A Property Based Testing Approach for Software Transactional Memory Safety

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Abstract. Software Transactional Memory (STM) provides programmers with a simple high-level model of transactions that allows the writing of concurrent programs without worrying with locks, since all transaction concurrency management is done by the STM runtime. Such programming model greatly simplifies development of concurrent applications, but it has a cost: implementing an efficient and correct STM algorithm is an art. To reduce time wasted on proving safety properties for unsafe algorithm definitions, we propose use modern random testing techniques for finding counterexamples during the design process. We use QuickCheck, a property-based random testing library for Haskell, to test two well-known STM algorithms represented as a small-step semantics over a simple language with STM-Haskell like primitives with respect to a STM safety property, namely opacity.

Keywords: Software Transactional Memory, Semantics, Opacity, Property-based Testing

1. Introduction

Transactional Memory (TM) [1, 2] provides programmers a high level concurrency control abstraction. Programmers can simply declare certain code pieces as transactions and the TM runtime

guarantees that transactions execute in isolation. The use of TM provides atomicity, deadlock freedom, composability [3] and increases productivity when compared to using locks [4]. Several works developed software [5, 6, 7], hardware [8] and software / hardware hybrids [9, 10] implementations. Gradually, industry is adopting TM: IBM Blue Gene/Q processor supports TM and Intel Haswell microarchitecture supports transaction synchronization primitives [11, 12].

The TM runtime is responsible to ensure correct management of shared state. Therefore, correctness of TM clients depend on a correct implementation of TM algorithms. However, this simple programming model has a price: designing a correct TM algorithm is an art. Researchers use different techniques to implement the TM interface efficiently. Algorithms try to interleave transactions as much as possible, while guaranteeing a non-interleaving semantics. Thus, subtle but fast algorithms are favored over simpler ones and such subtlety makes them prone to intricate bugs.

A first step towards correct implementation of TM algorithms is a specification of what is correctness for TM. Intuitively, a correct TM algorithm should guarantee that every execution of an arbitrary set of transactions is indistinguishable from a sequential running of them. Several correctness criteria where proposed in the literature [13, 14, 15, 16] and they rely on the concept of transactional histories. Intuitively, a history consists of a sequence of operations executed on shared objects during a TM execution. Analysing TM history structure generated by algorithms, we can ensure that its TM interface provides atomicity and deadlock freedom to client applications. However, certify that a TM algorithm is safe according to some criteria is a non-trivial task. Different works use I/O automata [17], model checking [18, 19, 20] or define a specification language that reduces the problem of proving non-opacity of a TM algorithm to SMT solving [21, 22].

Such correctness concerns are not just formalization curiosity, they can influence directly on implementation efficiency. Le et.al. [23] mention that current STM-Haskell implementation (which is unsafe w.r.t. the opacity safety criteria) can cause threads to loop, due to accessing an inconsistent memory view. To avoid such problems STM-Haskell implementation validates the read set each time a thread is scheduled and such checking overhead cause a waste of execution time. This is one of the motivation for Le et. al. [23] proposing a new implementation of STM-Haskell using the Transaction Locking II (TL2) algorithm [7].

Semanticists have devoted attention to formally specify TM behavior [24, 25, 26, 3]. Harris et. al. specifies STM support to Haskell programming language as an extension of GHC compiler [3], defines a semantics for a core functional language with STM features and they argue that their semantics is "small-step", but when evaluating an orElse operation or a atomically block, the semantics uses "multi-steps" to evaluate such constructs using the reflexive-transitive closure of single step semantics. Moore et. al. specifies a small-step semantic for TM providing textual proofs of some safety properties, but their semantic does not provide support for high-level transactional primitives like orElse and retry [24]. Hu et. al. uses property based testing for checking a compiler from a high level STM language to a transactional virtual machine by defining a stop-the-world semantics for the high-level language and a semantics for the virtual machine [27]. Hu et. al. high-level semantics also uses multi-steps to evaluate transactions and does not provide support for high-level operators like orElse and retry. Schmidt et.al. describes a two semantics for STM-Haskell: a big-step, which have some undecidable conditions, and a small-step which uses the big-step as a specification and prove the relevant properties for stabishing the correctness of the small-step semantics w.r.t. the big-step [28]. Also, Schmidt et. al. uses its small-step semantics to implement a STM-Haskell library in Haskell programming language and they mention

that such correctness proof between their semantics implies opacity and other safety properties. No proof of such claim is given.

To the best of our knowledge, besides Schimidt et. al work [28], there is no truly small-step semantics for TM such that consider high-level constructs like orElse and retry while allowing the interleaving of executing transactions. Also, as far we know, there is no work that uses a trace-based small-step semantics that produces the history of TM execution, which can be used to verify TM safety properties. This work aims to fill this gap. Our approach is to specify STM algorithms using a standard small-step operational semantics for a simple transactional language and use property based testing to check if safety properties are satisfied by generated histories. We are aware that using automated testing isn't sufficient to ensure correctness of an algorithm, but it can expose bugs before spent time on doomed attempts to certify the semantics within a proof assistant.

Specifically, we made the following contributions:

- We define a simplified model language that supports high-level TM constructs orElse and retry present in STM-Haskell and two trace based small-step operational semantics for it. One semantics closely follows the well-known TL2 algorithm [7] and the other is based on the semantics adopted by STM Haskell [3]. These semantics are implemented in the Haskell programming language.

- We define TM safety conditions, namely opacity [13, 14], in Haskell and check them using QuickCheck [29] against the implemented semantics. Defining safety properties is just a matter to define functions that verify them on histories produced by interpreters implementing TM algorithm semantics.

- We show how to QuickCheck generators to implement different test case strategies to improve coverage of the semantics implementation and to provide shorter counter-examples. Following [30], we introduce some bugs in our semantics and check how such different test generation algorithms are effective on finding these errors.

The rest of this paper is organized as follows. Section 2 presents a brief introduction to software transaction memory, specially its implementation in the Haskell programming language. Section 3 defines the syntax (Section 3.1) and operational semantics based on TL2 and on STM-Haskell (Section 3.2) for a small STM-Haskell like language. In Section 4 we present Haskell implementations of TM safety properties and describe how to check them using QuickCheck, giving some details on how to build random test cases to improve test coverage results and to find injected bugs in our semantic definitions [30]. Section 6 discuss related work and Section 7 concludes and presents future work.

All code described in this paper was developed using GHC-8.2.1 and it is available on-line [31].

2.   Software Transaction Memory

STM design space: In an STM system, memory transactions can execute concurrently and, if finished without conflicts, a transaction may commit. Conflict detection may be *eager*, if a conflict is detected the first time a transaction accesses a value, or *lazy* when it occurs only at commit time. With eager conflict detection, to access a value, a transaction must acquire ownership of the value, hence preventing other transactions to access it, which is also called pessimistic concurrency

control. With optimistic concurrency control, ownership acquisition and validation occurs only when committing. These design options can be combined for different kinds of accesses to data, e.g., eager conflict detection for write operations and lazy for reads. STM systems also differ in the granularity of conflict detection, word based and object based being the most common. STM systems need a mechanism for version management. With eager version management, values are updated directly in memory and a transaction must maintain an undo log where it keeps the original values. If a transaction aborts, it uses the undo log to copy the old values back to memory. With lazy version management, all writes are buffered in a redo log, and reads must consult this log to see earlier writes. If a transaction commits, it copies these values to memory, and if it aborts the redo log can be discarded. An STM implementation can be lock based, or obstruction free. An obstruction free STM does not use blocking mechanisms for synchronization and guarantees that a transaction will progress even if all other transactions are suspended. Lock based implementations, although offering weaker progress guarantees, are believed to be faster and easier to implement.

TL2 is a classic lock based, deferred update transactional algorithm, similar to the one used in the GHC implementation of STM Haskell [3]: all writes are recorded in a write-set. When a transaction finishes, it validates its log to check if it has seen a consistent view of memory, and its changes are committed to memory. The main difference of the TL2 algorithm is that conflicts are detected by using a global clock that is shared by all threads. When a transaction starts executing it reads the global clock to get its read stamp. Every transacted memory location is associated with a write stamp, when opening an object for reading/writing, the transaction checks if the write stamp of memory address is not greater than the transaction read stamp, in that case it means that the object was modified after the transaction started executing, hence the transaction must be aborted. If the memory passes the validation it means that the transaction has seen a consistent view of the memory.

STM Haskell: Harris et.al. [3] extends Haskell with a set of primitives for writing memory transactions. The main abstractions are transactional variables or TVars, which are special variables that can only be accessed inside transactions. Below, the main STM Haskell primitives are shown. The readTVar takes a TVar and returns a transactional action STM a. This action, when executed, will return a value of type a, i.e., the TVar's content. Similarly, writeTVar takes a value of type a, a TVar of the same type and returns a STM action that when executed writes into the TVar.

```
data TVar a = ...
data STM a = ...
writeTVar :: TVar a → a → STM ()
readTVar :: TVar a → STM a
retry :: STM ()
orElse :: STM a → STM a → STM a
atomically :: STM a → IO a
```

These transactional actions can be composed together to generate new actions through monadic combinators or the do notation:

```
type Var = TVar Float
transferMoney :: Float → Var → Var → STM ()
```

```
transferMoney amount acc1 acc2 = do
      v ← readTVar acc1
   if v ⩾ amount
      then do
         writeTVar acc1 (v − amount)
         v2 ← readTVar acc2
         writeTVar acc2 (v2 + amount)
      else retry
```

The retry primitive is used to abort and re-execute a transaction once at least one of the memory positions it has read is modified and orElse is a choice operator, it takes two transactions as arguments, if the first one retries then the second one is executed. If both fail the whole transaction is executed again. Transactions are executed with atomically:

```
atomically (transferMoney 100.00 tvar1 tvar2)
```

It takes as an argument a transactional action (STM a) and executes it atomically with respect to other concurrently executing transactions.

3. A Model for Software Transactional Memory

Our objective is to formalize semantic that ensure, by construction, that an implementation for transactional memory enjoy safety properties, namely opacity and markability.

3.1. Language Syntax

Our minimalistic language is defined by data types Tran, which represents computations in the STM monad, and Proc that denotes actions in the Haskell IO monad. This language is, in essence, the same as the one proposed by [27]. We extend it with orElse, retry, conditional constructs and a special value to denote a aborted transaction, TAbort. Such constructs aren't an essential part of a model for TM, but they are interesting on their own when we consider safety properties of TM.

```
newtype Val = Val { unVal :: Int }
newtype Var = Var { unVar :: Int }
newtype Id = Id { unId :: Int }
data Tran = TVal Val | TRead Var | TWrite Var Tran
  | Tran ⊕_T Tran | TIf Tran Tran Tran
  | TOrElse Tran Tran | TRetry | TAbort
data Proc = PVal Val | PFork Proc
  | PAt (Maybe (Id, Stamp)) Tran
  | Proc ⊕_P Proc
```

In order to avoid dealing with name binding, we do not provide a language construct for creating new variables and also use addition operation for composing transactions and processes. This is valid simplification, since addition forms a monoid on integer values, while still retaining the

sequencing computations and combining their results. We represent variables and values by integers (properly wrapped using a **newtype**). Each syntax construct meaning is immediate with the exception of how we represent atomic blocks. A value built with constructor PAt carries information about its transaction id and current transaction read stamp. Initially, all PAt values are built using Nothing to denote that such block did not started its execution. To avoid clutter in the presentation of PAt semantics, we represent information about transaction id and read stamp as (i, j) whenever it has the form Just (i, j) and as () if it is equal to Nothing. Also, we allow ourselves a bit of informality and write Ids, Stamps, Val and Var values as if they were simple integers.

Construction TAbort is used to represent a transaction that is aborted by accessing an inconsistent view of memory, in our TL2-based semantics, and by trying to commit an transaction that which has accessed and invalid memory configuration, in STM-Haskell based semantics. Term TAbort does not appear on randomly generated source programs. It is used in our semantics to properly differ between different types of transaction aborting and how they should be treated by semantics of orElse construct, since transactions aborted by inconsistent views should not be captured by an orElse.

Example 3.1. As an example of how our tiny language can model STM constructs, consider the following function that increments a value stored on a TVar, if it is different from zero.

```
incVar :: TVar Int → STM ()
incVar v
  = do
    x ← readTVar v
    if x ≡ 0 then return ()
      else writeTVar v (x + 1)
```

Such function can be represented in our language as follows:

$$incVar\ v = \text{TIf (TRead v) 0 (TWrite v (TRead v} \oplus_\mathsf{T} \text{1))}$$

3.2. Language Semantics

In this section, we define two operational semantics for our STM language. First, we present a semantics inspired by the TL2 algorithm which unlike previous works [3, 27] uses heaps, transaction logs (read and write sets) and also records the event history of current TM execution. The use of transaction logs on a high-level semantics is a bit unusual, but necessary to proper modeling of commit and abort operations of different TM algorithms. Next, we propose a semantics inspired by STM Haskell in which no global clock is used for TVar version control.

Before presenting the semantics, we need to define some notation. We use finite maps to represent heaps and logs used by transactions (i.e. read and write sets). Notation ● denotes an empty finite mapping and Θ represents a 4-tuple formed by a heap and mappings between transaction id's and their read / write sets and transactions. We let Θ_h, Θ_r, Θ_w, and Θ_T represent the heap and finite functions between transaction ids and their logs and transactions, respectively. Let $h(x)$ denote the operation of retrieving the value associated with key x in finite mapping h and $h(x) = \bot$ denotes that no value is associated with x. Notation $h \uplus h'$ denotes the right-biased union of

two finite mappings, i.e. when both maps have the same key x, we keep the value $h'(x)$. We let $\Theta_r(x, j)$ denote the operation of retrieving the value associated with key x in the read set of transaction with id j. Notation $\Theta_w(x, j)$ is defined similarly for write sets. Updating a variable x with value v in the read set of transaction j is denoted as $\Theta_r[j, x \mapsto v]$. Same holds for write set Θ_w. Finally, notation $h \mid_x$ denotes the finite mapping h' with entries for the key x removed, i.e. $h' = h - [x \mapsto v]$, for some value v.

Operations executed on transactional variables during a TM execution are represented by data type Event. Essentially, Event records operations on variables and on transactions. A history of a TM execution is formed by a list of Events.

```
newtype Stamp = Stamp { unStamp :: Int }
data Event = IRead Id Var Val
         | IWrite Id Var Val
         | IBegin Id
         | ICommit Id
         | IAbort Id
         | IRetry Id
type History = [Event]
```

Data type Stamp denotes the global clock used by the TL2 algorithm to ensure correct variable versions. Constructors IBegin, ICommit and IAbort denote the beginning, commit and failure of a transaction with a given Id. We consider that a transaction fails when it tries to read from an inconsistent view of memory. IRead id v val records that value val was read by transaction id for variable v and IWrite id v val denotes that value val was written in variable v by transaction id. An event IRetry denotes the user called retry on current transaction and such transaction should be restarted. In our semantics, the computation of histories is represented as a Writer monad, which adds a new element by appending at history end. But, for presentation purpouses, we simply add a new event at head of a given history.

3.2.1. TL2 Based Semantics

Now, we present our semantics based on Transactional Locking 2 algorithm [7]. Informally, TL2 algorithm works as follows: threads execute reads and writes to objects, but no memory locations are actually modified. All writes and reads are recorded in write and read logs. When a transaction finishes, it validates its log to check if it has seen a consistent view of memory, and its changes are committed to memory.

Function $\Theta(x, i, j)$ denotes that transaction j with read-stamp i tries to to read the content of variable x and it works as follows: First it checks the write set. If the variable has not been written to, the read set is consulted. Otherwise, if the variable has also not been read, its value is looked up from the heap and the read log updated accordingly, if variable's write stamp is not greater than current transaction read-stamp i. Otherwise, we have a conflict and the current transaction is aborted by returning TAbort.

Predicate $consistent(\Theta, i, j)$ holds if transaction j has finished its execution on a valid view of memory. We say that a TM state Θ is consistent if all variables read have stamps less than or equal to i, the global clock value in which transaction j have started.

$$\Theta(x, i, j) = \begin{cases} (v, \Theta) & \textit{if } \Theta_w(x, j) = (i', v) \\ (v, \Theta) & \textit{if } \Theta_w(x, j) = \bot, \Theta_r(x, j) \neq \bot, \\ & \qquad \Theta_h(x) = (i', v) \textit{ and } i \geqslant i' \\ (v, \Theta_r\,[j, x \mapsto v]) & \textit{if } \Theta_w(x) = \Theta_r(x) = \bot, \\ & \qquad \Theta_h(x) = (i', v), \textit{ and } i \geqslant i' \\ \mathsf{TAbort} & \textit{if } \Theta_h(x) = (i', v) \textit{ and } i < i' \end{cases}$$

Figure 1.   Reading a variable

$$consistent(\Theta, i, j) = \forall x.\Theta_r(x, j) = (i, v) \rightarrow \Theta_h(x) = (i', v) \wedge i \geqslant i'$$

Figure 2.   Predicate for consistency of transaction logs

In order to provide a concise semantics definition, in Figure 3, we define evaluation contexts to avoid the need of "congruence rules". In our semantics definition we use the following meta-variable convention: we let t denote arbitrary transactions and p processes. Values are represented by v, stamps by i and transaction ids by j. All meta-variables can appear primed or subscripted, as usual. Finally, in order to avoid several rules to propagating different types of transaction failure, we use TFail whenever any of TAbort or TRetry applies. Same holds for events: IFail will represent any of IAbort or IRetry.

Transaction Semantics: We define transaction semantics by a reduction relation $\mapsto_{T_{ij}}$ on triples $\langle \Theta, \sigma, t \rangle$, where Θ is the current state of TM, σ is the history of TM execution and t is a transaction. Variables i and j denote the current transaction read stamp and id, respectively. First, we present the rule used to evaluate transaction contexts.

$$\frac{\langle \Theta,\, \sigma,\, t \rangle \mapsto_{T_{ij}} \langle \Theta',\, \sigma',\, t' \rangle}{\langle \Theta,\, \sigma,\, \mathbb{T}[t] \rangle \mapsto_{T_{ij}} \langle \Theta',\, \sigma',\, \mathbb{T}[t'] \rangle} \;(TContext)$$

This rule simply allows stepping some subterm of current transaction expression $\mathbb{T}[t]$.

Next, we will consider how to evaluate a TRead construct. Notice that, we need two different rules for reading variables. This happens because, in our semantics, the function that reads a value from a variable can abort the current transaction, as it happens in TL2, if its write stamp is less than current transactions read stamp.

$$\frac{\Theta(v, i, j) = (val, \Theta') \quad \sigma' = \mathsf{IRead}\,j\,v\,val : \sigma}{\langle \Theta, \sigma, \mathsf{TRead}\,v \rangle \mapsto_{T_{ij}} \langle \Theta', \sigma', \mathsf{TVal}\,val \rangle} \;(TReadOk)$$

$$\frac{\Theta(v, i, j) = (\mathsf{TAbort}, \Theta') \quad \sigma' = \mathsf{IAbort}\,j : \sigma}{\langle \Theta, \sigma, \mathsf{TRead}\,v \rangle \mapsto_{T_{ij}} \langle \Theta, \sigma', \mathsf{TAbort} \rangle} \;(TReadFail)$$

Evaluation contexts for transactions

$$
\begin{aligned}
\mathbb{T}[\cdot] \quad ::=& \quad \mathsf{TWrite}\, v\, \mathbb{T}[\cdot] \\
|& \quad \mathbb{T}[\cdot] \oplus_\mathsf{T} t \\
|& \quad \mathsf{TVal}\, v \oplus_\mathsf{T} \mathbb{T}[\cdot] \\
|& \quad \mathsf{TIf}\, \mathbb{T}[\cdot]\, t\, t' \\
|& \quad \mathsf{TOrElse}\, \mathbb{T}[\cdot]\, t
\end{aligned}
$$

Evaluation contexts for processes

$$
\begin{aligned}
\mathbb{P}[\cdot] \quad ::=& \quad \mathsf{PFork}\, \mathbb{P}[\cdot] \\
|& \quad \mathbb{P}[\cdot] \oplus_\mathsf{P} t \\
|& \quad \mathsf{PVal}\, v \oplus_\mathsf{P} \mathbb{P}[\cdot] \\
|& \quad \mathsf{PAt}\,(\mathsf{Just}\,(i,j))\, \mathbb{P}[\cdot]
\end{aligned}
$$

Figure 3.   Evaluation contexts for high-level language.

Writing a value is done by next rules: rule $(TWriteVal)$ writes a completely reduced value and rule $(TWriteFail)$ just does propagate failure for signaling that current transaction has failed or aborted throught an explicit TRetry.

$$
\frac{\begin{array}{c}\Theta' = \langle \Theta_h, \Theta_r, \Theta_w[j, x \mapsto val], \Theta_T \rangle \\ \sigma' = \mathsf{IWrite}\, j\, v\, val\ : \sigma\end{array}}{\langle \Theta, \sigma, \mathsf{TWrite}\, v\,(\mathsf{TVal}\, val)\rangle \mapsto_{T_{ij}} \langle \Theta', \sigma',\ \mathsf{TVal}\, val\rangle}\ (TWriteVal)
$$

$$
\frac{}{\langle \Theta, \sigma, \mathsf{TWrite}\, v\, \mathsf{TFail}\rangle \mapsto_{T_{ij}} \langle \Theta, \sigma,\ \mathsf{TFail}\rangle}\ (TWriteFail)
$$

Since we replace monadic bind by addition, we need to force a sequential order of evaluation and some additional rules to ensure the correct propagation of failure.

$$
\frac{val = val_1 + val_2}{\langle \Theta, \sigma,\ (\mathsf{TVal}\, val_1) \oplus_\mathsf{T} (\mathsf{TVal}\, val_2)\rangle \mapsto_{T_{ij}} \langle \Theta, \sigma,\ \mathsf{TVal}\, val\rangle}\ (TAddVal)
$$

$$
\frac{}{\langle \Theta, \sigma,\ \mathsf{TFail} \oplus_\mathsf{T} t\rangle \mapsto_{T_{ij}} \langle \Theta', \sigma', \mathsf{TFail}\rangle}\ (TAddL)
$$

$$
\frac{}{\langle \Theta, \sigma,\ (\mathsf{TVal}\, val) \oplus_\mathsf{T} \mathsf{TFail}\rangle \mapsto_{T_{ij}} \langle \Theta', \sigma',\ \mathsf{TFail}\rangle}\ (TAddR)
$$

We can evaluate a TIf to its first branch if its condition is equal to zero or to its second otherwise.

$$\frac{}{\langle \Theta, \sigma, \mathsf{TIf}\,(\mathsf{TVal}\,0)\,t\,t'\rangle \mapsto_{T_{ij}} \langle \Theta, \sigma,\ t\rangle}\ (TIfZero)$$

$$\frac{v \neq 0}{\langle \Theta, \sigma, \mathsf{TIf}\,(\mathsf{TVal}\,\mathsf{v})\,t\,t'\rangle \mapsto_{T_{ij}} \langle \Theta, \sigma,\ t'\rangle}\ (TIfNonZero)$$

We also propagate failures produced on TIf condition evaluation.

$$\frac{}{\langle \Theta,\ \sigma,\ \mathsf{TIf}\,\mathsf{TFail}\,t\,t'\rangle \mapsto_{T_{ij}} \langle \Theta,\ \sigma,\ \mathsf{TFail}\rangle}\ (TIfFail)$$

Evaluating a TOrElse construct returns a value, if whenever its left transaction reduces to TVal v. Right transaction is executed only when the left one reduces to TRetry. Finally, if a transaction aborts such aborting signal is propagated.

$$\frac{}{\langle \Theta,\ \sigma,\ \mathsf{TOrElse}\,(\mathsf{TVal}\,v)\,t'\rangle \mapsto_{T_{ij}} \langle \Theta',\ \sigma',\ \mathsf{TVal}\,v\rangle}\ (TOrElseVal)$$

$$\frac{}{\langle \Theta,\ \sigma,\ \mathsf{TOrElse}\,\mathsf{TRetry}\,t'\rangle \mapsto_{T_{ij}} \langle \Theta,\ \sigma,\ t'\rangle}\ (TOrElseR)$$

$$\frac{}{\langle \Theta,\ \sigma,\ \mathsf{TOrElse}\,\mathsf{TAbort}\,t'\rangle \mapsto_{T_{ij}} \langle \Theta,\ \sigma,\ \mathsf{TAbort}\rangle}\ (TOrElseA)$$

Process Semantics: The semantics for processes, $\mapsto_P$, acts on 5-uples $\langle \Theta, \sigma, j, i, s\rangle$ consisting of a TM state Θ, a history of transaction execution σ, last transaction id used j, a global clock i and a process soup s.

We begin the presentation of process semantics with context rule, which allows steps of inner expressions.

$$\frac{\langle \Theta,\ \sigma,\ j,\ i,\ t\rangle \mapsto_P \langle \Theta',\ \sigma',\ j',\ i',\ t'\rangle}{\langle \Theta,\ \sigma,\ j,\ i, \mathbb{P}[p] : s\rangle \mapsto_P \langle \Theta,\ \sigma',\ j',\ i', \mathbb{P}[p'] : s\rangle}\ (PContext)$$

Process soup are represented by a list of processes and its execution proceeds by pattern matching on the first element of such list. In order to allow non-determinism we introduce a rule for preemption.

$$\frac{\langle \Theta,\ \sigma,\ j,\ i,\ s\rangle \mapsto_P \langle \Theta',\ \sigma',\ j',\ i',\ s'\rangle}{\langle \Theta,\ \sigma,\ j,\ i,\ p : s\rangle \mapsto_P \langle \Theta',\ \sigma',\ j',\ i', p : s'\rangle}\ (PPreempt)$$

Evaluating a PFork adds a process p to current soup returning 0.

$$\frac{s' = \mathsf{PVal}\,0 : p : s}{\langle \Theta,\ \sigma,\ j,\ i,\ (\mathsf{PFork}\,p) : s\rangle \mapsto_P \langle \Theta,\ \sigma,\ j,\ i,\ s'\rangle}\ (PFork)$$

As we did with transaction, process composition is done using addition.

$$\frac{v = v_1 + v_2}{\langle \Theta,\ \sigma,\ j,\ i,\ (\mathsf{PVal}\,v_1) \oplus_{\mathsf{P}} (\mathsf{PVal}\,v_2)\rangle \mapsto_P \langle \Theta,\ \sigma,\ j,\ i,\ \mathsf{PVal}\,v\rangle}\ (Add1)$$

Finally, we now present the semantics for atomic blocks. Unlike previous works [27, 3], the semantics of atomic blocks do not follow the so-called stop-the-world-semantics. This design choice is justified by the fact that stop-the-world semantics naturally enjoys safety conditions like opacity and markability. Since our objective is to exploit failures in STM algorithms represented as small-step semantics of our simple transactional language, the proposed semantics reduces atomic blocks in a step-wise manner instead of using a multi-step approach.

The first rule for reducing a PAt block is presented below. It basically updates the TM state with empty read and write sets for the newly started transaction j, register it using IBegin j and reinsert process PAt $(i, j) t$ at the end of process soup. Notice that, initially, every atomic block does not have its read stamp and transaction id. When a transaction t is started, we update its process to store its starting clock and transaction id.

$$\frac{\begin{array}{c} \Theta_1 = \langle \Theta_h, \Theta_r\,[j \mapsto \bullet], \Theta_w\,[j \mapsto \bullet], \Theta_T\,[j \mapsto t] \rangle \\ s' = s \,+\!\!+\, [\text{PAt}\,(i,j)\,t] \\ \sigma' = \text{IBegin}\,j : \sigma \end{array}}{\langle \Theta, \sigma, j, i, \text{PAt}\,()\,t : s \rangle \mapsto_P \langle \Theta', \sigma', j+1, i, s' \rangle} \; (PAt1)$$

After initializing a transaction, its execution proceeds thanks to rules $PPrempt$ and $PContext$. Whenever a transaction successfully reduces to a value and it had executed in a consistent view of memory, we can use next rule to commit its results to heap.

$$\frac{\begin{array}{cc} v = \text{TVal}\,n & consistent(\Theta, i, j) \\ \sigma' = \text{ICommit}\,j : \sigma & \Theta' = \langle \Theta'_h, \Theta_r\,|_j, \Theta_w\,|_j \rangle \\ \multicolumn{2}{c}{\Theta'_h = \Theta_h \uplus \Theta_w(j)} \end{array}}{\langle \Theta, \sigma, j, i, \text{PAt}\,v : s \rangle \mapsto_P \langle \Theta', \sigma', j, i+1, \text{PVal}\,n : s \rangle} \; (PAt2)$$

We first check consistency using $consistent(\Theta, i, j)$, register a successful commit in history σ using ICommit j and update TM state Θ by: 1) writing the write set contents of transaction j in the heap and 2) removing the read and write set of transaction j from TM state.

Whenever a transaction reduces to TRetry or TAbort (represented by TFail), it should be restarted. For this, we remove entries for the transaction j from transactions and read / write set mappings. Also, we reinsert a process with the original transaction in the process soup to allow the restarting of this transaction. This is specified by next rule.

$$\frac{\begin{array}{c} \Theta' = \langle \Theta_h, \Theta_r\,|_j, \Theta_w\,|_j, \Theta_T\,|_j \rangle \\ s' = s \,+\!\!+\, \text{PAt}\,()\,t \quad t = \Theta_t(j) \end{array}}{\langle \Theta, \sigma, j, i, \text{PAt}\,\text{TFail} : s \rangle \mapsto_P \langle \Theta', \sigma, j+1, i, s' \rangle} \; (PAt3)$$

3.2.2. STM-Haskell Based Semantics

Essentially, the STM-Haskell based semantics is just a simplification of the previouly defined one in which we do not take into account the global clock to ensure consistency of transaction logs. This change simplifies both the semantics and their auxiliar definitions to read variables and check for consistency of TM state.

In Figure 4, we redefine the function for reading a value from a variable. Note that this is almost the definition of Figure 1 except that it does not use a global clock for version control of variables in read set.

$$
\Theta(x, j) = \begin{cases}
(v, \Theta) & \textit{if } \Theta_w(x, j) = (i, v) \\
(v, \Theta) & \textit{if } \Theta_w(x, j) = \bot, \Theta_r(x, j) \neq \bot, \\
& \qquad \Theta_h(x) = (i, v) \\
(v, \Theta_r\,[j, x \mapsto (i, v)]) & \textit{if } \Theta_w(x) = \Theta_r(x) = \bot, \\
& \qquad \Theta_h(x) = (i, v)
\end{cases}
$$

Figure 4.   Reading a variable

Also, since we do not abort current transaction when reading a value from a inconsistent memory view, the rule $(TReadFail)$ isn't necessary in STM-Haskell based semantics. When writing values to variables, the only change needed is to increment variable's write stamp. Modified rule is presented below.

$$
\frac{\begin{array}{c}
\Theta' = \langle \Theta_h, \Theta_r, \Theta_w[j, x \mapsto (i', val)], \Theta_T \rangle \\
\sigma' = \mathsf{IWrite}\, j\, v\, val\, : \sigma
\end{array}}{\langle \Theta,\, \sigma,\, \mathsf{TWrite}\, v\, (\mathsf{TVal}\, val) \rangle \mapsto_{T_{i\,j}} \langle \Theta',\, \sigma',\, \mathsf{TVal}\, val \rangle}\ {}_{(TWriteVal)}
$$

We also need to modify the consistency check. In the original STM-Haskell paper [3], consistency of TM state is tested before a commit in order to validade if a transaction has accessed a valid memory view. This validity test essentially checks pointer equalities for values in read set. Since in our model we have no notion of pointer, we use value equality for consistency check as in [27].

$$
consistent(\Theta, j) = \forall x . \Theta_r(x, j) = \Theta_h(x)
$$

Figure 5.   Predicate for consistency of transaction logs

Semantics for transactions and processes are essentially the same presented in previous section. Rules will differ only by: 1) Information about TL2 global clock isn't present and 2) it uses the modified consistency check and reading values from the TM state function presented in this section. For space reasons, we do not present this slightly modified set of semantic rules.

4.   Safety Properties

Several safety conditions for TM were proposed in the literature, such as opacity [13], VWC [15], TMS1 and TMS2 [14] and markability [16]. All these conditions define indistinguishably criteria

and the set of correct histories generated by the execution of TM. In this section, we present a Haskell implementation of opacity. The choice of using opacity over other safety properties is motivated by the fact that we can implement it from its informal definition instead of using a graph based characterization of the structure of histories generated by a TM algorithm [**?**].

Before we give the definition and implementation of opacity, we need to define some concepts. We say that a transaction is *live* in a history H if it has no commit or abort registered in H, otherwise it is *finished*. A history is said to be *legal* if all values read after a write in transactional variable are equal to last value written.

4.1. Opacity

Intuitively, if a TM algorithm has the opacity property it means that all histories produced by it are legal and preserves the real time ordering of execution, i.e. if a transaction T_i commits and updates a variable x before T_j starts then T_j cannot observe that old state of x. Guerraoui et.al. define formally opacity and provide a graph-based characterization of such property in a way that an algorithm is opaque only if the graph built from algorithm histories structure is acyclic [13]. In this work, we use a more direct encoding of opacity by representing it as a predicate over histories. We implement such predicate as a Haskell function following the textual definition present in [32].

We say that a TM algorithm is opaque if all prefixes of histories generated by it are final state opaque. Our Haskell definition of opacity is as follows:

```
opacity :: History → Bool
opacity = all finalStateOpacity ∘ inits
```

Function all checks if all elements of input list (second parameter) satisfy a predicate (first pareme-ter) and inits returns a list with all prefixes of a given list.

Our next step is to define when a history is final state opaque. We say that a finite history is final state opaque if exists some completion of it that preserves real time order and all of its transactions are legal. In Haskell code:

```
finalStateOpacity :: History → Bool
finalStateOpacity
   = some prop ∘ completions
     where
        prop tr = preservesOrder tr ∧ legal tr
        some p xs = (null xs) ∨ (any p xs)
```

Function completions produces a list of all completions of a given history. The completion of a history H is another history S, such that:

- All live and non-commit pending transactions of H are aborted in S; and

- All commit pending transactions of H are aborted or committed in S.

Since in our model we do not consider commit-pending transactions, completion of a history consists of aborting all live transactions. In order to abort all live transactions we have to split a history in sub-histories that group operations by transactions. This is done by function splits,

which build a map between transaction ids and history items and return a list of histories, one for each transaction.

```
splits :: History → [History]
splits
  = Map.elems ∘ foldr step Map.empty
    where
      step i ac
        = maybe (Map.insert (stampOf i) [i] ac)
          (λis → Map.insert (stampOf i)
            (i : is)
            ac)
          (Map.lookup (stampOf i) ac)
```

Using splits, the definition of completions is immediate: we just abort each non-committed transaction and remove them together with failed ones. Checking if a sub-history for a transaction is comitted or not is a simple check if the last item of sub-history is equal to ICommit or not.

```
completions :: History → [History]
completions
  = foldr abortLives [] ∘ splits
    where
      abortLives tr ac
        | finished tr = tr : ac
        | otherwise = ac
completed :: History → Bool
completed
  = finished ∘ last
    where
      finished (ICommit _) = True
      finished (IAbort _) = True
      finished _          = False
```

To finish the implementation of finalStateOpacity, we need to present definitions of preservesOrder and legal. The function that verifies if a history preserves *real time ordering* is preservesOrder. Let t_k and t_m be transactions of some history H. We say that $t_k \prec_H t_m$, if whenever t_k is completed and the last event of t_k precedes the first event of t_m in H. A history H' preserves the real time ordering of H if for all transactions t_k and t_m, if $t_k \prec_H t_m$ then $t_k \prec_{H'} t_m$. Intuitively, function preservesOrder checks if transaction ids are ordered according to its position in history.

```
preservesOrder :: History → Bool
preservesOrder tr
  = and [i ⩽ i' | (p, i) ← tr',
    (p', i') ← tr',
    p ⩽ p']
    where
      tr' :: [(Int, Stamp)]
      tr' = zipWith step [0 . .] tr
      step p i = (p, (stampOf i))
```

In order to check if all events of a transaction are legal we build a map between variables and events of read and writing to them using function sequentialSpecs which, in turn, uses function readOrWrite that returns a variable plus the event itself or Nothing, if it was not a read or write event.

```
readOrWrite :: Event → Maybe (Var, Event)
readOrWrite i@(IRead _ v _)
   = Just (v, i)
readOrWrite i@(IWrite _ v _)
   = Just (v, i)
readOrWrite _
   = Nothing
sequentialSpecs :: History → [History]
sequentialSpecs
   = Map.elems ∘ step1 ∘ mapMaybe readOrWrite
     where
       step1 = foldr step Map.empty
       step (v, i) ac
          = maybe (Map.insert v [i] ac)
            (λis → Map.insert v (i : is) ac)
            (Map.lookup v ac)
```

Finally, function legal checks if all values read for a variable are equal to last value written, by folding over the list of events built for each variable by function sequentialSpecs.

```
legal :: History → Bool
legal
   = all isLegal ∘ sequentialSpecs
     where
       isLegal = fst ∘ foldr step (True, Map.empty)
       step (IRead _ v val) (c, m)
          = maybe (val ≡ (Val 0), m)
            ((, m) ∘ (c ∧) ∘ (≡ val))
            (Map.lookup v m)
       step (IWrite _ v val) (c, m)
          = (c, Map.insert v val m)
       step _ ac = ac
```

Opacity can be characterized by building a graph over the set of generated histories by a TM algorithm. Such proof for the TL2 algorithm can be found in [32].

5. Validation of Semantic Properties

After the presentation of language semantics and the implementation of opacity in terms of execution histories, how can we be sure that the defined semantics enjoys and the compiler preserves these properties? We follow the lead of [27] and use QuickCheck [29] to generate random high-level programs and check them against the opacity property.

Each of these properties have been implemented as Haskell functions and tested using QuickCheck for randomly test cases. Having running many thousands of tests, we gain a high degree of confidence in the safety of our semantics, but it is important to measure how much of code base is covered by the test suite. Such statistics are provided by Haskell Program Coverage tool [33]. Results of code coverage are presented in the next figure.

Top Level Definitions		Alternatives		Expressions	
%	covered / total	%	covered / total	%	covered / total
96%	30/31	78%	41/52	88%	377/427
96%	30/31	78%	41/52	88%	377/427

Figure 6.   Test Coverage Results

While not having 100% of code coverage, our test suite provides a strong evidence that proposed semantics enjoys safety properties by exercising on randomly generated programs of increasing size. By analysing test coverage results, we can observe that code not reached by test cases consists of stuck states on program semantics.

For generating random programs we use basic generators provided by QuickCheck library and build Arbitrary instances for Tran and Proc types. Below, we present a snippet of instance for Proc. Code for Tran follows the same structure.

```
instance Arbitrary Proc where
   arbitrary
      = sized genProc
genProc :: Int → Gen Proc
genProc n
   | n ⩽ 0 = PVal ⟨$⟩ arbitrary
   | otherwise
      = frequency
         [
            (n + 1, PVal ⟨$⟩ arbitrary)
         , (n2, PFork ⟨$⟩ genProc (n − 1))
         , (n2, PAt Nothing ⟨$⟩ arbitrary)
         , (n, ( ⊕P ) ⟨$⟩ genProc n2 ⟨∗⟩ genProc n2)
         ]
      where
         n2 = div n 2
```

The sized function allows for generating values with a size limit and frequency creates a generator that chooses each alternative with a probability proportional to the accompanying weight.

The TL2-based semantics passed in all tests for safety properties, as expected, since it is well-known that TL2 provides opacity. But, the semantics based on STM-Haskell does not enjoy such safety properties since it allows the reading from an inconsistent view of memory. Next example shows how such invalid memory access can happen.

Example 5.1. Consider the following program, where x is some variable:

```
t1 :: Tran
t1 = TRead x ⊕T TRead x ⊕T TRead x
```

```
t2 :: Tran
t2 = TWrite x v

p :: Proc
p = Fork (PAt Nothing t1) ⊕P Fork (PAt Nothing t2)
```

One of the possible executions of p using STM-Haskell semantics would result in the following history:

```
[IBegin 1, IBegin 2, IRead 1 x 0
, IWrite 2 x 10, IRead 1 x 0, ICommit 2
, IRead 1 x 0, ...]
```

which violates opacity and markability because it does allow transaction t1 to read from an inconsistent memory view. On TL2 semantics safety is preserved because when transaction t1 tries to execute third read it would be aborted.

6.   Related Work

Semantics for STM: Semantics for STM have been received a considerable attention recently [3, 26, 24, 34]. Harris et al. [3] defines a stop-the-world operational semantics for STM Haskell. Essentially, Harris uses a multi-step execution model for transaction execution that does not allows the investigation of safety property neither how interleaving of transactions happens. Such approach for STM semantics does not allows the investigation of safety properties in terms of execution histories, since no interleaving between transactions happen.

Abadi et. al. [26] developed the so-called calculus of automatic mutual exclusion (AME) and shows how to model the behavior of atomic blocks. Using AME they model STM systems that use in-place update, optimistic concurrency, lazy-conflict detection and roll-back and determine assumptions that ensure correctness criteria. As [26], our work defines different semantics for the same language with the intent to verify STM algorithms, but they use manual proofs to assert that their semantics enjoy criteria of interest and our work advocates the use of automated testing tools to early discover semantic design failures before starting proofs.

Moore et. al. [24] proposes a series of languages that model several behaviors of STM. Such models abstract implementation details and provide high-level definitions. Moore uses small-step operational semantics to explicitly model interleving execution of threads. Manual proofs of isolation properties are described as a techinical report [35].

Safety properties for STM: Safety criteria for STM was another line of research pursued recently [16, 13]. Opacity was defined by Guerraoui et. al. [13] and it is described as a condition on generated histories by a TM algorithm and provide a graph-based characterization of opacity. Such graph is built from histories and an algorithm is considered opaque if the corresponding graph is acyclic for every possible history. Lesani et. al. [16] describes an equivalent safety property called markability, which decomposes opacity in three invariants and prove that these invariants are equivalent to opacity.

Formal verification of STM: Formal verification of STM algorithms has been an active subject of recent research [17, 18, 19, 20, 21]. Lehsani et.al. [17] describes a PVS [36] formalization of a framework for verifying STM algorithms based on I/O automata. The main idea of Lehsani's framework is to represent both specifications and algorithms as automata and their equivalence is verified by proving a simulation relation between these automata. The use of model checker to verify TM algorithms was the subject of [18, 19]. Both works use the specification languages of model checkers [37] to describe STM implementations and check them against safety properties. We leave using proof assistants for verifying safety properties of our STM semantics for future work.

Testing algorithms for STM: Automated testing for a compiler of a STM high-level language to a virtual machine was the subject of [27]. He uses QuickCheck to generate random high-level STM programs and check that their virtual machine compiler preserves the semantics of source programs. Unlike our work that focus on verifying safety of algorithms expressed as small-step operational semantics, Hu et. al. concerns only with semantic preservation of compilation process and uses multi-steps to evaluate transactions in a stop-the-world semantics for their high-level language. While such semantics design choices are reasonable for verifying a semantic preservation theorem for a compiler, they do allow for checking safety properties. Harmanci et. al. [38] describes a tool for testing TM algorithms, called TM-unit. Using TM-unit domain specific language, users can specify TM workloads for both safety and performance testing of TM algorithms. Authors argue that their domain specific language is simple and expressive but no formal semantics of this language is provided. We believe that the use of domain specific languages is invaluable to provide concise and formal specifications of STM algorithm and we leave this line of research for further work.

7.   Conclusion

In this work we presented safe semantics for a simplied high-level language with STM support and use property based testing to verify it. The lightweight approach provided by QuickCheck allow us to experiment with different semantic designs and implementations, and to quickly check any changes. During the development of this work, we have changed our basic definitions many times, both as a result of correcting errors, and streamlining the presentation. Ensuring that our changes were consistent was simply a matter of re-running test suite. Encoding safety properties as Haskell functions over STM histories provides a clean and concise implementation that helps not only to fix semantics but also to improve our understanding of STM algorithms.

As future work we intend to use Agda [39] to provide formally certified proofs that the presented semantics does enjoy safety properties and also investigate the usage of domain specific languages to ease the task of specifying algorithms as small-step operational semantics of a simple transactional language.

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