

conditional proof

conditional proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

1. 
$$A \Rightarrow C$$

$$5. \quad A \Rightarrow (B \lor C)$$

6. 
$$(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$$

assumption for conditional proof

assumption for conditional proof

somehow

conditional proof

conditional proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

- 1.  $A \Rightarrow C$
- $2. \mid A$
- 4. | | | ...
- 5.  $\mid B \lor C$
- 6.  $A \Rightarrow (B \lor C)$
- 7.  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$

assumption for conditional proof assumption for conditional proof assumption for indirect

indirect proof

conditional proof

conditional proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

- 1.  $A \Rightarrow C$
- 2.
- 3.  $| | \neg (B \lor C)$
- 4.  $| \ | \ | \neg B \land \neg C$
- 5.
- 6.  $\mid B \vee C \mid$
- 7.  $A \Rightarrow (B \lor C)$
- 8.  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$

assumption for conditional proof assumption for conditional proof assumption for indirect equiv

indirect proof

conditional proof

conditional proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

1.  $A \Rightarrow C$ 

2.

3.

4.

5.

6.

7.

8.

9. | A

 $\neg (B \vee C)$ 

 $\neg B$ 

 $\neg C$ 

 $B \vee C$ 

 $A \Rightarrow (B \lor C)$ 

10.  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

assumption for conditional proof

assumption for conditional proof

assumption for indirect

equiv

simplification

simplification

indirect proof

conditional proof

conditional proof

Prove:  $(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$ 

1.  $A \Rightarrow C$ 

2.

3.

4.

5.

6.

7.

8.

A

$$\neg B \wedge \neg C$$

 $\neg C$ 

 $C_{\underline{\phantom{C}}}$ 

$$B \vee C$$

$$A \Rightarrow (B \lor C)$$

10. 
$$(A \Rightarrow C) \Rightarrow (A \Rightarrow (B \lor C))$$

assumption for conditional proof

assumption for conditional proof

assumption for indirect

equiv

simplification

simplification

1 2 modus ponens

6 7 indirect proof

conditional proof

conditional proof

### Why we use boxes

Prove:  $(P \lor \neg Q) \Rightarrow (Q \Rightarrow P)$ 

1. 
$$\mid P \vee \neg Q \mid$$

2. | ...

$$3. \mid P \Rightarrow (Q \Rightarrow P)$$

4. | ...

$$5. \quad \neg Q \Rightarrow (Q \Rightarrow P)$$

6. 
$$(Q \Rightarrow P) \lor (Q \Rightarrow P)$$

7. 
$$|Q \Rightarrow P|$$

8. 
$$(P \lor \neg Q) \Rightarrow (Q \Rightarrow P)$$

assumption

somehow

somehow

constructive dilemma

equivalence

conditional

## Why we use boxes

Prove:  $(P \lor \neg Q) \Rightarrow (Q \Rightarrow P)$ 

1.

2.

3.

5.

6.

7.

8.

9.

 $Q \Rightarrow P$ 11.

12.  $(P \lor \neg Q) \Rightarrow (Q \Rightarrow P)$ 

assumption

assumption

somehow

conditional proof

assumption

somehow

conditional proof constructive dilemma equivalence

conditional

## Why we use boxes

Prove:  $(P \lor \neg Q) \Rightarrow (Q \Rightarrow P)$ 

1. | P

 $P \vee \neg Q$ 

2.

4.

 $Q \Rightarrow P$ 

5.  $P \Rightarrow (Q \Rightarrow P)$ 

6.

 $\neg Q$ 

8.

 $Q \Rightarrow P$ 

9.  $\neg Q \Rightarrow (Q \Rightarrow P)$ 

10.  $(Q \Rightarrow P) \lor (Q \Rightarrow P)$ 

11.  $Q \Rightarrow P$ 

12.  $(P \lor \neg Q) \Rightarrow (Q \Rightarrow P)$ 

assumption

assumption

addition

equivalence

conditional proof

assumption

addition

equivalence

conditional proof

constructive dilemma

equivalence

conditional

# Formal Logical Systems

- A set of *symbols*
- ullet A set of formulas
- A set of axioms
- A set of inference rules

To this we added proof strategies with boxes.

## Soundness and Completeness

• Sound:

Theorems  $\subseteq$  Facts

• Complete:

Facts  $\subseteq$  Theorems

- Gödel's Incompleteness Theorem:
  - Any logical system for arithmetic must be incomplete.
- However, extending a logical system can be relatively complete.

# Programming Logic

- We extend basic logic with a logic for programming languages: **PL**.
- Our system for programming languages is relatively complete.
- We take on trust that facts about arithmetic are true.

### **Axiomatic Semantics**

 $\{P\} \; \mathtt{S} \; \{Q\}$ 

- Called a *triple*
- $\bullet$  If P is true before S is executed, and S terminates, then Q is true after S executes.
- $\bullet$  P and Q are assertions
- $\bullet$  P is the precondition
- $\bullet$  Q is the postcondition

# Logic should be sound

• This should be a theorem:

$${x = 0} x = x + 1; {x = 1}$$

• This should not be a theorem:

$${x = 0} x = x + 1; {y = 1}$$

## **Assignment Axiom**

$$\{P_{x \leftarrow e}\}$$
 x = e  $\{P\}$ 

• Examples:

$$\{1 = 1\} x = 1 \{x = 1\}$$
  
 $\{TRUE\} x = 1 \{x = 1\}$ 

$${x+1=1} x = x + 1 {x=1}$$
  
 ${x=0} x = x + 1 {x=1}$ 

$$\{x+1=n\} \ x = x + 1 \ \{x=n\}$$
  
 $\{x=n-1\} \ x = x + 1 \ \{x=n\}$ 

**Figure 2.3** Inference rules in programming logic *PL*.

Copyright © 2000 by Addison Wesley Longman, Inc.

### **Axiomatic Semantics**

## **Assignment Axiom:**

$$\{P_{x \leftarrow t}\} \times = \mathsf{t} \{P\}$$

#### Inference rules:

• Composition

$$\frac{\{P\} \text{ S1 } \{R\}, \{R\} \text{ S2 } \{Q\}}{\{P\} \text{ S1;S2 } \{Q\}}$$

• Consequence

$$\frac{P \Rightarrow R, \{R\} \ \mathbb{S} \ \{Q\}}{\{P\} \ \mathbb{S} \ \{Q\}}$$

$$\frac{\{P\} \ \mathbb{S} \ \{T\}, T \Rightarrow Q}{\{P\} \ \mathbb{S} \ \{Q\}}$$

• If-then

$$\frac{\{P \land C\} \text{ S } \{Q\}, P \land \neg C \Rightarrow Q}{\{P\} \text{ if C then S } \{Q\}}$$

• If-then-else

$$\frac{\{P \wedge C\} \; \mathrm{S1} \; \{Q\}, \{P \wedge \neg C\} \; \mathrm{S2} \; \{Q\}}{\{P\} \; \mathrm{if} \; \; \mathrm{C} \; \; \mathrm{then} \; \; \mathrm{S1} \; \; \mathrm{else} \; \; \mathrm{S2} \; \{Q\}}$$

• While

$$\frac{\{P \wedge C\} \; \mathrm{S} \; \{P\}}{\{P\} \; \mathrm{while} \; \mathrm{C} \; \mathrm{do} \; \mathrm{S} \; \{P \wedge \neg C\}}$$

### **Proofs in Axiomatic Semantics**

Prove:  $\{x < 5\}$  x = x + 1  $\{x < 7\}$ 

$$\{P_{x \leftarrow t}\}$$
x = t $\{P\}$ 

1. 
$$\{x+1<7\}$$
 x = x + 1  $\{x<7\}$  Axiom

2. 
$$x < 5$$
 Assumption

3. 
$$x+1 < 6$$
 2, arithmetic

4. 
$$6 < 7$$
 arithmetic  
5.  $x + 1 < 7$  3,4, transitive

6. 
$$(x < 5) \Rightarrow (x + 1 < 7)$$
 2,5, conditional proof

7. 
$$\{x < 5\}$$
 x = x + 1  $\{x < 7\}$  1,6, consequence

## We can assume variables don't change in assertions.

Prove: 
$$\{x < 5\}$$
 x = x + 1  $\{x < 7\}$ 

$$\{P_{x \leftarrow t}\} \times = \mathsf{t} \{P\}$$

1. 
$$\{x+1<7\}$$
 x = x + 1  $\{x<7\}$  Axiom

2. 
$$(x < 5) \Rightarrow (x + 1 < 7)$$
 arithmetic

3. 
$$\{x < 5\}$$
 x = x + 1  $\{x < 7\}$  1,2, consequence

#### Proofs in Axiomatic Semantics

Prove:  $\{TRUE\}$  if x < 0 then  $x = -x \{x \ge 0\}$ 

1. 
$$\{-x \ge 0\}$$
 x = -x  $\{x \ge 0\}$ 

Axiom

2. | TRUE 
$$\wedge$$
 ( $x < 0$ )

$$3. \quad x < 0$$

4. 
$$|-x>0$$

5. 
$$|-x \ge 0|$$

6. TRUE 
$$\wedge$$
  $(x < 0) \Rightarrow (-x \ge 0)$ 

7. 
$$\{\text{TRUE} \land (x < 0)\}\ x = -x \{x \ge 0\}$$

8. TRUE 
$$\wedge \neg (x < 0)$$

9. 
$$| \neg (x < 0) |$$

10. 
$$| x \ge 0$$

11. TRUE 
$$\land \neg (x < 0) \Rightarrow (x \ge 0)$$

12. 
$$\{TRUE\}$$
 if x < 0 then x = -x  $\{x \ge 0\}$ 

$$7,11,$$
if-then

$$\frac{\{P \wedge C\} \; \mathrm{S} \; \{Q\}, P \wedge \neg C \Rightarrow Q}{\{P\} \; \mathrm{if} \; \mathrm{C} \; \mathrm{then} \; \mathrm{S} \; \{Q\}}$$

#### Abbreviated Proofs in Axiomatic Semantics

```
\{ \text{TRUE} \} \\ \text{m = x;} \\ \{ m = x \} \\ \text{if (y > m)} \\ \text{m = y;} \\ \{ (m = x \land m \ge y) \lor (m = y \land m > x) \}
```

Assumes you can prove both

1. 
$$\{\text{TRUE}\}\ m = x \{m = x\}$$

2. 
$$\{m = x\}$$
 if  $(y > m)$  m = y;  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$ 

Use an axiom for the first and if-then for the second:

$$\frac{\{P \land C\} \ \mathtt{S} \ \{Q\}, P \land \neg C \Rightarrow Q}{\{P\} \ \mathtt{if} \ \mathtt{C} \ \mathtt{then} \ \mathtt{S} \ \{Q\}}$$

### Proof of second part

Prove: 
$$\{m=x\}$$
 if  $(y > m)$   $m = y$ ;  $\{(m=x \land m \ge y) \lor (m=y \land m > x)\}$  
$$\frac{\{P \land C\} \ S \ \{Q\}, P \land \neg C \Rightarrow Q}{\{P\} \ \text{if C then } S \ \{Q\}}$$

- 1. ...
- 2.  $\{m = x \land y > m\}$  m = y  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$
- 3. ...
- 4.  $[m = x \land \neg(y > m)] \Rightarrow [(m = x \land m \ge y) \lor (m = y \land m > x)]$
- 5.  $\{m = x\}$  if (y > m) m = y;  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$  2, 4, if-then

### Proof of second part

Prove: 
$$\{m=x\}$$
 if (y > m) m = y;  $\{(m=x \land m \geq y) \lor (m=y \land m > x)\}$  
$$\frac{\{P \land C\} \ \text{S} \ \{Q\}, P \land \neg C \Rightarrow Q}{\{P\} \ \text{if C then S} \ \{Q\}}$$

1. 
$$\{(y = x \land y \ge y) \lor (y = y \land y > x)\}\ m = y \{(m = x \land m \ge y) \lor (m = y \land m > x)\}$$
 AA

- 2. ...
- 3.  $\{m = x \land y > m\}$  m = y  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$
- 4. ...
- 5.  $[m = x \land \neg(y > m)] \Rightarrow [(m = x \land m \ge y) \lor (m = y \land m > x)]$
- 6.  $\{m = x\}$  if (y > m) m = y;  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$  if-then
- What else do we need?

### Proof of second part

Prove: 
$$\{m=x\}$$
 if  $(y > m)$  m = y;  $\{(m=x \land m \ge y) \lor (m=y \land m > x)\}$  
$$\frac{\{P \land C\} \ S \ \{Q\}, P \land \neg C \Rightarrow Q}{\{P\} \ \text{if C then S} \ \{Q\}}$$

1. 
$$\{(y = x \land y \ge y) \lor (y = y \land y > x)\}\ m = y \{(m = x \land m \ge y) \lor (m = y \land m > x)\}$$
 AA

2. ...

3. 
$$(m = x \land y > m) \Rightarrow (y = x \land y \ge y) \lor (y = y \land y > x)$$
 logic

4. 
$$\{m = x \land y > m\}$$
 m = y  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$  consequence

5. ...

6. 
$$[m = x \land \neg (y > m)] \Rightarrow [(m = x \land m \ge y) \lor (m = y \land m > x)]$$
 logic

7. 
$$\{m = x\} \text{ if (y > m) m = y; } \{(m = x \land m \ge y) \lor (m = y \land m > x)\}\$$
 if-then

### Proof of second part, alternate

Prove: 
$$\{m=x\}$$
 if (y > m) m = y;  $\{(m=x \land m \geq y) \lor (m=y \land m > x)\}$  
$$\frac{\{P \land C\} \ \text{S} \ \{Q\}, P \land \neg C \Rightarrow Q}{\{P\} \ \text{if C then S} \ \{Q\}}$$

1. 
$$\{(y = y \land y > x)\}\ \mathbf{m} = \mathbf{y}\ \{(m = y \land m > x)\}\$$

- 2. ...
- 3.  $\{m = x \land y > m\}$  m = y  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$
- 4. ...
- 5.  $[m = x \land \neg(y > m)] \Rightarrow [(m = x \land m \ge y) \lor (m = y \land m > x)]$
- 6.  $\{m = x\}$  if (y > m) m = y;  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$  if-then
- Need to prove two more things. What are they?

### Proof of second part, alternate

Prove: 
$$\{m=x\}$$
 if  $(y > m)$   $m = y$ ;  $\{(m=x \land m \ge y) \lor (m=y \land m > x)\}$  
$$\frac{\{P \land C\} \text{ S } \{Q\}, P \land \neg C \Rightarrow Q}{\{P\} \text{ if C then S } \{Q\}}$$

1. 
$$\{(y = y \land y > x)\}\ m = y \{(m = y \land m > x)\}\$$

2. 
$$(m = x \land y > m) \Rightarrow (y = y \land y > x)$$
 logic

3. 
$$(m = y \land m > x) \Rightarrow (m = x \land m \ge y) \lor (m = y \land m > x)$$
 logic

4. 
$$\{m = x \land y > m\}$$
 m = y  $\{(m = x \land m \ge y) \lor (m = y \land m > x)\}$  Consequence

5. 
$$[m = x \land \neg(y > m)] \Rightarrow [(m = x \land m \ge y) \lor (m = y \land m > x)]$$
 logic

6. 
$$\{m = x\} \text{ if (y > m) m = y; } \{(m = x \land m \ge y) \lor (m = y \land m > x)\}\$$
 if-then

#### Proofs in Axiomatic Semantics

$$\frac{\{P \wedge C\} \; \mathrm{S} \; \{P\}}{\{P\} \; \mathrm{while} \; \mathrm{C} \; \mathrm{do} \; \mathrm{S} \; \{P \wedge \neg C\}}$$

#### Proofs in Axiomatic Semantics

$$\frac{\{P \wedge C\} \; \mathrm{S} \; \{P\}}{\{P\} \; \mathrm{while} \; \mathrm{C} \; \mathrm{do} \; \mathrm{S} \; \{P \wedge \neg C\}}$$

Await Statement Rule: 
$${P \land B} S {Q}$$

$${P} \land B S; Q}$$

$${P} \land B S; Q$$

Inference Rules for Await and Co Statements

Copyright © 2000 by Addison Wesley Longman, Inc.

### **Sematics of Concurrent Execution**

• Await rule

$$\frac{\{P \wedge B\} \; \mathrm{S} \; \{Q\}}{\{P\} \; \langle \mathrm{await} \; \; (\mathrm{B}) \; \; \mathrm{S;} \rangle \; \{Q\}}$$

• Co rule

$$\frac{\{P_i\} \text{ Si } \{Q_i\} \text{ are interference free}}{\{P_1 \wedge ... \wedge P_n\} \text{ co S1; // ... // Sn; oc } \{Q_1 \wedge ... \wedge Q_n\}}$$

• One process **interferes** with another if it executes an assignment that invalidates an assertion in the other process.

### Co example

```
 \begin{cases} \{x = 0\} \\ \text{co } \langle x = x+1; \rangle \text{ // } \langle x = x+2; \rangle \text{ oc } \\ \{x = 3\} \end{cases}
```

- Neither process can assume that x = 0 when they start.
- But the following can be assumed:

```
• \{x = 0\}

co

\{x = 0 \lor x = 2\}

\langle x = x + 1; \rangle

\{x = 1 \lor x = 3\}

//

\{x = 0 \lor x = 1\}

\langle x = x + 2; \rangle

\{x = 2 \lor x = 3\}

oc

\{x = 3\}
```

#### Definition of Noninterference

- An **assignment action** is an assignment statement or an **await** statement that contains one or more assignments.
- A **critical assertion** is a precondition or postcondition that is not within an **await** statement.
- Rename all local variables in all processes so that no two processes have the same local variable names.
- Let **a** be an assignment action in one process and let pre(a) be its precondition. Let C be a critical assertion in another process. Then **a does not interfere** with C if the following is a theorem:  $\{C \land pre(a)\}$  **a**  $\{C\}$
- C is invariant with respect to assignment a

## Example of noninterference

```
• \{x = 0\}

co

\{x = 0 \lor x = 2\}

\langle x = x + 1; \rangle

\{x = 1 \lor x = 3\}

//

\{x = 0 \lor x = 1\}

\langle x = x + 2; \rangle

\{x = 2 \lor x = 3\}

oc

\{x = 3\}
```

- The precondition of the first process is a critical assertion.
- It is not interfered with by the second process because:

```
 \begin{cases} \{(x = 0 \lor x = 2) \land (x = 0 \lor x = 1)\} \\ \mathbf{x} = \mathbf{x+2}; \\ \{x = 0 \lor x = 2\} \end{cases}
```

## Techniques for avoiding interference: disjoint variables

- Read set: set of variables read by a process.
- Write set: set of variables written to by a process.
- Reference set: set of variables that appear in the assertions of a proof of that process.
- Reference set is usually the union of the read and write sets.
- If the write set of one process is disjoint from the reference set of a second, and vice versa, the two processes cannot interfere.
- Example:
- co x = x+1; // y = y+1; oc
- Both of the following are theorems:
- $\{x = 0\}$  x = x + 1;  $\{x = 1\}$
- $\{y = 0\}$  y = y + 1;  $\{y = 1\}$
- Each statement contains one assignment and two assertions, so there are four noninterference theorems to prove, but they are all trivial.

#### Techniques for avoiding interference: weakened assertions

- A **weakened assertion** is one that admits more program states than another assertion that might be true of a process in isolation.
- Example:

```
• \{x = 0\}

co

\{x = 0 \lor x = 2\}

\langle x = x + 1; \rangle

\{x = 1 \lor x = 3\}

//

\{x = 0 \lor x = 1\}

\langle x = x + 2; \rangle

\{x = 2 \lor x = 3\}

oc

\{x = 3\}
```

## Techniques for avoiding interference: global invariants

- If I is a predicate that references global variables, then I is a **global invariant** with respect to a set of processes if:
  - 1. I is true when the processes begin, and
  - 2. I is preserved by every assignment action.
- Suppose I is a global invariant, and every critical assertion has the form  $I \wedge L$ , where L is only about local variables, then all processes will be interference free.
- Checking this is a *linear* process, as opposed to the *exponential* number of program histories.

### Techniques for avoiding interference: synchronization

- Statements within await statements appear indivisible to other processes.
- Hence we can ignore them when considering interference, and consider only *entire* sequences.
- For example, in the statement

$$\langle x = x+1; y = y+1; \rangle$$

we don't have to consider each statement by itself.

```
int buf, p = 0, c = 0;
process Producer {
  int a[n];
  while (p < n) {
    \langle await (p == c); \rangle
    buf = a[p];
    p = p+1;
process Consumer {
  int b[n];
  while (c < n) {
    \langle await (p > c); \rangle
    b[c] = buf;
    c = c+1;
```

**Figure 2.2** Copying an array from a producer to a consumer.

Copyright © 2000 by Addison Wesley Longman, Inc.

```
int buf, p = 0, c = 0;
\{PC: c \le p \le c+1 \land a[0:n-1] == A[0:n-1] \land
            (p == c+1) \Rightarrow (buf == A[p-1])
process Producer {
  int a[n]; # assume a[i] is initialized to A[i]
  {IP: PC \land p \le n}
  while (p < n) {
    \{PC \land p < n\}
    ⟨await (p == c);⟩ # delay until buffer empty
    \{PC \land p < n \land p == c\}
    buf = a[p];
    \{PC \land p < n \land p == c \land buf == A[p]\}
    p = p+1;
    \{IP\}
  \{PC \land p == n\}
process Consumer {
  int b[n];
  \{IC: PC \land c \le n \land b[0:c-1] == A[0:c-1]\}
  while (c < n) {
    \{IC \land c < n\}
    ⟨await (p > c);⟩ # delay until buffer full
    \{IC \land c < n \land p > c\}
    b[c] = buf;
    \{IC \land c < n \land p > c \land b[c] == A[c]\}
    c = c+1;
    {IC}
 \{IC \land c == n\}
```

**Figure 2.4** Proof outline for the array copy program.

## Example illustrates all four techniques

- Many statements and parts are disjoint.
- Weakened assertions, e.g. buf = A[p-1] but only when p = c+1
- $\bullet$  Global invariant PC
- Synchronization using await

### Safety and Liveness Properties

- Safety: nothing bad ever happens.
  - Final state is correct.
  - Mutual exclusion.
  - No deadlock.
- Liveness: something good eventually happens.
  - Program terminates
  - Process eventually enters critical section.
  - A request for service will eventually be honored.
  - A message will reach its destination.

# **Proving Safety Properties**

- ullet Show that BAD is false in every state.
- ullet Show that GOOD is true in every state.

$$GOOD = \neg BAD$$

GOOD will be an invariant.

## Proving Safety Properties: exclusion of configurations

```
co # process 1
    ...; { pre(S1) } S1; ...
// # process 2
    ...; { pre(S2) } S2; ...
oc
```

- Suppose the preconditions do not interfere.
- Suppose pre(S1) ∧ pre(S2) = false.
- Then the two processes cannot be at these statements at the same time!
- false means that the program is never in this state.
- In the array copy example, both processes cannot simultaneously be delayed in their await statements.

```
int buf, p = 0, c = 0;
\{PC: c \le p \le c+1 \land a[0:n-1] == A[0:n-1] \land
               (p == c+1) \Rightarrow (buf == A[p-1])
process Producer {
   int a[n];
                # assume a[i] is initialized to A[i]
   {IP: PC \land p \le n}
   while (p < n) {
     \{PC \land p < n\}
     ⟨await (p == c);⟩ # delay until buffer empty
                                                                    PC \land (p < n) \land (p \neq c)
     \{PC \land p < n \land p == c\}
     buf = a[p];
     \{PC \land p < n \land p == c \land buf == A[p]\}
     p = p+1;
     {IP}
  \{PC \land p == n\}
process Consumer {
   int b[n];
   \{IC: PC \land c \le n \land b[0:c-1] == A[0:c-1]\}
   while (c < n) {
     \{IC \land c < n\}
     \begin{array}{l} \{\mathit{IC} \land \mathtt{c} < \mathtt{n}\} \\ \langle \mathtt{await} \ (\mathtt{p} > \mathtt{c}); \rangle \\ \end{array} \\ \text{\# delay until buffer full} \\ IC \land (c < n) \land (p \leq c) \\ \end{array}
     b[c] = buf;
     \{IC \land c < n \land p > c \land b[c] == A[c]\}
     c = c+1;
     {IC}
  \{IC \land c == n\}
```

**Figure 2.4** Proof outline for the array copy program.

## Scheduling and Fairness

- Fairness: each process gets a chance to proceed.
- An atomic action is **eligible** if it is the next one in the process that could be executed.
- A **scheduling policy** determines which eligible action will be executed next.

# Scheduling and Fairness

```
bool continue = true;
co while (continue);
// continue = false;
oc
```

• If the first process always goes first, this program will never terminate.

#### **Fairness**

• Unconditional fairness: if every unconditional atomic action that is eligible is executed eventually.

#### • Weak fairness:

- 1. it is unconditionally fair, and
- 2. every conditional atomic action that is eligible is executed eventually, assuming that its condition becomes true and then remains true until it is seen by the process executing the conditional atomic action.
- In other words, assuming that
  - (a) if (await (B) S;) is eligible and B becomes true then B remains true until S, then
  - (b) (await (B) S;) will be executed eventually.
- Round-robin and time slicing are weakly fair.
- Not sufficient to guarantee that any eligible await statement eventually executes.

#### **Fairness**

## • Strong fairness:

- 1. it is unconditionally fair, and
- 2. every conditional atomic action that is eligible is executed eventually, assuming that its condition is infinitely often true.
- Such a scheduling policy cannot happen to select an action only when the condition is false.

#### Difference between strong and weak fairness

```
bool continue = true, try = false;
co while (continue) {try = true; try = false;}
// \( \) await (try) continue = false; \( \)
oc
```

- With strong fairness, this program will eventually terminate.
- With weak fairness, this program might not terminate, even though **try** becomes true infinitely often.
- It is impossible to devise a scheduler that is both practical and strongly fair.

## Fairness in the array copy example

- The example is deadlock free, even with weak fairness:
  - When one process makes the delay condition of the other true, it stays true until after the other process continues.
  - Each await statement has the form  $\langle await(B); \rangle$ , and B refers to only one variable altered by the other process.
  - Both await statements could be implemented with busy loops:

$$\langle await (p = c) \rangle \equiv while (p != c)$$

• This program will terminate only on unconditional fairness, since there are no more conditional atomic actions.

```
int buf, p = 0, c = 0;
\{PC: c \le p \le c+1 \land a[0:n-1] == A[0:n-1] \land
            (p == c+1) \Rightarrow (buf == A[p-1])
process Producer {
  int a[n]; # assume a[i] is initialized to A[i]
  {IP: PC \land p \le n}
  while (p < n) {
    \{PC \land p < n\}
    ⟨await (p == c);⟩ # delay until buffer empty
    \{PC \land p < n \land p == c\}
    buf = a[p];
    \{PC \land p < n \land p == c \land buf == A[p]\}
    p = p+1;
    \{IP\}
  \{PC \land p == n\}
process Consumer {
  int b[n];
  \{IC: PC \land c \le n \land b[0:c-1] == A[0:c-1]\}
  while (c < n) {
    \{IC \land c < n\}
    ⟨await (p > c);⟩ # delay until buffer full
    \{IC \land c < n \land p > c\}
    b[c] = buf;
    \{IC \land c < n \land p > c \land b[c] == A[c]\}
    c = c+1;
    {IC}
 \{IC \land c == n\}
```

**Figure 2.4** Proof outline for the array copy program.

#### Livelock

- If all busy waiting loops spin forever, the program is said to suffer **livelock**.
- The program is alive, but the processes are not going anywhere.
- Like two people passing each other in a hallway, each constantly moving to the other side.
- Absence of livelock is a safety property.