

# Using True Concurrency to Model Execution of Parallel Programs

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Parallel execution of a program  $R$  (intuitively regarded as a partial order) is usually modeled by sequentially executing one of the total orders (interleavings) into which it can be embedded. Our work deviates from this serialization principle by using *true concurrency*<sup>(1)</sup> to model parallel execution. True concurrency is represented via completions of  $R$  to *semi total orders*, called time diagrams. These orders are characterized via a set of conditions (denoted by  $Ct$ ), yielding orders or time diagrams which preserve some degree of the intended parallelism in  $R$ . Another way to express semi total orders is to use re-writing or derivation rules (denoted by  $Cx$ ) which for any program  $R$  generates a set of semi-total orders. This paper includes a classification of parallel execution into three classes according to three different types of  $Ct$  conditions. For each class a suitable  $Cx$  is found and a proof of equivalence between the set of all time diagrams satisfying  $Ct$  and the set of all terminal  $Cx$  derivations of  $R$  is devised. This equivalence between time diagram conditions and derivation rules is used to define a novel notion of correctness for parallel programs. This notion is demonstrated by showing that a specific asynchronous program enforces synchronous execution, which always halts, showing that true concurrency can be useful in the context of parallel program verification.

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## 1. INTRODUCTION

Let  $R$  be a parallel program, composed of *nested* parallel and sequential statements. Many parallel programming languages are of this type, such as

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OCCAM,<sup>(2)</sup> ADA,<sup>(3)</sup> and others.<sup>(4-6)</sup> For instance, the following program spawns two processes, each of which splits into two additional processes.

```
R(){
  int x = 0;
  par for i = 1..2[
    par for j = 1..2[x = i + j;]
  ]}
}
```

Such a syntax is equivalent to a partial order (also denoted by  $R$ ):

$$R = (x = 0; ((i = 1; ((j = 1; x = i + j) \parallel (j = 2; x = i + j))) \parallel (i = 2; ((j = 1; x = i + j) \parallel (j = 2; x = i + j))))))$$

between all instructions of  $A$  and  $B$ .

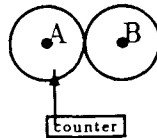
It is now fairly common for parallel machines to adhere to the dictates of *sequential consistency* in order to facilitate our understanding of parallel programs.<sup>(7-9)</sup> This requirement states that the results of parallel execution of a program are the same as the results that would be obtained had the instructions from distinct parallel processes been interleaved and executed in some serial ordering. This is equivalent to a completion of  $R$  to a total order executed as a sequential program.

The problem is that if the interleaving is not completely defined, the program execution is indeterminate. As a consequence, distinct executions of the same program may lead to different results. For example, one execution may terminate with a result while another enters an infinite loop. The problem is especially severe in a shared memory model, where interactions are mediated by side effects. It is therefore important to develop a notion of correctness that enables the user to show that all execution orders of a program are correct *without explicitly generating them*. This idea can be expressed in terms of finding a "compact" representation to the set of all possible execution orders of a parallel program.

Modeling parallel execution as the set of all completions of  $R$  to a total order (interleavings) is rather arbitrary. Theoretically, parallel execution may be any set of partial orders which correctly augments (includes)  $R$ . Total completions of  $R$  actually represent a particular time model in which each instruction of  $R$  is assigned a unique time index. Another time model may assign the same time index to several instructions, forming *true concurrency*. As it turns out, true concurrency is essential in the context of parallel program verification, since it allows the user to use compound instructions in place of the original ones, leading to smaller size programs. [Note that for a given program, a true concurrency model may contain fewer execution orders than interleavings. This claim, although combina-

torially false, may however hold in specific cases, which we believe to be the practical ones.] Compound statements or abstractions, (formally suggested in Ref. 7) may lead to true concurrency, e.g., when two or more compound statements are mutually dependent.

As an example of true concurrency, consider the following machine with two gears. It has four instructions,  $Al$ ,  $Ar$ ,  $Bl$ ,  $Br$ , used to turn the gears  $A$  and  $B$  left or right. If  $Al$  and  $Bl$  are executed in parallel ( $Al \parallel Bl$ ), then no gear can move and the counter will show zero. However, any sequential order of execution ( $Al; Bl$  or  $Bl; Al$ ) will yield a positive counting. Hence, modeling parallel execution via interleavings fails to describe a parallel execution.



Theory of concurrency contains many relevant results, advocating different time models that can be applied to parallel execution of programs.<sup>(11)</sup> (such as comparing the expressiveness of interleavings versus true concurrency).<sup>(10)</sup> In particular, Pratt<sup>(11)</sup> constructs a mixed term of partial orders and temporal logic (Ref. 12) to model parallel processes. This work also contains motivations for true concurrency execution, and a short survey of relevant results. The system proposed here can be best represented through the formalism developed by Gaifman.<sup>(13)</sup> Unlike Gaifman's formalism, which is more general, this formalism is dedicated mainly to parallel programs and scheduling only. In this sense, Gaifman's formalism uses a set of partial orders to represent a device, while our formalism uses a single partial order which is the program. [In comparison to similar works such as that of Pratt,<sup>(11)</sup> this formalism excludes semantics operations like loops, choice, recursion, and communication. These issues are modeled via a set of external restrictions and thus are not part of the suggested formalism.] A more recent and general work demonstrating the power of true concurrency is the work of Janicki and Kountny.<sup>(14)</sup>

Gaifman describes a computation (of a device) as a triple  $(E, \langle^c, \langle^t)$ , where  $E$  is a set of events,  $\langle^c$  is a *causal* partial order representing inherent semantics, and  $\langle^t$  is a *temporal* partial order describing a possible execution (completion or augmentation) of  $\langle^c$  in time. For example,  $(\{a, b\}, a \parallel b, a; b)$  describes a sequential execution of the process  $a \parallel b$ . In addition, Gaifman defines a process as a set of partial orders  $P = p_1, \dots, p_n$ . The core of a process is defined to be the maximal set of least constrained  $p_i$ 's (those

which do not include any other  $p_j$ ). A process describes a specification of a device if its core is a correct specification of the device and the process is augment closed, i.e., every possible execution of the core is present in the process. Thus a process  $P$  describes a device if it can be divided into  $\langle^c = \text{core}(P)$  and  $\langle^t = P - \text{core}(P)$ , and  $\langle^t$  covers every possible computation of the device.

Gaifman's general notion requires that a specification should explicitly include every possible execution or computation  $p_i \in P - \text{core}(P)$ . Our work is based on the observation that in several cases the set of all possible executions (temporal orders of a program  $R$ ) can be represented in a compact nonexplicit way (similar to a compact representation of all even numbers as all numbers whose mod 2 is zero).

Our representation deals with processes that describe execution of parallel programs rather than devices. Thus the core of every process consists of a single partial order, which represents a parallel program. The set of all possible computations of a program  $R$  (also referred to as executions or scheduling) is represented as a *restriction of a time model*. The notion of time models has been pursued in many papers (see Refs. 1 and 13 for relevance). In particular, let  $P(R)$  be the set of all possible partial orders which are consistent with  $R$  (including completions to total or semi-total orders). A time model can be described as a selection function  $f(P(R)) \in 2^{P(R)}$  which selects those partial orders which augment  $R$  in time.<sup>(7)</sup> For example, if the time model reflects serialization, then  $f$  will select all completions of  $R$  to a total order. A compact representation of  $f$  may turn out to be useful in showing that all execution orders of  $R$  satisfy some desired condition (such as halting).

We use two compact representations for a time model  $V$ :  $Ct^V$ , a set of conditions choosing a member of  $2^{P(R)}$  and  $Cx^V$ , a set of derivation rules generating the desired member of  $2^{P(R)}$ . A process is a triple  $\langle R, Ct, Cx \rangle$  where  $R$  is a program or a partial order and  $Ct \subset Ct^V$ ,  $Cx \subset Cx^V$  are restrictions of a time model  $V$  used to describe specific semantics of  $R$ . In Gaifman's notion, such a process should be represented as  $P = R, Ct(P(R))$  or  $P = R, Cx(P(R))$ , where  $R = \text{core}(P)$ . Hence, we use an explicit compact representation of  $V$  rather than using a member of  $2^{P(R)}$ .

As explained before, in the context of parallel program verification<sup>(15)</sup> true concurrency is likely to be used. Hence,  $V$  should reflect true concurrency (also referred to as linear-time model in Ref. 13). It turns out that for some true concurrency time models, compact representation  $(Ct^V, Cx^V)$  can be devised. This can be done using the fact that true concurrency partial orders (referred as time diagrams) have a specific structure. Every possible time diagram of a time model should be of the form  $S_1, \dots, S_n$  where  $S_i = e_{i_1} \parallel \dots \parallel e_{i_k}$  contains those instructions executed at time  $i$ . This

structure is used in the proposed formalism, which includes the following components:

$Ct$ - is a finite set of conditions specifying necessary relations between the states of every time diagram and the program.

$Cx$ - is a finite set of derivation rules, such that every final derivation  $R \xrightarrow{Cx} R'$  yields a time diagram selected by  $f$ .

$\langle R, Cx, Ct \rangle$ - indicates that  $Ct$  and  $Cx$  are equivalent and yield the same set of time diagrams, hence representing the same set of time diagrams.  $\langle R, Cx, Ct \rangle$  is referred to as an induction system for  $R$ .

**Correctness.** A program  $R$  is defined to be correct if it has an induction system such that every time diagram of  $R$  also halts. In this way,  $Ct$  actually describes every semantic aspect of executing  $R$  by a parallel computer.

For example, the interleavings set of  $R$  can be represented by the following induction system.

- $Ct$  maintains that every  $e_a <_R e_b$  should be in a different state, such that  $e_a \in S_i$ ,  $e_b \in S_j$  and  $i < j$ .
- $Cx$  includes all possible ways to interleave  $R$  without violating  $<_R$ :

$$(A; B) \parallel C \rightarrow \left\{ \begin{array}{l} (A \parallel C); B \\ A; (B \parallel C) \end{array} \right. (A \parallel B) \rightarrow \left\{ \begin{array}{l} (B \parallel A) \\ (A; B) \parallel (C; D) \rightarrow (A \parallel C); (B \parallel D) \\ (B; A) \end{array} \right.$$

In this work we define three main classes of true concurrency time models, using suitable  $Ct$  conditions and  $Cx$  rules. A proof that these  $Ct$ ,  $Cx$  form an induction system for every type of time model is devised. These models are theoretically interesting, yet they serve as a mechanism to preserve the intended parallelism invoked in the construct  $(A \parallel B)$ . Thus, when true concurrency is used, the time model of a specific program is actually a restriction of the main time models or classes. A proof that a specific  $\langle R, Ct, Cx \rangle$  system is an induction system can exploit the fact that both  $Ct$  and  $Cx$  are actually restrictions of the main  $Ct$  and  $Cx$  for which an induction system exists. This usage of natural classes of time models will be clarified in later sections.

Finally, an induction system  $\langle R'_k, Ct, Cx \rangle$  is constructed for special kinds of parallel programs, called parallel loop programs. Let  $R'_k$  be a set of  $k$  loops executed by different processors, where each loop contains  $l$  instructions. It is shown that  $\langle R'_k, Ct, Cx \rangle$  yields exactly all synchronous executions of  $R'_k$ . This is used to show that a specific asynchronous program is correct and can only be executed synchronously.

## 2. BASIC DEFINITIONS FOR A TRUE CONCURRENCY TIME MODEL

This section contains basic definitions of a novel time model called  $V$ . This time model reflects true concurrency via a special interpretation of the  $\parallel$  operator, referred to as the "friction condition" (to be explained next).

**Definition 2.1.** A parallel program corresponds to the following regular expression:

$$R \rightarrow (R) \text{ or } (R \parallel R) \text{ or } (R; R) \text{ or } \parallel e_i$$

where sub-programs are denoted with capital letters, and atomic instructions with small letters, e.g.,  $R = (a; b) \parallel (c; d)$ . The meaning of execution of programs will be the function that maps the Cartesian products of programs and states to states ( $\rho: R \times S \rightarrow S$ ).

Let a parallel execution of a program  $R$  be a time diagram which assigns a time index to every instruction as described in Fig. 1. This implies that atomic instructions take one time unit and do not overlap.

For a given program there can be many and different time-diagrams which describe different possible executions (see Fig. 2). Our first step in defining what parallel execution of a program means is to formally define the set of all time-diagrams or executions of a program.

**Definition 2.2.** A program defines a partial order relation on the atomic instructions of the program (e.g., "before") in the following way: if a sub expression of the program is of the form  $E_1; E_2$  then every atomic instruction in  $E_1$  precedes every atomic instruction in  $E_2$ .

**Definition 2.3.** For the  $V$  time model, a time-diagram of a program ( $R$ ) is a division of the atomic instructions of  $R$  into an order sequence of "steps" ( $S_1, \dots, S_7$ ) such that the following  $Ct^V$  conditions are met.

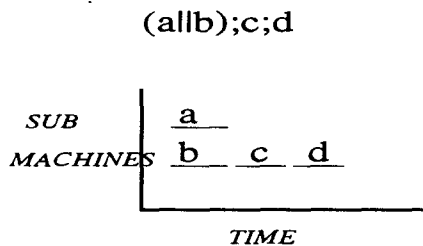


Fig. 1. Processors/time diagram of the program  $((a \parallel b); c); d$ .

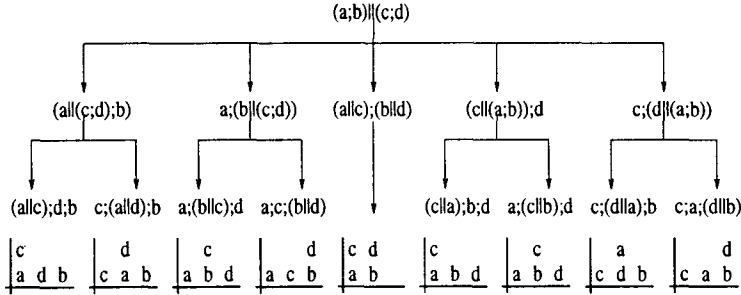


Fig. 2. Different normal forms of  $(a; b) \parallel (c; d)$  and their time diagrams.

1.  $S_i$  is not empty.
2.  $\forall (E_a \parallel E_b) \in R$  there exists  $e_a \in E_a, e_b \in E_b$  such that  $e_a, e_b \in S_i$ . This condition is also referred to as the *friction condition* since it enforces minimum degree of true concurrency execution between parallel expressions.
3. For every  $e_a$  and  $e_b$  such that  $e_a$  is “before”  $e_b$  there are  $j < i$ , such that  $e_a \in S_j$  and  $e_b \in S_i$ .

The set of well-defined parallel machines can be defined as follows:

**Definition 2.4.** A parallel machine  $M$  is well defined if any execution of a program  $R$  by  $M$  can be described by a legal time diagram of  $R$ . Such a machine is referred to as a “discrete” machine.

Obviously, a time-diagram  $S_1, \dots, S_T$  can be expressed by a program of the form  $(\parallel E_1; \dots; \parallel E_T)$  where  $\parallel E_i$  contains all the atomic instructions of  $S_i$ . We refer to a program of this form as a program in “normal form.”

So far, the parallel execution was defined by a time trace on the instructions executed by a parallel machine (time diagrams). Another possibility to define or understand the parallel execution of a program is to imagine a virtual *term rewriting system* which reduces a program to normal form using a set of rewriting or derivation rules. These rewriting rules are not arbitrary and actually correspond to logical rules that parallel execution should fulfill. Thus the meaning of parallel execution is depicted in terms of its outcome (time diagrams) and its logical behavior (axioms or derivations).

**Definition 2.5.** The following set of axioms or rewriting rules  $Cx^\vee$  formally defines the execution of a parallel program  $R$  via the set of all normal forms obtained by a final derivation  $R \xrightarrow{f^*} R'$ .

**Commutativity.** For every two programs  $R_1 \parallel R_2 \equiv R_2 \parallel R_1$ . This condition reflects a natural understanding that a parallel execution should be symmetrical.

**Associativity.** Sequential execution is oblivious to order of execution  $(R_1; R_2); R_3 \equiv R_1; (R_2; R_3)$ . However, for parallel execution associativity is allowed only at the instructions level, i.e.,  $(e_1 \parallel e_2) \parallel e_3 \equiv e_1 \parallel (e_2 \parallel e_3)$ . Note that  $\parallel$  between instructions indicates that all instructions should be executed at the same time; thus, we use the notation  $e_1 \parallel \dots \parallel e_k$  to indicate any placement of parentheses between parallel instructions.

#### Time division.

$$\overbrace{(R_{a1}; R_{a2})}^{R_a} \parallel (R_b; R_c) = \begin{cases} (R_a \parallel R_b); R_c \\ R_b; (R_a \parallel R_c) \\ ((R_{a1} \parallel R_b); (R_{a2} \parallel R_c)) \end{cases}$$

The restriction on associativity of complex terms reflects the requirement that  $(E_1 \parallel E_2)$  denotes some true concurrency execution between  $E_1$  and  $E_2$ . For example, consider the program  $R = ((A \parallel B) \parallel (C \parallel D))$ . The parentheses structure indicates that there should be a true-concurrency execution between  $A$  and  $B$ . However, if associativity is allowed, then  $R$  is also equivalent to  $(A \parallel (B \parallel (C \parallel D)))$  and there is no longer need for a true-concurrency execution between  $A$  and  $B$ , but rather there could be true-concurrency execution between  $A$  and  $C$  or  $D$  or both.

Clearly, the associativity axiom enables any manipulations of parentheses in regular expressions with ';', as (for the sake of completeness) is proved next:

**Lemma 2.1.** Let  $R$  be a program of the form  $R = R_1; \dots; R_n$  and let  $R^{(1)}$  and  $R^{(2)}$  be any two legal (Def. 2.1) assignments of parentheses in  $R$ . By applying the associativity axiom,  $R^{(1)}$  can be transformed to  $R^{(2)}$ .

*Proof.* Let  $R^{\square} = (\dots((R_1; R_2); R_3); \dots); R_n$  denote a left-most parentheses assignment of  $R$ . Let  $\xrightarrow{(*)}$  be a rapid application of "left" associativity on sub expressions in  $R(R_a; (R_b; R_c)) \rightarrow ((R_a; (R_b); R_c)$  until no further application is possible. Clearly, there are no  $)$  parentheses in  $R$  after  $\xrightarrow{(*)}$ ; hence,  $\xrightarrow{(*)}$  terminates in left-most parentheses assignments of  $R$ . Since  $R^{(1)} \xrightarrow{(*)} R^{\square}$ ,  $R^{(2)} \xrightarrow{(*)} R^{\square}$  and associativity can be applied in both directions,  $R^{(1)}$  can be transformed to  $R^{\square}$  and then back to  $R^{(2)}$ . [This manipulation allows us to omit parentheses in any ;  $E$  expression.]  $\square$



### 3. PROVING THAT $Ct^V$ AND $Cx^V$ DESCRIBE THE SAME TIME MODEL

Until now two ways of evaluating parallel execution ( $R: s_1 \rightarrow s_2$ ) have been presented:

- A derivation through the axioms  $R \xrightarrow{f^*} R'$ , consisting of rapid application of the axioms of Def. 2.5, until no further derivation is possible.
- A time diagram  $D(R)$  satisfying the conditions of Def. 2.3.

The connection between the axioms and the time-diagrams of a program is demonstrated in Fig. 2, where all legal time diagrams of  $R = (a; b) \parallel (c; d)$  are derived using rapid applications of the “time-division” axiom.

In this section it is shown that both ways are equivalent, i.e., every derivation  $R \xrightarrow{f^*} R'$  yields a different time diagram, and every time diagram  $D(R)$  can be derived by the axioms  $R \xrightarrow{f^*} D(R)$ . Hence, both  $Ct^V$  and  $Cx^V$  define the same time model or class of parallel executions. From now on we omit  $^V$  from both  $Ct^V$  and  $Cx^V$ , making the  $V$  time model the default one.

**Definition 3.1.** For a given program  $R$  let:

$T(R)$  be the set of all time diagrams of the program  $R$  satisfying the time diagram definitions (Def. 2.3).

$R \xrightarrow{f^*} R'$  be a “forward” derivation of  $R'$  from  $R$  by applying the axioms of parallelism. Note that the time division axiom has three alternatives to replace  $(a1; a2) \parallel (b; c)$ . Thus  $\xrightarrow{f^*}$  is a forward derivation in which  $(a1; a2) \parallel (b; c)$  is replaced by one of the three alternatives.

$R \xrightarrow{r^*} R'$  be a “backward” derivation of  $R'$  from  $R$  in which one of the three alternatives of the time division axiom is replaced by  $(a1; a2) \parallel (b; c)$ . Clearly, if  $R \xrightarrow{r^*} R'$ , then by reversing the  $\xrightarrow{r^*}$  derivation  $R' \xrightarrow{f^*} R$ .

$R^*$  be the set of all programs resulted by  $\xrightarrow{f^*}$ , which can not be further reduced.

Further, in the following discussion we will use  $D(R)$  both for a time diagram of  $R$  and the unique normal form that matches  $D(R)$ .

**Theorem 3.1.** There is a one to one mapping between the set of all time diagrams of a program and the set of programs derived by the axioms, hence  $R^* = T(R)$ . This equivalence shows that both conditions of Def. 2.3

and the derivation rules of Def. 2.5 define a class with true concurrency executions called  $V$ .

*Proof.* Follows from Th. 3.3, which shows that every number of  $R^*$  is in normal form and represents a time diagram, hence  $R^* \subset T(R)$ . From Th. 3.2 every time diagram  $D(R) \in T(R)$  is in  $R^*$ , i.e.,  $R \xrightarrow{f^*} D(R)$ .

**Corollary 3.1.** In order to define a parallel machine  $M$ , it suffices to describe only the effect of executing  $s: \|E \rightarrow s'$  (rather than describing  $\forall R s: R \rightarrow s'$ ).

*Proof.* Immediate from the normal form definition.

### 3.1. Proof for the Derivation of Time Diagrams

The fact that every time diagram of  $R$  can be derived by the axioms of parallelism is stated and then proved as follows:

**Theorem 3.2.** Every time diagram  $D(R) \in T(R)$  is in  $R^*$ , i.e., for every  $D(R)$ ,  $R \xrightarrow{f^*} D(R)$ .

*Proof.* By induction on the structure of  $R$ . Note that for single instruction programs  $T(R) = R^*$ . Assume that  $P1 \xrightarrow{f^*} D(P1)$  and  $P2 \xrightarrow{f^*} D(P2)$ . It is sufficient to show that  $(P1; P2) \xrightarrow{f^*} D(P1; P2)$  and that  $(P1 \| P2) \xrightarrow{f^*} D(P1 \| P2)$ .

By the induction hypothesis  $(P1; P2) \xrightarrow{f^*} (D(P1); D(P2))$ . Trivially,  $(D(P1); D(P2)) = D((P1; P2))$ , hence  $(P1; P2) \xrightarrow{f^*} D((P1; P2))$ .

The second case is more complicated and uses several sub claims and a “roll-back” process, which restores  $D((P1 \| P2))$  to a program of the form  $(D(P1) \| D(P2))$ . Lemma 3.2 shows that the effect of the roll-back process is to transform  $D(P1 \| P2)$  to

$$D(P1 \| P2) \xrightarrow{r^*} (\|\alpha_1; \dots; \alpha_n) (\|\beta_1; \dots; \beta_m) \quad \|\alpha_i \in P1 \wedge \|\beta_i \in P2$$

Lemma 3.3 shows that the roll-back process yields separate time diagrams of  $P1$  and  $P2$ . This is done by showing that

$$(\|\alpha_1; \dots; \alpha_n) \in T(P1) \wedge (\|\beta_1; \dots; \beta_m) \in T(P2)$$

The induction hypothesis yields that  $D(P1 \| P2) \xrightarrow{r^*} D(P1) \| D(P2) \xrightarrow{f^*} P1 \| P2$ , hence  $P1 \| P2 \xrightarrow{f^*} D(P1 \| P2)$ , as required.  $\square$

The following notation is used to describe the roll-back processes of  $D(P1 \parallel P2) = S_1, \dots, S_k$  where:

$$S_i = \begin{cases} \alpha_i & \text{if } S_i \text{ contains instructions from } P1 \text{ only} \\ \beta_i & \text{if } S_i \text{ contains instructions from } P2 \text{ only} \\ \gamma_i = (\alpha_1; \dots; \alpha_n) \parallel (\beta_1; \dots; \beta_m) & \text{mixed term of } \alpha \text{ and } \beta \text{ sub expressions} \end{cases}$$

Note that initially in  $\gamma_i$  both  $m, n = 1$ , while during the roll-back process  $\gamma_i$  accumulates states. Clearly, up to commutativity and associativity of ' $;$ '  $E'$  and  $\parallel_{e_i}$  every  $D(P1 \parallel P2)$  is of this form. Hence any  $D(P1 \parallel P2)$  is a sequence  $\dots; \alpha; \dots; \gamma; \dots; \beta; \dots; \gamma; \dots$ . Initially every  $\gamma$  in  $D(P1 \parallel P2)$  contains one  $\alpha$  and one  $\beta$ . During the roll-back process, any  $\gamma$  expression collects more  $\alpha, \beta$  terms. However, the structure  $\dots; \alpha; \dots; \gamma; \dots; \beta; \dots; \gamma; \dots$  is maintained throughout the process.

**Definition 3.2.** A roll-back step is a step where the time division axiom is applied backwards to reduce sub-programs of the form  $\langle S_i; \gamma \rangle$  or  $\langle \gamma; S_i \rangle$  to  $\gamma$ :

$$\begin{array}{c} \overbrace{\alpha_x; (\alpha_y \parallel \beta_z)}^\gamma \xrightarrow{r^*} \overbrace{(\alpha_x; \alpha_y) \parallel \beta_z}^\gamma \\ \overbrace{\beta_x; (\alpha_y \parallel \beta_z)}^\gamma \xrightarrow{r^*} \overbrace{\alpha_y \parallel (\beta_x; \beta_z)}^\gamma \\ \overbrace{(\alpha_y \parallel \beta_z); \alpha_x}^\gamma \xrightarrow{r^*} \overbrace{(\alpha_y; \alpha_x) \parallel \beta_z}^\gamma \\ \overbrace{(\alpha_y \parallel \beta_z); \beta_x}^\gamma \xrightarrow{r^*} \overbrace{\alpha_y \parallel (\beta_z; \beta_x)}^\gamma \\ \overbrace{(\alpha_x \parallel \beta_x); (\alpha_y \parallel \beta_y)}^\gamma \xrightarrow{r^*} \overbrace{(\alpha_x; \alpha_y) \parallel (\beta_x; \beta_y)}^\gamma \end{array}$$

**Lemma 3.1.**  $D(P1 \parallel P2)$  contains at least one  $S_i$  in a  $\gamma$  form.

*Proof.*  $D(P1 \parallel P2)$  is a time diagram and the second condition of Def. 2.3 implies that there exists  $e_1 \in P1, e_2 \in P2$  such that  $e_1, e_2 \in S_i$ . Clearly this  $S_i$  is in  $\gamma$  form.  $\square$

**Definition 3.3.** The roll-back process consists of repeating applications of the roll-back step on  $D(P1 \parallel P2)$  until no further steps are possible.

**Lemma 3.2.** The roll-back process reduces  $D(P1 \parallel P2)$  into a single  $\gamma$  form  $(D(P1 \parallel P2) \xrightarrow{r^*} \gamma)$ .

*Proof.* Lemma 3.1 yields that there is at least one  $\gamma$  expression in  $D(P1 \parallel P2)$  which we can use in the roll-back process. Parentheses can be ignored while performing the roll-back process. Initially  $D(R)$  is an expression with full associativity and commutativity (see Def. 2.5), hence parentheses can be placed in any desired order. Now every application of the roll-back process maintains an overall structure of  $;E$  and hence parentheses can be further ignored. Note that every application of the roll-back step increases the overall length of the sum of gamma sub programs by at least one. Therefore this reproduction system terminates in a program of the form  $\gamma$ .  $\square$

So far we have found a derivation (the roll-back process) which changes  $D(P1 \parallel P2)$  to a  $\gamma$  form program. It still remains to be shown that this  $\gamma$  form program consists of the time diagrams of  $P1$  and  $P2$  ( $D(P1 \parallel P2) \xrightarrow{\tau^*} \gamma = D(P1) \parallel D(P2)$ ).

**Lemma 3.3.** Let  $\gamma_i = (\alpha_1; \dots; \alpha_n) \parallel (\beta_1; \dots; \beta_m)$  be the outcome of the roll-back process of  $D(P1 \parallel P2)$  then  $(\alpha_1; \dots; \alpha_n) \in T(P1)$  and the same for  $(\beta_1; \dots; \beta_m)$ .

*Proof.* The proof claim uses a graph representation of programs, where the nodes are the atomic instructions and an edge corresponds to the partial relation *before*. In the following, a program and its graph representation will have the same denotation. Let a “mixed-edge” in  $D(P1 \parallel P2)$  be an edge between a vertex in  $P1$  and a vertex in  $P2$ . In Lemma 3.4 it is shown that by removing all mixed-edges from  $D(P1 \parallel P2)$  we obtain a separate time diagram for  $P1$  and a separate time diagram for  $P2$  ( $D(P1 \parallel P2) \xrightarrow{del.mixed.adj.} D(P1) \parallel D(P2)$ ). Now Lemmas 3.5 and 3.6 show that the roll-back process does exactly that (i.e., removes *all* mixed-edges and *no* other edge). Hence the claim follows.  $\square$

**Lemma 3.4.** Let  $H$  be a projection graph of  $D(P1 \parallel P2)$  onto  $P1$  (wherein the vertices belong to  $P1$  and an edge  $(a, b) \in H$  iff  $a, b \in P1$ ) then  $H \in T(P1)$ .

*Proof.* Let  $S_1; \dots; S_k$  denote the states of  $D(P1 \parallel P2)$ . For each  $S_i$  let  $z_i$  denote the set of vertices in  $S_i$  that belongs to  $P2$ . Clearly  $H$  contains all atomic instructions of  $P1$ . If  $s_i = S_i \setminus z_i$ , then it is sufficient to show that the non empty  $s_i$ 's are states of  $P1$ . ( $s_1; \dots; s_k \in T(P1)$ ). Note that if  $P1$  is not empty there is at least one  $s_i$  which is not empty. Let  $a, b \in P1$  be such that  $a$  is before  $b$  in  $D(P1 \parallel P2)$ , then using the third condition of the time diagram there exists  $i, j$  where  $i < j$  such that  $a \in S_i \wedge b \in S_j$ . Since the projection process does not remove  $a, b$  or the edge between them,  $a \in s_i$  and  $b \in s_j$ . Hence, regarding  $s_1; \dots; s_k$ , the third condition of Def. 2.3 is met.

W.o.l.g. the second condition of Def. 2.3 yields that  $\forall (E_a \parallel E_b) \in P1$  there exists  $e_a \in E_a, e_b \in E_b$  such that  $e_a, e_b \in S_i$ . Thus  $e_a, e_b \in s_i$  and the second condition is also valid for  $H$ .  $\square$

**Lemma 3.5.** Every step in the roll-back process removes mixed edges from  $D(P1 \parallel P2)$  and *only* mixed edges.

*Proof.* Immediately follows from the observation that in every case of the roll-back step only mixed edges are removed. Consider for example:

$$\overbrace{(\alpha_x \parallel \beta_x)}^{\gamma}; \overbrace{(\alpha_y \parallel \beta_y)}^{\gamma} \xrightarrow{r^*} \overbrace{(\alpha_x; \alpha_y)}^{\gamma} \parallel \overbrace{(\beta_x; \beta_y)}^{\gamma}$$

Here only the mixed edges between  $\alpha_x$  and  $\beta_y, \beta_x$  and  $\alpha_y$  are removed.  $\square$

**Lemma 3.6.** At the end of the roll-back process all mixed edges are removed.

*Proof.* All mixed-edges result from programs of the form  $E1; E2$  (see Def. 2.3). The final result of the roll-back process is a program in the form  $\gamma = (\alpha_1; \dots; \alpha_n) \parallel (\beta_1; \dots; \beta_n)$ . Therefore there are no mixed edges in the final result of the roll-back process.  $\square$

### 3.2. Proving that the Maximal $\xrightarrow{f^*}$ Yields Only Time Diagrams

**Theorem 3.3.** Every member of  $R^*$  is in normal form, and represents a time diagram of  $R$  ( $R^* \subset T(R)$ ).

The proof has two stages. First it is shown that every final derivation  $R \xrightarrow{f^*} R'$  must terminate in a normal form program (Lemma 3.7). The structure of the normal form program is then used to show that  $R'$  satisfies the three conditions of the time-diagram definition (Def. 2.3).

**Definition 3.4.** Let  $m(R) = \sum_{(X \parallel Y) \in R} \# \{';' \text{ in } (X \parallel Y)\}$  be the sum of ';' in all the sub expressions of the form  $(X \parallel Y)$ .

**Lemma 3.7.** For the system defined by  $\xrightarrow{f^*}$ ,  $m(R)$  is a descending function, i.e.,  $m(R) > m(P)$  where  $R \xrightarrow{f^*} P$ . Moreover,  $m(R) = 0$  iff  $R$  is in normal form. Therefore any derivation  $R \xrightarrow{f^*} P$  terminates in a normal form.

*Proof.* Let  $R'$  denote a program obtained from  $R$  by applying the time division axiom on  $R$  ( $R \xrightarrow{f'} R'$ ), and let  $\#R$  denote the number of ';'s in  $R$ . The proof shows that  $m(R') < m(R)$  for all cases of applying the axiom:

**Case**  $(P1; P2) \parallel P3 \xrightarrow{t'} P1; (P2 \parallel P3)$ : Evaluating  $m(R)$  yields:

$$\begin{aligned} m((P1; P2) \parallel P3) &= \#(P1; P2) + \#P3 + m(P1; P2) + m(P3) \\ &= \#P1 + \#P2 + 1 + \#P3 + m(P1) + m(P2) + m(P3) \\ &> \#P2 + \#P3 + m(P1) + m(P2) + m(P3) \\ &= m(P1) + m(P2 \parallel P3) = m(P1; (P2 \parallel P3)) \end{aligned}$$

**Case**  $(P1; P2) \parallel P3 \xrightarrow{t'} (P1 \parallel P3); P2$ : is symmetric to the previous case, hence follows in the same way.

**Case**  $(P1; P2) \parallel (P3; P4) \xrightarrow{t'} (P1; P3) \parallel (P2; P4)$ : Evaluating  $m(R)$  for this case yields:

$$\begin{aligned} m((P1; P2) \parallel (P3; P4)) &= \#(P1; P2) + \#(P3; P4) \\ &\quad + m(P1; P2) + m(P3; P4) \\ &= \#P1 + \#P2 + \#P3 + \#P4 + 2 \\ &\quad + m(P1) + m(P2) + m(P3) + m(P4) \\ &> \#P1 + \#P2 + \#P3 + \#P4 \\ &\quad + m(P1) + m(P2) + m(P3) + m(P4) \\ &= m(P1 \parallel P3) + m(P2 \parallel P4) \\ &= m((P1 \parallel P3); (P2 \parallel P4)) \end{aligned}$$

Clearly  $m(R) = 0$  iff  $R$  is in normal form, since all ' $\parallel$ ' operate between atomic instructions only. In addition, if  $m(R) > 0$  then there exists at least one sub expression  $X \parallel Y$  for which either  $\#X > 0$  or  $\#Y > 0$ , and  $\xrightarrow{t'}$  can be applied once more. Hence, since when  $m(R) > 0$ , one can still apply  $R \xrightarrow{t'} R'$  and  $m(R')$  decreases, the derivation must terminate in  $m(R') = 0$ , i.e., with a normal form.  $\square$

**Lemma 3.8.** Let  $R'$  be a program in a normal form obtained by  $R \xrightarrow{f^*} R'$ , then  $R'$  is a time diagram of  $R$ .

*Proof.* Let:  $;$  <sub>$j$</sub>  be a mark of the  $j$ 'th ' $;$ ' in  $R$  and  $(X;$  <sub>$j$</sub>  $Y)$  denote its "surroundings." Lemma 3.7 yields that  $R'$  is in normal form, therefore  $R' = S_1; \dots; S_k$  where  $S_i = \parallel E$ . We will show that  $R'$  satisfies the time diagram conditions of Def. 2.3. Clearly each  $S_i$  is not empty. Now two properties are preserved in every application of the time division axiom:

*Forward Preservation.* If  $e_1$  is *before*  $e_2$  in  $R$ , then  $e_1$  is *before*  $e_2$  in  $P$  where  $R \xrightarrow{\ell'} P$ .

*Parallel Preservation.* Let  $(X \parallel Y) \in P$  where  $R \xrightarrow{\ell'} P$ , then there is  $(X_l \parallel Y_r) \in R$  such that  $X_l \subset X$  and  $Y_r \subset Y$  and both  $X_l, Y_r$  are not empty.

Let us assume that the forward preservation property holds for every application of  $\xrightarrow{\ell'}$ . Then if  $e_1$  is *before*  $e_2$  in  $R$ , then  $e_1$  is *before*  $e_2$  in  $R'$  where  $R \xrightarrow{f^*} R'$ . However,  $R' = S_1; \dots; S_k$ ,  $S_i = \parallel E$  thus,  $e_1$  *before*  $e_2 \in R$  implies that  $e_2 \in S_j \wedge e_1 \in S_i$  where  $j < i$ , and the third condition of Def. 2.3 holds.

Let  $(E_a \parallel E_b) \in R$  and assume that the parallel preservation property holds. Then by induction on the derivation  $\xrightarrow{f^*}$ , there exists  $E'_a \in E_a$ ,  $E'_b \in E_b$  such that  $(E'_a \parallel E'_b) \in R'$ .  $R'$  is in normal form and every  $\parallel E \in R'$  fits to some  $S_i$ , hence  $(E'_a \parallel E'_b) \in S_i$  and the second condition holds.

It remains to be shown that the forward and the parallel preservation properties are valid: For the case of  $(A; B) \parallel (C; D) \xrightarrow{\ell'} (A \parallel C); (B \parallel D)$ , the forward preservation holds since after the derivation still both  $A$  is *before*  $B$  and  $C$  is *before*  $D$ . For the parallel preservation, if  $(X \parallel Y)$  belongs to either  $A, B, C$ , or  $D$  then the property trivially holds. Otherwise  $X = (A; B)$  and  $Y = (C; D)$  and the choice  $X_l = A$  and  $Y_r = C$  satisfies the parallel preservation property. In a similar way both properties are valid for the two other cases of applying the time division axiom, i.e.,  $A \parallel (B; C) \xrightarrow{\ell'} (A \parallel B); C$  and  $A \parallel (B; C) \xrightarrow{\ell'} B;_j (A \parallel C)$  both satisfy the properties.  $\square$

#### 4. SERIALIZATION AND SELF-SIMULATION IN PARALLEL MACHINES

The main result of the previous section is the notion of equivalence between an axiom based execution (see Def. 2.5) and execution based on the relation order induced by the conditions of Def. 2.3. This equivalence lies at the core of a formal understanding of parallel execution or time models. It actually defines a class of parallel machines (discrete machines) for which this equivalence is true. In this section we further pursue this equivalence by introducing new axioms, and verify their counterpart order relation conditions. Adding new axioms restricts the class of discrete parallel machines and forms new classes. Two additional classes are of interest and form a natural classification of parallel machines:

*V1: Fully serializeable execution class-* All discrete machines such that any parallel execution is equivalent to any sequential execution of the same program.

*V2: Partially serializeable execution class-* All discrete machines such that

any parallel execution is equivalent to some order of sequential execution but not to all possible orders.

Note that both  $V1$  and  $V2$  are not equivalent to the interleaving time model. They still include a requirement for friction, which is expressed by adjacency of instructions in consecutive states rather than by true concurrent execution (see exact definitions next).

#### 4.1. Axioms versus Time Condition of the V1 Class

In order to construct a twofold structure for  $V1$ , i.e., axioms versus time diagram conditions, we use the following definitions. The axioms for  $V1$  are the three original ones plus a new axiom (called “the full serialization axiom” (fs)).

**Definition 4.1.** The fs-axiom is a *one direction axiom*, indicating that for any two atomic instructions  $a, b$ :

$$a \parallel b \Rightarrow a; b \wedge a \parallel b \Rightarrow b; a$$

The new conditions for time diagrams are as follow:

**Definition 4.2.** A time diagram  $D^{V1}(R)$  for the execution of a program  $R$  by a machine in  $V1$  is a division of the atomic instructions of  $R$  into steps  $S_1, \dots, S_k$  such that:

1. Each  $S_i$  contains one instruction.
2. If  $e_a$  is “before”  $e_b$  in  $R$  then there are  $j < i$  such that  $e_a \in S_j$  and  $e_b \in S_i$ .
3.  $\forall (E_a \parallel E_b) \in R$  there exists  $e_a \in E_a, e_b \in E_b$  such that  $e_a; e_b \in D^{V1}(R)$  or  $e_b; e_a \in D(R)$ .

Intuitively, these conditions allow all possible arrangements of the instructions which are not in *before* relation to one another. Moreover the parallel friction condition is transformed to a sequential friction, thus maintaining the original interpretation of the ‘ $\parallel$ ’ operation.

**Definition 4.3.** Let

$R \xrightarrow{f^*} R'$  be a nonempty derivation of  $R$  using only the  $V1$  axiom until  $R'$  can not be reduced any further.

$R \xrightarrow{f^*} R'$  be a nonempty derivation of  $R$  using the usual axioms until  $R'$  is in normal form, Theorem 3.3.

$R \xrightarrow{(f+s)^*} R'$  be a final derivation of  $R$  using the fs-axiom plus the usual ones, until no further application is possible.



$R^{V1*}$  be the set of all programs resulting from  $\xrightarrow{(f+s)^*}$  which can not be further reduced.

$T^{V1}(R)$  the set of all legal time diagrams of  $R$  satisfying the time conditions of Def. 4.2.

In the following we will identify the program  $R = e_1; \dots; e_n$  with the time diagram  $S_i = e_i$ .

**Theorem 4.1.** Under the above definitions  $R^{V1*} = T^{V1}(R)$ .

*Proof.* The first direction shows that  $R^{V1*} \subset T^{V1}(R)$ . Let  $P \in R^{V1*}$ , by Lemma 4.1  $P = e_1; \dots; e_n$ . Now set  $S_i = e_i$ , it remains only to verify that  $P$  satisfies the conditions of Def. 4.2. Now, if  $e_i$  before  $e_j$  in  $R$  then  $e_i$  before  $e_j$  in  $P$ . This can be shown to be true, using a simple induction argument on the derivation  $\xrightarrow{(f+s)^*}$  such that if  $e_a$  is before  $e_b$  then  $e_a$  is still before  $e_b$  after any application of the  $V1$ -axioms.

Let  $R \xrightarrow{f} R'$  denote one application of the regular axioms (Def. 2.5). If  $(E_a \parallel E_b) \in R$  then there are non empty  $E_{a'} \in E_a$  and  $E_{b'} \in E_b$  such that  $(E_{a'} \parallel E_{b'}) \in R'$ . This can be easily verified by checking all possible cases of  $\xrightarrow{f}$ . Clearly every ' $\parallel$ ' which is transformed to ' $;$ ' by the  $fs$ -axiom creates a sequential friction between some  $(E_a \parallel E_b) \in R$ . Since there are no ' $\parallel$ ' in  $P \in R^{V1*}$  all  $(E_a \parallel E_b) \in R$  have a sequential friction in  $P$ , and the conditions of Def. 4.2 hold and  $R^{V1*} \subset T^{V1}$ .

The second direction uses the following argument: according to Lemma 4.2, for a given  $D \in T^{V1}(R)$ , one can find  $P \in T(R)$  such that there is a derivation  $P \xrightarrow{(f+s)^*} D$ . According to Theorem 3.2 there is a  $R \xrightarrow{f^*} P$ , hence there is a  $R \xrightarrow{(f+s)^*} D$  or  $D \in R^{V1*}$ .  $\square$

The replacement process (to be described next) actually shows that a final derivation in  $V1$  can be always divided into two phases: first a regular time diagram is obtained, then using the  $V1$ -axiom, it is transformed into the final form:

**Corollary 4.1.** Any mixed derivation which includes  $\xrightarrow{f^*}$  and the  $fs$ -axiom is equivalent to first applying  $\xrightarrow{f^*}$  and then applying  $\xrightarrow{(f+s)^*}$  on the  $\parallel E$  left in the result  $\xrightarrow{(f+s)^*} = \xrightarrow{f^*} \xrightarrow{(f+s)^*}$ .

**Lemma 4.1.** If  $P \in R^{V1*}$  then  $P$  is in the form  $P = e_1; \dots; e_n$ .

*Proof.* By negation, assume that  $P$  contains at least one sub expression of the form  $(X \parallel Y)$ . Three cases are possible:

- $X, Y$  are atomic instructions, hence the  $fs$ -axiom can be applied.
- $X$  or  $Y$  are non-atomic programs which do not contain a ' $;$ '; then again the  $fs$ -axiom can be applied.

- Either  $X$  or  $Y$  contains a ';', hence the original axioms can be further applied.

If the axioms can be further applied, then  $P \notin R^{V1*}$ , which is a contradiction.  $\square$

**Lemma 4.2.** For any  $D = e_1; \dots; e_n \in T^{V1}(R)$  there is a ';' to  $\parallel$  replacement processes  $P = \text{replacement}(D)$  such that  $P \in T(R)$ . Moreover, there is a derivation to the original time diagram  $P \xrightarrow{(f+s)^*} D$ .

*Proof.* Define a replacement process that yields  $S_1; \dots; S_k$  which satisfies the conditions of Def. 2.3. The replacement process produces  $S_i$  by replacing adjacent ';'s to  $\parallel$ s. Hence by Theorem 3.2 this defines  $P = S_1; \dots; S_k$  where  $S_j = e_{i_1} \parallel \dots \parallel e_{i_j}$  and  $P \in T(R)$ .

The replacement process is described in Fig. 3.

$SS$  is a legal time diagram of  $R$ , since it preserves the conditions of Def. 2.3, as follows:

- Every  $S_j \in SS$  is not empty because it contains at least one  $e_i$ .
- According to Def. 4.2  $\forall (E_a \parallel E_b) \in R$  there exists  $e_a \in E_a, e_b \in E_b$  such that  $e_a; e_b \in D(R)$  or  $e_b; e_a \in D(R)$ . Clearly  $e_a$  is not before  $e_b$  and the replacement process will replace  $e_a; e_b$  by  $e_a \parallel e_b$  thus pursuing the friction condition of Def. 2.3.
- In the replacement process, a new state starts with an instruction  $e_i$  which has some instruction  $e_j$  before  $e_i$  where  $e_j$  is in the current state (see  $SS$  in Fig. 4). If  $e_j$  before  $e_i$  and  $e_j$  belongs to a previous state there is no need to start a new state since  $e_i$  is already separated from  $e_j$  by a ';'. Hence the third condition of Def. 2.3 is met.

```

INPUT  D = e1; ...; en ∈ TV1(R) and R;
OUTPUT SS = S1; ...; Sk ∈ T(R);
S' = e1; /* current state */
SS = ∅; /* list of all states */
FOR i = 2 ... n DO {
  IF (∃ ej ∈ S ∧ ej before ei) THEN {
    SS = SS + S'; /* add the new state */
    S' = {ei}; /* start a new state */
  } ELSE S' = S' + ei; /* replace ';' by a '||' */
}
SS = SS + S'; /* add the last state */

```

Fig. 3. Replacement process transforming  $D^{V1}(R)$  to  $D(R)$ .

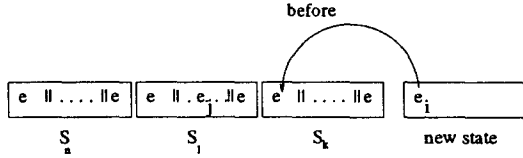


Fig. 4. Creating new states in the replacement process.

Lemma 4.3 completes the proof by showing that there is a derivation  $P \xrightarrow{(f+s)^*} D$  which re-replaces every  $\parallel$  back to a  $';$ .  $\square$

**Lemma 4.3.** For every  $;E = e_1; \dots; e_k \in D^{V1}(R)$  there is a derivation  $\parallel E \xrightarrow{(f+s)^*} ;E$  such that  $\parallel E = e_1 \parallel \dots \parallel e_k$  (in fact, to any permutation of  $\langle e_1; \dots; e_k \rangle$ ).

*Proof.* By induction on the length of  $\parallel E(k)$ :

For  $k = 1$ , the claim trivially holds, also by using the fs-axiom it holds for  $k = 2$ .

For  $k > 2$ , assume that  $e_1 \parallel \dots \parallel e_k \xrightarrow{(f+s)^*} e_1; \dots; e_k$  hence:

$$\begin{aligned}
 e_1 \parallel \dots \parallel e_{k-1} \parallel e_k \parallel e_{k+1} &\xrightarrow{(f+s)^*} ((e_1; \dots; e_{k-1}); e_k) \parallel e_{k+1} \\
 &\xrightarrow{f^*} ((e_1; \dots; e_{k-1}); (e_k \parallel e_{k+1})) \\
 &\xrightarrow{fs-ax} ((e_1; \dots; e_{k-1}); e_k; e_{k+1}) \\
 &= e_1; \dots; e_{k-1}; e_k; e_{k+1} \quad \square
 \end{aligned}$$

Note that changing parentheses in  $\parallel e_i$  and  $;E$  expressions is a valid step according to Lemma 2.1.

### 4.2. Axioms versus Time Condition in the V2 Class

As in  $V1$ , the axioms for  $V2$  are the original three plus a new axiom (called “the partial serialization axiom”):

**Definition 4.4.** The ps-axiom *differs* from one program to another, indicating that for any two atomic instructions  $a, b \in R$  one of the following is true:

$$\text{either } (a \parallel b \Rightarrow a; b \wedge \neg(a \parallel b \Rightarrow b; a)) \text{ or } (a \parallel b \Rightarrow b; a \wedge \neg(a \parallel b \Rightarrow a; b))$$

Note that the ps-axiom is a list which describes “directions” in transforming every expression of the form  $e_i \parallel e_j$  to  $e_i; e_j$  (justifying the notation

ps-axiom( $R$ ). This definition is reflected in the new conditions for time diagrams in  $V2$ :

**Definition 4.5.** A time diagram  $D^{V2}(R)$  for the execution of a program  $R$  by a machine in  $V2$  is a division of the atomic instructions of  $R$  into steps  $S_1, \dots, S_k$  such that:

1. Each  $S_i$ , contains one instruction.
2.  $\forall (E_a \parallel E_b) \in R$  there exists  $e_a \in E_a, e_b \in E_b$  such that  $e_a; e_b \in D(R)$  or  $e_b; e_a \in D^{V2}(R)$ .
3. If  $e_a$  is "before"  $e_b$  in  $R$  then there are  $i$  and  $j$  such that  $i < j$  and  $e_a \in S_j$  and  $e_b \in S_i$ .
4. For all pairs of atomic instructions, there is a pre-defined list  $LV2(R) = \langle \dots \langle e_i; e_j \rangle \dots \rangle$  which indicates a potential "before" relation. In addition, there should be a matching relation between some time diagram  $D(R) \in V$  and a candidate  $P$  for a time diagram in  $V2$ .  $P \in T^{V2}$  if the identity matching between instructions of  $D(R)$  and the instructions of  $P$  preserves the order on the states of  $D(R)$ . I.e.  $P$  can be constructed by inducing order on the instructions of the states of  $D(R)$ . Hence, the third condition for  $P \in T^{V2}(R)$  states that for all  $e_i \in R$ :

- Let  $S(e_i) = e_1 \dots e_n$  be the state in a  $D(R)$  that matches  $P$ , such that  $e_i \in S(e_i)$ .
- There is at least one instruction  $e_j \in S(e_i)$  such that either  $S(e_i) = e_i$  or:

$$\langle e_i; e_j \rangle \in LV2(R) \Rightarrow e_i \text{ before } e_j \text{ in } P$$

$$\langle e_j; e_i \rangle \in LV2(R) \Rightarrow e_j \text{ before } e_i \text{ in } P$$

Intuitively, the last condition excludes all the time diagrams in  $T^{V1}(R)$  which violate all the directions in  $LV2(R)$ . For instance, choose the ps-axiom to match  $LV2$ , thus showing that there exist derivations which violate some, but not all of the directions. In particular, let  $R = a \parallel b \parallel c$  and  $LV2(R) = \langle \langle a; b \rangle \langle a; c \rangle \langle b; c \rangle \rangle$ , then using the  $V2$ -axioms it is possible to derive:

$$a \parallel b \parallel c \rightarrow a \parallel (b; c) \rightarrow b; (a \parallel c) \rightarrow b; a; c \Rightarrow \text{contradiction to } \langle a; b \rangle \in LV2(R)$$

$$a \parallel b \parallel c \rightarrow c \parallel (a; b) \rightarrow (a \parallel c); b \rightarrow a; c; b \Rightarrow \text{acontradiction to } \langle b; c \rangle \in LV2(R)$$

However, it is not possible to obtain  $a \parallel b \parallel c \rightarrow c; b; a$ , a time diagram which violates all the directions in  $LV2$ .

The main equivalence theorem for  $V2$  can be stated and proved. The

following notations:  $\xrightarrow{(f+ps)^*}$ ,  $R^{V2*}$ ,  $V^{V2}(R)$  and  $T^{V2}(R)$  are used in the same way as in Def. 4.3.

**Theorem 4.2.** Under the above definitions if  $LV2(R) = ps\text{-axiom}(R)$  (i.e., the directions in  $LV2(R)$  are the same as those given in the ps-axiom list) then  $R^{V2*} = T^{V2}(R)$ .

*Proof.* The proof follows the same path as that of Theorem 4.1. Lema 4.1 is also valid for  $V2$  (just replace  $V1$  by  $V2$  and fs-axiom by ps-axiom). The first step is to prove that  $R^{V2*} \subset T^{V2}(R)$ . Let  $P \in R^{V2*}$ , according to Lemma 4.1  $P = e_1; \dots; e_n$ . Set  $S_i = e_i$ , it remains to verify that  $P$  satisfies the conditions of Def. 4.5. As in the  $V1$  case, an induction on the axioms can be used to show that the second and third conditions of Def. 4.5 are preserved by any axiom application.

The fourth condition is also preserved through the following argument: Any derivation in  $V2$  is also a derivation in  $V1$ , and therefore (using cf. 4.1) can be broken into two stages  $R \xrightarrow{(f+ps)^*} P \equiv R \xrightarrow{f^*} D(R) \xrightarrow{(f+ps)^*} P$ . Clearly  $D(R)$  matches  $P$  in the sense of condition 4.5, therefore requiring us to show that the third condition (of Def. 4.5) is preserved in every  $e_i \in R$  and in every state  $S(e_i) \in D(R)$ .

If  $S(e_i) = e_i$  the claim holds. Otherwise, every application of the ps-axiom  $e_i \| e_b \xrightarrow{ps} e_i; e_b$  satisfies the third condition for the pair  $\langle e_i; e_b \rangle \in LV2(R)$ . This last claim can be proven by an induction argument showing that no further application of the axioms can reverse the order between  $e_i$  and  $e_b$ . Thus it suffices to prove that the ps-axiom was applied on every  $e_k \in \|E \in D(R)$ .

By negation, assume that in  $\|E \in D(R)$  there is an instruction  $e_k$  on which the ps-axiom was not applied. Since  $e_k$  is separated by a  $\|$  from the rest of the instructions in  $\|E$  and no ps-axiom was applied on  $e_k$ , then this  $\|$  should have “survived” and continued separating  $e_k$  in all applications of the regular axioms (Def. 2.5). This claim can be easily verified by induction on the axiom applications, e.g.,  $(A; B) \| e_k \rightarrow (A \| e_k); B$ , showing that the  $\|$  still separates between  $e_k$  and  $A$ . This contradicts the fact that  $R'$  should not contain any  $\|$ s according to Lemma 4.1. Therefore  $P \in T^{V1}(R)$ .

The other direction of the proof (to show that  $T^{V2}(R) \subset R^{V2*}$ ) follows the same structure as that of the proof for  $V1$ . The replacement process of Lemma 4.2 remains the same as in  $V2$ , since it uses only the “before” relations in  $R$ . In order to prove Lemma 4.3 for  $\xrightarrow{(f+ps)^*}$ , it is sufficient to re-prove Lemma 4.3 as follows:

**Lemma 4.4.** For every  $\|E = (e_1 \| \dots \| e_k) \in D(R)$  such that  $D(R)$  matches (in the sense of Def. 4.5)  $D^{V2}(R)$  there is a derivation  $\|E \xrightarrow{(f+ps)^*} ;E$  such that  $;E = e_1; \dots; e_k \in D^{V2}(R)$ .

*Proof.* By induction on  $k$  the length of  $\|E$ :

For  $k = 1$ - the claim trivially holds.

For  $k = 2$ - the ps-axiom hold as well.

For  $k > 2$ - assume that  $e_1 \| \dots \| e_k \xrightarrow{(f+ps)^*} e_1; \dots; e_k$ . Let  $\|e = (e_1 \| \dots \| e_j \| \dots \| e_k) \| e_{k+1} \in D(R)$ . The fourth condition of Def. 4.5 guarantees that there is some  $e_j \in (e_1 \| \dots \| e_k)$  such that  $e_j$  is before  $e_{k+1}$  in  $(e_1; \dots; e_j; \dots; e_k; e_{k+1}) \in D^{V^2}(R)$ , hence:

$$\begin{aligned} (e_1 \| \dots \| e_j \| \dots \| e_k) \| e_{k+1} &= (e_1 \| \dots \| e_{j-1} \| e_{j+1} \| \dots \| e_k) \| (e_j \| e_{k+1}) \\ &\xrightarrow{ps-ax: (e_j \| e_k)} (e_1 \| \dots \| e_{j-1} \| e_{j+1} \| \dots \| e_k) \| (e_j; e_{k+1}) \\ &\xrightarrow{f^*} ((e_1 \| \dots \| e_{j-1} \| e_{j+1} \| \dots \| e_k) \| e_j); e_{k+1} \\ &\xrightarrow{\text{induction}} ((e_1; \dots; e_{j-1}; e_j; e_{j+1}; \dots; e_k); e_{k+1}) \quad \square \end{aligned}$$

## 5. A CORRECTION NOTION FOR PARALLEL PROGRAMS

The proposed correction notion is built upon Th. 3.1, which states that the time diagrams of a given program  $T(R)$  can be derived using the axioms based derivations. This defines a parallel execution model which actually ignores, semantic knowledge regarding the execution, such as infinite loops, dead-locks, and forced termination. Thus the set of all possible time diagrams of a specific program  $R$  is actually a subset of  $T(R)$ , containing all time diagrams which do not violate the semantics of  $R$ . For example, consider the following parallel program  $R$  in  $C$  style:

$$(x = 0; (x = 1; \| (\text{while}(x == 0); \text{print}(x))))$$

(Note that as explained in the introduction, a complex code segment (such as ' $\text{while}(x == 0);$ ') can be regarded as an atomic instruction.) Clearly, ' $\text{print}(x)$ ' and ' $x = 1$ ' can not be executed at the same state, even though it is allowed by the  $V$  time model. Similarly, ' $x = 1$ ' and ' $\text{while}(x == 0)$ ' must be executed in the same state, forming a true concurrency condition, which is not required by  $V$ .

The notion for correctness is based on the ability to express the semantics of a parallel execution of a program  $R$  in a time model  $V$ , as a restriction of  $V$ , to match  $R$ 's semantics. Only the part of  $T(R)$  which matches the semantics of  $R$  (left unspecified) should be allowed by the chosen  $Ct$  conditions. The choice of  $Ct$  is left undefined, making  $Ct$  an open slot for adding semantic knowledge about  $R$ . Once  $Ct$  is chosen, a suitable  $Cx$  must be devised such that  $\langle R, Cx, Ct \rangle$  is a time model for  $R$ .

Such a notion of correctness avoids the need for specifying a precise semantics for  $R$ , using formalisms like petri-nets, ccs and logic formulas.<sup>(16)</sup> This notion is therefore correct up to the ability to express semantics by  $Ct$  conditions. If the user has failed to do so (i.e., his or hers choice of  $Ct$  contradicts a possible formal semantics), a correctness proof might be false. The advantage of such a notion stems from its ability to supply proofs against all possible schedulings or executions, without computing all of them.

A time diagram of a program represents a history of some parallel execution. Thus all its states (except the last) should terminate, making the time diagram consistent with the semantics (what ever it may be). The last state need not halt, since the execution may end in an infinite loop.

This intuition leads to the following definition:

**Definition 5.1.** For a given program  $R$  executed by a parallel machine  $M$ , which belongs to one of the classes  $V$ ,  $V1$ , or  $V2$ , let:

$Ct$ - be a finite set of conditions which restricts all time diagrams of  $R$ , such that:

1.  $T/Ct(R) \subseteq T(R)$ .
2. Let  $D(R) = S_1; \dots; S'_n \in T/Ct(R)$  then  $S_1; \dots; S'_{n-1}$  halts when executed by  $M$ .
3. Let  $D(R) = S'_1; \dots; S'_n \in T(R) - T/Ct(R)$ , then  $S'_1; \dots; S'_{n-1}$  when executed by  $M$  does not halt. All time diagrams which violate  $D(R) \in T(R) - T/Ct(R)$  "contradict any possible" execution of  $R$ .

Where  $T/Ct(R)$  denote the set of all time diagrams of  $R$  which preserve  $Ct$ .

$Cx$ - be a set of derivation rules, such that  $R/Cx^* \subseteq R^*$ , where  $R/Cx^*$  denotes the set of programs obtained by a final derivation which preserves  $Cx$ .

*Induction system* The triple  $\langle R, Cx, Ct \rangle$  is an induction system if  $T/Ct(R) = R/Cx^*$ .

*Correctness*  $R$  is correct in respect to a condition  $C$ , if there is an induction system  $\langle R, Cx, Ct \rangle$ , such that every  $D(R) \in T/Ct$  halts and satisfies  $C$ .

Once an induction system has been devised for  $R$ , it can be used to prove desired properties of  $R$ , e.g.:

- Assume that the initial program  $R$  satisfies some property  $C$ , and  $\xrightarrow{Cx}$  preserves this property, then so does  $T/Ct(R)$ .

- Assume that some time diagram  $D/C_t(R)$  satisfies some property, and  $\xrightarrow{C_x}$  preserves this property both backwards and forwards, then so does  $T/C_t(R)$ .

Note that finding  $C_x$  which generates all  $T/C_t(R)$  might be difficult, since  $C_x$  reflects “on-line” conditions while  $C_t$  characterizes the final result. However, if the program halts, then clearly there are some scheduling rules by which it was executed. Thus if the program is correct, then  $C_x$  exists.

The choice of  $C_t$  as the *open slot* rather than  $C_x$  is natural. Clearly it is easier to characterize a subset  $(T/C_t(R) \in T(R))$  by conditions than to devise a general rule for constructing this subset.

### 5.1. An Induction System for Parallel Loop Programs

This section presents an induction system for a special category of programs, namely *parallel loop programs* executed in the  $V$  time model. We are interested in a synchronous execution of these programs, i.e., the  $i$ th state in every time diagram contains all the  $i$ th instructions from every loop, thus all loops are actually executed synchronously. Note that the  $V$  time model is an asynchronous model and allows all possible interleavings of instructions from different loops. Thus we seek to find an induction system for parallel loop programs characterizing (via  $C_t$  and  $C_x$ ) the desired synchronous execution.

**Definition 5.2.** Let a loop of length  $l$  be a sequential sequence of  $l$  instructions. A parallel loop program  $R_k^l$  consists of  $k$  parallel loops:

$$R_k^l = (x_1^1; \dots; x_1^l) \parallel \dots \parallel (x_k^1; \dots; x_k^l)$$

**Definition 5.3.** The length of a program  $[R]$  is recursively defined as follows:

$$[R] = \begin{cases} 1 & \text{if } R \text{ is an atom} \\ [A] + [B] & \text{if } R = (A; B) \\ \max([A], [B]) & \text{if } R = (A \parallel B) \end{cases}$$

**Definition 5.4.** An  $S-J$  derivation  $\xrightarrow{s-j}$  is a “symmetric” application of the time derivation axiom such that:

$$((A; B) \parallel (C; D)) \xrightarrow{s-j} ((A \parallel C); (B \parallel D)) \quad \text{if } [A] = [C], [B] = [D]$$

The proposed induction system uses  $S-J$  as  $C_x$ , and its  $C_t$  will simply restrict all time diagrams to having  $l$  states, and containing the



regular conditions of Def. 2.3. In addition to the proof showing that  $\langle R'_k, S-J, [D(R'_k)] = l \rangle$  is an induction system, we show that there is only one possible time diagram in  $T/Ct$  satisfying synchronous execution of  $R'_k$ . Intuitively, the induction system proves that if a parallel execution deviates from  $S-J$  the result (any time diagram) will no longer be synchronous and will have more than  $l$  states. The difficulty, or the non-triviality of such a proof stems from the need to prove that any deviation from  $S-J$  will end by a non synchronous execution (i.e.,  $S-J$  is not only sufficient but necessary).

**Lemma 5.1.** If  $R'_k \xrightarrow{S-J^*} R'$  then  $[R'] = l$  and for every  $(A \parallel B) \in R'$  the following condition holds  $[(A \parallel B)] = [A] = [B]$ .

*Proof.* By definition  $[R'_k] = l$ , assume by induction that  $[R''] = l$ , where  $R'' \xrightarrow{S-J} R'$ . Hence there exists  $E'' = (A; B) \parallel (C; D) \in R''$  such that  $[A] = [C]$ ,  $[B] = [D]$  and  $E'' \xrightarrow{S-J} E' = ((A \parallel C); (B \parallel D))$ . Using the assumption  $[A] = [C]$  and  $[B] = [D]$  yields that

$$\begin{aligned} [E'] &= [((A \parallel C); (B \parallel D))] = \max([A], [C]) + \max([B], [D]) \\ &= [A] + [B] = [C] + [D] = \max([A] + [B], [C] + [D]) = [E''] \end{aligned}$$

Hence, by the induction hypothesis  $[R''] = [R'] = l$ .  $\square$

**Lemma 5.2.** Let  $G(R)$  denote the graph representation of a program  $R$ , such that there is a direct edge from  $a$  to  $b$  if  $a$  and  $b$  are atomic instructions of  $R$  and  $a$  is in "before" relation to  $b$ . Clearly  $G(R)$  is a directed acyclic graph. Let  $\mathcal{L}(R)$  be the set of all maximal paths in  $G(R)$ , i.e., there is a "last" node  $u$  in every path, such that there is no other node  $v$  satisfying  $u$  before  $v$ . Let  $L_0$  be the maximal length in  $\mathcal{L}$ , then  $[R] = L_0$  (i.e., the length of a program  $R$  is the length of the maximal path in  $G(R)$ ).

*Proof.* By induction of the structure of  $R$ :

$R = 1$ , then  $G(R)$  contains one node, and a maximal path of length one.

$R = (A; B)$ , then  $G(R)$  is formed by placing an edge between every node in  $A$  and  $B$ . Hence the longest path in  $\mathcal{L}(R)$  is the longest path in  $\mathcal{L}(A)$  joined by an edge to the longest path in  $\mathcal{L}(B)$ , and the claim follows.

$R = (A \parallel B)$ , then  $\mathcal{L}(R) = \mathcal{L}(A) \cup \mathcal{L}(B)$  and the claim follows.  $\square$

**Lemma 5.3.** If  $R \xrightarrow{f} R'$  then  $[R'] \geq [R]$ .

*Proof.* By verifying cases of possible derivations.

*Associativity or commutativity-* By definition does not change the length.

$E = ((A; B) \| (C; D)) \xrightarrow{f} E' = ((A \| C); (B \| D))$ , then

$$\begin{aligned} [E] &= \max([A] + [B], [C] + [D]) \\ &\leq \max([A], [C]) + \max([B], [D]) = [E'] \end{aligned}$$

*W.l.o.g.*  $E = ((A; B) \| C) \xrightarrow{f} E' = (A; (B \| C))$ , then

$$[E] = \max([A] + [B], [C]) \leq [A] + \max([B], [C]) = [E'] \quad \square$$

**Lemma 5.4.** If  $R'_k \xrightarrow{s-j^+} R'' \xrightarrow{f} R'$  and  $R'' \xrightarrow{f} R'$  not an  $S-J$  derivation, then  $[R'] > l$ .

*Proof.* By verifying cases of possible derivations.

$E'' = ((A; B) \| (C; D)) \xrightarrow{f} E' = ((A \| C); (B \| D))$ , then since  $\xrightarrow{f}$  violates the  $S-J$  condition, w.l.o.g.  $[A] > [C]$ , by Lemma 5.1  $[A] + [B] = [C] + [D]$ , hence  $[D] > [B]$ . Now

$$\begin{aligned} [E'] &= \max([A], [C]) + \max([B], [D]) \\ &> \max([A] + [B], [C] + [D]) = [E''] \end{aligned}$$

*W.l.o.g.*  $E'' = ((A; B) \| C) \xrightarrow{f} E' = (A; (B \| C))$ , then since by Lemma 5.1  $[A] + [B] = [C]$

$$[E'] = [A] + \max([B], [C]) > [A] + [B] = [E''] \quad \square$$

**Definition 5.5.** Let the “synchronous” normal form of  $R'_k$ , denoted by  $\Delta(R'_k)$  be the program:

$$\Delta(R'_k) = (x_1^1 \| \dots \| x_k^1); \dots; (x_1^l \| \dots \| x_k^l)$$

**Lemma 5.5.** All normal forms of  $D(R'_k)$  different from  $\Delta(R'_k)$  have lengths greater than  $[\Delta(R'_k)] = l$ .

*Proof.* By definition  $[\Delta(R'_k)] = l$ , by Lemma 5.3  $[D(R'_k)] \geq l$ , hence by Lemma 5.2 (length of the maximal path in  $G(R'_k)$ ) the number of states in  $D(R'_k) \geq l$ . Assume that  $D(R'_k) \neq \Delta(R'_k)$ ; yet,  $[D(R'_k)] = [\Delta(R'_k)]$ .  $G(R'_k)$  contains  $k$  distinct paths of length  $l$ . The time diagram conditions of Def. 2.3 employs that the  $j$ th node of a path should be placed in the  $j$ th state of  $D(R'_k)$ . Since there are exactly  $l$  states  $D(R'_k) = \Delta(R'_k)$ , a contradiction.  $\square$

**Lemma 5.6.** There is an  $S-J$  derivation such that  $R'_k \xrightarrow{s-j^*} \Delta(R'_k)$ .

*Proof.*  $\Delta(R_k^l)$  satisfies the conditions of Def. 2.3, hence  $\Delta(R_k^l) \in T(R_k^l)$ . Let  $R_k^l \xrightarrow{s-j+} R' \xrightarrow{f} R'' \xrightarrow{f^*} \Delta(R_k^l)$  where  $R' \xrightarrow{f} R''$  is the first derivation different from  $S-J$ . By Lemma 5.1  $[R'] = l$  and by Lemma 5.4  $[R''] > l$ , then by Lemma 5.3  $[\Delta(R_k^l)] > l$ , which contradicts Lemma 5.5.  $\square$

**Theorem 5.1.**  $T/ct(R_k^l) = R^{(s-j)*}(R_k^l) = \Delta(R_k^l)$ .

*Proof.* By Lemma 5.5  $T/ct(R_k^l) = \Delta(R_k^l)$ . By Lemma 5.6  $\Delta(R_k^l) \in R^{(s-j)*}$ . Using Lemma 5.5 yields that every  $D(R_k^l) \neq \Delta(R_k^l)$  has length  $[D(R_k^l)] > l$ . Finally, if  $R_k^l \xrightarrow{s-j^*} D(R_k^l)$  then by Lemma 5.1  $[D(R_k^l)] = l$ , resulting in a contradiction. Therefore  $D(R_k^l) \notin R^{(s-j)*}(R_k^l)$  and  $R^{(s-j)*}(R_k^l) = \Delta(R_k^l)$  as well.  $\square$

## 5.2. Verification of a Specific Program

The induction system for  $R_k^l$  can be used to prove correctness (as defined in Def. 5.1) of a specific parallel program, such as the program in Fig. 5. A common structure in parallel programming with shared memory is *flag* synchronization. In this type of programming several processes “wait” for a flag to be changed. The program spawns  $k+1$  processes all waiting for one activity to reset a flag, and all this is repeated  $2l$  times in a loop. Assume that the user wants to avoid re-spawning  $k+1$  activities. Thus, he needs to “nest” the outer loop inside the *spawn* statement. This problem is interesting in its own right; however, its solution leads to the complicated program of Fig. 5. This solution overcomes the problem of resetting the flag ( $flag = 0$ ) by implementing two counters (*counta*, *countb*) through which the 13 process can determine when it is safe to set and reset the flag. The *faa* instructions (*fetch and add*<sup>(17,18)</sup>) are used to decrement the counter in parallel. Note that a “naive” nesting of the outer loop will cause infinite loops, as it might be that the 13 processes will terminate long before the rest.

There are only a few methods for verifying asynchronous programs which use *f&aa*.<sup>(19)</sup> A proof based on constructing an induction system is naturally considered, since *flag()* is “correct” only when all possible orders of execution (scheduling) of *flag()* halt.

Let  $R_{flag} = (z; w)^l \parallel (x_1; y_1)^l \parallel \dots \parallel (x_k; y_k)^l$  be an abstraction of *flag()* such that  $z, w, x, y$  are mapped to statements as follows:  $z = 7; 8; 9$ ,  $w = 10; 11; 12$ ,  $x_i = 14; 15$  and  $y_i = 16; 17$  ( $i$  is the process id). We will also use the notation  $x_i^j$  to describe the  $j$ th iteration of  $x_i$  (sometimes referred to by  $x$ ).

The proof for  $R^{flag}$  correctness (according to Def. 5.1) includes: determining  $C_t^{flag}$ , fixing  $Cx$ , proving that  $\langle R^{flag}, C_t^{flag}, Cx \rangle$  is an induction

```

flag(k,1){
0- INT flag,counta,countb;
1- flag=0;
2- counta=k;
3- FOR ALL i = 0...k SPAWN PROCESS:
4- { INT n,j;
5-     FOR(n=0;n<1;n++){
6-         IF(i==13){
7-             flag = 1;
8-             countb = k;
9-             WHILE(counta > 0);
10-            counta = k;
11-            flag = 0;
12-            WHILE(countb > 0);
13-        }ELSE {
14-            WHILE(flag == 0);
15-            faa(&counta,-1);
16-            WHILE(flag == 1);
17-            faa(&countb,-1);
18-        }
19-    }
20- } EPAR
}

```

Fig. 5. "flag()" a program demonstrating flag synchronization between processes.

system, and showing that any time diagram that violates  $C_t$  will not halt (in a state different from the last one).

For every  $D/C_t^{flag}(R^{flag}) = S_1; \dots; S_n$ ,  $C_t^{flag}$  includes the following conditions:

$C_t^V$ - this condition determines the time model  $V$ ,  $V1$ ,  $V2$  to be used.

Note that after the abstraction,  $x$ ,  $y$ ,  $w$ ,  $z$  contains *busy waiting loops* with interdependencies, such that a true parallel execution model is needed.  $V$ , being the least restrictive of all three, is naturally considered. For example, the first state  $S_1 \in D/C_t(R_{flag})$  will not terminate if it contains a single  $x$ ,  $y$ ,  $z$  or  $w$  instruction (i.e., it will be "stacked" in its busy-waiting loop).

$Ct^z$ - for every  $z \in S_j, j < n$  there is a sequence of  $kx$  instructions in states  $S_{j-m} \dots S_j, m < k$ , which contains no  $y, w$  instructions.

Clearly each  $z$  can not terminate before its counter has been decreased to zero, which can happen only by executing  $kx$  instructions. A  $w$  executed between these  $k$  instructions will reset the counter back to  $k$ . A  $y$  executed between these 20 instructions will iterate forever since the flag must be set to 1 if the  $kx$ -instructions are to terminate. Let  $S^A, A = x, y, z, w$  denote a state containing an  $x, y, z$  or  $w$  instruction, respectively. Hence the set of states between  $S^z$  and  $S^x$  contains only  $x$  instructions. The dual condition for  $w, Ct^w$  is obtained by replacing  $z$  by  $w$  and  $x$  by  $y$  respectively.

$Ct^x$  indicates that every  $x \in S_j, j < n$  has some  $z \in S_q, q \leq j$  such that there is no  $y, w$  in these states ( $S_q \dots S_j$ ).

Each  $x$  can not terminate before *flag* has been set to 1, which can happen only by executing  $z$  instructions. A  $w$  executed between  $S_q$  and  $S_j$  will reset the *flag* back to 0. A  $y$  executed between  $S_q$  and  $S_j$ , will iterate forever since the flag must be set to 1 if the  $x$  instructions ought to terminate. The dual condition for  $y, Ct^y$  is obtained by replacing  $x$  by  $y$  and  $z$  by  $w$  respectively.

Note that these conditions are valid for all states except the last one. This follows from the interpretation of a time diagram as a history of parallel execution. Thus all states, except the last one  $S_n$ , should have terminated, and therefore can not contain infinite loops. The termination of the last state of every time diagram of  $R_{flag}$  is equivalent to proving that  $R_{flag}$  halts no matter what scheduling took place.

The proof is based on the following claim:

**Lemma 5.7.**  $T/Ct^{flag}(R^{flag}) = \Delta(R^{flag})$  and any time diagram of  $R_{flag}$  with more than  $2l$  states violates  $Ct$ , before the last state.

*Proof.* Let  $S^z \in D/Ct^{flag}$  denote a state containing  $z$  (same for  $S^x, S^y, S^w$ ), so that any time diagram of  $R^{flag}$  has the following form:

$$D/Ct^{flag} = \dots; S_1^z; \dots; S_1^w; \dots; S_2^z; \dots; S_2^w; \dots \dots \dots; S_l^z; \dots; S_l^w; \dots$$

Let  $pre(S_i^z)$  denote all states between  $S_i^z$  and  $S_{i-1}^w$  including  $S_i^z$  (and  $pre(S_j^w)$  respectively). Then according to  $Ct^z$ , for all  $S^z, pre(S^z)$  contains  $k$  instructions of type  $x$ , and  $pre(S^w)$  contains  $k$  instructions of type  $y$  except for the last  $S^w$  state. Since only  $k \cdot l$  instructions of type  $x$  are distributed evenly among all  $pre(S^z)$ , then all  $pre(S^w)$  do not contain  $x$  instructions. Thus, all  $pre(S^z)$  contain no  $y$  instructions either. Hence,  $pre(S_i^z) = x^j$ ;

$(z \parallel \underbrace{x \dots x}_{k-j} \parallel x)$ ; however,  $Ct^x$  requires all  $x \in x^j$  to be executed after or in

parallel to some  $z$ , so  $pre(S_i^z) = z \parallel \overbrace{x \parallel \dots \parallel x}^k$ . Similarly  $pre(S_i^w) = w \parallel \overbrace{y \parallel \dots \parallel y}^k$ ,  $i < l$  except the last state  $S_l^w$  which might violate this structure. Clearly, if  $S_l^w$  is not the last state, it has already terminated, and so  $pre(S_l^w)$  contains  $k$  instructions of type  $y$ . This plus the previous observation contradicts the assumption that  $S_l^w$  is not the last state, yielding that  $D/Ct^{flag}(R^{flag})$  can only be of the following form:

$$\begin{aligned}
 & S_1^z = z \parallel \overbrace{x \parallel \dots \parallel x}^k; S_1^w = w \parallel \overbrace{y \parallel \dots \parallel y}^k \parallel \overbrace{y \parallel y \parallel \dots \parallel y}^{f_1}; \\
 & \dots; \dots; \\
 & \dots; \dots; \\
 D/Ct^{flag}(R^{flag}) = & \\
 & S_{l-1}^z = z \parallel \overbrace{x \parallel \dots \parallel x}^k; S_{l-1}^w = w \parallel \overbrace{y \parallel \dots \parallel y}^k \parallel \overbrace{y \parallel y \parallel \dots \parallel y}^{f_{l-1}}; \\
 & S_l^z = z \parallel \overbrace{x \parallel \dots \parallel x}^k; S_l^w = w \parallel \overbrace{y \parallel \dots \parallel y}^j \parallel \overbrace{y \parallel y \parallel \dots \parallel y}^{f_l} \\
 & \text{such that } \sum_{i=1}^l f_i = k - j
 \end{aligned}$$

However, if  $f_i > 0$  for  $i < l$  then there are at least two  $y$  instructions parallel to one another which originally belonged to the same loop in  $(x, y)^l \in R^{flag}$ . This contradicts  $Ct^V$ , which requires all time diagrams to preserve the *before* relations. Finally we obtain that  $T/Ct^{flag}$  contains one time diagram of the form:

$$D/Ct^{flag}(R^{flag}) = z_1 \parallel \overbrace{x \parallel \dots \parallel x}^k; w_1 \parallel \overbrace{y \parallel \dots \parallel y}^k; \dots; z_l \parallel \overbrace{x \parallel \dots \parallel x}^k; w_l \parallel \overbrace{y \parallel \dots \parallel y}^k$$

with exactly  $2l$  states. If there are more than  $2l$  states and no state can contain more than  $k$  instructions of type  $x$  (or  $y$ ), then there are at least two states of type  $S^z, S^w$  that violate  $Ct^z$  or  $Ct^w$ . □

**Theorem 5.2.**  $R^{flag}$  is correct, in the sense of Def. 5.1.

*Proof.* Clearly  $R^{flag}$  is a parallel loop program such that  $R_{flag} = R_{k+1}^{2l}$ . Theorem 5.1 combined with Lemma 5.7 yield that  $T/Ct^{flag}(R^{flag}) = \Delta(R^{flag}) = R^{(S-J)*}(R^{flag})$ . Hence  $Ct^{flag}$  is equivalent to the general condition for synchronous execution such that  $[D(R^{flag})] = 2l$  and  $\langle R_{flag}, S - J, Ct^{flag} \rangle$  is an induction system. Moreover, by Lemma 5.5, any violation of  $S - J$  yields a time diagram with more than  $2l$  states, which by Lemma 5.7 violates  $Ct^{flag}$  is an inner state (a state different from the last one). Clearly, using  $Ct^{flag}$  definition, any violation of  $Ct^{flag}$  in an inner state will cause this

state to be in an infinite loop. However, if every state satisfies  $C_t^{flag}$  then every state halts and so does  $\Delta(R^{flag})$ . Thus all conditions of Def. 5.1 are fulfilled.  $\square$

## 6. CONCLUSIONS

In this paper we study a model for parallel execution of parallel programs. Parallel programs have been defined to be expressions for expressing partial order relations of atomic instructions. It contains explicit  $(X \parallel Y)$  or “incomparable” relation (indicating parallelism), and the usual  $(X; Y)$  relation (indicating sequentiality or  $<$ ). The  $\parallel$  relation has been interpreted as a weak requirement for true concurrency, namely that at least two instructions (one from  $X$  and one from  $Y$ ) will be executed simultaneously.

Our goal is to develop a framework in which verification of a parallel program against all possible orders of execution (scheduling) can be realized. The proposed framework is based upon two observations:

- Sometimes, a compact representation for all possible execution orders can be devised.
- True concurrency<sup>(1)</sup> must be used when compound instructions are used instead of the original ones.

Three novel classes of parallel execution models have been defined, such that different degrees of the intended parallelism in  $(X \parallel Y)$  must be preserved in every execution. It is assumed that verification of parallel programs is simplified when it is performed using these classes. In particular, two dual compact representations are used to characterize all execution orders of a parallel program in every class:

$C_t$ - A set of conditions or relations between the program and all its execution orders.

$C_x$ - A set of derivation rules from which one can construct all possible execution orders of a program.

A proof that shows equivalence between  $C_t$  and  $C_x$  is devised for every class of parallel execution. This equivalence is referred to as an induction system  $(\langle R, C_t, C_x \rangle)$ .

The execution of a specific program  $R$  is viewed as a sub-class with a specific induction system of its own. This induction system generates exactly all possible executions which agree with the semantic of  $R$ . Recall that an induction system contains two redundant ways to represent all possible executions, namely  $C_t$  and  $C_x$ . This is used to determine a novel verification method for parallel programs with three phases:

1. The semantics of  $R$  is expressed as a set of conditions and added to the  $Ct$  of the general class in which  $R$  is executed.
2. A set of derivation rules  $Cx$  is devised such that  $\langle R, Cx, Ct \rangle$  is an induction system.
3. Since  $Cx$  is a *rewriting system* which generates all possible executions of  $R$ , it can be used to show that all executions of  $R$  halt or preserve some desired property.

We use this method to show that the set of all possible executions of a specific parallel program, consists of a single synchronous execution (out of a large set of possible asynchronous executions). This program realizes a complex pattern of synchronization between 21 processes, each setting and resetting common flag 10 times. The fact that only one synchronous execution is possible is used to show that the program halts and terminates.

Further research is needed in order to give this method a more "solid" base. In particular more types of parallel programs must be studied using the proposed framework. Future research efforts may focus on the following set of problems:

1. Which restrictions of  $Ct$  (such as restriction to first order logic) can guarantee suitable  $Cx$  such that  $\langle R, Ct, Cx \rangle$  is an induction system?
2. For a given program and a set of  $Ct$  conditions, is there a systematic way (an algorithm) to find suitable  $Cx$ ?
3. Devise a notion of *execution time* and *efficiency* which exploits the induction system to predict performances.
4. Study different types of classes, for parallel execution, which might be useful for verification of all possible execution orders.
5. Determine specific types of programs (such as parallel loop programs) for which an induction system can be determined.
6. Operators like the ones suggested by Pratt<sup>(1)</sup> and Gaifman<sup>(13)</sup> can be embedded into the framework, such that the syntax of a parallel program will include *choice*, *recursion*, *loops*, and *communication*.

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