Herding cats
Modelling, simulation, testing, and data-mining for weak memory

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We propose an axiomatic generic framework for modelling weak memory. We show how to instantiate this framework for SC, TSO, C++ restricted to release-acquire atomics, and Power. For Power, we compare our model to a preceding operational model in which we found a flaw. To do so, we define an operational model that we show equivalent to our axiomatic model.

We also propose a model for ARM. Our testing on this architecture revealed a behaviour later acknowledged as a bug by ARM, and more recently 31 additional anomalies.

We offer a new simulation tool, called herd, which allows the user to specify the model of his choice in a concise way. Given a specification of a model, the tool becomes a simulator for that model. The tool relies on an axiomatic description; this choice allows us to outperform all previous simulation tools. Additionally, we confirm that verification time is vastly improved, in the case of bounded model-checking.

Finally, we put our models in perspective, in the light of empirical data obtained by analysing the C and C++ code of a Debian Linux distribution. We present our new analysis tool, called mole, which explores a piece of code to find the weak memory idioms that it uses.

1. INTRODUCTION

There is a joke where a physicist and a mathematician are asked to herd cats. The physicist starts with an infinitely large pen which he reduces until it is of reasonable diameter yet contains all the cats. The mathematician builds a fence around himself and declares the outside to be the inside. Defining memory models is akin to herding cats: both the physicist’s or mathematician’s attitudes are tempting.

Recent years have seen many formalisations of memory models emerge; see for example [Adir et al. 2003] [Arvind and Maessen 2006] [Boehm and Adve 2008] [Chong and Ishtiaq 2008] [Boudol and Petri 2009] [Sarkar et al. 2009] [Alglave et al. 2009] [Alglave et al. 2010] [Batty et al. 2011] [Sarkar et al. 2011] [Alglave et al. 2012] [Sarkar et al. 2012] [Sarkar et al. 2012] [Boudol et al. 2012]. Yet we feel the need for more work in defining models. There are several reasons for this.

On the hardware side, all existing models of Power (some of which we list in Fig. 1) have some flaws (see Sec. 2). This calls for reinvestigating the model, for the sake of repairing it of course, but for several other reasons too, that we explain below.

One important reason is that Power underpins C++’s atomic concurrency features [Boehm and Adve 2008] [Batty et al. 2011] [Sarkar et al. 2012]: implementability on Power has had a major influence on the design of the C++ model. Thus modelling flaws in Power could affect C++.

Another important reason is that a good fraction of the code in the wild (see our experiments in Sec. 9 on release 7.1 of the Debian Linux distribution) still does not use the C++ atomics. Thus, we believe that programmers have to rely on what the hardware does, which requires descriptive models of the hardware.

On the software side, recent work shows that the C++ model allows behaviours that break modular reasoning (see the satisfaction cycles issue in [Batty et al. 2013]), whereas Power does not, since it prevents out of thin air values (see Sec. 4). Moreover, C++ requires the irreflexivity of a certain relation (see the HBVsMO axiom in [Batty et al. 2013]), whereas Power offers a stronger acyclicity guarantee, as we show in this paper.
Ideally, we believe that these models would benefit from stating principles that underpin weak memory as a whole, not just one particular architecture or language. Not only would it be aesthetically pleasing, but it would allow more informed decisions on the design of high-level memory models, ease the conception and proofs of compilation schemes, and allow the reusability of simulation and verification techniques from one model to another.

Models roughly fall into two classes: operational and axiomatic. Operational models, e.g. the Power model of [Sarkar et al. 2011], are abstractions of actual machines, composed of idealised hardware components such as buffers and queues. Axiomatic models, e.g. the C++ model of [Batty et al. 2011], distinguish allowed from forbidden behaviours, usually by constraining various relations on memory accesses.

We now list a few criteria that we believe our models should meet; we do not claim to be exhaustive, nor do we claim that the present work fully meets all of them, although we discuss in the conclusion of this paper to what extent it does. Rather, we see this list as enunciating some wishes for works on weak memory (including ours of course), and more generally weak consistency, as can be found for example in distributed systems.

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Stylistic proximity of models, whether hardware (e.g. x86, Power or ARM) or software (e.g. C++), would permit the statement of general principles spanning several models of weak memory. It should be easier to find principles common to Power and C++, amongst others, if their respective models were described in the same terms.

Rigour is not our only criterion: for example, all the recent Power models enjoy a considerable amount of rigour, yet are still somewhat flawed.

Concision of the model seems crucial to us: we want to specify a model concisely, to grasp it and modify it rapidly, without needing to dive into a staggering number of definitions.

One could tend towards photorealistic models and account for each and every detail of the machine. We find that operational models in general have such traits, although some do more than others. For example, we find that the work of Sarkar et al. [Sarkar et al. 2011; Sarkar et al. 2012] is too close to the hardware, and, perhaps paradoxically, too precise, to be easily amenable to pedagogy, automated reasoning and verification. Although we do recognise the effort and the value of this work, without which we would not have been able to build the present work, we believe that we need models that are more rationally descriptive (as coined by Richard Bornat). We go back to the meaning of “rational” at the end of the introduction.

Efficient simulation and verification have been relatively neglected by previous modelling work, except for [Mador-Haim et al. 2010; Alglave et al. 2013; Alglave et al. 2013]. These works show that simulation [Mador-Haim et al. 2010] and verification [Alglave et al. 2013] (for bounded model-checking) can be orders of magnitude faster when it relies on axiomatic models rather than operational ones.

Yet operational models are often considered more intuitive than axiomatic models. Perhaps the only tenable solution to this dilemma is to propose both styles in tandem, and show their equivalence. As exposed in [Hoare and Lauer 1974], “a single formal definition is unlikely to be equally acceptable to both implementor and user, and [. . . ] at least two definitions are required, a constructive one [. . . ] for the implementor, and an implicit one for the user [. . . ].”

Soundness w.r.t. hardware is mandatory regardless of the modelling style. Ideally, one would prove the soundness of a model w.r.t. the formal description of the hardware,
e.g. at the RTL level [Gordon 2002]. However, we do not have access to these data because of commercial confidentiality. To overcome this issue, some previous work has involved experimental testing of hardware (see e.g. [Collier 1992; Sarkar et al. 2009; Alglave et al. 2012; Sarkar et al. 2011; Mador-Haim et al. 2012]), with increasing thoroughness over time.\footnote{Throughout this paper, we refer to online material to justify our experimental claims; the reader should take these as bibliography items, and refer to them when details are needed.}

A credible model cannot forbid behaviours exhibited on hardware, unless the hardware itself is flawed. Thus models should be extensively tested against hardware, and retested regularly: this is how we found flaws in the model of [Sarkar et al. 2011] (see Sec. 2). Yet, we find the experimental flaws themselves to be less of an issue than the fact that the model does not seem to be easily fixable.

\textit{Adaptability} of the model, i.e. setting the model in a flexible formalism, seems crucial, if we want stable models. By stable we mean that even though we might need to change parameters to account for an experimental flaw, the general shape of the model, its principles, should not need to change.

Testing (as extensive as it may be) cannot be sufficient, since it cannot guarantee that an unobserved behaviour might not be triggered in the future. Thus one needs some guarantee of \textit{completeness} of the model.

\textit{Being in accord with the architectural intent} might give some guarantee of completeness. We should try to create models that respect or take inspiration from the architects’ intents. This is one of the great strengths of the model of [Sarkar et al. 2011]. However, this cannot be the only criterion, as the experimental flaw in [Sarkar et al. 2011] shows. Indeed the architects’ intents might not be as formal as one might need in a model, two intents might be contradictory, or an architect might not realise all the consequences of a given design.

\textit{Accounting for what programmers do} seems a sensible criterion. One cannot derive a model from programming patterns, since some of these patterns might rely on erroneous understanding of the hardware. Yet to some extent, these patterns should reflect part of the architectural intent, since systems programmers or compiler writers communicate relatively closely with hardware designers.

Crucially, we have access to open-source code, as opposed to the chips’ designs. Thus we can analyse the code, and derive some common programming patterns from it.

\textit{Rational models} is what we advocate here. We believe that a model should allow a \textit{rational explanation} of what programmers can rely on. We believe that by balancing all the criteria above, one can provide such a model. This is what we set out to do in this paper.

By rational we mean the following: we think that we, as architects, semanticists, programmers, compiler writers, are to understand concurrent programs. Moreover we find that to do so, we are to understand some particular patterns (e.g. the message passing pattern given in Fig. 8, the very classical store buffering pattern given in Fig. 14, or the controversial load buffering pattern given in Fig. 7). We believe that by being able to explain a handful of patterns, one should be able to generalise the explanation and thus to understand a great deal of weak memory.

To make this claim formal and precise, we propose a generic model of weak memory, in axiomatic style. Each of our four axioms has a few canonical examples, that should be enough to understand the full generality of the axiom. For example, we believe
that our NO THIN AIR axiom is fully explained by the load buffering pattern of Fig. 7. Similarly our OBSERVATION axiom is fully explained by the message passing, write to read causality and Power ISA2 patterns of Fig. 8, 11 and 12 respectively.

On the modelling front, our main stylistic choices and contributions are as follows: to model the propagation of a given store instruction to several different threads, we use only one memory event per instruction (see Sec. 4), instead of several subevents (one per thread for example, as one would do in Itanium [Itanium 2002] or in the Power model of [Mador-Haim et al. 2012]). We observe that this choice makes simulation much faster (see Sec. 8).

To account for the complexity of write propagation, we introduce the novel notion of propagation order. This notion is instrumental in describing the semantics of fences for instance, and the subtle interplay between fences and coherence (see Sec. 4).

We deliberately try to keep our models concise, as we aim at describing them as simple text files that one can use as input to an automated tool (e.g. a simulation tool, or a verification tool). We note that we are able to describe IBM Power in less than a page (see Fig. 38).

Outline: we present related works in Sec. 2. We describe our new generic model of weak memory in Sec. 4, and show how to instantiate it to describe Sequential Consistency (SC) [Lamport 1979], Total Store Order (TSO) (used in Sparc [sparc 1994] and x86’s [Owens et al. 2009] architectures) and C++ restricted to release-acquire atomics.

Sec. 5 presents examples of the semantics of instructions, which are necessary to understand Sec. 6 where we explain how to instantiate our model to describe Power and ARMv7. We compare formally our Power model to the one of [Sarkar et al. 2011] in Sec. 7. To do so, we define an operational model that we show equivalent to our axiomatic model.

We then present our experiments on Power and ARM hardware in Sec. 8, detailing the anomalies that we observed on ARM hardware. We also describe our new herd simulator, which allows the user to specify the model of his choice in a concise way. Given a specification of a model, the tool becomes a simulator for that model.

Additionally, we demonstrate in the same section that our model is suited for verification by implementing it in the bounded model-checker CBMC [Clarke et al. 2004] and comparing it with the previously implemented models of [Alglave et al. 2012] and [Mador-Haim et al. 2012].

In Sec. 9 we present our mole analysis tool, which explores a piece of code to find the weak memory behaviours that it contains. We detail the data gathered by mole by analysing the C and C++ code in a Debian Linux distribution. This gives us a pragmatic perspective on the models that we present in Sec. 4. Additionally, mole may be used by programmers to identify areas of their code that may be (unwittingly) affected by weak memory, or by static analysis tools to identify areas where more fine-grained analysis may be required.

Online companion material: we provide the source and documentation of herd at http://diy.inria.fr/herd. We provide all our experimental reports w.r.t. hardware at http://diy.inria.fr/cats. We provide our Coq scripts at http://www0.cs.ucl.ac.uk/staff/j.alglave/cats. We provide the source and documentation of mole at http://diy.inria.fr/mole as well as our experimental reports w.r.t. release 7.1 of the Debian Linux distribution.

2. RELATED WORK

Our introduction echoes position papers by Burckhardt and Musuvathi [Burckhardt and Musuvathi 2008], Zappa Nardelli et al. [Zappa Nardelli et al. 2009] and Adve and Boehm [Adve and Boehm 2010].
Herding cats 5

Boehm and Adve 2012], which all formulate criteria, prescriptions or wishes as to how memory models should be defined.

Looking for general principles of weak memory, one might look at the hardware documentation: we cite Alpha [alpha 2002], ARM [arm 2003], Intel [intel 2009], Itanium [itanium 2002], IBM Power [ppc 2009] and Sun [spa 1994]. Ancestors of our SC PER LOCATION and NO THIN AIR axioms (see Sec. 4) appear notably in Sun and Alpha’s documentations.

We also refer the reader to work on modelling particular instances of weak memory, e.g. ARM [Chong and Ishtiaq 2008], TSO [Boudol and Petri 2009] or x86 [Sarkar et al. 2009; Owens et al. 2009], C++ [Boehm and Adve 2008; Batty et al. 2011], or Java [Manson et al. 2005; Cenciarelli et al. 2007]. We go back to the case of Power at the end of this section.

In the rest of this paper, we write TSO for Total Store Order, implemented in Sparc TSO [sparc 1994] and Intel x86 [Owens et al. 2009]. We write PSO for Partial Store Order and RMO for Relaxed Memory Order, two other Sparc architectures. We write Power for IBM Power [ppc 2009].

Collier [Collier 1992], Neiger [Neiger 2000], as well as Adve and Gharachorloo [Adve and Gharachorloo 1995] have provided general overviews of weak memory, but in a less formal style than one might prefer.

Steinke and Nutt provide a unified framework to describe consistency models. They choose to express their models in terms of the view order of each processor, and describe instances of their framework, amongst them several classical models such as PRAM [Lipton and Sandberg 1988] or Cache Consistency [Goodman 1989]. Meyer et al. later showed how to instantiate Steinke and Nutt’s framework to express TSO and PSO. However, it is unclear to us whether the view order method à la Steinke and Nutt is expressive enough to describe models without store atomicity, such as Power and ARM, or indeed describe them easily.

Rational models appear in Arvind and Maessen’s work, aiming at weak memory in general but applied only to TSO [Arvind and Maessen 2006], and in Batty et al.’s [Batty et al. 2013] for C++. Interestingly, Burckhardt et al.’s work on distributed systems [Burckhardt et al. 2013] [Burckhardt et al. 2014] belongs to the same trend.

Some works on weak memory provide simulation tools: the ppcmem tool of [Sarkar et al. 2011] and Boudol et al.’s [Boudol et al. 2012] implement their respective operational model of Power, whilst the cppmem tool of [Batty et al. 2011] enumerates the axiomatic executions of the associated C++ model. Mador-Haim et al.’s tool [Mador-Haim et al. 2012] does the same for their axiomatic model of Power. MemSAT has an emphasis towards the Java memory model [Tolak et al. 2010], whilst Nemos focusses on classical models such as SC or causal consistency [Yang et al. 2004], and TSOTool handles TSO [Hangal et al. 2004].

To some extent, decidability and verification papers [Gopalakrishnan et al. 2004; Burckhardt et al. 2007; Atig et al. 2010; Bouajjani et al. 2011; Atig et al. 2012; Bouajjani et al. 2013; Kuperstein et al. 2011; Liu et al. 2012; Abdulla et al. 2012; Abdulla et al. 2013] do provide some general principles about weak memory, although we find them less directly applicable to programming than semantics work. Unlike our work, most of them are restricted to TSO, or its siblings PSO and RMO, or theoretical models.

Notable exceptions are [Alglave et al. 2013] [Alglave et al. 2013] which use the generic model of [Alglave et al. 2012]. The present paper inherits some of the concepts developed in [Alglave et al. 2012]; it adopts the same style in describing executions of programs, and pursues the same goal of defining a generic model of weak memory. Moreover, we adapt the tool of [Alglave et al. 2013] to our new models, and reuse the diy testing tool of [Alglave et al. 2012] to conduct our experiments against hardware.
Yet we emphasise that the model that we present here is quite different from the model of [Alglave et al. 2012], despite the stylistic similarities: in particular [Alglave et al. 2012] did not have a distinction between the OBSERVATION and PROPAGATION axioms (see Sec. 4), which were somewhat merged into the global happens-before notion of [Alglave et al. 2012].

| model                             | style             | comments                                                                 |
|-----------------------------------|-------------------|---------------------------------------------------------------------------|
| [Adir et al. 2003]                | axiomatic         | based on discussion with IBM architects; pre-cumulative barriers          |
| [Alglave et al. 2009]             | axiomatic         | based on documentation; practically untested                             |
| [Alglave et al. 2012]             | single-event      | based on extensive testing; semantics of lwsync stronger than [Sarkar et al. 2011] on r+lwsync+sync, weaker on mp+lwsync+addr |
| [Alglave and Maranget 2011]       | axiomatic         |                                                                          |
| [Sarkar et al. 2011]              | operational       | based on discussion with IBM architects and extensive testing; flawed w.r.t. Power h/w on e.g. mp+lwsync+addr-po-detour (see Fig. [36] and [http://diy.inria.fr/cats/pldi-power/#lessvs](http://diy.inria.fr/cats/pldi-power/#lessvs)) and ARM h/w on e.g. mp+dmb+fri-rfi-ctrlsb (see [http://diy.inria.fr/cats/pldi-arm/#lessvs](http://diy.inria.fr/cats/pldi-arm/#lessvs)) |
| [Sarkar et al. 2012]              | operational       |                                                                          |
| [Mador-Haim et al. 2012]          | multi-event       | thought to be equivalent to [Sarkar et al. 2011] but not experimentally on e.g. mp+lwsync+addr-po-detour (see [http://diy.inria.fr/cats/cav-power](http://diy.inria.fr/cats/cav-power)) |
| [Boudol et al. 2012]              | operational       | semantics of lwsync stronger than [Sarkar et al. 2011] on e.g. r+lwsync+sync |
| [Alglave et al. 2013]             | operational       | equivalent to [Alglave et al. 2012]                                      |

Table I. A decade of Power models in order of publication

A decade of Power models is presented in Tab. I. Earlier work (omitted for brevity) accounted for outdated versions of the architecture. For example in 2003, Adir et al. described an axiomatic model [Adir et al. 2003], “developed through [. . . ] discussions with the PowerPC architects”, with outdated non-cumulative barriers, following the pre-PPC 1.09 PowerPC architecture.

Below, we refer to particular weak memory behaviours which serve as test cases for distinguishing different memory architectures. These behaviours are embodied by litmus tests, with standardised names in the style of [Sarkar et al. 2011], e.g. mp+lwsync+addr. All these behaviours will appear in the rest of the paper, so that the novice reader can refer to them after a first read through. We explain the naming convention in Sec. 4.

In 2009, Alglave et al. proposed an axiomatic model [Alglave et al. 2009], but this was not compared to actual hardware. In 2010, they provided another axiomatic model [Alglave et al. 2010], as part of a generic framework. This
model is based on extensive and systematic testing. It appears to be sound w.r.t. Power hardware, but its semantics for lwsync cannot guarantee the mp+lwsync+addr behaviour (see Fig. 8), and allows the r+lwsync+sync behaviour (see Fig. 16), both of which clearly go against the architectural intent (see [Sarkar et al. 2011]). This model (and the generic framework to which it belongs) has a provably equivalent operational counterpart [Alglave et al. 2013].

In 2011, Sarkar et al. [Sarkar et al. 2011] proposed an operational model in collaboration with an IBM designer, which might be taken to account for the architectural intent. Yet, we found this model to forbid several behaviours observed on Power hardware (e.g. mp+lwsync+addr-po-detour, see Fig. 36 and http://diy.inria.fr/cats/pldi-power/#essvs). Moreover, although this model was not presented as a model for ARM, it was thought to be a suitable candidate. Yet, it forbids behaviours (e.g. mp+dm+fr-fri-cfrlssb, see Fig. 82 http://diy.inria.fr/cats/pldi-arm/#essvs) that are observable on ARM machines, and claimed to be desirable features by ARM designers.

In 2012, Mador-Haim et al. [Mador-Haim et al. 2012] proposed an axiomatic model, thought to be equivalent to the one of [Sarkar et al. 2011]. Yet, this model does not forbid the behaviour of mp+lwsync+addr-po-detour (see http://diy.inria.fr/cats/cav-power), which is a counter-example to the proof of equivalence appearing in [Mador-Haim et al. 2012]. The model of [Mador-Haim et al. 2012] also suffers from the same experimental flaw w.r.t. ARM hardware as the model of [Sarkar et al. 2011].

More fundamentally, the model of [Mador-Haim et al. 2012] uses several write events to represent the propagation of one memory store to several different threads, which in effect mimics the operational transitions of the model of [Sarkar et al. 2011]. We refer to this style as multi-event axiomatic, as opposed to single-event axiomatic (as in e.g. [Alglave et al. 2010] [Alglave et al. 2012]), where there is only one event to represent the propagation of a given store instruction. Our experiments (see Sec. 8) show that this choice impairs the simulation time by up to a factor of ten.

Later in 2012, Boudol et al. [Boudol et al. 2012] proposed an operational model where the semantics of lwsync is stronger than the architectural intent on e.g. r+lwsync+sync (like Alglave et al.’s [Alglave et al. 2010]).

3. PREAMBLE ON AXIOMATIC MODELS

We give here a brief presentation of axiomatic models in general. The expert reader might want to skip this section.

Axiomatic models are usually defined in three stages. First, an instruction semantics maps each instruction to some mathematical objects. This allows us to define the control flow semantics of a multi-threaded program. Second, we build a set of candidate executions from this control-flow semantics: each candidate execution represents one particular data-flow of the program, i.e. which communications might happen between the different threads of our program. Third, a constraint specification decides which candidate executions are valid or not.

We now explain these concepts in a way that we hope to be intuitive. Later in this paper, we give the constraint specification part of our model in Sec. 4 and an outline of the instruction semantics in Sec. 5.

Multi-threaded programs, such as the one given in Fig. 1, give one sequence of instructions per thread. Instructions can come from a given assembly language instruction set, e.g. Power ISA, or be pseudo-code instructions, as is the case in Fig. 1.

In Fig. 1 we have two threads T_0 and T_1 in parallel. These two threads communicate via the two memory locations x and y, which hold the value 0 initially. On T_0 we have a store of value 1 into memory location x, followed in program order by a store of value 1 into memory location y. On T_1 we have a load of the contents of memory location y into
register \( r_1 \), followed in program order by a load of the contents of memory location \( x \) into register \( r_2 \). Memory locations, e.g. \( x \) and \( y \), are shared by the two threads, whereas the registers are private to the thread holding them, here \( T_1 \).

The snippet in Fig. 1 is at the heart of a message passing pattern, where \( T_0 \) would write some data into memory location \( x \), then set a flag in \( y \). \( T_1 \) would then check if he has the flag, then read the data in \( x \).

**Control-flow semantics** The instruction semantics, in our case, translates instructions into events, that represent e.g. memory or register accesses (i.e. reads and writes from and to memory or registers), branching decisions or fences.

Consider Fig. 2 we give a possible control-flow semantics to the program in Fig. 1 To do so, we proceed as follows: each store instruction, e.g. \( x \leftarrow 1 \) on \( T_0 \), corresponds to a write event specifying a memory location and a value, e.g. \( Wx=1 \). Each load instruction, e.g. \( r1 \leftarrow y \) on \( T_1 \) corresponds to a read event specifying a memory location and a undetermined value, e.g. \( Ry=? \). Note that the memory locations of the events are determined by the program text, as well as the values of the writes. For reads, the values will be determined in the next stage.

Additionally, we also have fictitious write events \( Wx=0 \) and \( Wy=0 \) representing the initial state of \( x \) and \( y \), that we do not depict here.

The instruction semantics also defines relations over these events, representing for example the program order within a thread, or address, data or control dependencies from one memory access to the other, via computations over register values.

Thus in Fig. 2 we also give the program order relation, written \( po \), in Fig. 1 which lifts the order in which instructions have been written to the level of events. For example, the two stores on \( T_0 \) in Fig. 1 have been written in program order, thus their corresponding events \( Wx=1 \) and \( Wy=1 \) are related by \( po \) in Fig. 2.

We are now at a stage where we have, given a program such as the one in Fig. 1 several event graphs, such as the one in Fig. 2 Each graph gives a set of events representing accesses to memory and registers, the program order between these events, including branching decisions, and the dependencies.
Data-flow semantics The purpose of this step is to define which communications, or interferences, might happen between the different threads of our program. To do so, we need to define two relations over memory events: the read-from relation $rf$, and the coherence order $co$.

![Fig. 3. One possible data-flow semantics per control-flow semantics as given in Fig. 2](image)

The read-from relation $rf$ describes, for any given read, from which write this read could have taken its value. A read-from arrow with no source, as in the top left of Fig. 2, corresponds to reading from the initial state.

For example in Fig. 3 consider the drawing at the bottom left-most corner. The read $c$ from $y$ takes its value from the initial state, hence reads the value 0. The read $d$ from $x$ takes its value from the update $a$ of $x$ by $T_0$, hence reads the value 1.

The coherence order gives the order in which all the memory writes to a given location have hit that location in memory. For example in Fig. 3 the initial write to x (not depicted) hits the memory before the write $a$ on $T_0$, by convention, hence the two writes are ordered in coherence.

We are now at a stage where we have, given a program such as the one in Fig. 1, several event graphs as given by the control-flow semantics (see Fig. 2), and for each of these, a read-from relation and a coherence order describing the communications across threads (see Fig. 3).

Note that for a given control-flow semantics there could be several suitable data-flow semantics, if for example there were several writes to $x$ with value 1 in our example; in that case there would be two possible read-from to give a value to the read of $x$ on $T_1$.

Each such object (see Fig. 3 which gathers events, program order, dependencies, read-from and coherence, is called a candidate execution. As one can see in Fig. 3 there can be more than one candidate execution for a given program.

Constraint specification Now, for each candidate execution, the constraint specification part of our model decides if this candidate represents a valid execution or not.

Traditionally, such specifications are in terms of acyclicity or irreflexivity of various combinations of the relations over events given by the candidate execution. This
means for example that the model would reject a candidate execution if this candidate contains a cycle amongst a certain relation defined in the constraint specification.

For example in Fig. 3, the constraints for describing Lamport's Sequential Consistency [Lamport, 1979] (see also Sec. 4.8) would rule out the right-most top candidate execution because the read from \( x \) on \( T_1 \) reads from the initial state, whereas the read of \( y \) on \( T_1 \) has observed the update of \( y \) by \( T_0 \).

4. A MODEL OF WEAK MEMORY

We present our axiomatic model, and show its SC and TSO instances. We also explain how to instantiate our model to produce C++ R-A, i.e. the fragment of C++ restricted to the use of release-acquire atomics. Sec. 6 presents Power.

The inputs to our model are candidate executions of a given multi-threaded program. Candidate executions can be ruled out by the four axioms of our model, given in Fig. 5.

4.1. Preliminaries

Before explaining each of these axioms, we define a few preliminary notions.

Conventions: in this paper, we use several notations on relations and orders. We denote the transitive (resp. reflexive-transitive) closure of a relation \( r \) as \( r^+ \) (resp. \( r^\ast \)). We write \( r_1 : r_2 \) for the sequence of two relations \( r_1 \) and \( r_2 \), i.e. \( (x, y) \in (r_1 \circ r_2) \iff \exists z(x, z) \in r_1 \land (z, y) \in r_2 \). We write irreducible(\( r \)) to express the irreflexivity of \( r \), i.e. \( \neg (\exists x (x, x) \in r) \). We write acyclic(\( r \)) to express its acyclicity, i.e. \( \neg (\exists x (x, x) \in r^\ast) \).

A partial order is a relation \( r \) that is transitive (i.e. \( r = r^+ \)), and irreflexive. Note that this entails that \( r \) is also acyclic. A total order is a partial order \( r \) defined over a set \( S \) that enjoys the totality property: \( \forall x \neq y \in S: (x, y) \in r \lor (y, x) \in r \).

Executions are tuples \( (E, po, rf, co) \), which consist of a set of events \( E \), giving a semantics to the instructions, and three relations over events: \( po \), \( rf \) and \( co \) (see below).

Events consist of a unique identifier (in this paper we use lower-case letters, e.g. \( a \)), the thread holding the corresponding instruction (e.g. \( T_0 \)), the line number or program counter of the instruction, and an action.

Actions are of several kinds, which we detail in the course of this paper. For now, we only consider read and write events relative to memory locations. For example for the location \( x \) we can have a read of the value 0 noted \( Rx = 0 \), or a write of the value 1, noted \( Wx = 1 \). We write \( \text{proc}(e) \) for the thread holding the event \( e \), and \( \text{addr}(e) \) for its location.

Given a candidate execution, the events are determined by the program’s instruction semantics – we give examples in Sec. 5.

Given a set of events, we write \( WR, WW, RR, RW \) for the set of write-read, write-write, read-read and read-write pairs respectively. For example \( (w, r) \in WR \) means that \( w \) is a write and \( r \) a read. We write \( po \cap WR \) for the write-read pairs in program order, and \( po \setminus WR \) for all the pairs in program order except the write-read pairs.

Relations over events: the program order \( po \) lifts the order in which instructions have been written in the program to the level of events. The program order is a total order over the memory events of a given thread, but does not order events from different threads. Note that the program order unrolls the loops and determines the branches taken.

The read-from \( rf \) links a read from a register or a memory location to a unique write to the same register or location. The value of the read must be equal to the one of the write. We write \( rf_e \) (external read-from) when the events related by \( rf \) belong to distinct
threads, i.e. \( (w, r) \in \text{rfe} \triangleq (w, r) \in \text{rf} \land \text{proc}(w) \neq \text{proc}(r) \). We write \text{rfi} for internal read-from, when the events belong to the same thread.

The \text{coherence} order \text{co} totally orders writes to the same memory location. We write \text{coi} (resp. \text{coe}) for internal (resp. external) coherence.

We derive the \text{from-read} \text{fr} from the read-from \text{rf} and the coherence \text{co}, as follows:

That is, a read \( r \) is in \text{fr} with a write \( w_1 \) (resp. \( w_2 \)) if \( r \) reads from a write \( w_0 \) such that \( w_0 \) is in the coherence order before \( w_1 \) (resp. \( w_2 \)). We write \text{fri} (resp. \text{fre}) for the internal (resp. external) from-read.

We gather all communications in \( \text{com} \triangleq \text{co} \cup \text{rf} \cup \text{fr} \). We give a glossary of all the relations which we describe in this section in Tab. II. For each relation we give its notation, its name in English, the directions (i.e. write W or read R) of the source and target of the relation (column “dirns”), where to find it in the text (column “reference”), and an informal prose description. Additionally in the column “nature”, we give a taxonomy of our relations: are they fundamental execution relations (e.g. \text{po}, \text{rf}), architectural relations (e.g. \text{ppo}), or derived (e.g. \text{fr}, \text{hb})?

\text{Reading notes:} we refer to orderings of events w.r.t. several relations. To avoid ambiguity, given a relation \( r \), we say that an event \( e_1 \) is \text{r-before} another event \( e_2 \) (or \( e_1 \) is an \text{r-predecessor} of \( e_1 \), or \( e_2 \) is \text{r-after} \( e_1 \), or \( e_2 \) is \text{r-subsequent}, etc) when \( (e_1, e_2) \in r \).

In the following we present several examples of executions, in the style of [Sarkar et al. 2011]. We depict the events of a given thread vertically to represent the program order, and the communications by arrows labelled with the corresponding relation. Fig. 4 shows a classic \text{message passing} (mp) example.

This example is a communication pattern involving two memory locations \( x \) and \( y \): \( x \) is a message, and \( y \) a flag to signal to the other thread that it can access the message.
| notation | name                  | nature | dirns  | reference                  | description                                                                                       |
|----------|-----------------------|--------|--------|----------------------------|---------------------------------------------------------------------------------------------------|
| po       | program order         | execution | any, any | §Relations over events    | instruction order lifted to events                                                                |
| rf       | read-from             | execution | WR     | §Relations over events    | links a write \( w \) to a read \( r \) taking its value from \( w \)                            |
| co       | coherence             | execution | WW     | §Relations over events    | total order over writes to the same memory location                                              |
| ppo      | preserved program order | architecture | any, any | §Architectures          | program order maintained by the architecture                                                    |
| ff       | full fence            | architecture | any, any | §Architectures          | e.g. \( \text{sync} \) on Power, \( \text{dmb} \) and \( \text{dsb} \) on ARM                  |
| lwfence, lwf | lightweight fence      | architecture | any, any | §Architectures          | e.g. \( \text{lwsync} \) on Power                                                               |
| fences   | fences                 | architecture | any, any | §Architectures          | union of some (depending on the architecture) of the fence relations, e.g. \( \text{fence} \), \( \text{lwfence} \), \( \text{cfence} \) |
| prop     | propagation            | architecture | WW     | §Architectures          | order in which writes propagate, typically enforced by fences                                    |
| po-loc   | program order         | derived | any, any | §SC PER LOCATION        | \( \{ (x, y) \mid (x, y) \in \text{po} \land \text{addr}(x) = \text{addr}(y) \} \)               |
| com      | communications         | derived | any, any | §Relations over events    | \( \text{co} \cup \text{rf} \cup \text{fr} \)                                                       |
| fr       | from-read             | derived | RW     | §Relations over events    | co-after the write \( w' \) from which \( r \) takes its value                                  |
| hb       | happens before         | derived | any, any | §NO THIN AIR             | links a read \( r \) to a write \( w' \) from which \( r \) takes its value                    |
| rdw      | read different         | derived | RR     | Fig. 27                   | two threads; first thread holds a write, second thread holds two reads                            |
| detour   | detour                 | derived | WR     | Fig. 28                   | two threads; first thread holds a write, second thread holds a write and a read                    |

Table II. Glossary of relations

\( T_0 \) writes the value 1 to memory at location \( x \) (see the event \( a \)). In program order after \( a \) (hence the po arrow between \( a \) and \( b \)), we have a write of value 1 to memory at location \( y \). \( T_1 \) reads from \( y \) (see the event \( c \)). In the particular execution shown here, this read takes its value from the write \( b \) by \( T_0 \), hence the rf arrow between \( b \) and \( a \). In program order after \( d \), we have a read from location \( x \). In this execution, we suppose that this event \( d \) reads from the initial state (not depicted), which by convention sets the values in all memory locations and registers to 0. This is the reason why the read \( d \) has the value 0. This initial write to \( x \) is, by convention, \( \text{co} \)-before the write \( a \) of \( x \) by \( T_0 \), hence we have an fr arrow between \( d \) and \( a \).

Note that, in the following, even if we do not always depict all of the program order, a program order edge is always implied between each pair of events ordered vertically below a thread id, e.g. \( T_0 \).

**Convention for naming tests:** we refer to tests following the same convention as in [Sarkar et al. 2011]. We roughly have two flavours of names: classical names, that are abbreviations of classical litmus test names appearing in the literature; and systematic names, that describe the accesses occurring on each thread of a test.
Classical patterns, such as the message passing pattern above, have an abbreviated name: mp stands for “message passing”, sb for “store buffering”, lb for “load buffering”, wrc for “write-to-read causality”, rwc for “read-to-write causality”.

When a pattern does not have a classical name from the literature, we give it a name that simply describes which accesses occur: for example 2+2w means that the test is made of two threads holding two writes each; w+rw+2w means that we have three threads: a write on a first thread, a read followed by a write on a second thread, and then two writes on a last thread.

Finally when we extend a test (e.g. rwc, “read-to-write causality”) with an access (e.g. a write) on an extra thread, we extend the name appropriately: w+rwc (see Fig. 19). We give a glossary of the test names presented in this paper in Tab. III in the order in which they appear; for each test we give its systematic name, and its classic name (i.e. borrowed from previous works) when there is one.

Note that in every test we choose the locations so that we can form a cycle in the relations of our model: for example, 2+2w has two threads with two writes each, such that the first one accesses e.g. the locations x and y and the second one accesses y and x. This precludes having the first thread accessing x and y and the second one z and y, because we could not link the locations on each thread to form a cycle.

Given a certain pattern such as mp above, we write mp+lwfence+ppo for the same pattern, but where the first thread has a lightweight fence lwfence between the two writes and the second thread maintains its two accesses in order thanks to some preserved program order mechanism (ppo, see below). We write mp+lwfences for the mp pattern with two lightweight fences, one on each thread. We sometimes specialise the naming to certain architectures and mechanisms, as in mp+lwsync+addr, where lwsync refers to Power’s lightweight fence, and addr denotes an address dependency — a particular way of preserving program order on Power.

Architectures are instances of our model. An architecture is a triple of functions (ppo, fences, prop), which specifies the preserved program order ppo, the fences fences and the propagation order prop.

The preserved program order gathers the set of pairs of events which are guaranteed not to be reordered w.r.t. the order in which the corresponding instructions have been written. For example on TSO, only write-read pairs can be reordered, so that the preserved program order for TSO is po \ WR. On weaker models such as Power or ARM, the preserved program order merely includes dependencies, for example address dependencies, when the address of a memory access is determined by the value read by a preceding load. We detail these notions, and the preserved program order for Power and ARM, in Sec. 6.

The function ppo, given an execution (E, po, co, rf), returns the preserved program order. For example, consider the execution of the message passing example given in Fig. 9. Assume that there is an address dependency between the two reads on T1. As such a dependency constitutes a preserved program order relation on Power, the ppo function would return the pair (c, d) for this particular execution.

Fences (or barriers) are special instructions which prevent certain behaviours. On Power and ARM (see Sec. 6), we distinguish between control fence (which we write cfence), lightweight fence (lwfence) and full fence (fence). On TSO there is only one fence, called mfence.

In this paper, we use the same names for the fence instructions and the relations that they induce over events. For example, consider the execution of the message pass-
| classic system | diagram | description |
|----------------|---------|-------------|
| coXY           | Fig. 6  | coherence test involving an access of kind X and an access of kind Y; X and Y can be either R (read) or W (write) |
| lb             | Fig. 7  | load buffering i.e. two threads each holding a read then a write |
| mp             | Fig. 8  | message passing i.e. two threads; first thread holds two writes, second thread holds two reads |
| wrc            | Fig. 11 | write to read causality i.e. three threads; first thread holds a write, second thread holds a read then a write, third thread holds two reads |
| isa2           | Fig. 12 | one of the tests appearing in the Power ISA documentation [ppc 2009] i.e. write to read causality prefixed by a write, meaning that the first thread holds two writes instead of just one as in the wrc case |
| 2+2w           | Fig. 13(a) | two threads holding two writes each |
| w+rw+2w        | Fig. 13(b) | three threads; first thread holds a write, second thread holds a read then a write, third thread holds two writes |
| sb             | Fig. 14 | store buffering i.e. two threads each holding a write then a read |
| rwc            | Fig. 15 | read to write causality three threads; first thread holds a write, second thread holds two reads, third thread holds a write then a read |
| r              | Fig. 16 | two threads; first thread holds two writes, second thread holds a write and a read |
| w+rwc          | Fig. 19 | read to write causality pattern rwc, prefixed by a write i.e. the first thread holds two writes instead of just one as in the rwc case |
| iriw           | Fig. 20 | independent reads of independent writes i.e. four threads; first thread holds a write, second holds two reads, third holds a write, fourth holds two reads |

Table III. Glossary of litmus test names

Assume that there is a lightweight Power fence \texttt{lwsync} between the two writes \(a\) and \(b\) on \(T_0\). In this case, we would have \((a, b) \in \texttt{lwsync}\).

The function \texttt{fences} returns the pairs of events in program order which are separated by a fence, when given an execution. For example, consider the execution of the message passing example given in Fig. 8. Assume that there is a lightweight Power fence \texttt{lwsync} between the two writes on \(T_0\). On Power, the \texttt{fences} function would thus return the pair \((a, b)\) for this particular execution.

\footnote{Note that if there is a fence “fence” between two events \(e_1\) and \(e_2\) in program order, the pair of events \((e_1, e_2)\) belongs to the eponymous relation “fence” (i.e. \((e_1, e_2) \in \texttt{fence}\)), regardless of whether the particular fence “fence” actually orders these two accesses. For example on Power, the lightweight fence \texttt{lwsync} does not order write-read pairs in program order. Now consider the execution of the store buffering idiom in Fig. 14 and assume that there is an \texttt{lwsync} between the write \(a\) and the read \(b\) on \(T_0\). In this case, we have \((a, b) \in \texttt{lwsync}\). However, the pair \((a, b)\) would not be maintained in that order by the barrier, which we model by excluding write-read pairs separated by an lwsync from the propagation order on Power (see Fig. 17 and 18). The propagation order \texttt{prop} contains \texttt{lwfence}, which on Power is defined as \texttt{lwsync} \setminus \texttt{WR} only, not \texttt{lwsync}.}
Input data: \((\text{ppo, fences, prop})\) and \((\mathbb{E}, \text{po, co, rf})\)

(SC PER LOCATION) \(\text{acyclic}(\text{po-loc} \cup \text{com})\) with

\[
\text{po-loc} \triangleq \{(x, y) \in \text{po} \land \text{addr}(x) = \text{addr}(y)\}
\]

\[
\text{fr} \triangleq \{(r, w_1) \mid \exists w_0. (w_0, r) \in \text{rf} \land (w_0, w_1) \in \text{co}\}
\]

\[
\text{com} \triangleq \text{co} \cup \text{rf} \cup \text{fr}
\]

(NO THIN AIR) \(\text{acyclic}(\text{hb})\) with

\[
\text{hb} \triangleq \text{ppo} \cup \text{fences} \cup \text{rfe}
\]

(OBSERVATION) \(\text{irreflexive}(\text{fre} \cup \text{prop} \cup \text{hb}^*)\)

(PROPAGATION) \(\text{acyclic}(\text{co} \cup \text{prop})\)

Fig. 5. A model of weak memory

The propagation order constrains the order in which writes are propagated to the memory system. This order is a partial order between writes (not necessarily to the same location), which can be enforced by using fences. For example on Power, two writes in program order separated by an \text{lwsync} barrier (see Fig. 8) will be ordered the same way in the propagation order.

We note that the propagation order is distinct from the coherence order \(\text{co}\): indeed \(\text{co}\) only orders writes to the same location, whereas the propagation order can relate writes with different locations through the use of fences. However both orders have to be compatible, as expressed by our \text{PROPAGATION} axiom, which we explain next (see Fig. 5 and Fig. 13(a)).

The function \(\text{prop}\) returns the pairs of writes ordered by the propagation order, given an execution. For example, consider the execution of the message passing example given in Fig. 8. Assume that there is a lightweight Power fence \text{lwsync} between the two writes on \(T_0\). On Power, the presence of this fence forces the two writes to propagate in the order in which they are written on \(T_0\). The function \(\text{prop}\) would thus return the pair \((a, b)\) for this particular execution.

4.2. Axioms of our framework

We can now explain the axioms of our model (see Fig. 5). For each example execution that we present in this section, we write in the caption of the corresponding figure whether it is allowed or forbidden by our model.

4.3. SC PER LOCATION

\text{SC PER LOCATION} ensures that the communications \(\text{com}\) cannot contradict \(\text{po-loc}\) (program order between events relative to the same memory location), i.e. \(\text{acyclic}(\text{po-loc} \cup \text{com})\). This requirement forbids exactly the five patterns (as shown in [Alglave 2010 A.3 p. 184]) given in Fig. 6.

The pattern \(\text{coWW}\) forces two writes to the same memory location \(x\) in program order to be in the same order in the coherence order \(\text{co}\). The pattern \(\text{coRW1}\) forbids a read from \(x\) to read from a \(\text{po}\)-subsequent write. The pattern \(\text{coRW2}\) forbids the read \(a\) to read from a write \(c\) which is \(\text{co}\)-after a write \(b\), if \(b\) is \(\text{po}\)-after \(a\). The pattern \(\text{coWR}\) forbids a read \(b\) to read from a write \(c\) which is \(\text{co}\)-before a previous write \(a\) in program order. The pattern \(\text{coRR}\) imposes that if a read \(b\) reads from a write \(a\), all subsequent
reads in program order from the same location (e.g. the read c) read from a or a co-successor write.

4.4. NO THIN AIR

NO THIN AIR defines a happens-before relation, written hb, defined as ppo ∪ fences ∪ rfe, i.e. an event e1 happens before another event e2 if they are in preserved program order, or there is a fence in program order between them, or e2 reads from e1.

NO THIN AIR requires the happens-before relation to be acyclic, which prevents values from appearing out of thin air. Consider the load buffering pattern (lb+ppos) in Fig. 7.

Fig. 6. The five patterns forbidden by SC PER LOCATION

Fig. 7. The load buffering pattern lb with ppo on both sides (forbidden)

T0 reads from x and writes to y, imposing (for example) an address dependency between the two accesses, so that they cannot be reordered. Similarly T1 reads from y and (dependently) writes to x. NO THIN AIR ensures that the two threads cannot communicate in a manner that creates a happens-before cycle, with the read from x on T0 reading from the write to x on T1, whilst T1 reads T0’s write to y.

Using the terminology of [Sarkar et al. 2011], we say that a read is satisfied when it binds its value; note that the value is not yet irrevocable. It becomes irrevocable
when the read is *committed*. We say that a write is *committed* when it makes its value available to other threads.

Our happens-before relation orders the point in time where a read is satisfied, and the point in time where a write is committed.

The pattern above shows that the ordering due to happens-before applies to any architecture that does not speculate values read from memory (i.e. values written by external threads as opposed to the same thread as the reading thread), nor allows speculative writes (e.g. in a branch) to send their value to other threads.

Indeed, in such a setting, a read such as the read $a$ on $T_0$ can be satisfied from an external write (e.g. the write $d$ on $T_1$) only after this external write has made its value available to other threads, and its value is irrevocable.

Our axiom forbids this pattern regardless of the method chosen to maintain the order between the read and the write on each thread: address dependencies on both (lb+addr), a lightweight fence on the first and an address dependency on the second (lb+lwfence+addr), two full fences (lb+ffences). If however one or both pairs are not maintained, the pattern can happen.

### 4.5. Observation

**Observation** constrains the value of reads. If a write $a$ to $x$ and a write $b$ to $y$ are ordered by the propagation order $prop$, and if a read $c$ reads from the write of $y$, then any read $d$ from $x$ which happens after $c$ (i.e. $(c, d) \in hb$) cannot read from a write that is co-before the write $a$ (i.e. $(d, a) \notin fr$).

#### 4.5.1. Message passing (mp)

A typical instance of this pattern is the message passing pattern (mp+lwfence+ppo) given in Fig. 8.

| $T_0$ | $T_1$ |
|-------|-------|
| $a$: W$x$=1 | $c$: R$y$=1 |
| lwf | ppo |
| $b$: W$y$=1 | $d$: R$x$=0 |

**Fig. 8.** The message passing pattern mp with lightweight fence and ppo (forbidden)

$T_0$ writes a message in $x$, then sets up a flag in $y$, so that when $T_1$ sees the flag (via its read from $y$), it can read the message in $x$. For this pattern to behave as intended, following the message passing protocol described above, the write to $x$ needs to be propagated to the reading thread before the write to $y$.

TSO guarantees it, but Power or ARM need at least a lightweight fence (e.g. lwsync on Power) between the writes. We also need to ensure that the two reads on $T_1$ stay in the order in which they have been written, e.g. with an address dependency.

The protocol would also be ensured with a full fence on the writing thread (mp+ffence+addr), or with two full fences (mp+ffences).

More precisely, our model assumes that a full fence is at least as powerful as a lightweight fence. Thus the behaviours forbidden by the means of a lightweight fence are also forbidden by the means of a full fence. We insist on this point since, as we shall see, our ARM model does not feature any lightweight fence. Thus when reading
From a micro-architectural standpoint, fences order the propagation of writes to other threads. A very naive implementation can be by locking a shared bus; modern systems feature more sophisticated protocols for ordering write propagation.

By virtue of the fence, the writes to \( x \) and \( y \) on \( T_0 \) should propagate to \( T_1 \) in the order in which they are written on \( T_0 \). Since the reads \( c \) and \( d \) on \( T_1 \) are ordered by ppo (e.g. an address dependency), they should be satisfied in the order in which they are written on \( T_1 \). In the scenario depicted in Fig. 8, \( T_1 \) reads the value 1 in \( y \) (see the read event \( c \)) and the value 0 in \( x \) (see the read event \( d \)). Thus \( T_1 \) observes the write \( a \) to \( x \) after the write \( b \) to \( y \). This contradicts the propagation order of the writes \( a \) and \( b \) enforced by the fence on \( T_0 \).

We note that the Alpha architecture\(^{\text{alpha 2002}}\) allows the pattern mp+fence+addr (a specialisation of Fig. 8). Indeed some implementations feature more than one memory port per processor, e.g. by the means of a split cache\(^{\text{Howells and MacKenney 2013}}\).

Thus in our mp pattern above, the values written on \( x \) and \( y \) by \( T_0 \) could reach \( T_1 \) on different ports. As a result, although the address dependency forces the reads \( c \) and \( d \) to be satisfied in order, the second read may read a stale value of \( x \), while the current value of \( x \) is waiting in some queue. One could counter this effect by synchronising memory ports.

4.5.2. Cumulativity

To explain a certain number of the following patterns, we need to introduce the concept of cumulativity.

We consider that a fence has a cumulative effect when it ensures a propagation order not only between writes on the fencing thread (i.e. the thread executing the fence), but also between certain writes coming from threads other than the fencing thread.

![Fig. 9. Cumulativity of fences](image)

**A-cumulativity** More precisely, consider a situation as shown on the left of Fig. 9. We have a write \( a \) to \( x \) on \( T_0 \), which is read by the read \( b \) of \( x \) on \( T_1 \). On \( T_1 \) still, we have an access \( e \) in program order after \( b \). This event \( e \) could be either a read or a write event; it is a write \( c \) in Fig. 9. Note that \( b \) and \( e \) are separated by a fence.

We say that the fence between \( b \) and \( e \) on \( T_1 \) is **A-cumulative** when it imposes that the read \( b \) is satisfied before \( e \) is either committed (if it is a write) or satisfied (if it is a read). Note that for \( b \) to be satisfied, the write \( a \) on \( T_0 \) from which \( b \) reads must have been propagated to \( T_1 \), which enforces an ordering between \( a \) and \( e \). We display this ordering in Fig. 9 by the mean of a thicker arrow from \( a \) to \( c \).
The vendors documentations describe A-cumulativity as follows. On Power, quoting \cite{ppc2009} Book II, Sec. 1.7.1: “[the group] A of \( T_1 \) includes all \(...\) accesses by any \(...\) processor \(...\) [e.g. \( T_0 \)] that have been performed with respect to \( T_1 \) before the memory barrier is created.” We interpret “performed with respect to \( T_1 \)” as a write (e.g. the write \( a \) on the left of Fig. \ref{fig:9}) having been propagated to \( T_1 \) and read by \( T_1 \) such that the read is po-before the barrier.

On ARM, quoting \cite{ARM2009} Sec. 4: “[the] group A of \( T_1 \) contains: All explicit memory accesses \(...\) from observers \(...\) [e.g. \( T_0 \)] that are observed by \( T_1 \) before the dmb instruction.” We interpret “observed by \( T_1 \)” on ARM as we interpret “performed with respect to \( T_1 \)” on Power (see paragraph above).

\begin{figure}[h]
\centering
\begin{tabular}{cccc}
  \( T_0 \) & \( T_1 \) & \( T_0 \) & \( T_1 \) & \( T_2 \) \\
  a: Wx=1 & a': Rx=1 & b: Ry=0 & c: Rx=0 & c: Rx=0 \\
  \( \text{fr} \) & \( \text{fr} \) & \( \text{fr} \) & \( \text{fr} \) & \\
  b: Ry=0 & c: Rx=0 & b: Ry=0 & c: Rx=0 & \\
\end{tabular}
\caption{Strong A-cumulativity of fences}
\end{figure}

\textbf{Strong A-cumulativity} Interestingly, the ARM documentation does not stop there, and includes in the group A “all loads \(...\) from observers \(...\) [e.g. \( T_1 \)] that have been observed by any given observer [e.g. \( T_0 \), \(...\) before \( T_0 \) has performed a memory access that is a member of group A.”

Consider the situation on the left of Fig. \ref{fig:10} We have the read \( c \) on \( T_1 \) which reads from the initial state for \( x \), thus is fr-before the write \( a \) on \( T_0 \). The write \( a \) is po-before a read \( b \), such that \( a \) and \( b \) are separated by a full fence. In that case, we count the read \( c \) as part of the group A of \( T_0 \). This enforces a (strong) A-cumulativity ordering from \( c \) to \( b \), which we depict with a thicker arrow.

Similarly, consider the situation on the right of Fig. \ref{fig:10} The only difference with the left of the figure is that we have one more indirection between the read \( c \) of \( x \) and the read \( b \) of \( y \), via the rf between \( a \) and \( a' \). In that case too we count the read \( c \) as part of the group A of \( T_1 \). This enforces a (strong) A-cumulativity ordering from \( c \) to \( b \), which we depict with a thicker arrow.

We take strong A-cumulativity into account only for full fences (i.e. \texttt{sync} on Power and \texttt{dmb} and \texttt{dsb} on ARM). We reflect this in Fig. \ref{fig:18} in the second disjunct of the definition of the \texttt{prop} relation (\texttt{com}; \texttt{prop-base}; \texttt{ffence}; \texttt{hb}).

\textbf{B-cumulativity} Consider now the situation shown on the right of Fig. \ref{fig:9} On \( T_0 \), we have an access \( e \) (which could be either a read or a write event) in program order before a write \( b \) to \( y \). Note that \( e \) and \( b \) are separated by a fence. On \( T_1 \) we have a read \( c \) from \( y \), which reads the value written by \( b \).

We say that the fence between \( e \) and \( b \) on \( T_0 \) is \textbf{B-cumulative} when it imposes that \( e \) is either committed (if it is a write) or satisfied (if it is a read) before \( b \) is committed. Note that the read \( c \) on \( T_1 \) can be satisfied only after the write \( b \) is committed and propagated to \( T_1 \), which enforces an ordering from \( e \) to \( c \). We display this ordering in Fig. \ref{fig:9} by the mean of a thicker arrow from \( a \) to \( c \).
This B-cumulativity ordering extends to all the events that happen after \( c \) (i.e. are \( \text{hb}-after \ c \)), such as the write \( d \) on \( T_1 \), the read \( e \) on \( T_2 \) and the write \( f \) on \( T_2 \). In Fig. 9 we display all these orderings via thicker arrows.

The vendors’ documentations describe B-cumulativity as follows. On Power, quoting [ppc 2009, Book II, Sec. 1.7.1]: “(the group) B [of \( T_0 \)] includes all […] accesses by any […] processor […] that are performed after a load instruction [such as the read \( c \) on the right of Fig. 9] executed by \( T_0 \) […] has returned the value stored by a store that is in B [such as the write \( b \) on the right of Fig. 9].” On the right of Fig. 9 this includes for example the write \( d \). Then the write \( d \) is itself in the group B, and observed by the read \( e \), which makes the write \( f \) part of the group B as well.

On ARM, quoting [ARM 2009, Sec. 4]: “[the] group B [of \( T_0 \)] contains [a]ll […] accesses […] by \( T_0 \) that occur in program order after the dmb instruction. […]” On the right of Fig. 9 this mean the write \( b \).

Furthermore, ARM’s group B contains “[a]ll […] accesses […] by any given observer [e.g. \( T_1 \)] […] that can only occur after \( T_1 \) has observed a store that is a member of group B.” We interpret this bit as we did for Power’s group B.

### 4.5.3. Write to read causality (wrc)

This pattern (wrc+lwfence+ppo, given in Fig. 11) illustrates the A-cumulativity of the lightweight fence on \( T_1 \), namely the rfe: fences fragment of the definition illustrated in Fig. 9 above.

\[
\begin{align*}
\text{T}_0 & \quad \text{T}_1 \quad \text{T}_2 \\
\text{a: } Wx=1 & \quad \text{b: } Rx=1 & \quad \text{d: } Ry=1 \\
& \quad \text{c: } Wy=1 & \quad \text{e: } Rx=0 \\
\text{wrc}+\text{lwfence}+\text{ppo}
\end{align*}
\]

Fig. 11. The write-to-read causality pattern wrc with lightweight fence and ppo (forbidden)

There are now two writing threads, \( T_0 \) writing to \( x \) and \( T_1 \) writing to \( y \) after reading the write of \( T_0 \). TSO still enforces this pattern without any help. But on Power and ARM we need to place (at least) a lightweight fence on \( T_1 \) between the read of \( T_0 \) (the read \( b \) from \( x \)) and the write \( c \) to \( y \). The barrier will force the write of \( x \) to propagate before the write of \( y \) to \( T_2 \) even if the writes are not on the same thread.

A possible implementation of A-cumulative fences, discussed in [Gharachorloo et al., Sec. 6], is to have the fences not only wait for the previous read (a in Fig. 11) to be satisfied, but also for all stale values for \( x \) to be eradicated from the system, e.g. the value 0 read by \( e \) on \( T_2 \).

### 4.5.4. Power ISA2 (isa2)

This pattern (isa2+lwfence+ppos, given in Fig. 12), distributes the message passing pattern over three threads like wrc+lwfence+ppo, but keeping the writes to \( x \) and \( y \) on the same thread.

Once again TSO guarantees it without any help, but Power and ARM need a lightweight fence between the writes, and (for example) an address or data dependency between each pair of reads (i.e. on both \( T_1 \) and \( T_2 \)).

Thus on Power and ARM, the pattern isa2+lwfence+ppos illustrates the B-cumulativity of the lightweight fence on \( T_0 \), namely the fences:hb” fragment of the definition of cumul illustrated in Fig. 9.
4.6. Propagation

Propagation constrains the order in which writes to memory are propagated to the other threads, so that it does not contradict the coherence order, i.e. acyclic(co ∪ prop).

On Power and ARM, lightweight fences sometimes constrain the propagation of writes, as we have seen in the cases of mp (see Fig. 8), wrc (see Fig. 11) or isa2 (see Fig. 12). They can also, in combination with the coherence order, create new ordering constraints.

The 2+2w+lwsync pattern (given in Fig. 13(a)) is for us the archetypal illustration of coherence order and fences interacting to yield new ordering constraints. It came as a surprise when we proposed it to our IBM contact, as he wanted the lightweight fence to be as lightweight as possible, for the sake of efficiency. However the pattern is acknowledged to be forbidden. By contrast and as we shall see below, other patterns (such as the r pattern in Fig. 16) that mix the co communication with fr require full fences to be forbidden.

The w+rw+2w+lwfences pattern in Fig. 13(b) distributes 2+2w+lwfences over three threads. This pattern is to 2+2w+lwfences what wrc is to mp. Thus, just as in the case of mp and wrc, the lightweight fence plays an A-cumulative role, which ensures that the two patterns 2+2w and w+rw+2w respond to the fence in the same way.

On TSO, every relation contributes to the propagation order (see Fig. 21), except the write-read pairs in program order, which need to be fenced with a full fence (mfence on TSO). Consider the store buffering (sb+fences) pattern given in Fig. 14.

We need a full fence on each side to prevent the reads b and d from reading the initial state.
The pattern sb without fences being allowed, even on x86-TSO, is perhaps one of the most well-known examples of a relaxed behaviour. It can be explained by writes being first placed into a thread-local store buffer, and then carried over asynchronously to the memory system. In that context, the effect of a (full) fence can be described as flushing the store buffer. Of course, on architectures more relaxed than TSO, the full fence has more work to do, e.g. cumulativity duties (as illustrated by the iriw example given in Fig. 20).

On Power, the lightweight fence lwsync does not order write-read pairs in program order. Hence in particular it is not enough to prevent the sb pattern; one needs to use a full fence on each side. The sb idiom, and the following rwc idiom, are instances of the strong A-cumulativity of full fences.

The read-to-write causality pattern rwc+fences (see Fig. 15) distributes the sb pattern over three threads with a read b from x between the write a of x and the read c of y. It is to sb what wrc is to mp, thus responds to fences in the same way as sb. Hence it needs two full fences too. Indeed, a full fence is required to order the write a

and the read c, as lightweight fences do not apply from writes to reads. The full fence on T1 provides such an order, not only on T1, but also by (strong) A-cumulativity from the write a on T1 to the read c on T1, as the read b on T1 that reads from the write a, po-precedes the fence.

The last two patterns, r+fences and s+lwfence+ppo (Fig. 16) illustrate the complexity of combining coherence order and fences. In both patterns, the thread T0 writes to x (event a) and then to y (event b). In the former pattern r+fence, T1 writes to y and reads from x. A full fence on each thread forces the write a to x to propagate to T1 before the write b to y. Thus if the write b is co-before the write c on T1, the read d of x on T1 cannot read from a write that is co-before the write a. By constrast, in the latter
Herding cats

pattern s+lwfence+ppo, \( T_1 \) reads from \( y \), reading the value stored by the write \( b \), and then writes to \( x \). A lightweight fence on \( T_0 \) forces the write \( a \) to \( x \) to propagate to \( T_1 \) before the write \( b \) to \( y \). Thus, as \( T_1 \) sees the write \( b \) by reading its value (read \( c \)) and as the write \( d \) is forced to occur by a dependency (ppo) after the read \( c \), that write \( d \) cannot co-precede the write \( a \).

\[
\begin{array}{llll}
T_0 & T_1 \\
\text{a: } Wx=1 & \text{c: } Wy=2 \\
\text{b: } Wy=1 & \text{d: } Rx=0 \\
r+S+ffences & \text{ff} & \text{ff} & \text{ff} \\
\text{s+lwfence+ppo} & \text{co} & \text{co} & \text{co}
\end{array}
\]

Fig. 16. The patterns \( r \) with full fences and \( s \) with lightweight fence and ppo (both forbidden)

Following the architect’s intent, inserting a lightweight fence \( lwsync \) between the writes \( a \) and \( b \) does not suffice to forbid the \( r \) pattern on Power. It comes in sharp contrast with, for instance, the mp pattern (see Fig. 8) and the \( s \) pattern, where a lightweight fence suffices. Thus the interaction between (lightweight) fence order and coherence order is quite subtle, as it does forbid \( 2+2w \) and \( s \), but not \( r \). For completeness, we note that we did not observe the \( r+lwsync+sync \) pattern on Power hardware.

4.7. Fences and propagation on Power and ARM

Recall that architectures provides special instructions called fences to prevent some weak behaviours.

We summarise the fences and propagation order for Power and ARM in Fig. 17 and 18. Note that the control fences (\text{isync} for Power and \text{isb} for ARM) do not contribute to the propagation order. They contribute to the definition of preserved program order, as explained in Sec. 5 and 6.

\[
\begin{array}{llll}
\text{Power} & \text{ffence} & \triangleq & \text{sync} \\
& \text{lwfence} & \triangleq & \text{lwsync} \setminus \text{WR} \\
& \text{cfence} & \triangleq & \text{isync} \\
\text{ARM} & \text{ffence} & \triangleq & \text{dmb} \cup \text{dsb} \\
& \text{lwfence} & \triangleq & \emptyset \\
& \text{cfence} & \triangleq & \text{isb}
\end{array}
\]

Fig. 17. Fences for Power and ARM

\[
\begin{array}{llll}
\text{hb} & \triangleq & \text{ppo} \cup \text{fences} \cup \text{rfe} \\
& \text{fences} & \triangleq & \text{lwfence} \cup \text{ffence} \\
& \text{A-cumul} & \triangleq & \text{rfe}; \text{fences} \\
& \text{prop-base} & \triangleq & (\text{fences} \cup \text{A-cumul}); \text{hb}^* \\
& \text{prop} & \triangleq & (\text{prop-base} \cap \text{WW}) \cup (\text{com}^*; \text{prop-base}^*; \text{fence}; \text{hb}^*)
\end{array}
\]

Fig. 18. Propagation order for Power and ARM
Fence placement is the problem of automatically placing fences between events to prevent undesired behaviours. For example, the message passing pattern mp in Fig. 8 can be prevented by placing fences between events a and b in T₀ and events c and d in T₁ in order to create a forbidden cycle.

This problem has already been studied in the past, but for TSO and its siblings PSO and RMO (see e.g. [Kuperstein et al. 2010; Bouajjani et al. 2011; Liu et al. 2012; Bouajjani et al. 2013] or for previous versions of the Power model (see e.g. [Alglave and Maranget 2011]).

We emphasise how easy fence placement becomes, in the light of our new model. We can read them off the definitions of the axioms and of the propagation order. Placing fences essentially amounts to counting the number of communications (i.e. the relations in $\text{com}$) involved in the behaviour that we want to forbid.

To forbid a behaviour that involves only read-from (rf) communications, or only one from-read (fr) and otherwise rf communications, one can resort to the OBSERVATION axiom, using the $\text{prop-base}$ part of the propagation order. Namely to forbid a behaviour of the mp (see Fig. 8), wrc (see Fig. 11) or isa2 (see Fig. 12) type, one needs a lightweight fence on the first thread, and some preserved program order mechanisms on the remaining threads.

If coherence (co) and read-from (rf) are the only communications involved, one can resort to the PROPAGATION axiom, using the $\text{prop-base}$ part of the propagation order. Namely to forbid a behaviour of the $2+2w$ (see Fig. 13(a)) or $w+rw+2w$ (see Fig. 13(b)) type, one needs only lightweight fences on each thread.

If more than one from-read (fr) occurs, or if the behaviour involves both coherence (co) and from-read (fr) communications, one needs to resort to the part of the propagation order that involves the full fence (indeed that is the only part of the propagation order that involves $\text{com}$). Namely to forbid behaviours of the type sb (see Fig. 14), rwc (see Fig. 15) or r (see Fig. 16), one needs to use full fences on each thread.

Power's eieio and ARM's dmb.st and dsb.st: we make two additional remarks, not reflected in the figures, about write-write barriers, namely the eieio barrier on Power, and the dmb.st and dsb.st barriers on ARM.

On Power, the eieio barrier only maintains write-write pairs, as far as ordinary (Memory Coherence Required) memory is concerned [ppc 2009, p. 702]. We demonstrate (see http://diy.inria.fr/cats/power-eieio/) that eieio cannot be a full barrier, as this option is invalidated by hardware. For example the following $w+rwc+eieio+addr+sync$ pattern (see Fig. 19) would be forbidden if eieio was a full barrier, yet is observed on Power 6 and Power 7 machines. Indeed this pattern involves two from-reads (fr), in which case our axioms require us to resort to the full fence part of the propagation order. Thus we take eieio to be a lightweight barrier that maintains only write-write pairs.

![Fig. 19. The pattern w+rwc with eieio, address dependency and full fence (allowed)](image-url)
The ARM architecture features the `dmb` and `dsb` fences. ARM documentation [ARM 2009] forbids `iriw+dmb` (see Fig. 20). Hence `dmb` is a full fence, as this behaviour involves two from-reads (`fr`), and thus needs full fences to be forbidden.

![Diagram](https://diy.inria.fr/cats/arm-st-fences)

**Fig. 20.** The independent reads from independent writes pattern `iriw` with full fences (forbidden)

The ARM documentation also specifies `dsb` to behave at least as strongly as `dmb` [ARM 2008, p. A3-49]: "A `dsb` behaves as a `dmb` with the same arguments, and also has [...] additional properties [...]". Thus we take both `dmb` and `dsb` to be full fences.

We remark that this observation and our experiments (see Sec. 8) concern memory litmus tests only; we do not know whether `dmb` and `dsb` differ (or indeed should differ) when out-of-memory communication (e.g. interrupts) comes into play.

Finally, the ARM architecture specifies that, when suffixed by `.st`, ARM fences operate on write-to-write pairs only. It remains to be decided whether the resulting `dmb.st` and `dsb.st` fences are lightweight fences or not. In that aspect ARM documentation does not help much, nor do experiments on hardware, as all our experiments are compatible with both alternatives (see http://diy.inria.fr/cats/arm-st-fences). Thus we choose simplicity and consider that `.st` fences behave as their unsuffixed counterparts, but limited to write-to-write pairs. In other words, we assume that the ARM architecture makes no provision for some kind of lightweight fence, unlike Power which provides with `lwsync`.

Formally, to account for `.st` fences being full fences limited to write-to-write pairs, we would proceed as follows. In Fig. 17 for ARM, we would extend the definition of `ffence` to `dmb ∪ dsb ∪ (dmb.st ∩ WW) ∪ (dsb.st ∩ WW)`. Should the option of `.st` fences being lightweight fences be preferred (thereby allowing for instance the pattern `w+rw+dsb+addr+dmb` of Fig. 19), one would instead define `lfence` as `(dmb.st ∩ WW) ∪ (dsb.st ∩ WW)` in Fig. 17 for ARM.

### 4.8. Some instances of our framework

We now explain how we instantiate our framework to produce the following models: Lamport’s Sequential Consistency [Lamport 1979] (SC), Total Store Order (TSO), used in Sparc [sparc 1994] and x86’s [Owens et al. 2009] architectures, and C++ R-A, i.e. C++ restricted to the use of release-acquire atomics [Batty et al. 2011, Batty et al. 2013].

SC and x86-TSO are described in our terms on top of Fig. 21, which gives their preserved program order, fences and propagation order.

We show that these instances of our model correspond to SC and TSO:

**Lemma 4.1.** Our model of SC as given in Fig. 21 is equivalent to Lamport’s SC [Lamport 1979]. Our model of TSO as given in Fig. 21 is equivalent to Sparc TSO [sparc 1994].
Fig. 21. Definitions of SC, TSO and C++ R-A

PROOF. An execution \((E, po, co, rf)\) is valid on SC (resp. TSO) iff \(\text{acyclic}(po \cup co)\) (resp. \(\text{acyclic}(po \cup co \cup rf \cup fr \cup \text{fences})\)) (all relations defined as in Fig. 21) by [Alglave 2012, Def. 21, p. 203] (resp. [Alglave 2012, Def. 23, p. 204].)

C++ R-A, i.e. C++ restricted to the use of release-acquire atomics, appears at the bottom of Fig. 21 in a slightly stronger form than the current standard prescribes, as detailed below.

We take the \(\text{sequenced before} \) relation \(sb\) of [Batty et al. 2011] to be the preserved program order, and the fences to be empty. The happens-before relation \(hb \triangleq sb \cup rf\) is the only relation contributing to propagation, i.e. \(\text{prop} = hb^+\). We take the modification order \(mo\) of [Batty et al. 2011] to be our coherence order.

The work of [Batty et al. 2013] shows that C++ R-A is defined by three axioms:

1. \(\text{ACYCLICITY}\), i.e. \(\text{acyclic}(hb)\) (which immediately corresponds to our \(\text{NO THIN AIR}\) axiom); COWR, i.e. \(\forall r. (\exists (w_1, w_2), \ (w_1, w_2) \in r \land (w_1, r) \in rf \land (w_2, r) \in hb^+)\) (which corresponds to our \(\text{OBSERVATION}\) axiom by definition of \(fr\) and since \(prop = hb^+\) here); and HBVSMO, i.e. irreflexive\((hb^+; mo)\). Our SC PER LOCATION is implemented by HBVSMO for the coWW case, and the eponymous axioms for the coWR, coRW, coRR cases.

Thus C++ R-A corresponds to our version, except for the HBVSMO axiom, which requires the irreflexivity of \(hb^+; mo\), whereas we require its acyclicity via the axiom PROPAGATION. To adapt our framework to C++ R-A, one simply needs to weaken the PROPAGATION axiom to irreflexive\((prop; co)\).

4.9. A note on the genericity of our framework
We remark that our framework is, as of today, not as generic as it could be, for several reasons that we explain below.

Types of events For a given event (e.g. read, write or barrier), we handle only one type of this event. For example we can express C++ when all the reads are acquire and all the writes are release, but nothing more. As of today, we could not express a model where some writes can be relaxed writes (in the C++ sense), and others can be release writes. To embrace models with several types of accesses, e.g. C++ in its entirety, we would need to extend the expressivity of our framework. We hope to investigate this extension in future work.

Choice of axioms We note that our axiom SC PER LOCATION might be perceived as too strong, as it forbids load-load hazard behaviours (see coRR in Fig. 6). This pattern was indeed officially allowed by Sparc RMO [sparc 1994] and pre-Power 4 machines [tdf 2002].

Similarly, the \(\text{NO THIN AIR}\) axiom might be perceived as controversial, as several software models, such as Java or C++, allow certain lb patterns (see Fig. 7).
We also have already discussed, in the section just above, how the PROPAGATION axiom needs to be weakened to reflect C++ R-A accurately.
Yet we feel that this is much less of an issue than having only one type of events. Indeed one can very simply disable the NO THIN AIR check, or restrict the SC PER LOCATION check so that it allows load-load hazard (see for example [Alglave 2012 Sec. 5.1.2]), or weaken the PROPAGATION axiom (as we do above).
Rather than axioms set in stone, that we would declare as the absolute truth, we present here some basic bricks from which one can build a model at will. Moreover, our new herd simulator (see Sec. 8.3) allows the user to very simply and quickly modify the axioms of his model, and re-run his tests immediately, without to have to dive into the code of the simulator. This makes the cost of experimenting with several different variants of a model, or fine-tuning a model, much less high. We give a flavour of such experimentations and fine-tuning in our discussion about the ARM model (see for example Tab. V.)

5. INSTRUCTION SEMANTICS
In this section, we specialise the discussion to Power, to make the reading easier. Before presenting the preserved program order for Power, given in Fig. [25] we need to define dependencies. We borrow the names and notations of [Sarkar et al. 2011] for more consistency.

To define dependencies formally, we need to introduce some more possible actions for our events. In addition to the read and write events relative to memory locations, we can now have:
— read and write events relative to registers, e.g. for the register \( r \) we can have a read of the value 0, noted \( Rr=0 \), or a write of the value 1, noted \( Wr=1 \);
— branching events, which represent the branching decisions being made;
— fence events, e.g. \( lwfence \).

Note that in general a single instruction can involve several accesses, for example, to registers. Events coming from the same instruction can be related by the relation \( iico \) (intra-instruction causality order). We give examples of such a situation below.

5.1. Semantics of instructions
We now give examples of the semantics of instructions. We do not intend to be exhaustive, but rather to give the reader enough understanding of the memory, register, branching and fence events that an instruction can generate, so that we can define dependencies w.r.t. these events in due course. We use Power assembly syntax [ppc 2009].

Here is the semantics of a load “\( lwz \ r2,0(r1) \)” with \( r1 \) holding the address \( x \), assuming that \( x \) contains the value 0. The instruction reads the content of the register \( r1 \), and finds there the memory address \( x \); then (following \( iico \)) it reads \( x \), and finds there the value 0. Finally, it writes this value into register \( r2 \):

```
  a: Rx=0
  b: Rr1=x
  c: Wr2=0
```

load
Here is the semantics of a store \( \text{stw} \ r1,0(r2) \) with \( r1 \) holding the value 1 and \( r2 \) holding the address \( x \). The instruction reads the content of the register \( r2 \), and finds there the memory address \( x \). In parallel, it reads the content of the register \( r1 \), and finds there the value 1. After (in iico) these two events, it writes the value 1 into memory address \( x \):

\[
\begin{align*}
\text{c: } & Rr2 = x \\
\text{b: } & Rr1 = 1 \\
\text{a: } & Wx = 1
\end{align*}
\]

Here is the semantics of a \textcolor{red}{“sync”} fence, simply an eponymous event:

\[
\begin{align*}
\text{a: } & \text{sync}
\end{align*}
\]

Here is the semantics for a branch \textcolor{red}{“bne L0”}, which branches to the label \( L0 \) if the value of a special register (the Power ISA specifies it to be register \( \text{CR0} \) \cite[Chap. 2, p. 35]{ppc2009}) is not equal to 0 (\textcolor{red}{“bne”} stands for “branch if not equal”). Thus the instruction reads the content of \( \text{CR0} \), and emits a branching event. Note that it emits the branching event regardless of the value of \( \text{CR0} \), just to signify that a branching decision has been made:

\[
\begin{align*}
\text{a: } & \text{RCR0} = 0 \\
\text{b: } & \text{branch}
\end{align*}
\]

Here is the semantics for a \textcolor{red}{“xor r9,r1,r1”}, which takes the bitwise xor of the value in \( r1 \) with itself and puts the result into the register \( r9 \). The instruction reads (twice) the value in the register \( r1 \), takes their xor, and writes the result (necessarily 0) in \( r9 \):

\[
\begin{align*}
\text{b: } & \text{Rr1} = 1 \\
\text{a: } & \text{Rr1} = 1 \\
\text{c: } & \text{Wr9} = 0
\end{align*}
\]

Here is the semantics for a comparison \textcolor{red}{“cmpwi r1, 1”}, which compares the value in register \( r1 \) with 1. The instruction writes the result of the comparison (2 encodes equality) into the special register \( \text{CR0} \) (the same that is used by branches to make branching decisions). Thus the instruction reads the content of \( r1 \), then writes to \( \text{CR0} \) accordingly:

\[
\begin{align*}
\text{a: } & \text{Rr1} = 1 \\
\text{b: } & \text{Rr1} = 1
\end{align*}
\]
Here is the semantics for an addition “add r9,r1,r1”, which reads the value in register r1 (twice) and writes the sum into register r9:

5.2. Dependencies
We can now define dependencies formally, in terms of the events generated by the instructions involved in implementing a dependency. We borrow the textual explanations from [Sarkar et al. 2011].

In Fig. 22, we give the definitions of address (addr), data (data), control (ctrl) and control+cfence (ctrl+cfence) dependencies. Below we detail and illustrate what they mean.

**dd-reg** = (rf-reg $\cup$ iico)$^+$ Data dependency over registers
addr = dd-reg $\cap$ RM The last rf-reg is to the address entry port of the target instruction.
data = dd-reg $\cap$ RW The last rf-reg is to the value entry port of the target store instruction.
ctrl = (dd-reg $\cap$ RB); po On Power or ARM, control dependencies targeting a read do not belong to ppo.
ctrl+cfence = (dd-reg $\cap$ RB); cfence On Power or ARM, branches followed by a control fence (isync on Power, isb on ARM) targeting a read belong to ppo.

Fig. 22. Definitions of dependency relations

In Fig. 22 we use the notations that we have defined before (see Sec. 4 for sets of events. We write “M” for the set of all memory events, so that for example RM is the set of pairs $(r, e)$ where $r$ is a read and $e$ any memory event (i.e. a write or a read). We write “B” for the set of branch events (coming from a branch instruction); thus RB is the set of pairs $(r, b)$ where $r$ is a read and $b$ a branch event.

Each definition uses the relation dd-reg, defined as $(rf-reg \cup iico)^+$. This relation dd-reg builds chains of read-from through registers (rf-reg) and intra-instruction causality order (iico). Thus it is a special kind of data dependency, over register accesses only.

We find that the formal definitions in Fig. 22 make quite evident that all these dependencies (addr, data, ctrl and ctrl+cfence) all correspond to data dependencies over
registers (\textit{dd-reg}), starting with a read. The key difference between each of these dependencies is the kind of events that they target: whilst \textit{addr} targets any kind of memory event, \textit{data} only targets writes. A \textit{ctrl} dependency only targets branch events; a \textit{ctrl+cfence} also targets only branch events, but requires a control fence \textit{cfence} to immediately follow the branch event.

\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{dependency_diagram.png}
\caption{Data-flow dependencies}
\end{figure}

5.2.1. Address dependencies Address dependencies are gathered in the \textit{addr} relation. There is an address dependency from a memory read \( r \) to a \textit{po}-subsequent memory event \( e \) (either read or write) if there is a data flow path (i.e. a \textit{dd-reg} relation) from \( r \) to the address of \( e \) through registers and arithmetic or logical operations (but not through memory accesses). Note that this notion also includes \textit{false dependencies}, e.g. when \texttt{xor}’ing a value with itself and using the result of the \texttt{xor} in an address calculation. For example, in Power (on the left) or ARM assembly (on the right), the following excerpt

\begin{enumerate}
  \item \texttt{lwz r2,0(r1)}
  \item \texttt{xor r9,r2,r2}
  \item \texttt{lwzx r4,r9,r3}
  \item \texttt{ldr r2,[r1]}
  \item \texttt{eor r9,r2,r2}
  \item \texttt{ldr r4,[r9,r3]}
\end{enumerate}

ensures that the load at line (3) cannot be reordered with the load at line (1), despite the result of the \texttt{xor} at line (2) being always 0.

Graphically (see the left diagram of Fig. 23), the read \( a \) from address \( x \) is related by \textit{addr} to the read \( b \) from address \( y \) because there is a path of \textit{rf} and \textit{iico} (through register events) between them. Notice that the last \textit{rf} is to the index register (here \( r9 \)) of the load from \( y \) instruction.
5.2.2. Data dependencies Data dependencies are gathered in the data relation. There is a data dependency from a memory read \( r \) to a po-subsequent memory write \( w \) if there is a data flow path (i.e. a dd-reg relation) from \( r \) to the value written by \( w \) through registers and arithmetic or logical operations (but not through memory accesses). This also includes false dependencies, as described above. For example

(1) \( \text{lwz r2,0(r1)} \) \( \text{ldr r2,[r1]} \)
(2) \( \text{xor r9,r2,r2} \) \( \text{eor r9,r2,r2} \)
(3) \( \text{stw r9,0(r4)} \) \( \text{str r9,[r4]} \)

ensures that the store at line (3) cannot be reordered with the load at line (1), despite the result of the xor at line (2) being always 0.

Graphically (see the right diagram of Fig. 23), the read \( a \) from address \( x \) is related by data to the write \( b \) to address \( y \) because there is a path of \( rf \) and \( ic0 \) (through registers) between them, the last \( rf \) being to the value entry port of the store.

Remark: Our semantics does not account for conditional execution in the ARM sense (see [ARM 2008], Sec. A.8.3.8 “Conditional execution” and [ARM 2009], Sec. 6.2.1.2). Informally, most instructions can be executed or not, depending on condition flags. It is unclear how to handle them in full generality, both as target of dependencies (conditional load and conditional store instructions); or in the middle of a dependency chain (e.g. conditional move). In the target case, a dependency reaching a conditional memory instruction through its condition flag could act as a control dependency. In the middle case, the conditional move could contribute to the data flow path that defines address and data dependencies. We emphasise that we have not tested these hypotheses.

5.2.3. Control dependencies Control dependencies are gathered in the ctrl relation. There is a control dependency from a memory read \( r \) to a po-subsequent memory write \( w \) if there is a data flow path (i.e. a dd-reg relation) from \( r \) to the test of a conditional branch that precedes \( w \) in po. For example

(1) \( \text{lwz r2,0(r1)} \) \( \text{ldr r2,[r1]} \)
(2) \( \text{cmpwi r2,0} \) \( \text{cmp r2,#0} \)
(3) \( \text{bne L0} \) \( \text{bne L0} \)
(4) \( \text{stw r3,0(r4)} \) \( \text{str r3,[r4]} \)
(5) \( \text{L0: L0:} \)

ensures that the store at line (4) cannot be reordered with the load at line (1). We note that there will still be a control dependency from the load to the store, even if the label immediately follows the branch, i.e. the label L0 is placed between the conditional branch instruction at line (3) and the store.

Graphically (see the left diagram of Fig. 24), the read \( a \) from address \( x \) is related by ctrl to the write \( b \) to address \( y \) because there is a path of \( rf \) and \( ic0 \) (through registers) between \( a \) and a branch event \( h \) in that case) po-before \( b \) (some po edges are omitted for clarity).

Such a data flow path between two memory reads is not enough to order them in general. To order two memory reads, one needs to place a control fence \( cfence \) (isync on Power, isb on ARM, as shown on top of Fig. 25) after the branch, as described below.

5.2.4. Control+cfence dependencies Control+cfence dependencies are gathered in the ctrl+cfence relation. There is such a dependency from a memory read \( r_1 \) to a po-subsequent memory read \( r_2 \) if there is a data flow path (i.e. a dd-reg relation) from \( r_1 \) to the test of a conditional branch that po-precedes a control fence, the fence itself preceding \( r_2 \) in po. For example

\[3\]The diagram depicts the situation for Power; ARM status flags are handled differently.
ensures, thanks to the control fence at line (4), that the load at line (5) cannot be reordered with the load at line (1).

Graphically (see the right diagram of Fig. 24), the read $a$ from address $x$ is related by $\text{ctrl+cfence}$ to the read $b$ from address $y$ because there is a path of $rf$ and $iico$ (through registers) between $a$ and a branch event ($h$ here) $\text{po}$-before a cfence ($i : \text{isync}$ here) $\text{po}$-before $b$. 

Fig. 24. Control-flow dependencies

(1) lwz r2,0(r1)  
(2) cmpwi r2,0  
(3) bne L0  
(4) isync  
(5) lwz r4,0(r3)  
(6) L0:  

\text{ldr r2,[r1]}  
\text{cmp r2,#0}  
\text{bne L0}  
\text{isb}  
\text{ldr r4,[r3]}  

L0:  

We can now present how to compute the preserved program order for Power, which we give in Fig. 25. Some readers might find it easier to read the equivalent specification given in Fig. 38. ARM is broadly similar; we detail it in the next section, in the light of our experiments.

To define the preserved program order, we first need to distinguish two parts for each memory event. To name these parts, we again borrow the terminology of the models of [Sarkar et al. 2011; Mador-Haim et al. 2012] for more consistency. We give a table of correspondence between the names of [Sarkar et al. 2011; Mador-Haim et al. 2012] and the present paper in Tab. IV.

| present paper | [Sarkar et al. 2011] | [Mador-Haim et al. 2012] |
|---------------|----------------------|-------------------------|
| init read i(r) | satisfy read         | satisfy read            |
| commit read c(r) | commit read          | commit read             |
| init write i(w) | n/a                  | init write              |
| commit write c(w) | commit write          | commit write            |

Table IV. Terminology correspondence

A memory read \( r \) consists of an init \( i(r) \), where it reads its value, and a commit part \( c(r) \), where it becomes irrevocable. A memory write \( w \) consists of an init part \( i(w) \), where its value becomes available locally, and a commit part \( c(w) \), where the write is ready to be sent out to other threads.

\[
\begin{align*}
\text{dp} & \triangleq \text{addr} \cup \text{data} \\
\text{rdw} & \triangleq \text{po-loc} \cap (\text{fre}; \text{rfe}) \\
\text{detour} & \triangleq \text{po-loc} \cap (\text{coe}; \text{rfe}) \\
\text{ii}_0 & \triangleq \text{dp} \cup \text{rdw} \cup \text{rfi} \\
\text{cl}_0 & \triangleq (\text{ctrl}; \text{cfence}) \cup \text{detour} \\
\text{ic}_0 & \triangleq \emptyset \\
\text{cc}_0 & \triangleq \text{dp} \cup \text{po-loc} \cup \text{ctrl} \cup (\text{addr}; \text{po}) \\
\text{ii} & \triangleq \text{ii}_0 \cup \text{ci} \cup (\text{ic}; \text{ci}) \cup (\text{ii}; \text{ii}) \\
\text{ci} & \triangleq \text{cl}_0 \cup (\text{ci}; \text{ii}) \cup (\text{cc}; \text{ci}) \\
\text{ic} & \triangleq \text{ic}_0 \cup \text{ii} \cup \text{cc} \cup (\text{ic}; \text{cc}) \cup (\text{ii}; \text{ic}) \\
\text{cc} & \triangleq \text{cc}_0 \cup \text{ci} \cup (\text{cc}; \text{ic}) \cup (\text{cc}; \text{cc}) \\
\text{ppo} & \triangleq (\text{ii} \cap \text{RR}) \cup (\text{ic} \cap \text{RW})
\end{align*}
\]

Fig. 25. Preserved program order for Power

We now describe how the parts of events relate to one another. We do a case disjunction over the part of the events we are concerned with (init or commit).

Thus we define four relations (see Fig. 25): ii relates the init parts of events; ic relates the init part of a first event to the commit part of a second event; ci relates the commit part of a first event to the init part of a second event; cc relates the commit parts of events. We define these four relations recursively, with a least fixpoint semantics; we write \( r_0 \) for the base case of the recursive definition of a relation \( r \).

Note that the two parts of an event \( e \) are ordered: its init \( i(e) \) precedes its commit \( c(e) \).

Thus for two events \( e_1 \) and \( e_2 \), if for example the commit of \( e_1 \) is before the commit of \( e_2 \) (i.e. \( (e_1, e_2) \in \text{cc} \)), then the init of \( e_1 \) is before the commit of \( e_2 \) (i.e. \( (e_1, e_2) \in \text{ic} \)). Therefore we have the following inclusions (see also Fig. 25 and 26): ii contains ci; ic contains ii and cc; cc contains ci.

Moreover, these orderings hold transitively: for three events \( e_1, e_2 \) and \( e_3 \), if the init of \( e_1 \) is before the commit of \( e_2 \) (i.e. \( (e_1, e_2) \in \text{ic} \)), which is itself before the init of \( e_3 \) (i.e. \( (e_2, e_3) \in \text{ii} \)), then the commit of \( e_2 \) is before the init of \( e_3 \) (i.e. \( (e_2, e_3) \in \text{cc} \)).
Inclusions between subevents relations $(e_2, e_3) \in \mathcal{ci}$, then the init of $e_3$ is before the init of $e_3$ (i.e. $(e_1, e_3) \in \mathcal{ii}$). Therefore we have the following inclusions (see also Fig. 25): $\mathcal{ii}$ contains $(\mathcal{ic}; \mathcal{ci})$ and $(\mathcal{ii}; \mathcal{ii})$; $\mathcal{ic}$ contains $(\mathcal{ic}; \mathcal{cc})$ and $(\mathcal{ii}; \mathcal{ic})$; $\mathcal{ci}$ contains $(\mathcal{ci}; \mathcal{ii})$ and $(\mathcal{cc}; \mathcal{ci})$; $\mathcal{cc}$ contains $(\mathcal{ci}; \mathcal{ic})$ and $(\mathcal{cc}; \mathcal{cc})$.

We now describe the base case for each of our four relations, i.e. $\mathcal{ii}_0$, $\mathcal{ic}_0$, $\mathcal{ci}_0$ and $\mathcal{cc}_0$. We do so by a case disjunction over whether the concerned events are reads or writes. We omit the cases where there is no ordering, e.g. between two init writes.

**Init reads** ($\mathcal{ii}_0 \cap \mathcal{RR}$ in Fig. 25) are ordered by (i) the dp relation (which stands for “dependencies”), which gathers address (addr) and data (data) dependencies as defined above; (ii) the rdw relation (“read different writes”), defined as po-loc $\cap$ (fre; rfe).

The (i) case means that if two reads are separated (in program order) by an address, then their init parts are ordered. The micro-architectural intuition is here quite clear: we simply lift to the model level the constraints induced by data-flow paths in the core. The vendors documentations [ppc 2009, Book II, Sec. 1.7.1] and [ARM 2009, Sec. 6.2.1.2] support our intuition, as the following quotes show.

Quoting Power’s documentation [ppc 2009, Book II, Sec. 1.7.1]: “[i]f a load instruction depends on the value returned by a preceding load instruction (because the value is used to compute the effective address specified by the second load), the corresponding storage accesses are performed in program order with respect to any processor or mechanism [...]”. We interpret this bit as a justification for address dependencies (addr) contributing to the ppo.

Furthermore, Power’s documentation adds: “[t]his applies even if the dependency has no effect on program logic (e.g., the value returned by the first load is ANDed with zero and then added to the effective address specified by the second load).” We interpret this as a justification for “false dependencies”, as described in Sec. 5.2.1.

Quoting ARM's documentation [ARM 2009, Sec. 6.2.1.2]: “[i]f the value returned by a read is used to compute the virtual address of a subsequent read or write (this is known as an address dependency), then these two memory accesses will be observed in program order. An address dependency exists even if the value read by the first read has no effect in changing the virtual address (as might be the case if the value returned is masked off before it is used, or if it had no effect on changing a predicted address value).” We interpret this ARM rule as we do for the Power equivalent.

We note however that the Alpha architecture (see our discussion of mp+fence+addr being allowed on Alpha on page 18) demonstrate that sophisticated hardware may invalidate the lifting of core constraint to the complete system.

The (ii) case means that the init parts of two reads $b$ and $c$ are ordered when the instructions are in program order, reading from the same location, and the first read $b$ reads from an external write which is co-before the write $a$ from which the second read $c$ reads, as shown in Fig. 27.

We view this as a side-effect of the write propagation model: as the read $b$ reads from some write that is co-before the write $a$, $b$ is satisfied before the write $a$ is propagated.
Fig. 27. The read different writes rdw relation
to T_1; furthermore as the read c reads from the write a, it is satisfied after the write a is propagated to T_1. As a result, the read b is satisfied before the read c is.

**Init read and init write** (i_0 \cap RW) relate by address and data dependencies, i.e. dp. This bit is similar to the ordering between two init reads (see i_0 \cap RR), but here both address and data dependencies are included. Vendors documents [ppc 2009, Book II, Sec. 1.7.1] and [arm 2008, Sec. A3.8.2] document address and data dependencies from read to write.

Quoting Power’s documentation [ppc 2009, Book II, Sec. 1.7.1]: “[b]ecause stores cannot be performed “out-of-order” (see Book III), if a store instruction depends on the value returned by a preceding load instruction (because the value returned by the load is used to compute either the effective address specified by the store or the value to be stored), the corresponding storage accesses are performed in program order.” We interpret this bit as a justification for lifting both address and data dependencies to the ppo.

Quoting ARM’s documentation [arm 2008, Sec. A3.8.2]: “[i]f the value returned by a read access is used as data written by a subsequent write access, then the two memory accesses are observed in program order.” We interpret this ARM rule as we did for Power above.

**Init write and init read** (i_0 \cap WR) relate by the internal read-from rfi. This ordering constraint stems directly from our interpretation of init subevents (see Tab. IV): init for a write is the point in time when the value stored by the write becomes available locally, while init for a read is the point in time when the read is satisfied. Thus a read can be satisfied from a local write only once the write in question has made its value available locally.

**Commit read and init read or write** (ci_0 \cap RM) relate by ctrl+cfence dependencies. The ctrl+cfence relation models the situation where a first read controls the execution of a branch which contains a control fence that po-precedes the second memory access. An implementation of the control fence could refetch the instructions that po-follows the fence (see for example the quote of ARM’s documentation [arm 2008, Sec. A3.8.3] that we give below), and prevent any speculative execution of the control fence. As a result, instructions that follow the fence may start only once the branching decision is irrevocable, i.e. once the controlling read is irrevocable.

Quoting Power’s documentation [ppc 2009, Sec 1.7.1]: “[b]ecause an isync instruction prevents the execution of instructions following the isync until instructions preceding the isync have completed, if an isync follows a conditional branch instruction that depends on the value returned by a preceding load instruction, the load on which the branch depends is performed before any loads caused by instructions following the isync.” We interpret this bit as saying that a branch followed by an isync orders read–read pairs on Power (read-write pairs only need a branch, without an isync). Furthermore the documentation adds: “[t]his applies even if the effects of the “dependency” are
independent of the value loaded (e.g., the value is compared to itself and the branch tests the EQ bit in the selected CR field), and even if the branch target is the sequentially next instruction.” This means that the dependency induced by the branch and the \texttt{isync} can be a “false dependency”.

Quoting ARM’s documentation \cite{arm2008}: “[a]n \texttt{isb} instruction flushes the pipeline in the processor, so that all instructions that come after the \texttt{isb} instruction in program order are fetched from cache or memory only after the \texttt{isb} instruction has completed.” We interpret this bit as saying that a branch followed by an \texttt{isb} orders read-read and read-write pairs on ARM.

Commit write and init read \((\text{ci}_0 \cap \text{WR})\) relate by the relation detour \(\triangleq \text{po-loc} \cap (\text{coe}\;\text{;}\text{rfe})\). This means that the commit of a write \(b\) to memory location \(x\) precedes the init of a read \(c\) from \(x\) when \(c\) reads from an external write \(a\) which follows \(b\) in coherence, as shown in Fig. 28.

\begin{figure}[h]
\centering
\begin{tabular}{ccc}
\hline
\textbf{T}_0 & \textbf{T}_1 \\
\hline

a: Wx=2 & b: Wx=1 \\
\text{co} & \text{po-detour} & \text{rf} \\
\text{detour} & c: Rx=2 \\
\hline
\end{tabular}
\caption{The detour relation}
\end{figure}

This effect is similar to the rdw effect (see Fig. 27) but applied to write-read pairs instead of read-read pairs in the case of rdw. As a matter of fact, in the write propagation model of \cite{Sarkar2011,Mador-Haim2012}, the propagation of a write \(w_2\) to a thread \(T\) before \(T\) makes a write \(w_1\) to the same address available to the memory system implies that \(w_2\) co-precedes \(w_1\). Thus, if the local \(w_1\) co-precedes the external \(w_2\), it must be that \(w_2\) propagates to \(T\) after \(w_1\) is committed. In turn this implies that any read that reads from the external \(w_2\) is satisfied after the local \(w_1\) is committed.

Commits relate by program order if they access the same location, i.e. \text{po-loc}. Thus in Fig. 25 \(\text{cc}_0\) contains \text{po-loc}.

We inherit this constraint from \cite{Mador-Haim2012}. From the implementation standpoint, the core has to perform some actions so as to enforce the SC PER LOCATION check, i.e. the five patterns of Fig. 6. One way could be to perform these actions at commit time, which this bit of the \text{ppo} represents.

However note that our model performs the SC PER LOCATION check independently of the definition of the \text{ppo}. Thus, the present commit-to-commit ordering constraint is not required to enforce this particular axiom of the model. Nevertheless, if this bit of the \text{ppo} definition is adopted, it will yield specific ordering constraint, such as \text{po-loc} \(\in \text{cc}_0\). As we shall see in Sec. 8.1.2 this very constraint needs to be relaxed to account for some behaviours observed on Qualcomm systems.

In addition, commit read and commit read or write \((\text{cc}_0 \cap \text{RM})\) relate by address, data and control dependencies, i.e. \text{dp} and \text{ctrl}.

Here and below (see Fig. 29) we express “chains of irreversibility”, when some memory access depends, by whatever means, on a po-preceding read it can become irreversible only when the read it depends upon has.
Finally, a read \( r \) must be committed before the commit of any access \( e \) that is program order after any access \( e' \) which is addr-after \( r \), as in the lb+addr+ww pattern in Fig. 29.

![Diagram](image-url)

**Fig. 29.** A variant of the load buffering pattern lb (see also Fig. 7)

In the thread \( T_0 \) of Fig. 29, the write to \( z \) cannot be read by another thread before the write \( b \) knows its own address, which in turn requires the read \( a \) to be committed because of the address dependency between \( a \) and \( b \). Indeed if the address of \( b \) was \( z \), the two writes \( b \) and \( c \) to \( z \) could violate the coWW pattern, an instance of our SC PER LOCATION axiom. Hence the commit of the write \( c \) has to be delayed (at least) until after the read \( a \) is committed.

Note that the same pattern with data instead of address dependencies is allowed and observed (see http://diy.inria.fr/cats/data-addr).

### 7. OPERATIONAL MODELS

We introduce here an operational equivalent of our model, our intermediate machine, given in Fig. 30, which we then compare to a previous model, the PLDI machine of [Sarkar et al. 2011].

#### 7.1. Intermediate machine

Our intermediate machine is simply a reformulation of our axiomatic model as a transition system. We give its formal definition in Fig. 30, which we explain below. In this section, we write \( \text{udr}(r) \) for the union of the domain and the range of the relation \( r \). We write \( r++[e] \) to indicate that we append the element \( e \) at the end of a total order \( r \).

Like the axiomatic model, our machine takes as input the events \( E \), the program order \( \text{po} \) and an architecture (\( \text{po}, \text{fences}, \text{prop} \)).

It also needs a path of labels, i.e. a total order over labels; a label triggers a transition of the machine. We borrow the names of the labels from [Sarkar et al. 2011] [Sarkar et al. 2012] for consistency.

We build the labels from the events \( E \) as follows: a write \( w \) corresponds to a commit write label \( c(w) \) and a write reaching coherence point label \( cp(w) \); a read \( r \) first guesses from which write \( w \) it might read, in an angelic manner; the pair \( (w, r) \) then yields two labels: satisfy read \( s(w, r) \) and commit read \( c(w, r) \).
Input data: \((\text{ppo}, \text{fences}, \text{prop}), (\mathbb{E}, \text{po})\) and \(p\)

Derived from \(p\): \(\text{co}(\mathbb{E}, p) \triangleq \{(w_1, w_2) \mid \text{addr}(w_1) = \text{addr}(w_2) \land (\text{cp}(w_1), \text{cp}(w_2)) \in p\}\)

**Commit write**

\((\text{cw}: \text{SC per location}/\text{coWW})\)

\[\neg(\exists w' \in \text{cw} \text{ s.t. } (w, w') \in \text{po-loc}) \quad \neg(\exists w' \in \text{cw} \text{ s.t. } (w, w') \in \text{prop})\]

\((\text{cw}: \text{fences} \cap \text{WR})\)

\[\neg(\exists r \in \text{sr} \text{ s.t. } (w, r) \in \text{fences})\]

\[s \xrightarrow{\text{cp}(w)} (\text{cw} \cup \{w\}, \text{cpw}, \text{sr}, \text{cr})\]

**Write reaches coherence point**

\((\text{cpw}: \text{write is committed})\)

\[w \in \text{cw}\]

\((\text{cpw}: \text{po-loc and cpw are in accord})\)

\[\neg(\exists w' \in \text{udr}(\text{cpw}) \text{ s.t. } (w, w') \in \text{po-loc}) \quad \neg(\exists w' \in \text{udr}(\text{cpw}) \text{ s.t. } (w, w') \in \text{prop})\]

\[s \xrightarrow{\text{cp}(w)} (\text{cw}, \text{cpw} + [w], \text{sr}, \text{cr})\]

**Satisfy read**

\((\text{sr}: \text{write is either local or committed})\)

\[(w, r) \in \text{po-loc} \lor w \in \text{cw}\]

\((\text{sr}: \text{ppo}/\text{oi} \cap \text{RR})\)

\[\neg(\exists r' \in \text{sr} \text{ s.t. } (r, r') \in \text{ppo} \cup \text{fences}) \quad \neg(\exists w' \text{ s.t. } (w, w') \in \text{co} \land (w', r) \in \text{prop}; \text{hb}^*)\]

\[s \xrightarrow{s(w, r)} (\text{cw}, \text{cpw}, \text{sr} \cup \{r\}, \text{cr})\]

**Commit read**

\((\text{cr}: \text{read is satisfied})\)

\[r \in \text{sr}\]

\((\text{cr}: \text{ppo}/\text{co} \cap \text{RW})\)

\[\neg(\exists w' \in \text{cw} \text{ s.t. } (r, w') \in \text{ppo} \cup \text{fences})\]

\[s \xrightarrow{\text{c}(w, r)} (\text{cw}, \text{cpw}, \text{sr} \cup \{r\})\]

\((\text{cr}: \text{SC per location}/\text{coWR}, \text{coRW}\{1,2\}, \text{coRR})\)

\[\text{visible}(w, r)\]

\[\neg(\exists r' \text{ s.t. } (r, r') \in \text{ppo} \cup \text{fences}) \quad \neg(\exists r' \text{ s.t. } (r, r') \in \text{ppo} \cup \text{fences})\]

\[s \xrightarrow{\text{c}(w, r)} (\text{cw}, \text{cpw}, \text{sr} \cup \{r\})\]

For the architecture’s functions \(\text{ppo}, \text{fences}\) and \(\text{prop}\) to make sense, we need to build a coherence order and a read-from map. We define them from the events \(\mathbb{E}\) and the path \(p\) as follows:

— \(\text{co}(\mathbb{E}, p)\) gathers the writes to the same memory location in the order in which their corresponding coherence point labels have in \(p\): \(\text{co}(\mathbb{E}, p) \triangleq \{(w_1, w_2) \mid \text{addr}(w_1) = \text{addr}(w_2) \land (\text{cp}(w_1), \text{cp}(w_2)) \in p\}\);

— \(\text{rf}(\mathbb{E}, p)\) gathers the write-read pairs with same location and value which have a commit label in \(p\): \(\text{rf}(\mathbb{E}, p) \triangleq \{(w, r) \mid \text{addr}(w) = \text{addr}(r) \land \text{val}(w) = \text{val}(r) \land \text{c}(w, r) \in \text{udr}(p)\}\).
In the definition of our intermediate machine, we consider the relations defined w.r.t. co and rf in the axiomatic model (e.g. happens-before hb, propagation prop) to be defined w.r.t. the coherence and read-from above.

Now, our machine operates over a state \((cw, cpw, sr, cr)\) composed of

- a set \(cw\) (“committed writes”) of writes that have been committed;
- a relation \(cpw\) over writes having reached coherence point, which is a total order per location;
- a set \(sr\) (“satisfied reads”) of reads having been satisfied;
- a set \(cr\) (“committed reads”) of reads having been committed.

7.1.1. Write transitions The order in which writes enter the set \(cw\) for a given location corresponds to the coherence order for that location. Thus a write \(w\) cannot enter \(cw\) if it contradicts the SC PER LOCATION and PROPAGATION axioms. Formally, a commit write \(c(w)\) yields a commit write transition, which appends \(w\) at the end of \(cw\) for its location if

\[(cw; \text{SC PER LOCATION}/coWW)\] there is no \(po-loc\)-subsequent write \(w'\) which is already committed, which forbids the \(coWW\) case of the SC PER LOCATION axiom, and

\[(cw; \text{PROPAGATION})\] there is no \(prop\)-subsequent write \(w'\) which is already committed, which ensures that the PROPAGATION axiom holds, and

\[(cw; \text{fences} \cap WR)\] there is no \(fences\)-subsequent read \(r\) which has already been satisfied, which contributes to the semantics of the full fence.

A write can reach coherence point (i.e. take its place at the end of the \(cpw\) order) if:

- \((cw; \text{WRITE IS COMMITTED})\) the write has already been committed, and
- \((cw; \text{po-loc AND cpw ARE IN ACCORD})\) all the \(po-loc\)-previous writes have reached coherence point, and
- \((cw; \text{PROPAGATION})\) all the \(prop\)-previous writes have reached coherence point.

This ensures that in the order which writes reach coherence point is compatible with the coherence order and the propagation order.

7.1.2. Read transitions The read set \(sr\) is ruled by the happens-before relation \(hb\). The way reads enter \(sr\) ensures NO THIN AIR and OBSERVATION, whilst the way they enter \(cr\) ensures parts of SC PER LOCATION and of the preserved program order.

Satisfy read The satisfy read transition \(s(w, r)\) places the read \(r\) in \(sr\) if:

- \((sr; \text{WRITE IS EITHER LOCAL OR COMMITTED})\) the write \(w\) from which \(r\) reads is either local (i.e. \(w\) is \(po-loc\)-before \(r\)), or has been committed already (i.e. \(w \in cw\)), and
- \((sr; \text{pp0/iin} \cap RR)\) there is no \(prop\)-subsequent read \(r'\) that has already been satisfied, which implements the \(iin\) RR part of the preserved program order, and
- \((sr; \text{OBSERVATION})\) there is no write \(w'\) co-after \(w\) was\footnote{Recall that in the context of our intermediate machine, \((w, w') \in co\) means that \(w\) and \(w'\) are relative to the same address and \((cp(w), cp(w')) \in p\).} \(\text{s.t.} \ (w', r) \in prop; hb^*\), which ensures OBSERVATION.

Commit read To define the commit read transition, we need a preliminary notion. We define a write \(w\) to be visible to a read \(r\) when

- \(w\) and \(r\) share the same location \(\ell\);
- \(w\) is equal to, or co-after\footnote{Recall that in the context of our intermediate machine, \((w, w') \in co\) means that \(w\) and \(w'\) are relative to the same address and \((cp(w), cp(w')) \in p\).} the last write \(w_b\) to \(\ell\) that is \(po-loc\)-before \(r\), and
- \(w\) is \(po-loc\)-before \(r\), or co-before the first write \(w_A\) to \(\ell\) that is \(po-loc\)-after \(r\).

We give here an illustration of the case where \(w\) is co-after \(w_b\) and before \(w_A\):
Now, recall that our read labels contain both a read \( r \) and a write \( w \) that it might read. The commit read transition \( c(w, r) \) records \( r \) in \( c_r \) when:

- (CR: \textsc{Read is satisfied}) \( r \) has been satisfied (i.e. is in \( \mathcal{R} \)), and
- (CR: \textsc{SC per location}/ \textsc{coWR}, \textsc{coRW}\{1,2\}, \textsc{coRR}) \( w \) is visible to \( r \), which prevents the \textsc{coWR}, \textsc{coRW1} and \textsc{coRW2} cases of \textsc{SC per location}, and
- (CR: \textsc{PPO}/\textsc{cc} \cap \textsc{RW}) there is no \((\text{ppo} \cup \text{fences})\)-subsequent write \( w' \) that has already been committed, which implements the \textsc{cc} \cap \textsc{RW} part of the preserved program order, and
- (CR: \textsc{PPO}/(\textsc{ci} \cap \textsc{cc}) \cap \textsc{RR}) there is no \((\text{ppo} \cup \text{fences})\)-subsequent read \( r' \) that has already been satisfied, which implements the \textsc{ci} \cap \textsc{RR} and \textsc{cc} \cap \textsc{RR} parts of the preserved program order.

To forbid the \textsc{coRR} case of \textsc{SC per location}, one needs to (i) make the read set \( c_r \) record the write from which a read takes its value, so that \( c_r \) is a set of pairs \((w, r)\) and no longer just a set of reads; and (ii) augment the definition of \textsc{visible}(w, r) to require that there is no \((w', r')\) s.t. \( r' \) is \textsc{po-loc}-before \( r \) yet \( w' \) is \textsc{co}-after \( w \). We chose to present the simpler version of the machine to ease the reading.

### 7.2. Equivalence of axiomatic model and intermediate machine (proof of Thm. 7.1)

We can now state our equivalence result:

**Theorem 7.1.** All behaviours allowed by the axiomatic model are allowed by the intermediate machine and conversely.

We prove Thm. 7.1 in two steps. We first show that given a set of events \( \mathcal{E} \), a program order \( \text{po} \) over these, and a path \( p \) over the corresponding labels such that \((\mathcal{E}, \text{po}, p)\) is accepted by our intermediate machine, the axiomatic execution \((\mathcal{E}, \text{po}, c_0(\mathcal{E}, p), r_f(\mathcal{E}, p))\) is valid in our axiomatic model:

**Lemma 7.2.** All behaviours allowed by the intermediate machine are allowed by the axiomatic model.

Conversely, from a valid axiomatic execution \((\mathcal{E}, \text{po}, c_0, r_f)\), we build a path accepted by the intermediate machine:

**Lemma 7.3.** All behaviours allowed by the axiomatic model are allowed by the intermediate machine.

We give below the main arguments for proving our results. For more confidence, we have implemented the equivalence proof between our axiomatic model and our
intermediate machine in the Coq proof assistant [Bertot and Casteran 2004]. We give our proof scripts online: [http://www0.cs.ucl.ac.uk/staff/j.alglave/cats](http://www0.cs.ucl.ac.uk/staff/j.alglave/cats).

7.2.1. From intermediate machine to axiomatic model (proof of Lem. 7.2) We show here that a path of labels \( p \) relative to a set of events \( E \) and a program order \( \text{po} \) accepted by our intermediate machine leads to a valid axiomatic execution. To do so, we show that the execution \((E, \text{po}, \text{co}(E, p), \text{rf}(E, p))\) is valid in our axiomatic model.

**Well formedness of \( \text{co}(E, p) \) (i.e. \( \text{co} \) is a total order on writes to the same location) follows from \( p \) being a total order.**

**Well formedness of \( \text{rf}(E, p) \) (i.e. \( \text{rf} \) relates a read to a unique write to the same location with same value) follows from the fact that we require that each read \( r \) in \( E \) has a unique corresponding write \( w \) in \( E \), s.t. \( r \) and \( w \) have same location and value, and \( c(w, r) \) is a label of \( p \).**

The **SC PER LOCATION axiom holds**: to prove this, we show that \( \text{coWW}, \text{coRW1}, \text{coRW2}, \text{coWR} \) and \( \text{corR} \) are forbidden.

**\( \text{coWW} \) is forbidden:** suppose as a contradiction two writes \( e_1 \) and \( e_2 \) to the same location s.t. \((e_1, e_2) \in \text{po} \) and \((e_2, e_1) \in \text{co}(E, p)\). The first hypothesis entails that \((\text{cp}(e_1), \text{cp}(e_2)) \in \text{p}\), otherwise we would contradict the premise (CPW: \( \text{po-loc AND CPW ARE IN ACCORD} \)) of the WRITE REACHES COHERENCE POINT rule. The second hypothesis means by definition that \((\text{cp}(e_2), \text{cp}(e_1)) \in \text{p}\). This contradicts the acyclicity of \( p \).

**\( \text{coRW1} \) is forbidden:** suppose as a contradiction a read \( r \) and a write \( w \) relative to the same location, s.t. \((r, w) \in \text{po} \) and \((w, r) \in \text{rf}(E, p)\). Thus \( w \) cannot be visible to \( r \) as it is \( \text{po-af} \) of \( r \). This contradicts the premise (CR: \( \text{SC PER LOCATION/ \text{coWR}}, \text{coRW}\{1, 2\}, \text{coRR} \)) of the COMMIT READ rule.

**\( \text{coRW2} \) is forbidden:** suppose as a contradiction a read \( r \) and two writes \( w_1 \) and \( w_2 \) relative to the same location, s.t. \((r, w_2) \in \text{po} \) and \((w_2, w_1) \in \text{co}(E, p)\) and \((w_1, r) \in \text{rf}(E, p)\). Thus \( w_1 \) cannot be visible to \( r \) as it is \( \text{co-af} \) of \( w_2 \). This contradicts the premise (CR: \( \text{SC PER LOCATION/ \text{coWR}}, \text{coRW}\{1, 2\}, \text{coRR} \)) of the COMMIT READ rule.

**\( \text{coWR} \) is forbidden:** suppose as a contradiction two writes \( w_0 \) and \( w_1 \) and a read \( r \) relative to the same location, s.t. \((w_0, r) \in \text{po} \) and \((w_0, w_1) \in \text{co}(E, p)\) and \((w_1, r) \in \text{rf}(E, p)\). Thus \( w_0 \) cannot be visible to \( r \) as it is \( \text{co-af} \) of \( w_1 \). This contradicts the premise (CR: \( \text{SC PER LOCATION/ \text{coWR}}, \text{coRW}\{1, 2\}, \text{coRR} \)) of the COMMIT READ rule.

**\( \text{corR} \) is forbidden:** (note that this holds only for the modified version of the machine outlined at the end of Sec. 7.1) suppose as a contradiction two writes \( w_1 \) and \( w_2 \) and two reads \( r_1 \) and \( r_2 \) relative to the same location, s.t. \((r_1, r_2) \in \text{po} \) and \((r_1, w_1) \in \text{rf} \) and \((w_1, r_2) \in \text{co}\). Thus \( w_2 \) cannot be visible to \( r_2 \) as it is \( \text{co-af} \) of \( w_1 \). This contradicts the premise (CR: \( \text{SC PER LOCATION/ \text{coWR}}, \text{coRW}\{1, 2\}, \text{coRR} \)) of the COMMIT READ rule.

**The NO THIN AIR axiom holds:** suppose as a contradiction that there is a cycle in \( \text{hb}^+ \), i.e. there is an event \( x \) s.t. \( (x, x) \in (\text{ppo} \cup \text{fences}) \cup \text{rf} \). Thus there exists \( y \) s.t. \((i) (x, y) \in (\text{ppo} \cup \text{fences}) \cup \text{rf} \) and \((ii) (y, x) \in (\text{ppo} \cup \text{fences}) \cup \text{rf} \). Note that \( x \) and \( y \) are reads, since the target of \( \text{rf} \) is always a read.

We now show that (iii) for two reads \( r_1 \) and \( r_2 \), having \((r_1, r_2) \in (\text{ppo} \cup \text{fences}) \cup \text{rf} \), implies \((s(r_1), s(r_2)) \in \text{p} \) — we are abusing our notations here, writing \( s(r) \) instead of
\( s(w, r) \) where \( w \) is the write from which \( r \) reads. From the fact (iii) and the hypotheses (i) and (ii), we derive a cycle in \( p \), a contradiction since \( p \) is an order.

Proof of (iii): let us show the base case; the inductive case follows immediately. Let us have two reads \( r_1 \) and \( r_2 \) s.t. \( (r_1, r_2) \in (ppo \cup \text{fences}); \text{fre} \). Thus there is \( w_2 \) s.t. \( (r_1, w_2) \in ppo \cup \text{fences} \) and \( (w_2, r_2) \in \text{fre} \). Now, note that when we are about to take the Satisfied Read transition triggered by the label \( s(w_2, r_2) \), we know that the premise (SR: WRITE IS EITHER LOCAL OR COMMITTED) holds. Thus we know that either \( w_2 \) and \( r_2 \) belong to the same thread, which immediately contradicts the fact that they are in \( \text{fre} \), or that \( w_2 \) has been committed. Therefore we have (iv) \( (c(w_2), s(r_2)) \in p \). Moreover, we can show that (v) \( (s(r_1), c(w_2)) \in p \) by the fact that \( (r_1, w_2) \in ppo \cup \text{fences} \). Thus by (iv) and (v) we have our result.

Proof of (vi): take a read \( r \) and a write \( w \) s.t. \( (r, w) \in ppo \cup \text{fences} \). We show below that (vi) \( (c(r), c(w)) \in p \). Since it is always the case that \( (s(r), c(r)) \in p \) (thanks to the fact that a read is satisfied before it is committed, see premise (CR: READ IS SATISFIED) of the COMMIT READ rule), we can conclude. Now for (vi): since \( p \) is total, we have either our result or \( (c(w), c(r)) \in p \). Suppose the latter: then when we are about to take the COMMIT READ transition triggered by \( c(r) \), we contradict the premise (CR: \( PPO/CCO \cap RW \)). Indeed we have \( w \in cw \) by \( c(w) \) preceding \( c(r) \) in \( p \), and \( (r, w) \in ppo \cup \text{fences} \) by hypothesis.

The OBSERVATION axiom holds: suppose as a contradiction that the relation \( \text{fre}; \text{prop}; \text{hb}^+ \) is not irreflexive, i.e. there are \( w \) and \( r \) s.t. \( (r, w_2) \in \text{fre} \) and \( (w_2, r) \in \text{prop}; \text{hb}^+ \). Note that \( (r, w_2) \in \text{fre} \) implies the existence of a write \( w_1 \) s.t. \( (w_1, w_2) \in \text{co} \) and \( (w_1, r) \in \text{rf} \). Observe that this entails that \( r, w_1 \) and \( w_2 \) are relative to the same location.

Thus we take two writes \( w_1, w_2 \) and a read \( r \) relative to the same location s.t. \( (w_1, w_2) \in \text{co} \), \( (w_1, r) \in \text{rf} \) and \( (w_2, r) \in \text{prop}; \text{hb}^+ \) as above. This contradicts the (SR: OBSERVATION) hypothesis. Indeed when we are about to process the transition triggered by the label \( s(r) \), we have \( (w_2, r) \in \text{prop}; \text{hb}^+ \) by hypothesis, and \( (w_1, w_2) \in \text{co} \) by hypothesis.

The PROPAGATION axiom holds: suppose as a contradiction that there is a cycle in \( (\text{co} \cup \text{prop})^+ \), i.e. there is an event \( x \) s.t. \( (x, x) \in (\text{co} \cup \text{prop})^+ \). In other terms there is \( y \) s.t. (i) \( (x, y) \in \text{co}; \text{prop} \) and (ii) \( (y, x) \in (\text{co}; \text{prop})^+ \). Note that \( x \) and \( y \) are writes, since the source of \( \text{co} \) is always a write.

We now show that (iii) for two writes \( w_1 \) and \( w_2 \), having \( (w_1, w_2) \in (\text{co}; \text{prop})^+ \) implies \( (\text{cp}(w_1), \text{cp}(w_2)) \in p^+ \). From the fact (iii) and the hypotheses (i) and (ii), we derive a cycle in \( p \), a contradiction since \( p \) is an order.

Proof of (iii): let us show the base case; the inductive case follows immediately. Let us have two writes \( w_1 \) and \( w_2 \) s.t. \( (w_1, w_2) \in \text{co}; \text{prop} \); thus there is a write \( w \) s.t. \( (w_1, w) \in \text{co} \) and \( (w, w_2) \in \text{prop} \). Since \( p \) is total, we have either the result or \( (\text{cp}(w_2), \text{cp}(w_1)) \in p \). Suppose the latter. Thus we contradict the (CPW: PROPAGATION) hypothesis. Indeed when we are about to take the WRITE REACHES COHERENCE POINT transition triggered by the label \( \text{cp}(w) \), we have \( (w, w_2) \in \text{prop} \) by hypothesis, and \( w_2 \) already in \( \text{cp} \): the hypothesis \( (w_1, w) \in \text{co} \) entails that \( (\text{cp}(w_1), \text{cp}(w)) \in p \), and we also have \( (\text{cp}(w_2), \text{cp}(w_1)) \in p \) by hypothesis. Therefore when we are about to process \( \text{cp}(w) \) we have placed \( w_2 \) in \( \text{cp} \) by taking the transition \( \text{cp}(w_2) \).

7.2.2. From axiomatic model to intermediate machine (proof of Lem.7.3) We show here that an axiomatic execution \( (E, po, co, rf) \) leads to a valid path \( p \) of the intermediate ma-
machine. To do so, we show that the intermediate machine accepts certain paths\(^9\) that linearise the transitive closure of the relation \(r\) defined inductively as follows (we abuse our notations here, writing e.g. \(c(r)\) instead of \(c(w, r)\) where \(w\) is the write from which \(r\) reads):

- for all \(r \in E, (s(r), c(r)) \in r\), i.e. we satisfy a read before committing it;
- for all \(w \in E, (c(w), cp(w)) \in r\), i.e. we commit a write before it can reach its coherence point;
- for all \(w\) and \(r\) separated by a fence in program order, \((c(w), s(r)) \in r\), i.e. we commit the write \(w\) before we satisfy the read \(r\);
- for all \((w, r) \in E\), \((c(w), s(w, r)) \in r\), i.e. we commit a write before reading externally from it;
- for all \((w_1, w_2) \in C\), \((cp(w_1), cp(w_2)) \in r\), i.e. \(cp\) and the coherence order are in accord;
- for all \((r, e) \in p \cup \text{fences}\), we commit a read \(r\) before processing any other event \(e\) (i.e. satisfying \(e\) if \(e\) is a read, or committing \(e\) if \(e\) is a write), if \(r\) and \(e\) are separated e.g. by a dependency or a barrier;
- for all \((w_1, w_2) \in \text{prop}^+, (cp(w_1), cp(w_2)) \in r\), i.e. \(cp\) and propagation order are in accord.

Since we build \(p\) as a linearisation of the relation \(r\) defined above, we first need to show that we are allowed to linearise \(r\), i.e. that \(r\) is acyclic.

\textit{Linearisation of \(r\):} suppose as a contradiction that there is a cycle in \(r\), i.e. there is a label \(l\) s.t. \((l, l) \in r^+\). Let us write \(S_1\) for the set of commit writes, satisfy reads and commit reads, and \(S_2\) for the set of writes reaching coherence points. We show by induction that for all pair of labels \((l_1, l_2) \in r^+, \) either:

- \(l_1\) and \(l_2\) are both in \(S_1\), and their corresponding events \(e_1\) and \(e_2\) are ordered by happens-before, i.e. \((e_1, e_2) \in \text{hb}^+, \) or
- \(l_1\) and \(l_2\) are both in \(S_2\) and their corresponding events \(e_1\) and \(e_2\) are ordered by \((\text{co} \cup \text{prop})^+, \) or
- \(l_1\) is in \(S_1, l_2\) in \(S_2\), and their corresponding events \(e_1\) and \(e_2\) are ordered by happens-before, or
- \(l_1\) is in \(S_1, l_2\) in \(S_2\), and their corresponding events \(e_1\) and \(e_2\) are ordered by \((\text{co} \cup \text{prop})^+, \) or
- \(l_1\) is in \(S_1, l_2\) in \(S_2\), and their corresponding events \(e_1\) and \(e_2\) are ordered by \((\text{co} \cup \text{prop})^+, \) or
- \(l_1\) is a satisfy read and \(l_2\) the corresponding commit read.
- \(l_1\) is a commit write and \(l_2\) the write reaching coherence point.

Each of these items contradicts the fact that \(l_1 = l_2\); the first two resort to the axioms of our model prescribing the acyclicity of \(\text{hb}\) on the one hand (NO THIN AIR), and \(\text{co} \cup \text{prop}\) on the second hand (PROPAGATION); all the rest resorts to the transitions being different.

We now show that none of the transitions of the machine given in Fig. 30 can block.

\(^9\)The path has to linearise \(r\) so that for all writes \(w_1\) and \(w_2\), if \((cp(w_1), cp(w_2)) \in p\) then \((c(w_1), c(w_2)) \in p\). We refer to this property as "\(p\) being fifo". In other words, the linearisation must be such that coherence point labels and commit labels are in accord. Note that this does not affect the generality of Lem. 7.3, as to prove this lemma, we only need to find one valid intermediate machine path for a given axiomatic execution; our path happens to be so that coherence point and commit labels are in accord.
COMMIT WRITE does not block: suppose as a contradiction a label \(c(w)\) s.t. the transition of the intermediate machine triggered by \(c(w)\) blocks. This means that one of the premises of the COMMIT WRITE rule is not satisfied.

First case: the premise (CW: SC PER LOCATION/coWW) is not satisfied, i.e. there exists \(w'\) in \(cw\) s.t. \((w, w') \in po-loc\). Since \((w, w') \in po-loc\) we have \((w, w') \in co\) by SC PER LOCATION. By construction of \(p\), we deduce \((cp(w), cp(w')) \in p\). By \(p\) being fifo (see footnote on page 43), we deduce \((i)\) \((c(w), c(w')) \in p\). Moreover if \(w'\) is in \(cw\) when we are about to process \(c(w)\), then \(w'\) has been committed before \(w\), hence \((ii)\) \((c(w'), c(w)) \in p\). By \(i\) and \(ii\), we derive a cycle in \(p\), a contradiction since \(p\) is an order (since we build it as a linearisation of a relation).

Second case: the premise (CW: PROPAGATION) is not satisfied, i.e. there exists \(w'\) in \(cw\) s.t. \((w, w') \in prop\). Since \(w'\) is in \(cw\) when we are about to process the label \(c(w)\), we have \((i)\) \((c(w'), c(w)) \in p\). Since \((w, w') \in prop\), we have \((ii)\) \((cp(w), cp(w')) \in p\) (recall that we build \(p\) inductively; in particular the order of the \(cp(w)\) transitions in \(p\) respects the order of the corresponding events in \(prop\)). Since we build \(p\) so that it is fifo (see footnote on page 43), we deduce from \(i\) the fact \((iii)\) \((c(w), c(w')) \in p\). From \(ii\) and \(iii\), we derive a cycle in \(p\), a contradiction since \(p\) is an order (since we build it as a linearisation of a relation).

Third case: the premise (CW: fences \(\cap\) WR) is not satisfied, i.e. there exists \(r\) in \(sr\) s.t. \((w, r) \in fences\). From \(r \in sr\) we deduce \((s(r), c(w)) \in p\). From \((w, r) \in fences\) we deduce (by construction of \(p\)) \((c(w), s(r)) \in p\), which creates a cycle in \(p\).

WRITE REACHES COHERENCE POINT does not block: suppose as a contradiction a label \(cp(w)\) s.t. the transition of the intermediate machine triggered by \(cp(w)\) blocks. This means that one of the premises of the WRITE REACHES COHERENCE POINT rule is not satisfied.

First case: the premise (CPW: WRITE IS COMMITTED) is not satisfied, i.e. \(w\) has not been committed. This is impossible since \((c(w), cp(w)) \in p\) by construction of \(p\).

Second case: the premise (CPW: po-loc AND cpw ARE IN ACCORD) is not satisfied, i.e. there is a write \(w'\) that has reached coherence point s.t. \((w, w') \in po-loc\). From \((w, w') \in po-loc\), we know by SC PER LOCATION that \((w, w') \in co\). Thus by construction of \(p\), we know \((i)\) \((cp(w), cp(w')) \in p\). From \(w'\) having reached coherence point before \(w\), we know \((ii)\) \((cp(w'), cp(w)) \in p\). By \(i\) and \(ii\), we derive a cycle in \(p\), a contradiction since \(p\) is an order (since we build it as a linearisation of a relation).

Third case: the premise (CPW: PROPAGATION) is not satisfied, i.e. there is a write \(w'\) that has reached coherence point s.t. \((w, w') \in prop\). By construction of \(p\), we deduce \((i)\) \((cp(w), cp(w')) \in p\). From \(w'\) having reached coherence point before \(w\), we know \((ii)\) \((cp(w'), cp(w)) \in p\). By \(i\) and \(ii\), we derive a cycle in \(p\), a contradiction since \(p\) is an order (since we build it as a linearisation of a relation).

SATISFY READ does not block: suppose as a contradiction a label \(s(w, r)\) s.t. the transition of the intermediate machine triggered by \(s(w, r)\) blocks. This means that one of the premises of the SATISFY READ rule is not satisfied. Note that since \(s(w, r)\) is a label of \(p\), we have \((i)\) \((w, r) \in rf\).

First case: the premise (SR: WRITE IS EITHER LOCAL OR COMMITTED) is not satisfied, i.e. \(w\) is neither local nor committed. Suppose \(w\) not local (otherwise we contradict our hypothesis); let us show that it has to be committed. Suppose it is not, therefore we have \((s(r), c(w)) \in p\). Since \(w\) is not local, we have \((w, r) \in rf\), from which we deduce (by construction of \(p\)) that \((c(w), s(r)) \in p\); this leads to a cycle in \(p\).

Second case: the premise (SR: PPO/l0 \(\cap\) RR) is not satisfied, i.e. there is a satisfied read \(r'\) s.t. \((r, r') \in ppo \cup fences\). From \(r'\) being satisfied we deduce \((s(r'), s(r)) \in p\). From \((r, r') \in ppo \cup fences\) and by construction of \(p\), we deduce \((c(r), s(r')) \in p\). Since \(s(r)\) precedes \(c(r)\) in \(p\) by construction of \(p\), we derive a cycle in \(p\), a contradiction.
Third case: the premise (SR: OBSERVATION) is not satisfied, i.e. there is a write \( w \) s.t. \((w, w') \in \text{co} \) and \((w', r) \in \text{prop}\). Since \((w, w') \in \text{co}\), by (i) \((r, w') \in \text{fr}\). Therefore we contradict the OBSERVATION axiom.

**COMMIT READ does not block**: suppose as a contradiction a label \( c(w, r) \) s.t. the transition of the intermediate machine triggered by \( c(w, r) \) blocks. This means that one of the premises of the COMMIT READ rule is not satisfied.

First case: the premise (CR: READ IS SATISFIED) is not satisfied, i.e. \( r \) is not in \( \text{sr} \). This is impossible since we impose \((s(r), c(r)) \in p\) when building \( p\).

Second case: the premise (CR: SC PER LOCATION/ coWR, coRW\{1,2\}, coRR) is not satisfied, i.e. \( w \) is not visible to \( r \). This contradicts the SC PER LOCATION axiom, as follows. Recall that the visibility definition introduces \( w_a \) as the first write to the same location as \( r \) which is po-loc-after \( r \); and \( w_b \) as the last write to the same location as \( r \) which is po-loc-before \( r \). Now, if \( w \) is not visible to \( r \) we have either (i) \( w \) is co-before \( w_b \), or (ii) equal or co-after \( w_a \).

Suppose (i), we have \((w, w_b) \in \text{co}\). Hence we have \((w, w_b) \in \text{co}, (w_b, r) \in \text{po-loc}\) by definition of \( w_b \), and \((w, r) \in \text{fr}\) by definition of \((s(w, r))\) being in \( p\). Thus we contradict the coWR case of the SC PER LOCATION axiom. The (ii) case is similar, and contradicts (coRW1) if \( w = w_a \) or (coRW2) if \( (w_a, w) \in \text{cw}\).

Third case: the premise (CR: PPO/c0 ∩ RW) is not satisfied, i.e. there is a write \( w' \) in \( \text{cw} \) s.t. \((r, w') \in \text{ppo} \cup \text{fences}\). From \( w' \in \text{cw} \) we deduce \((c(w'), c(r)) \in \text{p}\). From \((r, w') \in \text{ppo} \cup \text{fences} \) we deduce \((c(r), c(w')) \in \text{p}\) by construction of \( p\). This leads to a cycle in \( p\), a contradiction.

Fourth case: the premise (CR: PPO/(c0 ∪ c0) ∩ RR) is not satisfied, i.e. there is a read \( r' \) in \( \text{sr} \) s.t. \((r', r') \in \text{ppo} \cup \text{fences}\). From \( r' \in \text{sr} \) we deduce \((s(r'), c(r)) \in \text{p}\). From \((r, r') \in \text{ppo} \cup \text{fences} \) we deduce \((c(r), s(r')) \in \text{p}\) by construction of \( p\). This leads to a cycle in \( p\), a contradiction.

### 7.3. Comparing our model and the PLDI machine

The PLDI machine is an operational model, which we describe here briefly (see [Sarkar et al. 2011] for details). This machine maintains a coherence order (a strict partial order over the writes to the same memory location), and, per thread, a list of the writes and fences that have been propagated to that thread.

A load instruction yields two transitions of this machine (amongst others): a **satisfy read** transition, where the read takes its value, and a **commit read** transition, where the read becomes irrevocable. A store instruction yields a **commit write** transition, where the write becomes available to be read, several **propagate write** transitions, where the write is sent out to different threads of the system, and a **reaching coherence point** transition, where the write definitely takes place in the coherence order. We summarise the effect of a PLDI transition on a PLDI state in the course of this section.

We show that a valid path of the PLDI machine leads to valid path of our intermediate machine.

First, we show how to relate the two machines.

#### 7.3.1. Mapping PLDI Objects (labels and states) to intermediate objects

We write \( \text{pl2l}(l) \) to map a PLDI \( l \) to a label of the intermediate machine. For technical convenience we assume a special \text{noop} intermediate label such that, from any state \( s \) of the intermediate machine, we may perform a transition from \( s \) to \( s' \) via \text{noop}.

We can then define \( \text{pl2l}(l) \) as being the eponymous label in the intermediate machine if it exists (i.e. for commit write, write reaches coherence point, satisfy read and commit read), and \text{noop} otherwise. We derive from this mapping the set \( L_i \) of intermediate labels composing our intermediate path.
We build a state of our intermediate machine from a PLDI state \( s \) and an accepting PLDI path \( p \); we write \( ps2s(p, s) = (cw, cpw, sr, cr) \) for the intermediate state built as follows:

- for a given location, \( cw \) is simply the set of writes to this location that have been committed in \( s \);
- we take \( cpw \) to be all the writes having reached coherence point in \( s \), ordered w.r.t. \( p \);
- the set \( sr \) gathers the reads that have been satisfied in the state \( s \); we simply add a read to \( sr \) if the corresponding satisfy transition appears in \( p \) before the transition leading to \( s \);
- the set \( cr \) gathers the reads that have been committed in the state \( s \).

### 7.3.2 Building a path of the intermediate machine from a PLDI path

A given path \( p \) of the PLDI machine entails a run \( s_0 \xrightarrow{l_1} s_1 \xrightarrow{l_2} \cdots \xrightarrow{l_n} s_n \) such that \((l, l') \in p\) if and only if there exist \( i \) and \( j \) such that \( i < j \) and \( l = l_i \) and \( l' = l_j \).

We show that \( ps2s(s_0) \xrightarrow{pl2l(l_1)} ps2s(s_1) \xrightarrow{pl2l(l_2)} \cdots \xrightarrow{pl2l(l_n)} ps2s(s_n) \) is a path of our intermediate machine. We proceed by induction for \( 0 \leq m \leq n \). The base case \( m = 0 \) is immediately satisfied by the single-state path \( ps2s(s_0) \).

Now, inductively assume that \( ps2s(s_0) \xrightarrow{pl2l(l_1)} ps2s(s_1) \xrightarrow{pl2l(l_2)} \cdots \xrightarrow{pl2l(l_n)} ps2s(s_m) \) is a path of the intermediate machine. We prove the case for \( m + 1 \). Take the transition \( s_m \xrightarrow{l_{m+1}} s_{m+1} \) of the PLDI machine. We prove \( ps2s(s_m) \xrightarrow{pl2l(l_{m+1})} ps2s(s_{m+1}) \) to complete the induction. There are several cases.

When \( pl2l(l_{m+1}) = \text{noop} \) we have that \( ps2s(s_m) = ps2s(s_{m+1}) \) simply because the PLDI labels that have \( \text{noop} \) as an image by \( pl2l \) do not affect the components \( cw, cpw, sr \) and \( cr \) of our state.

Only the PLDI transitions that have an eponymous transition in our machine affect our intermediate state. Thus we list below the corresponding four cases.

#### Commit write

In the PLDI machine, a commit transition of a write \( w \) makes this write co-after all the writes to the same location that have been propagated to its thread. The PLDI transition guarantees that \((i)\) \( w \) had not been committed in \( s_1 \).

Observe that \( w \) takes its place in the set \( cw \), ensuring that we modify the state as prescribed by our COMMIT WRITE rule.

Now, we check that we do not contradict the premises of our COMMIT WRITE rule.

First case: contradict the premise \((CW: SC PER LOCATION/coWW)\); i.e. take a write \( w' \) in \( cw \) s.t. \((w, w') \in \text{po-loc}\). In that case, we contradict the fact that the commit order respects \( \text{po-loc} \) (see \cite{Sarkar2011} p. 7, item 4 of § Commit in-flight instruction).

Second case: contradict the premise \((CW: PROPAGATION)\); i.e. take a write \( w' \) in \( cw \) s.t. \((w, w') \in \text{prop}\). In that case, \((w, w') \in \text{prop} \) guarantees that \( w \) was propagated to the thread of \( w' \) in \( s_1 \). Therefore (see \cite{Sarkar2011} p. 6, premise of § Propagate write to another thread), \( w \) was seen in \( s_1 \). For the write to be seen, it needs to have been sent in a write request \cite{Sarkar2011} p. 6, item 1 of § Accept write request; for the write request to be sent, the write must have been committed \cite{Sarkar2011} p. 8, action 4 of § Commit in-flight instruction). Thus we contradict \((i)\).

Third case: contradict the premise \((CW: \text{fences} \cap \text{WR})\); i.e. take a read \( r \) in \( sr \) s.t. \((w, r) \in \text{fences} \). Since \( r \) is in \( sr \), \( r \) is satisfied. Note that the write from which \( r \) reads can be either local (see \cite{Sarkar2011} p. 8, § Satisfy memory read by forwarding an in-flight write directly to reading instruction) or committed (see \cite{Sarkar2011} p. 8, § Satisfy memory read from storage subsystem)).
In both cases, the fence between \( w \) and \( r \) must have been committed (see [Sarkar et al. 2011], p. 8, item 2 of § Write reaches coherence point transitions order writes following a linearisation of \((co \cup prop)^+\). Our \( cw \) implements that per location, then we make the writes reach coherence point following \( cw \) and \((co \cup prop)^+\).

Observe that a write \( w \) reaching coherence point takes its place after all the writes having already reached coherence point, ensuring that we modify the intermediate state as prescribed by our WRITE REACHES COHERENCE POINT rule.

Now, we check that we do not contradict the premises of our WRITE REACHES COHERENCE POINT rule.

First case: contradict the premise (CPW: WRITE IS COMMITTED), i.e. suppose that \( w \) is not committed. This is impossible as the PLDI machine requires a write to have been seen by the storage subsystem for it to reach coherence point [Sarkar et al. 2012], p. 3, §Write reaches its coherence point]. For the write to be seen, it needs to have been sent in a write request [Sarkar et al. 2011], p. 6, item 1 of §Accept write request]; for the write request to be sent, the write must have been committed [Sarkar et al. 2011], p. 7, action 4 of §Commit in-flight instruction].

Second case: contradict the premise (CPW: po-loc AND cpw ARE IN ACCORD), i.e. take a write \( w' \) in cpw s.t. \( (w, w') \in po-loc \). This means that (i) \( w' \) has reached coherence point before \( w \), despite \( w \) preceding \( w' \) in po-loc. This is a contradiction, as we now explain. If \( (w, w') \in po-loc \), then \( w \) is propagated to its own thread before \( w' \) [Sarkar et al. 2011], p. 7, action 4 of §Commit in-flight instruction]. Since \( w \) and \( w' \) access the same address, when \( w' \) is propagated to its own thread, \( w' \) is recorded as being co-after all the writes to the same location already propagated to its thread [Sarkar et al. 2011], p. 6, item 3 of §Accept write request], in particular \( w \). Thus we have \( (w, w') \in co \). Now, when \( w' \) reaches coherence point, all its coherence predecessors must have reached theirs [Sarkar et al. 2012], p. 4, item 2 of §Write reaches its coherence point], in particular \( w \). Thus \( w \) should reach its coherence point before \( w' \), which contradicts (i).

Third case: contradict the premise (CPW: PROPAGATION), i.e. take a write \( w' \) in cpw s.t. \( (w, w') \in prop \). This contradicts the fact that writes cannot reach coherence point in an order that contradicts propagation (see [Sarkar et al. 2012], p. 4, item 3 of §Write reaches coherence point]).

Satisfy read: in the PLDI machine, a satisfy read transition does not modify the state (i.e. \( s_1 = s_2 \)). In the intermediate state, we augment \( s_r \) with the read that was satisfied.

Now, we check that we do not contradict the premises of our SATISFY READ rule.

First case: contradict the (SR: WRITE IS EITHER LOCAL OR COMMITTED) premise, i.e. suppose that \( w \) is neither local nor committed. Then we contradict the fact that a read can read either from a local po-loc-previous write (see [Sarkar et al. 2011], p. 8, item 1 of §Satisfy memory read by forwarding an in-flight write directly to reading instruction]), or from a write from the storage subsystem — which therefore must have been committed (see [Sarkar et al. 2011], p. 8, §Satisfy memory read from storage subsystem]).

Second case: contradict the (SR: ppo/ii \( \cap \) RR) premise, i.e. take a satisfied read \( r' \) s.t. \( (r, r') \in ppo \cup fences \). Then we contradict the fact that read satisfaction follows the
preserved program order and the fences (see [Sarkar et al. 2011], p. 8, all items of both §Satisfy memory read by forwarding an in-flight write directly to reading instruction and §Satisfy memory read from storage subsystem).

Third case: contradict the (SR: OBSERVATION) premise, i.e., take a write \( w' \) in \( c_0 \) after \( w \) s.t. \((w', r) \in \text{prop;} \text{hb}^*\). Since \( w \) and \( w' \) are related by \( c_0 \), they have the same location. The PLDI transition guarantees that (i) \( w \) is the most recent write to \( \text{addr}(r) \) propagated the thread of \( r \) (see [Sarkar et al. 2011] p. 6, §Send a read response to a thread)). Moreover, \((w', r) \in \text{prop;} \text{hb}^*\) ensures that (ii) \( w' \) has been propagated to the thread of \( r \), or there exists a write \( e \) such that \((w', e) \in c_0 \) and \( e \) is propagated to the thread of \( r \). Therefore, we have \((w', w) \in c_0 \) by [Sarkar et al. 2011] p. 6, item 2 of §Propagate write to another thread.

Therefore by \((w, w') \in c_0 \), we know that \( w \) reaches its coherence point before \( w' \). Yet \( w' \) is a \( c_0 \)-predecessor of \( w \), which contradicts [Sarkar et al. 2012], p. 4, item 2 of §Write reaches coherence point.

Proof of (ii): we take \((w', r) \in \text{prop;} \text{hb}^* \) as above. This gives us a write \( w'' \) s.t. \((w', w'') \in \text{prop} \) and \((w'', r) \in \text{hb}^* \). Note that \((w', w'') \in \text{prop} \) requires the presence of a barrier between \( w' \) and \( w'' \).

We first remind the reader of a notion from [Sarkar et al. 2011], the group \( A \) of a barrier: the group \( A \) of a barrier is the set of all the writes that have been propagated to the thread holding the barrier when the barrier is sent to the system (see [Sarkar et al. 2011] p. 5, §Barriers (sync and lwsync) and cumulativity by fiat)). When a barrier is sent to a thread, all the writes in its group \( A \) must have been propagated to that thread (see [Sarkar et al. 2011] p. 6 item 2 of §Propagate barrier to another thread)). Thus if we show that (a) the barrier between \( w' \) and \( w'' \) is propagated to the thread of \( r \) and (b) \( w' \) is in the group \( A \) of this barrier, we have our result.

Let us now do a case disjunction over \((w', w'') \in \text{prop} \).

When \((w', w'') \in \text{prop-base} \), we have a barrier \( b \) such that (i) \((w', b) \in \text{fences} \cup \text{(ref: fences)} \) and (ii) \((b, r) \in \text{hb}^* \). Note (i) immediately entails that \( w' \) is in the group \( A \) of \( b \). For (ii), we reason by induction over \((b, r) \in \text{hb}^* \), the base case being immediate. In the inductive case, we have a write \( e \) such that \( b \) is propagated to the thread of \( e \) before \( e \) and \( e \) is propagated to the thread of \( r \) before \( r \). Thus, by [Sarkar et al. 2011][p. 6, item 3 of §Propagate write to another thread], \( b \) is propagated to \( r \).

When \((w', w'') \in \text{com}^+; \text{prop-base}^*; \text{fence}; \text{hb}^* \), we have a barrier \( b \) (which is a full fence) such that \((w', b) \in \text{com}^+; \text{prop-base}^* \) and \((b, r) \in \text{hb}^* \). We now proceed by reasoning over \( \text{com}^+ \).

If there is no \( \text{com} \) step, then we have \((w', b) \in \text{prop-base}^* \), thus \( w' \) is propagated to the thread of \( b \) before \( b \) by the \text{prop-base} case above. Note that this entails that \( w' \) is in the group \( A \) of \( b \). Since \( b \) is a full fence, \( b \) propagates to all threads (see [Sarkar et al. 2011] premise of §Acknowledge sync barrier)), in particular to the thread of \( r \). Thus by [Sarkar et al. 2011] item 2 of §Propagate barrier to another thread), \( w' \) is propagated to \( r \).

In the \( \text{com}^+ \) case (i.e. \((w', b) \in \text{com}^+; \text{prop-base}^* \)), we remark that \( \text{com}^+ = \text{com} \cup \text{co}; \text{rf} \cup \text{fr}; \text{rf} \). Thus since \( w' \) is a write, only the cases \( \text{rf}, \text{co} \) and \( \text{co}; \text{rf} \) apply. In the \( \text{rf} \) case, we have \((w', b) \in \text{prop-base}^* \), which leads us back to the base case (no \text{com} step) above. In the \( \text{co} \) and \( \text{co}; \text{rf} \) cases, we have \((w', b) \in \text{co}; \text{prop-base}^* \), i.e. there exists a write \( e \) such that \((w', e) \in \text{co} \) and \((e, b) \in \text{prop-base}^* \), i.e. our result.

Commit read: in the PLDI machine, a commit read transition does not modify the state. In the intermediate state, we augment \( c_r \) with the read that was committed. We now check that we do not contradict the premises of our COMMIT READ rule.

First case: contradict the premise (CR: READ IS SATISFIED), i.e. suppose that the read that we want to commit is not in \( s_r \); this means that this read has not been
satisfied. This is impossible since a read must be satisfied before it is committed (see [Sarkar et al. 2011] p. 7, item 1 of §Commit in-flight instruction)).

Second case: contradict the (CR: SC PER LOCATION/ coWR, coRW{1,2}, coRR) premise. This is impossible since the PLDI machine prevents coWR, coRW1 and coRW2 (see [Sarkar et al. 2011] p. 3, §Coherence)).

Third case: contradict the premise (CR: PPO/cc ∩ RW), i.e. take a committed write w′ s.t. (r, w′) ∈ ppo ∪ fences. Since r must have been committed before w′ (by [Sarkar et al. 2011] p. 7, items 2, 3, 4, 5, 7 of §Commit in-flight instruction), we get a contradiction.

Fourth case: contradict the premise (CR: PPO/(ci ∩ cc) ∩ RR), i.e. take a satisfied read r′ s.t. (r, r′) ∈ ppo ∪ fences. Since r must have been committed before r′ was satisfied (by [Sarkar et al. 2011] p. 8, item 3 of §Satisfy memory read from storage subsystem and item 3 of §Satisfy memory read by forwarding an in-flight write directly to reading instruction), we get a contradiction.

8. TESTING AND SIMULATION

As usual in this line of work, we developed our model in tandem with extensive experiments on hardware. We report here on our experimental results on Power and ARM hardware. Additionally, we experimentally compared our model to the ones of [Sarkar et al. 2011] and [Mador-Haim et al. 2012]. Moreover, we developed a new simulation tool called herd.

We generated 8117 tests for Power and 9761 tests for ARM, illustrating various features of the hardware, e.g. lb, mp, sb, and their variations with dependencies and barriers, e.g. lb+addr, mp+lwsync+addr, sb+syncs.

We tested the model described in Fig. 5 and 25 on Power and ARM machines, to check experimentally if this model was suitable for these two architectures. In the following, we write “Power model” for this model instantiated for Power, and “Power-ARM model” for this model instantiated for ARM. We give a summary of our experiments in Tab. V.

For each architecture, the row “unseen” gives the number of tests that our model allows but that the hardware does not exhibit. This can be the case because our model is

|         | Power | ARM |
|---------|-------|-----|
| # tests | 8117  | 9761|
| invalid | 0     | 1500|
| unseen  | 1182  | 1820|

Table V. Summary of our experiments on Power and ARM h/w
too coarse (i.e. fails to reflect the architectural intent in forbidding some behaviours), or because the behaviour is intended to be allowed by the architect, but is not implemented yet.

The column “invalid” gives the number of tests that our model forbids but that the hardware does exhibit. This can be because our model is too strict and forbids behaviours that are actually implemented, or because the behaviour is a hardware bug.

8.1.1. On Power

We tested three generations of machines: Power G5, 6 and 7. The complete logs of our experiments can be found at http://diy.inria.fr/cats/model-power. Our Power model is not invalidated by Power hardware (there is no test in the “invalid” columns on Power in Tab. V). In particular it allows mp+lwsync+addr-po-detour, which [Sarkar et al. 2011] wrongly forbids, as this behaviour is observed on hardware (see http://diy.inria.fr/cats/pldi-power/#lessvs).

Our Power model allows some behaviours (see the “unseen” columns on Power), e.g. lb, that are not observed on Power hardware. This is to be expected as the lb pattern is not yet implemented on Power hardware, despite being clearly architecturally allowed [Sarkar et al. 2011].

8.1.2. On ARM

We tested several system configurations: NVDIA Tegra 2 and 3, Qualcomm APQ8060 and APQ8064, Apple A5X and A6X, and Samsung Exynos 4412, 5250 and 5410. The complete logs of our experiments can be found at http://diy.inria.fr/cats/model-arm. This section about ARM testing is articulated as follows:

— we first explain how our Power-ARM model is invalidated by ARM hardware (see the “invalid” column on ARM) by 1500 tests (see §“Our Power-ARM model is invalidated by ARM hardware”). We detail and document the discussion below at http://diy.inria.fr/cats/arm-anomalies.

— we then propose a model for ARM (see §“Our proposed ARM model”).

— we then explain how we tested this model on ARM machines, and the anomalies that we have found whilst testing (see §“Testing our model”).

Our Power-ARM model is invalidated by ARM hardware

Amongst the tests we have ran on ARM hardware, some unveiled a load-load hazard bug in the coherence mechanism of all machines. This bug is a violation of the coRR pattern shown in Sec. 4, and was later acknowledged as such by ARM, in the context of Cortex-A9 cores, in the note [arm 2011].

Amongst the machines that we have tested, this note applies directly to Tegra 2 and 3, A5X, Exynos 4412. Additionally Qualcomm’s APQ8060 is supposed to have many architectural similarities with the ARM Cortex-A9, thus we believe that the note might apply to APQ8060 as well. Moreover, we have observed load-load hazards anomalies on cortex-A15 based systems (Exynos 5250 and 5410), on the cortex-A15 compatible Apple “Swift” (A6X) and on the Krait-based APQ8064, although much less often than on cortex-A9 based systems. Note that we observed the violation of coRR itself quite frequently, as illustrated by the first line of the table in Tab. VI. The second line of Tab. VI refers to a more sophisticated test, coRSDWI (see Fig. 31), whose executions reveal violations of the coRR pattern on the location z. Both tests considered, we observed the load-load hazard bug on all tested machines.

Others, such as the mp+dmb+fri-rfi-crtlisb behaviour of Fig. 32, were claimed to be desirable behaviours by the designers that we talked to. This behaviour is a variant of the message passing example, with some more accesses to the flag variable y before

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10 We note that violating coRR invalidates the implementation of C++ modification order mo (e.g. the implementation of memory order relaxed), which explicitly requires the five coherence patterns of Fig. 6 to be forbidden [Batty et al. 2011, p. 6, col. 1].
An observed behaviour that features a coRR violation

| coRR               | model       | machines          |
|-------------------|-------------|-------------------|
| coRSDWI           | Forbid      | Ok, 409k/18G      |
| mp+dmb+fri-ctrlisb| Forbid      | Ok, 153k/178G     |
| lb+data+fri-ctrl  | Forbid      | Ok, 19k/11G       |
| moredetour0052    | Forbid      | Ok, 9/17G         |
| mp+dmb+pos-ctrlisb+bis | Forbid | Ok, 81/32G       |

Table VI. Some counts of invalid observations on ARM machines

the read of the message variable \( x \). We observed this behaviour quite frequently (see the third line of Tab. VI) albeit on one machine (of type APQ8060) only.

Additionally, we observed similar behaviours on APQ8064 (see also [http://moscova.inria.fr/~maranget/cats/model-qualcomm/compare.html#apq8064-invalid](http://moscova.inria.fr/~maranget/cats/model-qualcomm/compare.html#apq8064-invalid)). We give three examples of these behaviours in Fig. 33. The first two are variants of the load buffering example of Fig. 7. The last is a variant of the “s” idiom of Fig. 39. We can only assume that these are as desirable as the behaviour in Fig. 32.

For reasons explained in the next paragraph, we gather all such behaviours under the name “early commit behaviours” (see reason (ii) in §“Our proposed ARM model”).

**Our proposed ARM model** Our Power-ARM model rejects the mp+dmb+fri-ctrlisb behaviour via the OBSERVATION axiom, as the event \( c \) is ppo-before the event \( f \). More precisely, from our description of preserved program order (see Fig. 25), the order from \( c \) to \( f \) derives from three reasons: (i) reads are satisfied before they are committed (\( ii(r) \) precedes \( c(r) \)), (ii) instructions that touch the same location commit in order (ppo-loc is in \( cc_0 \)), and (iii-a) instructions in a branch that are ppo-after a control fence (here \( isb \) does not start before the \( isb \) executes, and \( isb \) does not execute before the branch is settled, which in turn requires the read (\( e \) in the diagram) that controls the branch to be committed (\( ctrl+cfence \) is in \( cc_0 \)).

Our Power-ARM model rejects the s+dmb+fri-ctrlisb behaviour via the PROPAGATION axiom for the same reason: the event \( c \) is ppo-before the event \( f \).

Similarly, our Power-ARM model rejects the lb+data+fri-ctrl behaviour via the NO THIN AIR axiom, as the event \( c \) is ppo-before the event \( f \). Here, still from our description of preserved program order (see Fig. 25) the order from \( c \) to \( f \) derives from three
reasons: (i) reads are satisfied before they commit (\(i(r)\) precedes \(c(r)\)), (ii) instructions that touch the same location commit in order (po-loc is in \(\mathbb{C}_0\)), and (iii-b) instructions (in particular store instructions) in a branch do not commit before the branch is settled, which in turn requires the read (\(e\) in the diagram) that controls the branch to be committed (ctrl is in \(\mathbb{C}_0\)).

Finally, our Power-ARM model rejects the lb+data+data-wsi-rfi-addr via the NO THIN AIR axiom, because because the event \(c\) is ppo-before the event \(g\). Again, from our description of preserved program order (see Fig. 25) the order from \(c\) to \(f\) derives from three reasons: (i) reads are satisfied before they commit (\(i(r)\) precedes \(c(r)\)), (ii) instructions that touch the same location commit in order (po-loc is in \(\mathbb{C}_0\)), and (iii-c) instructions (in particular store instructions) do not commit before a read they depend on (e.g. the read \(f\)) is satisfied (addr is in \(\mathbb{I}_0\) because it is in \(\mathbb{I}_0\) and \(\mathbb{I}_0\) is included in \(\mathbb{I}_0\)).

The reasons (i), (iii-a), (iii-b) and (iii-c) seem uncontroversial. In particular for (iii-a), if ctrl+cfence is not included in ppo, then neither the compilation scheme from C++ nor the entry barriers of locks would work [Sarkar et al. 2012]. For (iii-b), if ctrl to a write event is not included in ppo, then some instances of the pattern lb+ppos (see
| Herding cats | Power-ARM | ARM | ARM llh |
|--------------|-----------|-----|---------|
| skeleton     | Fig. 5    | Fig. 5 | Fig. 5 st. SC PER LOCATION |
| propagation  | Fig. 18   | Fig. 18 | becomes acyclic(po-loc:llh ∪ com), with po-loc:llh \= po-loc \RR |
| ppo          | Fig. 25   | Fig. 25 s.t. cc0 becomes dp ∪ ctrl ∪ (addr; po) |

Table VII. Summary of ARM models

Fig. 7 such as lb+ctrls would be allowed. From the architecture standpoint, this could be explained by value speculation, an advanced feature that current commodity ARM processors do not implement. A similar argument applies for (ii-c), considering this time that lb+addrs should not be allowed by a hardware model. In any case, allowing such simple instances of the pattern lb+ppos would certainly contradict (low-level) programmer intuition.

As for (ii) however, one could argue that this could be explained by an “early commit” feature. For example, looking at mp+ctrl+rfi-rfi-ctrlslsb in Fig. 32 and lb+data+rfr-rf.ctrl in Fig. 33, the read e (which is satisfied by forwarding the local write d) could commit without waiting for the satisfying write d to commit, nor for any other write to the same location that is po-before d. Moreover, the read e could commit without waiting for the commit of any read from the same location that is po-before its satisfying write. We believe that this might be plausible from a micro-architecture standpoint: the value read by e cannot be changed by any later observation of incoming writes performed by load instructions that are po-before the satisfying write d; thus the value read by e is irrevocable.

In conclusion, to allow the behaviours of Fig. 32, we need to weaken the definition of preserved program order of Fig. 25. For the sake of simplicity, we chose to remove po-loc altogether from the cc0 relation, which is the relation ordering the commit parts of events. This means that two accesses relative to the same location and in program order do not have to commit in this order.11

Thus we propose the following model for ARM, which has so far not been invalidated on hardware (barring the load-load hazard behaviours, acknowledged as bugs by ARM [arm 2011] and the other anomalies presented in § “Testing our model”, that we take to be undesirable). We go back to the soundness of our ARM model at the end of this section, in § “Remark on our proposed ARM model”.

The general skeleton of our ARM model should be the four axioms given in Fig. 5 and the propagation order should be as given in Fig. 18. For the preserved program order, we take it to be as the Power one given in Fig. 25 except for cc0, which now excludes po-loc entirely, to account for the early commit behaviours, i.e. cc0 should now be dp ∪ ctrl ∪ (addr; po). Tab. VII give a summary of the various ARM models that we consider in this section.

Testing our model. For the purpose of these experiments only, because our machines suffered from the load-load hazard bug, we removed the read-read pairs from the SC

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11 This is the most radical option; one could choose to remove only po-loc ∩ WR and po-loc ∩ RR, as that would be enough to explain the behaviours of Fig. 32 and similar others. We detail our experiments with alternative formulations for cc0 at http://diy.inria.fr/cats/arm-anomalies/index.html#alternative. Ultimately we chose to adopt the weakest model since, as we explain in this section, it still exhibits hardware anomalies.
PER LOCATION check as well. This allowed us to have results that were not cluttered by this bug.

We call the resulting model “ARM llh” (ARM load-load hazard), i.e. the model presented in Fig. 5, 18 and 25 where we remove read-read pairs from po-loc in the SC PER LOCATION axiom, thus allowing load-load hazard, and where cc0 is dp ∪ ctrl ∪ (addr: po). Tab. VIII gives a summary of this model, as well as Power-ARM and our proposed ARM model.

We then compared our original Power-ARM model (i.e. taking literally the definitions of Fig. 5, 18 and 25) and the ARM llh model with hardware:

|               | ALL  | S   | T    | P    | ST   | SO   | SP   | OP   | STO  | SOP  |
|---------------|------|-----|------|------|------|------|------|------|------|------|
| Power-ARM     | 37907| 21333| 842  | 1133 | 2471 | 1130 | 5561 | 872  | 111  | 4062 |
| ARM llh       | 1121 | 105 | 0    | 0    | 0    | 16   | 460  | 0    | 111  | 530  |

Table VIII. Classification of anomalies observed on ARM hardware

More precisely, we classify the executions of both models: for each model we count the number of invalid executions (in the sense of Sec. 4.1). By invalid we mean that an execution is forbidden by the model yet observed on hardware. A given test can have several executions, which explains why the numbers in Tab. VIII are much higher than the number of tests.

The table in Tab. VIII is organised by sets of axioms of our model (note that these sets are pairwise disjoint): “S” is for SC PER LOCATION, “T” for NO THIN AIR, “O” for OBSERVATION, and “P” is for PROPAGATION. For each set of axioms (column) and model (row), we write the number of executions forbidden by said axiom(s) of said model, yet have been observed on ARM hardware. We omit a column (namely O, TO, TP, STP, TOP, STOP) if the counts are 0 for both models.

For example, an execution is counted in the column “S” of the row “Power-ARM” if it is forbidden by the SC PER LOCATION check of Fig. 5 (and allowed by other checks). The column “S” of the row “ARM llh” is SC PER LOCATION minus the read-read pairs.

An execution is counted in the column “OP” of the row “Power-ARM” if it is forbidden by both OBSERVATION and PROPAGATION as defined in Fig. 5 (and allowed by other checks); for the row “ARM llh”, one needs to take into account the modification to cc0 mentioned above in the definition of the ppo.

While our original Power-ARM model featured 1500 tests that exhibited 37907 invalid executions forbidden by the model yet observed on ARM machines, those numbers drop to 31 tests and 1121 invalid executions for the ARM llh model (see column “ARM llh”, row “ALL”; see also http://diy.inria.fr/cats/relaxed-classify/index.html).

An inspection of each of these anomalies revealed what we believe to be more bugs. We consider the violations of SC PER LOCATION to be particularly severe (see all rows mentioning S). By contrast, the load-load hazard behaviour could be argued to be desirable, or at least not harmful, and was indeed officially allowed by Sparc RMO [sparc 1994] and pre-Power 4 machines [tdf 2002], as we already say in Sec. 4.9.

Fig. 34 shows a violation of SC PER LOCATION. Despite the apparent complexity of the picture, the violation is quite simple. The violation occurs on T1 which loads the value 4 from the location y (event f), before writing the value 3 to same location y (event g). However, 4 is the final value of the location y, as the test harness has observed once the test has completed. As a consequence, the event e co-precedes the event f and we witness a cycle $g \xrightarrow{\epsilon} e \xrightarrow{f} y \rightarrow g$. That is we witness a violation of the coRW2 pattern (see Sec. 4).
Fig. 34. A violation of \textsc{scpere location} observed on ARM hardware

Note that we observed this behaviour rather infrequently, as shown in the fifth line of Tab. [VI]. However, the behaviour is observed on two machines of type Tegra3 and Exynos4412.

In addition to the violation of \textsc{scpere location} shown in Fig. 34, we observed the two behaviours given in Fig. 35 (rather infrequently, as shown on the last line of Tab. [VI] and on one machine only, of type Tegra3), which violate \textsc{observation}.

The test \texttt{mp+dmb+pos-ctrlisb+bis} includes the simpler test \texttt{mp+dmb+ctrlisb} plus one extra read (\texttt{c} on \texttt{T}_1) and one extra write (\texttt{f} on \texttt{T}_2) of the flag variable \texttt{y}. The depicted behaviours are violations of the \texttt{mp+dmb+ctrlisb} pattern, which must uncontroversially be forbidden. Indeed the only way to allow \texttt{mp+dmb+ctrlisb} is to remove \texttt{ctrl+cfence} from the preserved program order \texttt{ppo}. We have argued above that this would for example break the compilation scheme from C++ to Power (see [Sarkar et al. 2012]).
It is worth noting that we have observed other violations of OBSERVATION on Tegra3, as one can see at http://diy.inria.fr/cats/relaxed-classify/O.html. For example we have observed \texttt{mp+dmb+ctrlisb}, \texttt{mp+dmb+addr}, \texttt{mp+dmb.st+addr}, which should be uncontrovertially forbidden. We tend to classify such observations as bugs of the tested chip. However, since the tested chip exhibits the acknowledged read-after-read hazard bug, the blame can also be put on the impact of this acknowledged bug on our testing infrastructure. Yet this would mean that this impact on our testing infrastructure would reveal on Tegra3 only.

In any case, the interplay between having several consecutive accesses relative to the same location on one thread (e.g. \texttt{c, d} and \texttt{e} on \texttt{T1} in \texttt{mp+dmb+fri-rfi-ctrlisb} — see Fig. 32), in particular two reads (\texttt{c} and \texttt{e}), and the message passing pattern \texttt{mp}, seems to pose implementation difficulties (see the violations of OBSERVATION listed in Tab. VIII, in the columns containing "O", and the two examples in Fig. 35).

Remarks on our proposed ARM model. Given the state of affairs for ARM, we do not claim our model (see model "ARM" in Tab. [V]) to be definitive.

In particular, we wonder if the behaviour \texttt{mp+dmb+fri-rfi-ctrlisb} of Fig. 32 can only be implemented on a machine with load-load hazards, which ARM acknowledged to be a flaw (see [arm 2011]), as it involves two reads from the same address.

Nevertheless, our ARM contacts were fairly positive that they would like this behaviour to be allowed. Thus we think a good ARM model should account for it. As to the similar early commit behaviours given in Fig. 33, we can only assume that they should be allowed as well.

Hence our ARM model allows such behaviours, by excluding \texttt{po-loc} from the commit order \texttt{cc0} (see Fig. 25 and [V]). We have performed experiments to compare our ARM model and ARM hardware. To do so, we have excluded the load-load hazard related behaviours.\footnote{More precisely, we have built the model that only allows load-load hazard behaviours. In herd parlance, this is a model that only has one check: \texttt{reflexive(po-loc; fr; rf)}. We thus filtered the behaviours observed on hardware by including only the behaviours that are not allowed by this load-load hazard model (i.e. all but load-load hazard behaviours). We then compared these filtered hardware behaviours with the ones allowed by our ARM model.}

We give the full comparison table at http://diy.inria.fr/cats/proposed-arm/. As one can see, we still have 31 behaviours that our model forbids yet are observed on hardware (on Tegra 2, Tegra 3 and Exynos 4412).

All of them seem to present anomalies, such as the behaviours that we show in Fig. 34 and 35. We will consult with our ARM contacts for confirmation.

8.2. Experimental comparisons of models

Using the same 8117 and 9761 tests that we used to exercise Power and ARM machines, we have experimentally compared our model to the one of [Sarkar et al. 2011] and the one of [Mador-Haim et al. 2012].

Comparison with the model of [Sarkar et al. 2011]: our experimental data can be found at http://diy.inria.fr/cats/pldi-model. Experimentally, our Power model allows all the behaviours that are allowed by the one of [Sarkar et al. 2011].

We also observe experimentally that our Power model and the one of [Sarkar et al. 2011] differ only on the behaviours that [Sarkar et al. 2011] wrongly forbids (see http://diy.inria.fr/cats/pldi-lessvs). We give one such example in Fig. 36: the behaviour \texttt{mp+lw-sync+addr-po-detour} is observed on hardware yet forbidden by the model of [Sarkar et al. 2011].
We note that some work is ongoing to adapt the model of [Sarkar et al. 2011] to allow these tests (see http://diy.inria.fr/cats/op-power). This variant of the model of [Sarkar et al. 2011] has so far not been invalidated by the hardware.

Finally, the model of [Sarkar et al. 2011] forbids the ARM “fri-rfi” behaviours such as the ones given in Fig. 32. Some work is ongoing to adapt the model of [Sarkar et al. 2011] to allow these tests.

Comparison with the model of [Mador-Haim et al. 2012]: our experimental data can be found at http://diy.inria.fr/cats/cav-model. Our Power model and the one of [Mador-Haim et al. 2012] are experimentally equivalent on our set of tests, except for a few tests of similar structure. Our model allows them, whereas the model of [Mador-Haim et al. 2012] forbids them, and they are not observed on hardware. We give the simplest such test in Fig. 37. The test is a refinement of the mp+lwsync+ppo pattern (see Fig. 8). The difference of acceptance between the two models can be explained as follows: the model of [Mador-Haim et al. 2012] does preserve the program order from $T_1$ initial read $c$ to $T_1$ final read $f$, while our model does not. More precisely, the issue reduces to reads $d$ and $e$ (on $T_1$) being ordered or not. And, indeed, the propagation model for writes of [Mador-Haim et al. 2012] enforces the order, while our definition of ppo does not.

If such a test is intentionally forbidden by the architect, it seems to suggest that one could make the preserved program order of Power (see Fig. 26) stronger. Indeed one could take into account the effect of barriers (such as the one between the two writes $g$ and $h$ on $T_2$ in the figure above) within the preserved program order.

Yet, we think that one should tend towards more simplicity in the definition of the preserved program order. It feels slightly at odds with our intuition that the preserved program order should take into account dynamic notions such as the propagation order of the writes $g$ and $h$. By dynamic notions, we here mean notions whose definitions require execution relations such as $r_e$ or $prop$.

As a related side note, although we did include the dynamic relations rdw and detour into the definition of the preserved program order in Fig. 25 we would rather prescribe not to include them. This would lead to a weaker notion of preserved program order, but more stand-alone. By this we mean that the preserved program order would just contain per-thread information (e.g. the presence of a control fence, or a dependency between two accesses), as opposed to external communications such as $r_e$. 

Fig. 36. A behaviour forbidden by the model of Sarkar et al. but observed on Power hardware
We experimented with a weaker, more static, version of the preserved program order for Power and ARM, where we excluded rdw from $i_0$ and detour from $c_0$ (see Fig. 25). We give the full experiment report at http://diy.inria.fr/cats/nodetour-model/ On our set of tests, this leads to only 24 supplementary behaviours allowed on Power and 8 on ARM. We believe that this suggests that it might not be worth complicating the ppo for the sake of only a few behaviours being forbidden. Yet it remains to be seen whether these patterns are so common that it is important to determine their precise status w.r.t. a given model.

8.3. Model-level simulation

Simulation was done using our new herd tool: given a model specified in the terms of Sec. 4 and a litmus test, herd computes all the executions allowed by the model. We distribute our tool, its sources and documentation at http://diy.inria.fr/herd.

Our tool herd understands models specified in the style of Sec. 4, i.e. defined in terms of relations over events, and irreflexivity or acyclicity of these relations. For example, Fig. 38 gives the herd model corresponding to our Power model (see Sec. 4 and 6).

We emphasise the concision of Fig. 38 which contains the entirety of our Power model.

Language description: we build definitions with let, let rec and let rec ... and ... operators. We build unions, intersections and sequences of relations with “|”, “&” and “;”, respectively; transitive closure with “*”, and transitive and reflexive closure with “*”. The empty relation is “0”.

We have some built-in relations, e.g. po-loc, rf, fr, co, addr, data, and operators to specify whether the source and target events are reads or writes. For example $RR(r)$ gives the relation $r$ restricted to both the source and target being reads.

To some extent, the language that herd takes as input shares some similarities with the much broader Lem project [Owens et al. 2011]. However, we merely intend to have a concise way of defining a variety of memory models, whereas Lem aims at (citing the webpage: http://www.cs.kent.ac.uk/people/staff/sao/lem/) “large scale semantic definitions. It is also intended as an intermediate language for generating definitions from domain-specific tools, and for porting definitions between interactive theorem proving systems.”
Herding cats

(* sc per location *) acyclic po-loc|rf|fr|co

(* ppo *)
let dp = addr|data
let rdw = po-loc & (fre;rfe)
let detour = po-loc & (coe;rfe)

let ii0 = dp|rdw|rfi
let ic0 = 0
let ci0 = (ctrl+isync)|detour
let cc0 = dp|po-loc|ctrl|(addr;po)

let rec ii = ii0|ci|(ic;ci)|(ii;ii)
and ic = ic0|ii|cc|(ic;cc)|(ii;ic)
and ci = ci0|(ci;ii)|(cc;ci)
and cc = cc0|(ci;ic)|(cc;cc)
let ppo = RR(ii)|RW(ic)

(* fences *)
let fence = RM(lwsync)|WW(lwsync)|sync

(* no thin air *)
let hb = ppo|fence|rfe
acyclic hb

(* prop *)
let prop-base = (fence|(rfe;fence));hb*
let prop = WW(prop-base)|(com*;prop-base*;sync;hb*)

(* observation *) irreflexive fre;prop;hb*
(* propagation *) acyclic co|prop

Fig. 38. herd definition of our Power model

The alloy tool [Jackson 2002] (see also http://alloy.mit.edu/alloy) is closer to herd than Lem. Both alloy and herd allow a concise relational definition of a given system. But while alloy is very general, herd is only targeted at memory models definitions.

Thus one could see herd as a potential front-end to alloy. For example, herd provides some built-in objects (e.g. program order, read-from), that spare the user the effort of defining these objects; alloy would need the user to make these definitions explicit.

More precisely, to specify a memory model in alloy, one would need to explicitly define an object “memory event”, for example a record with an identifier, a direction, i.e. write or read, a location and a value, much like we do in our Coq development (see http://www0.cs.ucl.ac.uk/staff/j.alglave/cats).

One would also need to handcraft relations over events (e.g. the program order po), as well as the well-formedness conditions of these relations (e.g. the program order is total order per thread), using first order logic. Our tool herd provides all these basic bricks (events, relations and their well-formedness conditions) to the user.

Finally, alloy uses a SAT solver as a backend, whereas herd uses a custom solver optimised for the limited constraints that herd supports (namely acyclicity and irreflexivity of relations).
Efficiency of simulation: our axiomatic description underpins herd, which allows for a greater efficiency in the simulation. By contrast, simulation tools based on operational models (e.g. ppcmem \cite{Sarkar2011}, or the tool of \cite{Boudol2012}) are not able to process all tests within the memory bound of 40 GB for \cite{Sarkar2011} and 6 GB for \cite{Boudol2012}: ppcmem processes 4704 tests out of 8117; the tool of \cite{Boudol2012} processes 396 tests out of 518.

Tools based on multi-event axiomatic models (e.g. our reimplementation of \cite{Mador-Haim2012} inside herd) are able to process all 8117 tests, but require more than eight times the time that our single-event axiomatic model needs.

Tab. IX gives a summary of the number of tests that each tool can process, and the time needed to do so.

| tool       | model                        | style           | # of tests | (user) time in s |
|------------|-------------------------------|-----------------|------------|------------------|
| ppcmem     | \cite{Sarkar2011}             | operational     | 4704       | 14922996         |
| herd       | \cite{Mador-Haim2012}         | multi-event axiomatic | 8117       | 2846             |
| —          | \cite{Boudol2012}             | operational     | 396        | 53100            |
| herd       | this model                    | single-event axiomatic | 8117       | 321              |

Table IX. Comparison of simulation tools (on Power)

As we have implemented the model of \cite{Mador-Haim2012} and the present model inside herd using the same techniques, we claim that the important gain in runtime efficiency originates from reducing the number of events. On a reduced number of events, classical graph algorithms such as acyclicity test and, more significantly, transitive closure and other fixed point calculations run much faster.

We note that simulation based on axiomatic models outperforms simulation based on operational models. This is mostly due to a state explosion issue, which is aggravated by the fact that Power and ARM are very relaxed architectures. Thus in any given state of the operational machine, there are numerous operational transitions enabled.

We note that ppcmem is not coded as efficiently as it could be. Better implementations are called for, but the distance to herd is considerable: herd is about 45000 times faster than ppcmem, and ppcmem fails to process about half of the tests.

We remark that our single-event axiomatic model also needs several subevents to describe a given instruction (see for example our definition of the preserved program order for Power, in Fig. 25). Yet the opposition between multi-event and single-event axiomatic models lies in the number of events needed to describe the propagation of writes to the system. In multi-event models, there is roughly one propagation event per thread, mimicking the transitions of an operational machine. In single-event models, there is only one event to describe the propagation to several different threads; the complexity of the propagation mechanism is captured through our use of the relations (e.g. rf, co, fr and prop).

We note that single-event axiomatic simulators also suffer from combinatorial explosion. The initial phase computes executions (in the sense of Sec. 4.1) and thus enumerates all possible rf and co relations. However, as clearly shown in Tab. IX, the situation is less severe, and we can still process litmus tests of up to four or five threads.

8.4. Verification of C programs

While assembly-level litmus tests enable detailed study of correctness of the model, the suitability of our model for the verification of high-level programs re-

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\footnote{All the results relative to the tool of \cite{Boudol2012} are courtesy of Arthur Guillou, who exercised the simulator of \cite{Boudol2012} on a subset of the tests that we used for exercising the other tools.}

\footnote{The implementations tested in \cite{Mador-Haim2012} were much less efficient.}
remains to be proven. To this effect, we experimented with a modified version of CBMC [Clarke et al. 2004], which is a bounded model-checker for C programs. Recent work [Alglave et al. 2013] has implemented the framework of [Alglave et al. 2010] [Alglave et al. 2012] in CBMC, and observed speedups of an order of magnitude w.r.t. other verification tools. CBMC thus features several models, ranging from SC to Power.

In addition, the work of [Alglave et al. 2013] proposes an instrumentation technique, which transforms a concurrent program so that it can be processed by an SC verification tool, e.g. CBMC in SC mode. This relies on an operational model equivalent to the one of [Alglave et al. 2012]; we refer to it in Tab. X under the name “goto-instrument+tool”. The advantage of supporting existing tools in SC mode comes at the price of a considerably slower verification time when compared to the implementation of the equivalent axiomatic model within the verification tool, as Tab. X shows.

| tool | model | # of tests | time in s |
|------|-------|------------|-----------|
| goto-instrument+CBMC (SC) | [Alglave et al. 2012] | 555 | 2511.6 |
| CBMC (Power) | [Alglave et al. 2012] | 555 | 14.3 |

Table X. Comparison of operational vs. axiomatic model implementation

We adapted the encoding of [Alglave et al. 2013] to our present framework, and recorded the time needed to verify the reachability of the final state of more than 4000 litmus tests (translated to C). As a comparison point, we also implemented the model of [Mador-Haim et al. 2012] in CBMC, and compared the verification times, given in Tab. XI. We observe some speedup with the present model over the implementation of the model of [Mador-Haim et al. 2012].

| tool | model | # of tests | time in s |
|------|-------|------------|-----------|
| CBMC | [Mador-Haim et al. 2012] | 4450 | 1944 |
| CBMC | present one | 4450 | 1041 |

Table XI. Comparison of verification tools on litmus tests

We also compared the same tools, but on more fully-fledged examples, described in detail in [Alglave et al. 2013; Alglave et al. 2013]: PostgreSQL is an excerpt of the PostgreSQL database server software (see http://archives.postgresql.org/pgsql-hackers/2011-08/msg00330.php); RCU is the Read-Copy-Update mechanism of the Linux kernel [McKenney and Walpole 2007], and Apache is a queue mechanism extracted from the Apache HTTP server software. In each of the examples we added correctness properties, described in [Alglave et al. 2013], as assertions to the original source code. We observed that the verification times of these particular examples are not affected by the choice of either of the two axiomatic models, as shown in Tab. XII.

| tool | model | PgSQL | RCU | Apache |
|------|-------|-------|-----|--------|
| CBMC | [Mador-Haim et al. 2012] | 1.6 | 0.5 | 2.0 |
| CBMC | present one | 1.6 | 0.5 | 2.0 |

Table XII. Comparison of verification tools on full-fledged examples
9. A PRAGMATIC PERSPECTIVE ON OUR MODELS

To conclude our paper, we put our modelling framework into perspective, in the light of actual software. Quite pragmatically, we wonder whether it is worth going through the effort of defining, on the one hand, then studying or implementing, on the other hand, complex models such as the Power and ARM models that we present in Sec. 6. Are there fragments of these models that are simpler to understand, and embrace pretty much all the patterns that are used in actual software?

For example, there is a folklore notion that irw (see Fig. 20) is very rarely used in practice. If that is the case, do we need models that can explain irw?

Conversely, one flaw of the model of [Alglave et al. 2011] (and also of [Boudol et al. 2012]) is that it forbids the pattern r+lwsync+sync (see Fig. 16), against the architect's intent [Sarkar et al. 2011]. While designing the model that we present in the current paper, we found that accounting for this pattern increased the complexity of the model. If this pattern is never used in practice, it might not be worth inventing a model that accounts for it, if it makes the model much more complex.

Thus we ask the following questions: what are the patterns used in modern software? What are their frequencies?

Additionally, we would like to understand whether there are programming patterns used in current software that are not accounted for by our model. Are there programming patterns that are not represented by one of the axioms of our model, i.e. SC PER LOCATION, NO THIN AIR, OBSERVATION or PROPAGATION, as given in Fig. 5?

Conversely, can we understand all the patterns used in current software through the prism of, for example, our OBSERVATION axiom, or is there an actual need for the PROPAGATION axiom too? Finally, we would like to understand to what extent do hardware anomalies, such as the load-load hazard behaviour that we observed on ARM chips (see Sec. 8) impair the behaviour of actual software?

To answer these questions, we resorted to the largest code base available to us: an entire Linux distribution.

What we analysed: we picked the current stable release of the Debian Linux distribution (version 7.1, [http://www.debian.org/releases/stable/](http://www.debian.org/releases/stable/)), which contains more than 17,000 software packages (including the Linux kernel itself, server software such as Apache or PostgreSQL, but also user-level software, such as Gimp or Vim).

David A. Wheeler's SLOCCount tool ([http://www.dwheeler.com/sloccount/](http://www.dwheeler.com/sloccount/)) reports more than 400 million lines of source code in this distribution. C and C++ are still the predominant languages: we found more than 200 million lines of C and more than 129 million lines of C++.

To search for patterns, we first gathered the packages which possibly make use of concurrency. That is, we selected the packages that make use of either POSIX threads or Linux kernel threads anywhere in their C code. This gave us 1590 source packages to analyse; this represents 9.3% of the full set of source packages.

The C language [c11 2011] does not have an explicit notion of shared memory. Therefore, to estimate the number of shared memory interactions, we looked for variables with static storage duration (in the C11 standard sense [c11 2011 §6.2.4]) that were not marked thread local. We found a total of 2,733,750 such variables. In addition to these, our analysis needs to consider local variables shared through global pointers and objects allocated on the heap to obtain an overapproximation of the set of objects (in the C11 standard sense [c11 2011 §3.15]) that may be shared between threads.

A word on C++: the C++ memory model has recently received considerable academic attention (see e.g. [Batty et al. 2011] [Sarkar et al. 2012] [Batty et al. 2013]). Yet to date even a plain text search in all source files for uses of the corresponding stdatomic.h
Herding cats and atomic header files only reveals occurrences in the source code of compilers, but not in any of the other source packages.

Thus practical assessment of our subset of the C++ memory model is necessarily left for future work. At the same time, this result reinforces our impression that we need to study hardware models to inform current concurrent programming.

9.1. Static pattern search

To look for patterns in Debian 7.1, we implemented a static analysis in a new tool called mole. This means that we are looking for an overapproximation of the patterns used in the program. Building on the tool chain described in [Alglave et al. 2013], we use the front-end goto-cc and a variant of the goto-instrument tool of [Alglave et al. 2013], with the new option --static-cycles. We distribute our tool mole, along with a documentation, at http://diy.inria.fr/mole

9.1.1. Preamble on the goto-* tools

goto-cc and goto-instrument are part of the tool chain of CBMC [Clarke et al. 2004], which is widely recognised for its maturity. goto-cc may act as compiler substitute as it accepts the same set of command line options as several C compilers, such as GCC. Instead of executables, however, goto-cc compiles C programs to an intermediate representation shared by the tool chain around CBMC: goto-programs. These goto-programs can be transformed and inspected using goto-instrument. For instance, goto-instrument can be applied to insert assertions of generic invariants such as valid pointer dereferencing or data race checks, or dump goto-programs as C code. Consequently we implemented the search described below in goto-instrument, adding the new option --static-cycles.

9.1.2. Cycles

Note that an pattern like all the ones that we have presented in this paper corresponds to a cycle of the relations of our model. This is simply because our model is defined in terms of irreflexivity and acyclicity checks. Thus looking for patterns corresponds here to looking for cycles of relations.

Critical cycles

Previous works [Shasha and Snir 1988, Alglave and Maranget 2011, Bouajjani et al. 2011] show that a certain kind of cycles, which we call critical cycles (following [Shasha and Snir 1988]), characterises many weak behaviours. Intuitively, a critical cycle violates SC in a minimal way.

We recall here the definition of a critical cycle (see [Shasha and Snir 1988] for more details). Two events \( x \) and \( y \) are competing, written \( (x, y) \in \text{cmp} \), if they are from distinct processors, to the same location, and at least one of them is a write (e.g. in irkw, the write \( a \) to \( x \) on \( T_0 \) and the read \( b \) from \( x \) on \( T_2 \)). A cycle \( \sigma \subseteq (\text{cmp} \cup \text{po})^+ \) is critical when it satisfies the following two properties:

— (i) per thread, there are at most two memory accesses involved in the cycle on this thread and these accesses have distinct locations, and

— (ii) for a given memory location \( \ell \), there are at most three accesses relative to \( \ell \), and these accesses are from distinct threads \( (w, w') \in \text{cmp} \), \( (w, r) \in \text{cmp} \), \( (r, w) \in \text{cmp} \) or \( \{(r, w), (w, r')\} \subseteq \text{cmp} \).

All the executions that we give in Sec. 4 show critical cycles, except for the SC PER LOCATION ones (see Fig. 6). Indeed a critical cycle has to involve more than one memory location by definition.

Static critical cycles

More precisely, our tool mole looks for cycles which:

— alternate program order po and competing accesses cmp,
— traverse a thread only once (see (i) above), and
— involve at most three accesses per memory location (see (ii) above).

Observe that the definition above is not limited to the well-known patterns that we presented in Sec. 4. Consider the two executions in Fig. 39, both of which match the definition of a critical cycle given above.

![Diagram of critical cycles](image)

Fig. 39. The pattern s (on the right), and an extended version of it (on the left)

On the left-hand side, the thread $T_1$ writes 1 to location $x$ (see event $d$); the thread $T_2$ reads this value from $x$ (i.e. $(d, e) \in rf$), before the thread $T_0$ writes 2 to $x$ (i.e. $(e, a) \in fr$). By definition of $fr$, this means that the write $d$ of value 1 into $x$ by $T_1$ is co-before the write $a$ of value 2 into $x$ by $T_0$. This is reflected by the execution on the right-hand side, where we simply omitted the reading thread $T_2$.

Thus to obtain our well-known patterns, such as the ones in Sec. 4 and the s pattern on the right-hand side of Fig. 39, we implement the following reduction rules, which we apply to our cycles:

— $co \cdot co = co$, which means that we only take the extremities of a chain of coherence relations;
— $rf \cdot fr = co$, which means that we omit the intermediate reading thread in a sequence of read-from and from-read, just like in the s case above;
— $fr \cdot co = fr$ which means that we omit the intermediate writing thread in a sequence of from-read and coherence.

We call the resulting cycles static critical cycles.

Thus mole looks for all the static critical cycles that it can find in the goto-program given as argument. In addition, it also looks for SC PER LOCATION cycles, i.e. $coWW$, $coRW1$, $coRW2$, $coWR$ and $coRR$ as shown in Fig. 6.

In the remainder of this section, we simply write cycles for the cycles gathered by mole, i.e. static critical cycles and SC PER LOCATION cycles.

9.1.3. Static search Looking for patterns poses several challenges, which are also pervasive in static data race analysis (see [Kahlon et al. 2007]):

— identify program fragments that may be run concurrently, in distinct threads;
— identify objects that are shared between these threads.

Finding shared objects may be further complicated by the presence of inline assembly. We find inline assembly in 803 of the packages to be analysed. At present, mole only interprets a subset of inline assembly deemed relevant for concurrency, such as memory barriers, but ignores all other inline assembly.

We can now explain how our pattern search works. Note that our approach does not require analysis of whole, linked, programs — which is essential to achieve scalability to a code base this large. Our analysis proceeds as follows:
1. identify candidate functions that could act as entry points for a thread being spawned (an entry point is a function such that its first instruction will be scheduled for execution when creating a thread);
2. group these candidate entry points, as detailed below, according to shared objects accessed – where we consider an object as shared when it either has static storage duration (and is not marked thread local), or is referenced by a pointer that is shared;
3. assuming concurrent execution of the threads in each such group, enumerate patterns using the implementation from [Alglave et al. 2013] with a flow-insensitive points-to analysis and, in order to include SC PER LOCATION cycles, weaker restrictions than when exclusively looking for critical cycles;
4. classify the candidates following their patterns (i.e. using the litmus naming scheme that we outlined in Fig. [III]) and the axioms of the model. The categorisation according to axioms proceeds by testing the sequence of relations occurring in a cycle against the axioms of Fig. [6] we detail this step below.

Note that our analysis does not take into account program logic, e.g. locks, that may forbid the execution of a given cycle. If no execution of the (concurrent) program includes a certain cycle, we call it a spurious cycle, and refer to others as genuine cycles. Note that this definition is independent of fences or dependencies that may render a cycle forbidden for a given (weak) memory model. Our notion of genuine simply accounts for the feasibility of a concurrent execution. This overapproximation means that any numbers of cycles given in this section cannot be taken as a quantitative analysis of cycles that would be actually executed.

With this approach, instead, we focus on not missing cycles rather than avoiding the detection of spurious cycles. In this sense, the results are best compared to compiler warnings. Performing actual proofs of cycles being either spurious or genuine is an undecidable problem. In principle we could thus only do so in a best-effort manner, akin to all software verification tools aiming at precise results. In actual practice, however, the concurrent reachability problem to be solved for each such cycle will be a formidable challenge for current software verification tools, including several additional technical difficulties (such as devising complex data structures as input values) as we are looking at real-world software rather than stylised benchmarks. With more efficient tools such as the one of [Alglave et al. 2013] we hope to improve on this situation in future work, since with the tool of [Alglave et al. 2013] we managed to verify selected real-world concurrent systems code for the first time.

We now explain these steps in further detail, and use the Linux Read-Copy-Update (RCU) code [McKenney and Walpole 2007] as an example. Fig. [40] shows a code snippet, which was part of the benchmarks that we used in [Alglave et al. 2013], employing RCU. The original code contains several macros, which were expanded using the C preprocessor.

**Finding entry points** To obtain an overapproximate set of patterns even for, e.g. library code, which does not have a defined entry point and thus may be used in a concurrent context even when the code parts under scrutiny do contain thread spawn instructions, we consider thread entry points as follows:

— explicit thread entries via POSIX or kernel thread create functions;
— any set of functions \( f_1, \ldots, f_n \), provided that \( f_i \) is not (transitively) called from another function \( f_j \) in this set and \( f_i \) has external linkage (see [c11 2011, §5.1.1.1]);
— for mutually recursive functions an arbitrary function from this set of recursive functions.
01 struct foo *gbl_foo;
02 struct foo foo1, foo2;
03 spinlock_t foo_mutex = (spinlock_t) { .rlock = { .raw_lock = { 0 }, } };
04
05 void* foo_update_a(void* new_a)
06 { ...
11 foo2.a=100;
12 new_fp = &foo2;
13 spin_lock(&foo_mutex);
14 old_fp = gbl_foo;
15 *new_fp = *old_fp;
16 new_fp->a = *(int*)new_a;
17 ({ __asm__ __volatile__ ("lwsync" " : : :"memory");
18     ((gbl_foo)) = (typeof(*new_fp)) *((new_fp)); });
19 spin_unlock(&foo_mutex);
20 synchronize_rcu();
21 return 0;
22 }
23 }
24
25 void* foo_get_a(void* ret)
26 { ...
26 int retval;
27 rcu_read_lock();
28 retval = ((typeof(*gbl_foo)) *_________p1 =
29 (typeof(*gbl_foo)*)((volatile typeof((gbl_foo)) *)&((gbl_foo)));
30 do { } while (0); do { } while(0);
31 (typeof(*gbl_foo)*)((_________p1)); }->a;
32 rcu_read_unlock();
33 *(int*)ret=retval;
34 return 0;
35 }
36
36 int main()
37 { ...
38 foo1.a=1;
39 gbl_foo=&foo1;
40 gbl_foo->a=1;
41 ...
42 int new_val=2;
43 pthread_create(0, 0, foo_update_a, &new_val);
44 static int a_value=1;
45 pthread_create(0, 0, foo_get_a, &a_value);
46 assert(a_value==1 || a_value==2);
47 }

Fig. 40. Code example from RCU
For any function identified as entry point we create 3 threads, thereby accounting for multiple concurrent access to shared objects only used by a single function, but also for cases where one of the called functions is running in an additional thread.

For RCU, we see several functions (or function calls) in Fig. 40: main, foo_get_a, foo_update_a, spin_lock, spin_unlock, synchronize_rcu, rcu_read_lock and rcu_read_unlock. If we discard main, we no longer have a defined entry point nor POSIX thread creation through pthread_create. In this case, our algorithm would consider foo_get_a and foo_update_a as the only potential thread entry points, because all other functions are called from one of these two, and there is no recursion.

Finding threads’ groups Then we form groups of threads using the identified thread entry points. We group the functions $f_i$ and $f_j$ if and only if the set of objects read or written by $f_i$ or any of the functions (transitively) called by $f_i$ has a non-empty intersection with the set for $f_j$. Note the transitivity in this requirement: for functions $f_i$, $f_j$, $f_k$ with $f_i$ and $f_j$ sharing one object, and $f_j$ and $f_k$ sharing another object, all three functions end up in one group. In general, however, we may obtain several groups of such threads, which are then analysed individually.

When determining shared objects, as noted above, pointer dereferencing has to be taken into account. This requires the use of points-to analyses, for which we showed that theoretically they can be sound [Alglave et al. 2011], even under weak memory models. In practice, however, pointer arithmetic, field-sensitivity, and interprocedural operation require a performance-precision trade-off. In our experiments we use a flow-insensitive, field-insensitive and interprocedural analysis. We acknowledge that we may thus still be missing certain cycles due to the incurred incompleteness of the points-to analysis.

For RCU, main, foo_get_a and foo_update_a form a group, because they jointly access the pointer gbl_foo as well as the global objects foo1 and foo2 through this pointer. Furthermore main and foo_update_a share the local new_val, and main and foo_get_a share a_value, both of which are communicated via a pointer.

Finding patterns With the thread groups established, we enumerate patterns as in [Alglave et al. 2013]. We briefly recall this step here for completeness:

— we first construct one control-flow graph (CFG) per thread;
— then we add communication edges between shared memory accesses to the same object, if at least one of these objects is a write (this is the cmp relation in the definition of critical cycles given at the beginning of this section);
— we enumerate all cycles amongst the CFGs and communication edges using Tarjan’s 1973 algorithm [Tarjan 1973], resulting in a set that also contains all critical cycles (but possibly more);
— as final step we filter the set of cycles for those that satisfy the conditions of static critical cycles or SC PER LOCATION as described above.

Let us explain how we may find the mp pattern (see Fig. 8 in Sec. 4) in RCU. The writing thread $T_0$ is given by the function foo_update_a, the reading thread $T_1$ by the function foo_get_a. Now for the code of the writing thread $T_0$: in foo_update_a, we write foo2 at line 11, then we have a lwsync at line 17, and a write to gbl_foo at line 18.

For the code of the reading thread $T_1$: the function foo_get_a first copies the value of gbl_foo at line 29 into the local variable p1. Now, note that the write to gbl_foo at line 18 made gbl_foo point to foo2, due to the assignment to new_fp at line 12.

Thus dereferencing p1 at line 31 causes a read of the object foo2 at that line. Observe that the dereferencing introduces an address dependency between the read of gbl_foo and the read of foo2 on $T_1$. 
Categorisation of cycles As we said above, for each cycle that we find, we apply a categorisation according to the axioms of our model (see Fig. 5). For the purpose of this categorisation we instantiate our model for SC (see Fig. 21). We use the sequence of relations in a given cycle: for example for mp, this sequence is \textit{lwsync; rfe; dp; fre}. We first test if the cycle is a \textsc{SC PER LOCATION} cycle: we check if all the relations in our input sequence are either \textit{po-loc} or \textit{com}. If, as for mp, this is not the case, we proceed with the test for \textsc{NO THIN AIR}. Here we check if all the relations in our sequence match \textit{hb}, i.e. \textit{po} \cup \textit{fences} \cup \textit{rfe}. As mp includes an \textit{fre}, the cycle cannot be categorised as \textsc{NO THIN AIR}, and we proceed to \textsc{OBSERVATION}. Starting from \textit{fre} we find \textit{lwsync} \in \textit{prop} (as \textit{prop} = \textit{po} \cup \textit{fences} \cup \textit{rfe} \cup \textit{fr} on SC), and \textit{rfe}; \textit{dp} \in \textit{hb}^* . Thus we categorise the cycle as a \textsc{observation} cycle. In the general case, we check for \textsc{PROPAGATION} last.

Litmus tests: we exercised \textit{mole} on the set of litmus tests that we used for exercising CBMC (see Sec. 5.4). For each test we find its general pattern (using the naming scheme that we presented in Sec. 4): for example for mp we find the cycle \textit{po}; \textit{rfe}; \textit{po}; \textit{fre}. Note that our search looks for memory barriers but does not try to look for dependencies: this means that for the variant \textit{mp+lwfence+addr} of the \textit{mp} pattern, we find the cycle \textit{lwfence}; \textit{rfe}; \textit{po}; \textit{fre}, where the barrier appears but not the dependency.

Examples that we had studied manually before (see \cite{Alglave2013,Alglave2013}) include Apache, PostgreSQL and RCU, as mentioned in Sec. 8.4. We analysed these examples with \textit{mole} to confirm the patterns that we had found before.

In Apache we find 5 patterns distributed over 75 cycles: \(4 \times \textit{mp}\) (see Fig. 8); \(1 \times \textit{s}\) (see Fig. 39); \(28 \times \textit{coRW2}, 25 \times \textit{coWR},\) and \(17 \times \textit{coRW1}\) (see Fig. 6).

In PostgreSQL, we find 22 different patterns distributed over 463 cycles. We give the details in Tab. XIII.

In RCU we find 9 patterns in 23 critical cycles, as well as one \textsc{SC PER LOCATION} cycle. We give the details in Tab. XIV. For each pattern we give one example cycle: we refer to the excerpt in Fig. 40 to give the memory locations and line numbers it involves. Note that we list an additional example of \textit{mp} in the table, different from the one explained above.

9.2. Results for Debian 7.1

We report on the results of running \textit{mole} on 137163 object files generated while compiling source packages using \textit{goto-cc}, in 1251 source packages of the Debian Linux distribution, release 7.1.

We provide all the files compiled with \textit{goto-cc} at \url{http://diy.inria.fr/mole} and present our experimental data (i.e. the patterns per packages) at \url{http://diy.inria.fr/mole}.

Our experiment runs on a system equipped with 8 cores and 64 GB of main memory. In our setup, we set the time and memory bounds for each object file subject to static cycle search to 15 minutes and 16 GB of RAM. We spent more than 199 CPU days in cycle search, yet 19 930 runs did not finish within the above time and memory limits. More than 50% of time are spent within cycle enumeration for a given graph of CFGs and communication edges, whereas only 12% are spent in the points-to analysis. The remaining time is consumed in generating the graph. The resulting 79 GB of raw data were further processed to determine the results presented below.

\footnote{In the following we mention patterns that we have not displayed in the paper, and which do not follow the convention outlined in Fig. [III] 26,[0-5], 3.2w, or irwW. For the sake of brevity, we do not show them in the paper, and refer the reader to the companion webpage: \url{http://diy.inria.fr/doc/gen.html#naming}.}

\footnote{Lines 1 and 3 result from initialisation of objects with static storage duration, as prescribed by the C11 standard [c11 2011 ] 6.7.9.
9.2.1. **General results** We give here some general overview of our experiments. We detected a total of 86 206 201 critical cycles, plus 11 295 809 SC PER LOCATION cycles. Amongst these, we find 551 different patterns. Fig. 41 gives the thirty most frequent patterns.

The source package with most cycles is *mlterm* (a multilingual terminal emulator, [http://packages.debian.org/wheezy/mlterm](http://packages.debian.org/wheezy/mlterm), 4 261 646 cycles) with the most frequently occurring patterns *iriw* (296 219), *w+rr+w+rr+w+rw* (279 528) and *w+rr+w+rw+w+rw* (218 061). The source package with the widest variety of cycles is *aytm* (an instant messaging client, [http://packages.debian.org/wheezy/aytm](http://packages.debian.org/wheezy/aytm), 238 different patterns); its most frequent patterns are *z6.4* (162 469), *z6.5* (146 005) and *r* (90 613).

We now give an account of what kind of patterns occur for a given functionality. By functionality we mean what the package is meant for, e.g. web servers (httpd), mail clients (mail), video games (games) or system libraries (libs). For each functionality,
Tab. XV gives the number of packages (e.g. 11 for httpd), the three most frequent patterns within that functionality with their number of occurrences (e.g. 30 506 for wr+2w in httpd) and typical packages with the number of cycles contained in that package (e.g. 70 283 for apache2).

| function | patterns | typical packages |
|----------|----------|------------------|
| httpd (11) | wr+2w (30 506), mp (27 618), rwc (13 324) | libapache2-mod-perl2 (120 869), apache2 (70 283), websfs (27 260) |
| mail (24) | w+rr+w+rw+ww (75 768), w+rr+w+rr+ww (50 842), w+rr+w+rr+w+rw (45 496) | openslim (702 534), citadel (337 492), alpine (105 524) |
| games (57) | 2+2w (198 734), r (138 961), w+rr+w+rr+w+rr (134 066) | spring (1 298 838), gcompris (559 905), liquidwar (257 093) |
| libs (266) | iriwr (468 053), wr+2w (387 521), irriwr (375 836) | ecore (1 774 858), libelinux (469 645), psqlodbc (433 282) |

Table XV. Patterns per functionality
9.2.2. Summary per axiom Tab. [XVI] gives a summary of the patterns we found, organised per axioms of our model (see Sec. 4). We chose a classification with respect to SC, i.e. we fixed prop to be defined as shown in Fig. 21. For each axiom we also give some typical examples of packages that feature patterns relative to this axiom.

| axiom                  | # patterns | typical packages                                      |
|------------------------|------------|-------------------------------------------------------|
| SC PER LOCATION        | 11 295 809 | vips (412 558), gauche (391 180), python2.7 (276 991) |
| NO THIN AIR            | 445 723    | vim (36 461), python2.6 (25 583), python2.7 (16 213)  |
| OBSERVATION            | 5 786 239  | mlterm (285 408), python2.6 (183 761), vim (159 319)  |
| PROPAGATION            | 79 974 239 | isc-dhcp (891 673), cdo (889 532), vim (878 289)      |

Table XVI. Patterns per axiom

We now give a summary of the patterns we found, organised by axioms. Several distinct patterns can correspond to the same axiom, e.g. mp, wrc and isa2 all correspond to the OBSERVATION axiom (see Sec. 4). For the sake of brevity, we do not list all the 551 patterns. Fig. 42 gives one pie chart of patterns per axiom.

Fig. 42. Proportions of patterns per axiom
**Observations** We did find 4775091 occurrences of iriw (see Fig. 20), which represents 4.897% of all the static cycles that we have found. As such, it is the second most frequent pattern detected, which appears to invalidate the folklore claim that iriw is rarely used. It should be noted, however, that these static cycles need not correspond to genuine ones that are actually observed in executions, as discussed further below.

We found 4083639 occurrences of r (see Fig. 16), which represents 4.188% of the static cycles that we have found. Observe that r appears in PostgreSQL (see Tab. XIII) and RCU (see Tab. XIV), as well as in the thirty most frequent patterns (see Fig. 41). This seems to suggest that a good model needs to handle this pattern properly.

We also found 4606915 occurrences of coRR, which corresponds to the acknowledged ARM bug that we presented in Sec. 5. This represents 4.725% of all the static cycles that we have found. Additionally, we found 2300724 occurrences of coRW2, which corresponds to the violation of SC PER LOCATION, observed on ARM machines that we show in Fig. 34. This represents 2.360% of all the static cycles that we have found. These two percentages perhaps nuance the severity of the ARM anomalies that we expose in Sec. 5.

We believe that our experiments with mole provide results that could be used by programmers or static analysis tools to identify where weak memory may come into play and ensure that it does not introduce unexpected behaviours. Moreover, we think that the data that mole gathers can be useful to both hardware designers and software programmers.

While we do provide quantitative data, we would like to stress that, at present, we have little information on how many of the detected cycles are actually genuine. Many of the considered cycles may be spurious, either because of additional synchronisation mechanisms such as locks, or simply because the considered program fragments are not executed concurrently in any concrete execution. Thus, as said above, at present the results are best understood as warnings similar to those emitted by compilers. In future work we will both work towards the detection of spurious cycles, but also aim at studying particular software design patterns that may give rise to the most frequently observed patterns of our models.

We nevertheless performed manual spot tests of arbitrarily selected cycles in the packages 4store,acct and acedb. For instance, the SC PER LOCATION patterns in the package acct appear genuine, because the involved functions could well be called concurrently as they belong to a memory allocation library. An analysis looking at the entire application at once would be required to determine whether this is the case. For other cases, however, it may not at all be possible to rule out such concurrent operations: libraries, for instance, may be used by arbitrary code. In those cases only locks (or other equivalent mutual exclusion primitives) would guarantee data-race free (and thus weak-memory insensitive) operation. The same rationale applies for other examples that we looked at: while our static analysis considers this case in order to achieve the required safe overapproximation, the code involved in some of the iriw cycles in the package acedb or 4store is not obviously executed concurrently at present. Consequently these examples of iriw might be spurious, but we note that no locks or fences are in place to guarantee this.

For the RCU and PostgreSQL examples presented in this paper we use harnesses that perform concurrent execution. For RCU this mimics the intended usage scenario of RCU (concurrent readers and writers), and in the case of PostgreSQL this was modelled after a regression test built by PostgreSQL’s developers. Consequently we are able to tell apart genuine and spurious cycles in those cases.

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18 See the attachment at http://www.postgresql.org/message-id/24241.1312739269@sss.pgh.pa.us
For PostgreSQL, the SC PER LOCATION patterns (coWW, coWR, coRW1, coRW2, listed in Tab. XIII) and the critical cycles described in detail in [Alglave et al. 2013] are genuine: one instance of lb (amongst the 2 listed in Tab. XIII) and one instance of mp (amongst the 16 listed).

For RCU, the coWW cycle listed in Tab. XIV and the instance of mp described above (see top of page 67) are genuine – but note that the latter contains synchronisation using lwsync, which means that the cycle is forbidden on Power.

All other cycles are spurious, because the cycle enumeration based on Tarjan’s 1973 algorithm does not take into account the ordering of events implied by spawning threads. For example, we report instances of mp in RCU over lines 38 and 39 in function main as first thread, and lines 14 and 15 in function foo_update_a as second, and seemingly concurrent, thread. As that second thread, however, is only spawned after execution of lines 38 and 39, no such concurrency is possible.

10. CONCLUSION

To close this paper, we recapitulate the criteria that we listed in the introduction, and explain how we address each of them.

Stylistic proximity of models: the framework that we presented embraces a wide variety of hardware models, including SC, x86-TSO, Power and ARM. We also explained how to instantiate our framework to produce a significant fragment of the C++ memory model, and we leave the definition of the complete model (in particular including consume atomics) for future work.

Concision is demonstrated in Fig. 38, which contains the unabridged specification of our Power model.

Efficient simulation and verification: the performance of our tools, our new simulator herd (see Fig. IX), and the bounded model-checker CBMC adapted to our new Power model (see Fig. XI), confirm (following [Mador-Haim et al. 2012; Alglave et al. 2013]) that the modelling style is crucial.

Soundness w.r.t. hardware: to the best of our knowledge, our Power and ARM models are to this date not invalidated by hardware, except for the 33 surprising ARM behaviours detailed in Sec. 8. Moreover, we keep on running experiments regularly, which we record at http://diy.inria.fr/cats.

Adaptability of the model was demonstrated by the ease with which we were able to modify our model to reflect the subtle mp+dmb+fri-rfi-ctrlisb behaviour (see Sec. 8).

Architectural intent: to the best of our knowledge, our Power model does not contradict the architectural intent, in that we build on the model of [Sarkar et al. 2011], which should reflect said intent, and that we have regular contacts with hardware designers.

For ARM, we model the mp+dmb+fri-rfi-ctrlisb behaviour which is claimed to be intended by ARM designers.

Account for what programmers do: with our new tool mole, we explored the C code base of the Debian Linux distribution version 7.1 (about 200 millions lines of code) to collect statistics of concurrency patterns occurring in real world code.

Just like our experiments on hardware, we keep on running our experiments on Debian regularly; we record them at http://diy.inria.fr/mole.

As future work, on the modelling side, we will integrate the semantics of the lwarx and stwcx Power instructions (and their ARM equivalents drex and strex), which are
used to implement locking or compare-and-swap primitives. We expect their integration to be relatively straightforward: the model of [Sarkar et al. 2012] uses the concept of a write reaching coherence point to describe them, a notion that we have in our model as well.

On the rationalist side, it remains to be seen if our model is well-suited for proofs of programs: we regard our experiments w.r.t. verification of programs as preliminary.

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