A wide-spectrum language for verification of programs on weak memory models

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Abstract. Modern processors deploy a variety of weak memory models, which for efficiency reasons may (appear to) execute instructions in an order different to that specified by the program text. The consequences of instruction reordering can be complex and subtle, and can impact on ensuring correctness. Previous work on the semantics of weak memory models has focussed on the behaviour of assembler-level programs. In this paper we utilise that work to extract some general principles underlying instruction reordering, and apply those principles to a wide-spectrum language encompassing abstract data types as well as low-level assembler code. The goal is to support reasoning about implementations of data structures for modern processors with respect to an abstract specification.

Specifically, we define an operational semantics, from which we derive some properties of program refinement, and encode the semantics in the rewriting engine Maude as a model-checking tool. The tool is used to validate the semantics against the behaviour of a set of litmus tests (small assembler programs) run on hardware, and also to model check implementations of data structures from the literature against their abstract specifications.

1 Introduction

Modern processor architectures provide a challenge for developing efficient and correct software. Performance can be improved by parallelising computation to utilise multiple cores, but communication between threads is notoriously error-prone. Weak memory models go further and improve overall system efficiency through sophisticated techniques for batching reads and writes to the same variables and to and from the same processors. However, code that is run on such memory models is not guaranteed to take effect in the order specified in the program code, creating unexpected behaviours for those who are not forewarned [1]. For instance, the instructions $x := 1; y := 1$ may be reordered to $y := 1; x := 1$.

Architectures typically provide memory barrier/fence instructions which can enforce local ordering – so that $x := 1; \text{fence}; y := 1$ cannot be reordered – but reduce performance improvements (and so should not be overused).

Previous work on formalising weak memory models has resulted in abstract formalisations which were developed incrementally through communication with
processor vendors and rigorous testing on real machines. A large collection of “litmus tests” have been developed which demonstrate the sometimes confusing behaviour of hardware. We utilise this existing work to provide a wide-spectrum programming language and semantics that runs on the same relaxed principles that apply to assembler instructions. When these principles are specialised to the assembler of ARM and POWER processors our semantics gives behaviour consistent with existing litmus tests. Our language and semantics, therefore, connect instruction reordering to higher-level notions of correctness. This enables verification of low-level code targeting specific processors against abstract specifications.

We begin in Sect. 2 with the basis of an operational semantics that allows reordering of instructions according to pair-wise relationships between instructions. In Sect. 3 we describe the semantics in more detail, focussing on its instantiation for the widely used ARM and POWER processors. In Sect. 4 we give a summary of the encoding of the semantics in Maude and its application to model-checking concurrent data structures. We discuss related work in Sect. 5 before concluding in Sect. 6.

2 Instruction reordering in weak memory models

2.1 Thread-local reorderings

It is typically assumed processes are executed in a fixed sequential order (as given by sequential composition – the “program order”). However program order may be inefficient, e.g., when retrieving the value of a variable from main memory after setting its value, as in $x := 1; r := x$, and hence weak memory models sometimes allow execution out of program order to improve overall system efficiency. While many reorderings can seem surprising, there are basic principles at play which limit the number of possible permutations, the key being that the new ordering of instructions preserves the original sequential intention.

A classic example of weak memory models producing unexpected behaviour is the “store buffer” pattern below. Assume that all variables are initially 0, and that thread-local variables (registers) are named $r, r_1, r_2$, etc., and that $x$ and $y$ are shared variables.

$$ (x := 1; r_1 := y) \parallel (y := 1; r_2 := x) $$

(1)

It is possible to reach a final state in which $r_1 = r_2 = 0$ in several weak memory models: the two assignments in each process are independent (they reference different variables), and hence can be reordered. From a sequential semantics perspective, reordering the assignments in process 1, for example, preserves the final values for $r_1$ and $x$.

Assume that $c$ and $c'$ are programs represented as sequences of atomic actions $\alpha; \beta; \ldots$, as in a sequence of instructions in a processor or more abstractly a semantic trace. Program $c$ may be reordered to $c'$, written $c \sim c'$, if the following holds:
1. $c'$ is a permutation of the actions of $c$, possibly with some modifications due to forwarding (see below).

2. $c'$ preserves the sequential semantics of $c$. For example, in a weakest preconditions semantics \[8\], \((\forall S \cdot wp(c, S) \Rightarrow wp(c', S))\).

3. $c'$ preserves coherence-per-location with respect to $c$ (cf. po-loc in \[3\]). This means that the order of updates and accesses of each shared variable, considered individually, is maintained.

We formalise these constraints below. The key challenge for reasoning about programs executed on a weak memory model is that the behaviour of $c \parallel d$ is in general quite different to the behaviour of $c' \parallel d$, even if $c \rightsquigarrow c'$.

### 2.2 Reordering and forwarding instructions

We write $\alpha \rightleftharpoons \beta$ if instruction $\beta$ may be reordered before instruction $\alpha$. It is relatively straightforward to define when two assignment instructions (encompassing stores, loads, and register operations at the assembler level) may be reordered. Below let $x \text{ nfi } f$ mean that $x$ does not appear free in the expression $f$, and say expressions $e$ and $f$ are load-distinct if they do not reference any common shared variables.

\[
x := e \rightleftharpoons y := f \text{ if } \begin{align*}
1) & \quad x, y \text{ are distinct; } \\
2) & \quad x \text{ nfi } f; \\
3) & \quad y \text{ nfi } e; \text{ and }
4) & \quad e, f \text{ are load-distinct;}
\end{align*}
\]

(2)

Note that in general $\rightleftharpoons$ is not reflexive: in TSO processors a load may be reordered before a store, but not vice versa \[23\].

Provisos 1), 2) and 3) ensure executing the two assignments in either order results in the same final values for $x$ and $y$, and proviso 4) maintains order on accesses of the shared state. If two updates do not refer to any common variables they may be reordered. The provisos allow some reordering when they share common variables. Proviso 1) eliminates reorderings such as $\begin{align*}
(x := 1; \ x := 2) & \rightsquigarrow (x := 2; \ x := 1)
\end{align*}$ which would violate the sequential semantics (the final value of $x$). Proviso 2) eliminates reorderings such as $\begin{align*}
(x := 1; \ r := x) & \rightsquigarrow (r := x; \ x := 1)
\end{align*}$ which again would violate the sequential semantics (the final value of $r$). Proviso 3) eliminates reorderings such as $\begin{align*}
(r := y; \ y := 1) & \rightsquigarrow (y := 1; \ r := y)
\end{align*}$ which again would violate the sequential semantics (the final value of $r$). Proviso 4), requiring the update expressions to be load-distinct, preserves coherence-per-location, eliminating reorderings such as $\begin{align*}
(r_1 := x; \ r_2 := x) & \rightsquigarrow (r_2 := x; \ r_1 := x),
\end{align*}$ where $r_2$ may receive an earlier value of $x$ than $r_1$ in an environment which modifies $x$.

In practice, proviso 2) may be circumvented by forwarding\[1]. This refers to taking into account the effect of the earlier update on the expression of the latter. We write $\beta[x]$ to represent the effect of forwarding the (assignment) instruction $\alpha$ to the instruction $\beta$. For assignments we define

\[
(y := f)[x := e] = y := (f[x := e]) \quad \text{if } e \text{ does not refer to global variables}
\]

\[1\] We adopt the term “forwarding” from ARM and POWER \[3\]. The equivalent effect is referred to as bypassing on TSO \[23\].
where the term $f[x[e]]$ stands for the syntactic replacement in expression $f$ of references to $x$ with $e$. The proviso of (3) prevents additional loads of globals being introduced by forwarding.

We specify the reordering and forwarding relationships with other instructions such as branches and fences in Sect. 3.3.

2.3 General operational rules for reordering

The key operational principle allowing reordering is given by the following transition rules for a program $(\alpha ; c)$, i.e., a program with initial instruction $\alpha$.

\begin{align*}
(\alpha ; c) & \xrightarrow{\alpha} c & (a) \\
\begin{array}{l}
\xrightarrow{c \xrightarrow{\beta} c'} \alpha \xrightarrow{\beta_{[\alpha]}} \\
(\alpha ; c) \xrightarrow{\beta_{[\alpha]}} (\alpha ; c')
\end{array} & (b) & (4)
\end{align*}

Rule (4b) is the straightforward promotion of the first instruction into a step in a trace, similar to the basic prefixing rules of CCS [18] and CSP [11]. Rule (4b), however, states that, unique to weak memory models, an instruction of $c$, say $\beta$, can happen before $\alpha$, provided that $\beta_{[\alpha]}$ can be reordered before $\alpha$ according to the rules of the architecture. Note that we forward the effect of $\alpha$ to $\beta$ before deciding if the reordering is possible.

Applying Rule (4b) then Rule (4a) gives the following reordered behaviour of two assignments.

\begin{align*}
(r := 1 ; x := r ; \text{nil}) & \xrightarrow{x := 1} (r := 1 ; \text{nil}) & \xrightarrow{r := 1} \text{nil}
\end{align*}

We use the command $\text{nil}$ to denote termination. The first transition above is possible because we calculate the effect of $r := 1$ on the update of $x$ before executing that update, i.e., $x := r_{[r := 1]} = x := 1$.

The definitions of instruction reordering, $\alpha \xrightarrow{\beta} \beta_{[\alpha]}$, and instruction forwarding, $\beta_{[\alpha]}$ are architecture-specific, and are the only definitions required to specify an architecture’s instruction ordering. The instantiations for sequentially consistent processors (i.e., those which do not have a weak memory model) are trivial: $\alpha \xrightarrow{\beta} \beta$ for all $\alpha, \beta$, and there is no forwarding. Since reordering is not possible Rule (4b) never applies and hence the standard prefixing semantics is maintained. TSO is relatively straightforward: loads may be reordered before stores (provided they reference different shared variables). In this paper we focus on the more complex ARM and POWER memory models. These memory models are very similar, the notable difference being the inclusion of the lightweight fence instruction in POWER. Due to space limitations, we omit lightweight fences in this paper but a full definition which has been validated against litmus tests can be found in Appendix A.

\footnote{Different architectures may have different storage subsystems, however, and these need to be separately defined (see Sect. 3.2).
2.4 Reasoning about reorderings

The operational rules allow a standard trace model of correctness to be adopted, that is, we say programs \( c \) refines to program \( d \), written \( c \sqsubseteq d \), iff every trace of \( d \) is a trace of \( c \). Let the program \( \alpha \cdot c \) have the standard semantics of prefixing, that is, the action \( \alpha \) always occurs before any action in \( c \) (Rule (4a)). Then we can derive the following laws that show the interplay of reordering and true prefixing.

\[
\alpha \cdot c \sqsubseteq \alpha \cdot \alpha \cdot c \label{eq:6}
\]

\[
\alpha \cdot (\beta \cdot c) \sqsubseteq \beta[\alpha] \cdot (\alpha \cdot c) \text{ if } \alpha \lhd \beta[\alpha] \label{eq:7}
\]

Note that in Law (7) \( \alpha \) may be further reordered with instructions in \( c \). A typical interleaving law is the following.

\[
(\alpha \cdot c) \parallel d \sqsubseteq \alpha \cdot (c \parallel d) \label{eq:8}
\]

We may use these laws to show how the “surprise” behaviour of the store buffer pattern above arises. In derivations such as the following, to save space, we abbreviate a thread \( \alpha ; \text{nil} \) or \( \alpha \cdot \text{nil} \) to \( \alpha \), that is, we omit the trailing \( \text{nil} \).

\[
(\alpha \cdot c) \parallel (y := 1 \parallel r_1 := x) \parallel (x := 1 \parallel r_1 := y) \parallel (y := 1 \parallel r_2 := x) \parallel (r_2 := x \parallel y := 1)
\]

From Law (7) (twice), since \( x := 1 \not\equiv r_1 := y \) from (2).

\[
(\alpha \cdot c) \parallel d \sqsubseteq \alpha \cdot (\alpha \cdot d) \text{ if } \alpha \lhd \beta[\alpha]
\]

Law (8) (four times) and commutativity of \( \parallel \).

\[
(\alpha \cdot c) \parallel d \sqsubseteq \alpha \cdot (c \parallel d)
\]

If initially \( x = y = 0 \), a standard sequential semantics shows that \( r_1 = r_2 = 0 \) is a possible final state in this behaviour.

3 Semantics

3.1 Formal language

The elements of our wide-spectrum language are actions (instructions) \( \alpha \), commands (programs) \( c \), processes (local state and a command) \( p \), and the top level system \( s \), encompassing a shared state and all processes. Below \( x \) is a variable (shared or local) and \( e \) an expression.

\[
\begin{align*}
\alpha &::= x := e \mid [e] \mid \text{fence} \mid \text{cfence} \mid \alpha^* \\
c &::= \text{nil} \mid \alpha \cdot c \mid c_1 \sqcap c_2 \mid \text{while } b \text{ do } c \\
p &::= (\text{lcl } \sigma \cdot c) \mid (\text{tid}_s p) \mid p_1 \parallel p_2 \\
s &::= (\text{glb } \sigma \cdot p) \mid (\text{stg } W \cdot p)
\end{align*}
\]

To focus on instruction reorderings we leave local variable declarations and process ids implicit, and assume a multi-copy atomic storage system (see Sect. 3.2).
An action may be an update $x := e$, a guard $[e]$, a (full) fence, a control fence (see Sect. 3.3), or a finite sequence of actions, $\alpha^*$, executed atomically. Throughout the paper we denote an empty sequence by $\langle \rangle$, and construct a non-empty sequence as $\langle \alpha_1, \alpha_2 \ldots \rangle$.

A command may be the empty command \texttt{nil}, which is already terminated, a command prefixed by some action $\alpha$, a choice between two commands, or an iteration (for brevity we consider only one type of iteration, the while loop). Conditionals are modelled using guards and choice.

$$\text{if } b \text{ then } c_1 \text{ else } c_2 \equiv ([b] ; c_1) \sqcap ([\neg b] ; c_2) \quad (10)$$

A well-formed process is structured as a process id $n \in \text{PID}$ encompassing a (possibly empty) local state $\sigma$ and command $c$, i.e., a term $(\text{tid}_n \text{ lcl } \sigma \bullet c)$. We assume that all local variables referenced in $c$ are contained in the domain of $\sigma$.

A system is structured as the parallel composition of processes within the global storage system, which may be either a typical global state, $\sigma$, that maps all global variables to their values (modelling the storage systems of TSO, the most recent version of ARM, and abstract specifications), or a storage system, $W$, formed from a list of “writes” to the global variables (modelling the storage systems of older versions of ARM and POWER). Hence a system is in one of the two following forms.

$$(\text{glb } \sigma \bullet (\text{tid}_1 \text{ lcl } \sigma_1 \bullet c_1) \parallel (\text{tid}_2 \text{ lcl } \sigma_2 \bullet c_2) \parallel \ldots)$$

$$(\text{stg } W \bullet (\text{tid}_1 \text{ lcl } \sigma_1 \bullet c_1) \parallel (\text{tid}_2 \text{ lcl } \sigma_2 \bullet c_2) \parallel \ldots) \quad (11)$$

### 3.2 Operational semantics

The meaning of our language is formalised using an operational semantics, summarised in Fig. 1. Given a program $c$ the operational semantics generates a trace, i.e., a possibly infinite sequence of steps $c_0 \xrightarrow{\alpha} c_1 \xrightarrow{\alpha_2} \ldots$ where the labels in the trace are actions, or a special label $\tau$ representing a silent or internal step that has no observable effect.

The terminated command \texttt{nil} has no behaviour; a trace that ends with this command is assumed to have completed. The effect of instruction prefixing in Rule (12) is discussed in Sect. 2.3. Note that actions become part of the trace.

The semantics of loops is given by unfolding, e.g., Rule (14) for a ‘while’ loop. Note that speculative execution, i.e., early execution of instructions which occur after a branch point (24), is theoretically unbounded, and loads from inside later iterations of the loop could occur in earlier iterations.

For ease of presentation in defining the semantics for local states, we give rules for specific forms of actions, i.e., assuming that $r$ is a local variable in the domain of $\sigma$, and that $x$ is a global (not in the domain of $\sigma$). The more general version can be straightforwardly constructed from the principles below.
copy atomicity and is a feature of TSO and the most recent version of ARM \[21\].

Traditionally, changes to shared variables occur on a shared global state, and when written to the global state are seen instantaneously by all processes in the system. This is referred to as multi-copy atomicity and is a feature of TSO and the most recent version of ARM \[21\].
Older versions of ARM and POWER, however, lack such multi-copy atomicity and require a more complex semantics. We give the simpler case (covered in Fig. 1) first.

Recall that at the global level the process id $n$ has been tagged to the actions by Rule (19). Rule (21) covers a store of some expression $e$ to $x$. Since all local variable references have been replaced by their values at the process level due to Rules (15)-(18), expression $e$ must refer only to shared variables in $\sigma$. The value of $x$ is updated to the fully evaluated value, $e_\sigma$.

Rule (22) states that a guard transition $[e]$ is possible exactly when $e$ evaluates to true in the global state. If it does not, no transition is possible; this is how incorrect branches are eliminated from the traces. If a guard does not evaluate to true, execution stops in the sense that no transition is possible. This corresponds to a false guard, i.e., magic [20,4], and such behaviours do not terminate and are ignored for the purposes of determining behaviour of a real system. Interestingly, this straightforward concept from standard refinement theory allows us to handle speculative execution straightforwardly. In existing approaches, the semantics is complicated by needing to restart reads if speculation proceeds down the wrong path. Treating branch points as guards works because speculation should have no effect if the wrong branch was chosen.

To understand how this approach to speculative execution works, consider the following derivation. Assume that (a) loads may be reordered before guards if they reference independent variables, and (b) loads may be reordered if they reference different variables. Recall that we omit trailing nil commands to save space.

\[
\begin{align*}
  r_1 &:= x; (\text{if } r_1 = 0 \text{ then } r_2 := y) \\
  &= \text{Definition of if (10)} \\
  r_1 &:= x; (([r_1 = 0] ; r_2 := y) \sqcap [r_1 \neq 0]) \\
  \sqsubseteq &\quad \text{Resolve to the first branch, since } (e \sqcap d) \sqsubseteq c \\
  r_1 &:= x; [r_1 = 0] ; r_2 := y \\
  \sqsubseteq &\quad \text{From Law (7) and assumption (a)} \\
  r_1 &:= x ; r_2 := y . [r_1 = 0] \\
  \sqsubseteq &\quad \text{From Law (7) and assumption (b)} \\
  r_2 &:= y . r_1 := x ; [r_1 = 0]
\end{align*}
\]

This shows that the inner load (underlined) may be reordered before the branch point, and subsequently before an earlier load. Note that this behaviour results in a terminating trace only if $r_1 = 0$ holds when the guard is evaluated, and otherwise becomes magic (speculation down an incorrect path). On ARM processors, placing a control fence (cfence) instruction inside the branch, before the inner load prevents this reordering (see Sect. 3.3).

**Non-multi-copy atomic storage subsystem.** Some versions of ARM and POWER allow processes to communicate values to each other without accessing

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4 In this straightforward model of shared state there is no global effect of fences, and we omit the straightforward promotion rule.
the heap. That is, if process \( p_1 \) is storing \( v \) to \( x \), and process \( p_2 \) wants to load \( x \) into \( r \), \( p_2 \) may preemptively load the value \( v \) into \( r \), before \( p_1 \)'s store hits the global shared storage. Therefore different processes may have different views of the value of a global variable, as exposed by litmus tests such as the \( \text{WRC} \) family [3].

Our approach to modelling this is based on that of the operational model of [22]. However, that model maintains several partial orders on operations reflecting the nondeterminism in the system, whereas we let the nondeterminism be represented by choices in the operational rules. This means we maintain a simpler data structure, a single global list of writes. The shared state from the perspective of a given process is a particular view of this list. There is no single definitive shared state. In addition, viewing a value in the list causes the list to be updated and this affects later views. To obtain the value of a variable this list is searched starting with the most recent write first. A process \( p_1 \) that has already seen the latter of two updates to a variable \( x \) may not subsequently then see the earlier update. Hence the list keeps track of which processes have seen which stores. Furthermore, accesses of the storage subsystem are influenced by fences.

A write \( w \) has the syntactic form \( (x \mapsto v)_{\text{ns}}^N \), where \( x \) is a global variable being updated to value \( v \), \( N \) is the process id of the process from which the store originated, and \( \text{ns} \) is the set of process ids that have “seen” the write. For such a \( w \), we let \( w.\text{var} = x \), \( w.\text{thread} = N \) and \( w.\text{seen} = \text{ns} \). For a write \( (x \mapsto v)_{\text{ns}}^N \) it is always the case that \( N \in \text{ns} \). The storage \( W \) is a list of writes,
\[ \alpha \not\leq \text{fence} \quad \text{(26)} \]
\[ \text{fence} \not\leq \alpha \quad \text{(27)} \]
\[ [b] \not\leq \text{cfence} \quad \text{(28)} \]
\[ \text{cfence} \not\leq r := e \quad \text{(29)} \]
\[ [b_1] \overset{\beta}{=} [b_2] \quad \text{(30)} \]
\[ x := e [y := f] = x := e [y := f] \quad \text{if} \quad \text{(34)} \]
\[ x \neq y, x \text{ nfi } f, y \text{ nfi } e, \text{ and } e, f \text{ are load-distinct} \]
\[ [b] \not\leq \varphi := e \quad \text{(31)} \]
\[ [b] \not\leq r := e \quad \text{iff} \quad r \text{ nfi } b \quad \text{(32)} \]
\[ [e] [y := f] = [e] [y := f] \quad \text{if} \quad \text{(36)} \]
\[ x := e \overset{\beta}{=} [b] \quad \text{iff} \quad x \text{ nfi } b \quad \text{(33)} \]
\[ \alpha \overset{\beta}{=} \beta \quad \text{in all other cases} \]

**Fig. 3.** Reordering and forwarding following ARM assembler semantics. Let \( x, y \) denote any variable, \( r \) a local variable, and \( \varphi \) a global variable.

Initially populated with writes for the initial values of global variables, which all processes have “seen”.

We give two specialised rules (for a load and store) in Fig. 2. Rule (23) states that a previous write to \( x \) may be seen by process \( n \) if there are no more recent writes to \( x \) that it has already seen. Its id is added to the set of processes that have seen that write. Rule (24) states that a write to \( x \) may be added to the system by process \( n \), appearing earlier than existing writes in the system, if the following two conditions hold for each of those existing writes \( w \): they are not by \( n \) (\( n \neq w.\text{thread} \), local coherence), and \( x = w.\text{var} \Rightarrow n \notin w.\text{seen} \), i.e., writes to the same variable are seen in a consistent order (although not all writes need be seen).

A fence action by process \( n \) ‘flushes’ all previous writes by and seen by \( n \). The flush function modifies \( W \) so that all processes can see all writes by \( n \), effectively overwriting earlier writes. This is achieved by updating the write so that all processes have seen it, written as \( w[\text{seen} := \text{PID}] \).

### 3.3 Reordering and forwarding for ARM and POWER

Our general semantics is instantiated for ARM and POWER processors in Fig. 3 which provides particular definitions for the reordering relation and forwarding that are generalised from the orderings on stores and loads in these processors.\(^5\)

\(^5\) To handle the general case of an assignment \( x := e \), where \( e \) may contain more than one shared variable, the antecedents of the rules are combined, retrieving the value of each variable referenced in \( e \) individually and accumulating the changes to \( W \).

\(^6\) We have excluded address shifting, which creates address dependencies,\(^3\), as this does not affect the majority of high-level algorithms in which we are interested. However, address dependencies are accounted for in our tool as discussed in Appendix B.\(^1\)
Fences prevent all reorderings \cite{26,27}. Control fences prevent speculative loads when placed between a guard and a load \cite{28,29}. Guards may be reordered with other guards \cite{30}, but stores to shared variables may not come before a guard evaluation \cite{31}. This prevents speculative execution from modifying the global state, in the event that the speculation was down the wrong branch. An update of a local variable may be reordered before a guard provided it does not affect the guard expression \cite{32}. Guards may be reordered before updates if those updates do not affect the guard expression \cite{33}.

Assignments may be reordered as shown in \cite{34} and discussed in Sect. \ref{sec:2.2}. Forwarding is defined straightforwardly so that an earlier update modifies the expression of a later update or guard \cite{35,36}, provided it references no shared variables.

4 Model checking concurrent data structures

Our semantics has been encoded in the Maude rewriting system \cite{6}. We have used the resulting prototype tool to validate the semantics against litmus tests which have been used in other work on ARM (348 tests) \cite{9} and POWER (758 tests) \cite{22}. As that research was developed through testing on hardware and in consultation with the processor vendors themselves we consider compliance with those litmus tests to be sufficient validation. With two exceptions, as discussed in Sect. \ref{sec:5} our semantics agrees with those results.

We have employed Maude as a model checker to verify that a (test-and-set) lock provides mutual exclusion on ARM and POWER, and that a lock-free stack algorithm, and a deque (double-ended queue) algorithm, satisfy their abstract specifications on ARM and POWER. We describe the verification of the deque below, in which we found a bug in the published algorithm.

4.1 Chase-Lev deque

Lê et. al \cite{15} present a version of the Chase-Lev deque \cite{5} adapted for ARM and POWER. The deque is implemented as an array, where elements may be put on or taken from the tail, and additionally, processes may steal an element from the head of the deque. The put and take operations may be executed by a single process only, hence there is no interference between these two operations (although instruction reordering could cause consecutive invocations to overlap). The steal operation can be executed by multiple processes concurrently.

The code we tested is given in Fig. \ref{fig:4} where $L$ is the maximum size of the deque which is implemented as a cyclic array, with all elements initialised to some irrelevant value. The original code includes handling array resizing, but here we focus on the insert/delete logic. For brevity we omit trailing nils. We have used a local variable return to model the return value, and correspondingly have refactored the algorithm to eliminate returns from within a branch. A $\text{CAS}(x, r, e)$ (compare-and-swap) instruction atomically compares the value of
Initial state: \{head \mapsto 0, tail \mapsto 0, tasks \mapsto \langle \_\_\_ \_ \_ \_ \rangle\}

\text{put}(v) \triangleq
\begin{align*}
lcl \ t &\mapsto \_ \_ \\
t &\gets tail; \\
tasks[t \mod L] &\gets v; \\
fence; \\
tail &\gets t + 1
\end{align*}

\text{take} \triangleq
\begin{align*}
lcl \ h &\mapsto \_ \_ \ t \mapsto \_ \_ \ return \mapsto \_ \_ \\
t &\gets tail - 1; \\
tail &\gets t; \\
fence; \\
h &\gets head; \\
\text{if } h \leq t \text{ then} &\quad \text{return} \gets tasks[t \mod L]; \\
\text{if } h = t \text{ then} &\quad \text{else} \\
\text{if } \neg CAS(head, h, h + 1) \text{ then} &\quad \text{return} \gets empty \\
\text{else} &\quad \text{return} \gets empty \\
tail &\gets t + 1
\end{align*}

\text{steal} \triangleq
\begin{align*}
lcl \ h &\mapsto \_ \_ \ t \mapsto \_ \_ \ return \mapsto \_ \_ \\
h &\gets head; \\
fence; \\
t &\gets tail; \\
\text{cfence \; \text{\texttt{// unnecessary}}} \\
\text{if } h < t \text{ then} &\quad \text{return} \gets tasks[h \mod L]; \\
\text{cfence \; \text{\texttt{// incorrectly placed}}} \\
\text{if } \neg CAS(head, h, h + 1) \text{ then} &\quad \text{return} \gets fail \\
\text{else} &\quad \text{return} \gets empty \\
tail &\gets t + 1
\end{align*}

\text{Fig. 4.} A version of Lê et. al’s work-stealing deque algorithm for ARM [15]

global \(x\) with the value \(r\) and if the same updates \(x\) to \(e\). We model a conditional statement with a \textit{CAS} as follows.

\textbf{if CAS}(x, r, e) \textbf{then } c_1 \textbf{ else } c_2 \equiv (\langle [x = r], x := e \rangle ; c_1) \cap (\langle x \neq r \rangle ; c_2) \quad \text{(37)}

The \textit{put} operation straightforwardly adds an element to the end of the deque, incrementing the \textit{tail} index. It includes a full fence so that the tail pointer is not incremented before the element is placed in the array. The \textit{take} operation uses a \textit{CAS} operation to atomically increment the head index. Interference can occur if there is a concurrent \textit{steal} operation in progress, which also uses \textit{CAS} to increment \textit{head} to remove an element from the head of the deque. The \textit{take} and \textit{steal} operation return empty if they observe an empty deque. In addition the \textit{steal} operation may return the special value \textit{fail} if interference on \textit{head} occurs. Complexity arises if the deque has one element and there are concurrent processes trying to both \textit{take} and \textit{steal} that element at the same time.

Operations \textit{take} and \textit{steal} use a \textit{fence} operation to ensure they have consistent readings for the head and tail indexes, and later use \textit{CAS} to atomically update the head pointer (only if necessary, in the case of \textit{take}). Additionally, the \textit{steal} operation contains two \textit{cfence} barriers (\texttt{ctrl_isync} in ARM).
Verification. We use an abstract model of the deque and its operations to specify the allowed final values of the deque and return values. The function \( last(q) \) returns the last element in \( q \) and \( front(q) \) returns \( q \) excluding its last element.

\[
\begin{align*}
\text{put}(v) & \triangleq q := q \bullet \langle v \rangle \\
\text{take} & \triangleq \text{lcl return} := \text{none} \bullet \\
& \quad \langle \{q = \langle \rangle \} , \text{return} := \text{empty} \rangle \sqcap \\
& \quad \langle \{q \neq \langle \rangle \} , \text{return} := \text{last}(q) , \ q := \text{front}(q) \rangle \\
\text{steal} & \triangleq \text{lcl return} := \text{none} \\
& \quad \langle \{q = \langle \rangle \} , \text{return} := \text{empty} \rangle \sqcap \\
& \quad \langle \{q \neq \langle \rangle \} , \text{return} := \text{head}(q) , \ q := \text{tail}(q) \rangle
\end{align*}
\]

The abstract specification for \( \text{steal} \) does not attempt to detect interference and return \( \text{fail} \). As such we exclude these behaviours of the concrete code from the analysis.

We model-checked combinations of one to three processes operating in parallel, each executing one or two operations in sequence. The final states of the abstract and concrete code were compared via a simulation relation. This exposed a bug in the code which may occur when a \( \text{put} \) and \( \text{steal} \) operation execute in parallel on an empty deque. The load \( \text{return} := \text{tasks}[h \mod L] \) can be speculatively executed before the guard \( h < t \) is evaluated, and hence also before the load of \( \text{tail} \). Thus the steal process may load \( \text{head} \), load an irrelevant return value, at which point a \( \text{put} \) operation may complete, storing a value and incrementing \( \text{tail} \). The \( \text{steal} \) operation resumes, loading the new value for \( \text{tail} \) and observing a non-empty deque, succeeding with its \( \text{CAS} \) and returning the irrelevant value, which was loaded before the \( \text{put} \) operation had begun.

Swapping the order of the second \( \text{cfence} \) with the load of \( \text{tasks}[h \mod L] \) eliminates this bug, and our analysis did not reveal any other problems. In addition, eliminating the first \( \text{cfence} \) does not change the possible outcomes.

5 Related work

This work makes use of an extensive suite of tests elucidating the behaviour of weak memory models in ARM and POWER via both operational and axiomatic semantics [3,22,17,9]. Those semantics were developed and validated through testing on real hardware and in consultation with processor vendors themselves. Our model is validated against their results, in the form of the results of litmus tests.

Excluding two tests involving “shadow registers”, which appear to be processor-specific facilities which are not intended to conform to sequential semantics (they do not correspond to higher-level code), all of the 348 ARM litmus tests run on our model agreed with the results in [9], and all of the 758 POWER
litmus tests run on our model agreed with the results in [22], which the
exception of litmus test PPO015, which we give below, translated into our formal
language.\footnote{We simplified some of the syntax for clarity, in particular introducing a higher-level
\textbf{if} statement to model a jump command and implicit register (referenced by the compare
(\texttt{CMP}) and branch-not-equal (\texttt{BNE}) instructions). We have also combined some
commands, retaining dependencies, in a way that is not possible in the assembler
language. The \texttt{xor} operator is exclusive-or; its use here artificially creates a \textit{data
dependency} [3] between the updates to \(r_0\) and \(z\).}

\begin{align*}
x & := 1 ; \quad \text{	exttt{fence}} ; \quad y := 1 \quad || \quad z := 0 \\
r_0 & := y ; \quad z := (r_0 \texttt{xor} r_0) + 1 ; \quad z := 2 ; \quad r_3 := z ; \\
& \quad \text{if } r_3 = r_3 \text{ then nil else nil} : \text{cfence} ; \quad r_4 := x
\end{align*}

(38)

The tested condition is \(z = 2 \land r_0 = 1 \land r_4 = 0\), which asks whether it is
possible to load \(x\) (the last statement of process 2) before loading \(y\) (the first
statement of process 2). At a first glance the control fence prevents the load
of \(x\) happening before the branch. However, as indicated by litmus tests such
as MP+dmw.sy+fri-rfi-ctrisb [9] Sect 3, \textit{Out of order execution}], under some
circumstances the branch condition can be evaluated early, as discussed in the
speculative execution example. We expand on this below by manipulating the
second process, taking the case where the success branch of the \textbf{if} statement
is chosen. To aid clarity we underline the instruction that is the target of the
(next) refinement step.

\begin{align*}
r_0 & := y ; \quad z := (r_0 \texttt{xor} r_0) + 1 ; \quad z := 2 ; \quad r_3 := z ; \quad r_3 = r_3 ] ; \text{cfence} ; \quad r_4 := x \\
\quad \text{Promote load with forwarding (from } z := 2), \text{ from Laws (18) and (22)} \\
\quad r_3 := 2 \cdot r_0 := y ; \quad z := (r_0 \texttt{xor} r_0) + 1 ; \quad z := 2 ; \quad r_3 = r_3 ] ; \text{cfence} ; \quad r_4 := x \\
\quad \text{Promote guard by Laws (16) and (17) (from (33))} \\
\quad r_3 := 2 \cdot [r_3 = r_3 ] \cdot r_0 := y ; \quad z := (r_0 \texttt{xor} r_0) + 1 ; \quad z := 2 ; \quad \text{cfence} ; \quad r_4 := x \\
\quad \text{Promote control fence by Laws (19) and (22) (28) does not now apply)} \\
\quad r_3 := 2 \cdot [r_3 = r_3 ] \cdot \text{cfence } \cdot r_0 := y ; \quad z := (r_0 \texttt{xor} r_0) + 1 ; \quad z := 2 ; \quad r_4 := x \\
\quad \text{Promote load by Laws (16) and (17)} \\
\quad r_3 := 2 \cdot [r_3 = r_3 ] \cdot \text{cfence } \cdot r_1 := x \cdot r_0 := y ; \quad z := (r_0 \texttt{xor} r_0) + 1 ; \quad z := 2
\end{align*}

The load \(r_3 := x\) has been reordered before the load \(r_0 := y\), and hence when in-
terleaved with the first process from (38) it is straightforward that the condition
may be satisfied.

In the Flowing/POP model of [9], this behaviour is forbidden because there
is a data dependency from the load of \(y\) into \(r_0\) to \(r_3\), via \(z\). This appears to
be because of the consecutive stores to \(z\), one of which depends on \(r_0\). In the
testing of real processors reported in [9], the behaviour we allow was never
observed, but is allowed by the model in [3]. As such we deem this discrepancy
to be a minor issue in Flowing/POP (preservation of transitive dependencies)
rather than a fault in our model.

Our model of the storage subsystem is similar to that of the operational mod-
els of [22][3]. However our thread model is quite different, being defined in terms
of relationships between actions. The key difference is how we handle branching and the effects of speculative execution. The earlier models are complicated in the sense that they are closer to the real execution of instructions on a processor, involving restarting reads if an earlier read invalidates the choice taken at a branch point.

The axiomatic models, as exemplified by [3], define relationships between instructions in a whole-system way, including relationships between instructions in concurrent processes. This gives a global view of how an architecture’s reordering rules (and storage system) interact to reorder instructions in a system. Such global orderings are not immediately obvious from our pair-wise orderings on instructions. On the other hand, those globals orderings become quite complex and obscure some details, and it is unclear how to extract some of the generic principles such as (2).

6 Conclusion

We have utilised earlier work to devise a wide-spectrum language and semantics for weak memory models which is relatively straightforward to define and extend, and which lends itself to verifying low-level code against abstract specifications. While abstracting away from the details of the architecture, we believe it provides a complementary insight into why some reorderings are allowed, requiring a pair-wise relationship between instructions rather than one that is system-wide.

A model-checking approach based on our semantics exposed a bug in an algorithm in [15] in relation to the placement of a control fence. The original paper includes a hand-written proof of the correctness of the algorithm based on the axiomatic model of [17]. The possible traces of the code were enumerated and validated against a set of conditions on adding and removing elements from the deque (rather than with respect to an abstract specification of the deque). The conditions being checked are non-trivial to express using final state analysis only. An advantage of having a semantics that can apply straightforwardly to abstract specifications, rather than a proof technique that analyses behaviours of the concrete code only, is that we may reason at a more abstract level.

We have described the ordering condition as syntactic constraints on atomic actions, which fits with the low level decisions of hardware processors such as ARM and POWER. However our main reordering principle (2) is based on semantic concerns, and as such may be applicable as a basis for understanding the interplay of software memory models, compiler optimisations and hardware memory models [14].

The wide-spectrum language has as its basic instruction an assignment, which is sufficient for specifying many concurrent programs. However we hope to extend the language to encompass more general constructs such as the specification command [19] and support rely-guarantee reasoning [12,13,10,17].

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A Lightweight fences

POWER’s lightweight fences maintain order between loads, loads then stores, and stores, but not stores and subsequent loads (loads can come before earlier stores). If lightweight fences did not maintain load-load order it would be straightforward to define their effect in terms of one instruction. However to allow reordering later loads with earlier stores but not earlier loads we model a lwfence as two “gates”, one blocking loads and one stores.

We define lwfence; c as fence_L; fence_S; c where

\[
\begin{align*}
  r &:= x \neq fence_L \quad fence_L \neq r := x \\
  x &:= v \neq fence_S \quad fence_S \neq x := v
\end{align*}
\]

Consider the code c; fence_L; fence_S; d for arbitrary c and d. Without the intervening gates that constitute a lightweight fence the instructions of c and d could be reordered according to the usual restrictions. The fence_S instruction however prevents stores in d from interleaving with instructions in c (but loads may be reordered past the fence_S instruction). Additionally, the fence_L may be reordered past any stores in c but not past any loads. Hence between the two fence instructions can mix stores from c and loads from d, which may be reordered subject to the usual constraints. The lightweight fence therefore maintains store/store, load/load, and load/store order.

A lightweight fence also has a global effect on the storage system, which we encode in the semantics of the fence_S instruction. A lightweight fence by N marks any store in W seen by N with a tag lwf(N). A store w by process N may not be inserted in W before a write with the lwf(N) tag. In addition, if another process M loads a value stored by N, it sees not only that store but also all stores marked with lwf(N). This transitive effect gives cumulativity of lightweight fences [3].

As fence_S is the latter to reach the storage system we give it the global effect; a fence_L instruction has no global effect.

\[
\begin{align*}
  p \xrightarrow{\text{N:fence}_S} p' \\
  (\text{stg} W \cdot p) \xrightarrow{\text{N:fence}_S} (\text{stg lwflush}_N(W) \cdot p')
\end{align*}
\]

where

\[
\begin{align*}
  \text{lwflush}_N(\emptyset) &= \emptyset \\
  \text{lwflush}_N((x \mapsto v)^M_{NS} \cap W) &= \begin{cases} 
    (x \mapsto v)^M_{\text{lwf}(N) \cap NS} \cap \text{lwflush}_N(W) & \text{if } N \in \text{NS} \\
    (x \mapsto v)^M_{NS} \cap \text{lwflush}_N(W) & \text{otherwise}
  \end{cases}
\end{align*}
\]

Adding the lwf(N) tag to the list of process ids that have observed a write affects the allowed ordering of how writes are seen. The key point is that N now sees, and lightweight-fences, writes by M that M has lightweight-fenced.
The antecedent for Rule (24) needs to be updated to include $\text{lwf}(N) \not\in w.\text{seen}$ as a further constraint on where writes can be placed in the global order $W$: a write may not come before a write that the process has lightweight-fenced, even if that write is to a different variable.

B Address shifting

In ARM (and POWER) the value loaded from (or stored to) an address may be shifted. For the majority of high-level algorithms such details are hidden. However address shifting is investigated at the hardware level because it can affect reordering – so called “address dependencies” [3]. The instruction \texttt{LDR R1, [R2, X]} loads into R1 the value at address X shifted by the amount in R2. To precisely model the semantics of address shifting requires a more concrete model than the one we propose, however, as determined by the litmus tests of [9], the effects of address dependencies can be investigated even when the shift amount is 0 (resulting in a load of the value at the address). As such we define that an address shift of 0 on a variable \(x\) gives \(x\), and leave the effect of other shift amounts undefined.

Address dependencies constrain the reorderings in the following ways: a branch may not be reordered before a load or store with an (unresolved) address dependency; a store may not be reordered before an instruction with an (unresolved) address dependency; and any instruction \(\alpha\) which shares a register or variable with \(\beta\) where \(\beta\) has an unresolved address dependency may not be reordered with \(\beta\). We incorporate these conditions into the general rule for assignments.

A further consequence of address shifting is that a load \(r_2 := x\) may be reordered before \(r_1 := [n, x]\) even though this would violate load-distinctness. However, to preserve coherence-per-location, the load into \(r_2\) must not load a value of \(x\) that was written before the value read by the load into \(r_1\). This complex situation is handled in [9] by restarting load instructions if an earlier value is read into \(r_2\). We handle it more abstractly by treating the load as speculation, where if an earlier value for \(r_2\) is loaded then the effect of that speculation is thrown away.

We can give this extra semantics by adding an extra operational rule which applies only in those specific circumstances.

\[
\begin{align*}
    r_1 & := [n, x] ; & r_2 & := x & \rightarrow & p' \\
    r_1 & := [n, x] ; & r_2 & := x & \rightarrow & r_1 := [n, x] ; & \{ r_1 = r_2 \} ; & p' \\
\end{align*}
\]

(41)

In practical terms it is possible the first load of \(x\) (into \(r_1\)) is delayed while determining the offset value. The later load is allowed to proceed, freeing up \(p'\) to continue speculatively executing until the dependency is resolved. The load into \(r_1\) then must still be issued, the result being checked against \(r_2\). This check must occur as to preserve coherency as the load into \(r_2\) cannot read a value earlier than that read into \(r_1\). Note that loads in \(p'\) can now potentially be reordered to execute ahead of the load into \(r_1\).