

# Concurrency bugs in multithreaded software: modeling and analysis using Petri nets

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**Abstract** In this paper, we apply discrete-event system techniques to model and analyze the execution of concurrent software. The problem of interest is deadlock avoidance in shared-memory multithreaded programs. We employ Petri nets to systematically model multithreaded programs with lock acquisition and release

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operations. We define a new class of Petri nets, called Gadara nets, that arises from this modeling process. We investigate a set of important properties of Gadara nets, such as liveness, reversibility, and linear separability. We propose efficient algorithms for the verification of liveness of Gadara nets, and report experimental results on their performance. We also present modeling examples of real-world programs. The results in this paper lay the foundations for the development of effective control synthesis algorithms for Gadara nets.

**Keywords** Concurrent software · Deadlock analysis · Modeling · Petri nets

## 1 Introduction

In the past decade, computer hardware has undergone a true revolution, moving from uniprocessor architectures to multiprocessor architectures. In order to exploit the full potential of multicore hardware, there is an unprecedented interest in parallelizing computing tasks that were previously conducted in series. This trend forces parallel programming upon the average programmer. Parallel programming is fundamentally more challenging than serial programming because of the complexity of reasoning about concurrency. Lock primitives, such as *mutual exclusion locks* (*mutexes*), are often employed to protect shared data and prevent data races. Inappropriate use of mutexes can lead to *circular-mutex-wait* (*CMW*) *deadlocks* in the program, where a set of threads are waiting indefinitely for one another and none of them can proceed. Significant effort has to be spent to detect and fix deadlock bugs.

Development of highly reliable and robust software is a very active research area in the software and operating systems communities. Some recent work includes Qin et al. (2005), Nir-Buchbinder et al. (2008), Novark et al. (2007, 2008), Musuvathi et al. (2008) and Park et al. (2009). There is an emerging need for systematic methodologies that will enable programmers to characterize, analyze, and resolve software failures, such as deadlocks. Decades of study have yielded numerous approaches to program deadlock resolution, but none is a panacea. Static deadlock prevention via strict global lock-acquisition ordering is straightforward in principle but can be remarkably difficult to apply in practice. Static deadlock detection via program analysis has made impressive strides in recent years (Flanagan et al. 2002; Engler and Ashcraft 2003), but spurious warnings can be numerous and the cost of manually repairing genuine deadlock bugs remains high. Dynamic deadlock detection may identify the problem too late, when recovery is awkward or impossible; automated rollback and re-execution as in Qin et al. (2005) can help, but irrevocable actions such as I/O can preclude rollback. Variants of the Banker's Algorithm (Dijkstra 1982) provide dynamic deadlock avoidance, but require more resource-demand information than is often available and involve expensive runtime calculations.

Our on-going Gadara project (Kelly et al. 2009) is a multidisciplinary effort to develop a software tool that takes as input a deadlock-prone multithreaded C program and outputs a modified version of the program that is guaranteed to run deadlock-free without affecting any of the functionalities of the program. In view of the event-driven nature of program dynamics and the logical control specification of deadlock avoidance, we approach this problem from a discrete-event systems (DES)

angle (Cassandras and Lafortune 2008). We build a formal model of the program, analyze its properties, and synthesize control logic to enforce deadlock freeness. The focus of this paper is on the first two steps: modeling and analysis. Our control synthesis results will be presented in subsequent papers.

Finite state automata and Petri nets are the two most popular modeling formalisms for DES. We chose Petri nets as our modeling formalism, because they are efficient at capturing the concurrency of a dynamic system while avoiding enumerating its state space. Deadlock analysis based on Petri nets has been widely studied for flexible manufacturing systems and other technological applications involving a resource allocation function (Li et al. 2008; Reveliotis 2005). Various special classes of Petri nets have been proposed to analyze manufacturing systems (Li et al. 2008). Recently, there has also been a growing interest in the application of DES to software systems and embedded systems; see, e.g., Wallace et al. (1996), Phoha et al. (2004), Liu et al. (2006), Dragert et al. (2008), Auer et al. (2009), Gamatie et al. (2009), Iordache and Antsaklis (2010) and Delaval et al. (2010). A review of the application of Petri nets to computer programming is presented in Iordache and Antsaklis (2009). Modeling thread creation/termination and mutex lock/unlock operations is in fact a classical application of Petri nets (Murata 1989); in particular, Petri nets were used in Murata et al. (1989) to analyze deadlocks in Ada programs. In the case of the popular Pthread library for C/C++ programs, Petri nets have also been employed to model multithreaded synchronization primitives (Kavi et al. 2002).

We discovered that the existing special classes of Petri nets in the literature do not exactly match the specific features of Petri nets that arise when modeling the locking behavior of multithreaded programs. Therefore, we propose a new class of Petri nets, called Gadara nets, that explicitly models multithreaded programs with lock acquisition and release operations. With the class of Gadara nets formally defined, we can efficiently analyze program deadlocks via formal models, and synthesize deadlock avoidance control policies that can in turn be instrumented in the underlying programs. By establishing a set of important properties of Gadara nets (e.g., liveness and reversibility), the deadlock-freeness—a *behavioral* property—of the program can be analyzed via the program’s corresponding Gadara net model by exploiting the *structural* properties of the net. This correspondence is crucial to the effectiveness and efficiency of control synthesis of Gadara nets for the purpose of deadlock avoidance in the programs. By “effectiveness” we mean that the control logic synthesized from the Gadara net will *provably* avoid potential CMW-deadlocks at run-time. By “efficiency” we mean that the run-time computational overhead is minimized and the control logic has the property of *maximal permissiveness* in the sense that it will restrict concurrency only when necessary to eliminate deadlock.

The main contributions of this paper are summarized as follows. (i) We formally define the classes of Gadara nets and controlled Gadara nets; the latter one is defined in anticipation of the effect of control synthesis on Gadara nets. (ii) We investigate several important properties of Gadara nets, such as liveness, reversibility, and linear separability, which provide the necessary foundations for the future synthesis of maximally-permissive liveness-enforcing (MPLE) control policies for Gadara nets. (iii) We present efficient algorithms for the verification of liveness of Gadara nets using mathematical programming, and report experimental results on the performance of the algorithms. We use examples of deadlocks from two real-world programs, BIND and the Linux kernel, to illustrate our results.

We make the following remark for the sake of clarity.

*Remark 1* The notion of “deadlock” we discussed above refers to CMW-deadlock of a program; in the Petri net literature, “deadlock” usually refers to the case where all the transitions in the net are disabled. To avoid any confusion, in the rest of this paper, we refer to these two types of deadlocks as *CMW-deadlock* (Definition 1) and *total-deadlock* (Definition 6), respectively. We use the terms, deadlock and CMW-deadlock, interchangeably, when there is no confusion from the context. Moreover, as we will show in Section 4, in order to avoid CMW-deadlocks of a program, we require *liveness* of its corresponding Petri net model. Therefore, the key Petri net property under study in this paper is liveness, rather than total-deadlock-freeness.

This paper is organized as follows. Section 2 overviews the Gadara project and describes the modeling of multithreaded programs. In Section 3, we formally define Gadara nets and controlled Gadara nets. Some important properties of Gadara nets, such as liveness, reversibility, and linear separability of state space, are established in Section 4; the algorithms for the verification of liveness of Gadara nets are presented in Section 5. We present some examples of deadlocks from real-world software in Section 6, and conclude in Section 7. A preliminary version of some of the results in Sections 3 and 4 appears in Wang et al. (2009b); a preliminary version of some of the results in Sections 5.2 and 5.3 appears in Liao et al. (2011).

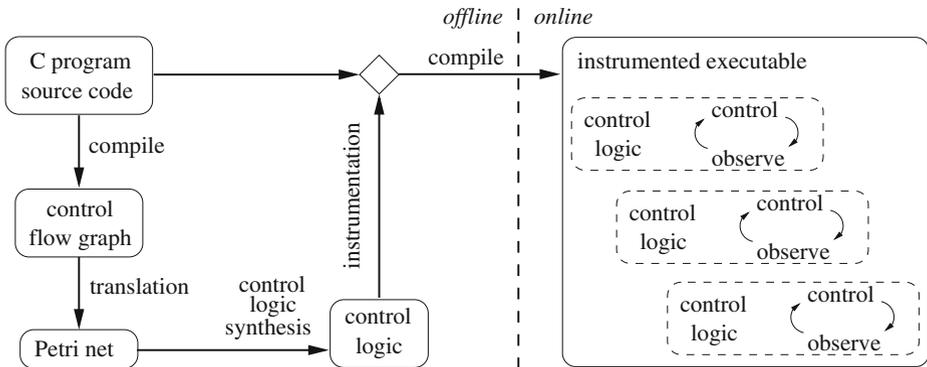
## 2 Modeling of multithreaded software

We first introduce the definition of a CMW-deadlock.

**Definition 1** A program is said to be in a CMW-deadlock if there exists a circular chain of two or more threads in the program, where each thread in the chain waits for a mutex that is held by the next thread in the chain, and none of the threads can proceed.

The architecture of Gadara is shown in Fig. 1 and comprises four steps. (1) The C program source code is converted into a Control Flow Graph (CFG) by compiler techniques. A CFG is a high-level graphical representation of all code execution paths that might be traversed by the program. The CFG is augmented with additional information about lock variables and lock functions. The enhanced CFG is a directed graph. (2) The enhanced CFG is translated into a Petri net model, i.e., a Gadara net. (3) Based on the obtained Gadara net model of the program, the goal of CMW-deadlock-freeness of the program is mapped to an appropriate *necessary and sufficient* condition that must be satisfied by the Gadara net model. Control synthesis is further carried out on the Gadara net to enforce this condition. The output of this step is a controlled Gadara net, augmented with *monitor* (a.k.a. *control*) places, which corresponds to a CMW-deadlock-free program. (4) The synthesized control logic captured by the monitor places is incorporated into the program by instrumenting the original code.

The four steps described above are all conducted off-line. During program execution, the only on-line overhead is due to the additional lines of code pertaining to



**Fig. 1** Gadara architecture

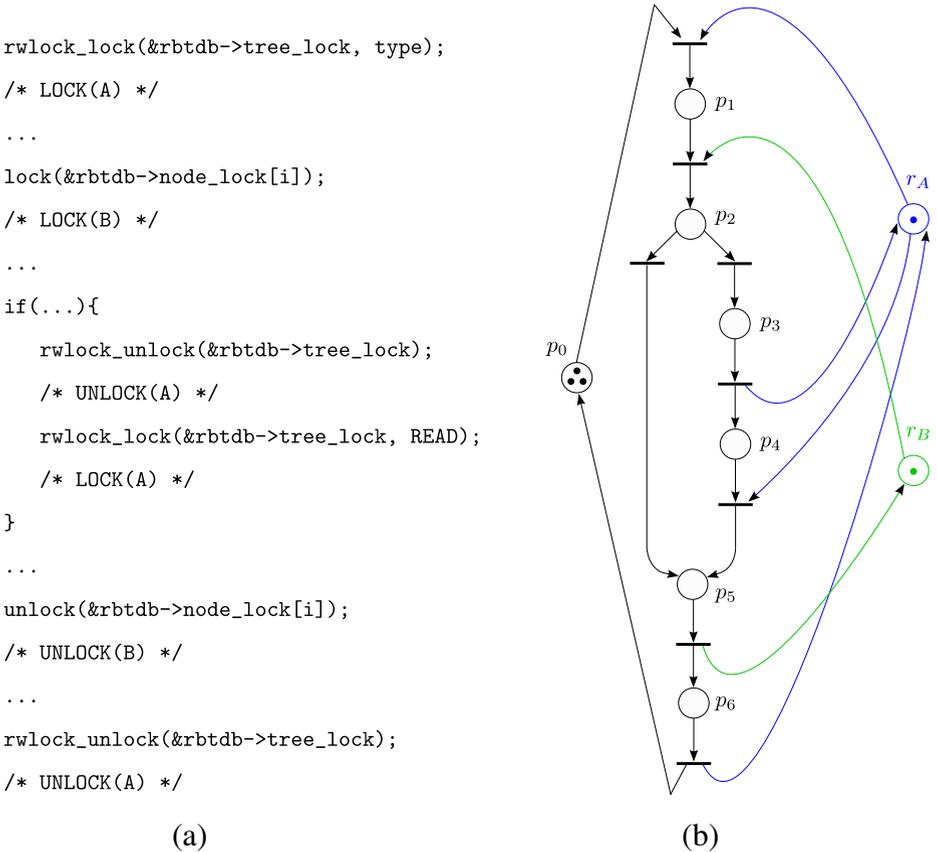
checking and updating the contents of the monitor places. In this paper, we focus on the formal DES aspects pertaining to Steps 2 and 3 (analysis part). The reader is referred to our earlier publications in computer science venues (Wang et al. 2008, 2009a) for more details on Steps 1 and 4.

Determining if a program is deadlock-free, for any type of deadlock, is undecidable, as it is a special instance of the halting problem for Turing machines (Hopcroft et al. 2006). We overcome this obstacle by focusing on CMW-deadlocks and by making modeling assumptions. A key challenge is scalability. Real-world large-scale software contains thousands of functions and millions of lines of code. Inlining the whole program, which is required for CMW-deadlock analysis, is not an option. We first prune functions and code regions that are irrelevant to deadlock analysis. We apply lock graph analysis (Engler and Ashcraft 2003; Cano et al. 2010) to isolate the code regions that are subject to CMW-deadlock, and inline only the tail of the whole call stack that fully contains the CMW-deadlock. After pruning and lock graph analysis, we obtain a manageable model that captures all mutex interactions, and thereby all CMW-deadlocks in the program. In addition to scalability, language features also pose difficulties, e.g., recursion, function pointers, and dynamic locks. When in doubt about what particular lock a given call refers to, we model the lock in a conservative way (Wang et al. 2008). Finally, there are Operating System, C language, and Pthread library specific features that we do not currently model, e.g., UNIX Inter-Process Communication calls that can result in other types of deadlocks, and `setjump`, `longjump` functions in C. Using all of the above techniques and under the above restrictions, we are able to capture all CMW-deadlocks in multithreaded programs using Petri nets.

As discussed above, a wide range of sub-classes of Petri nets have been proposed in the literature, most of them motivated by applications in flexible manufacturing systems. Similarly, the class of Gadara nets formally defined in this paper is motivated by the application domain of concurrent software, with a focus on the analysis of CMW-deadlocks. A Petri net model is obtained in Step 2 of the Gadara architecture in Fig. 1 by translating the enhanced CFG of the program. We create a place to represent each node (i.e., *basic block*) in the enhanced CFG. Moreover, a directed arc connecting two nodes in the enhanced CFG is represented by a transition and associated arcs in the Petri net. Lock variables are also modeled by

places, whose connectivity to the transitions is determined by the actions of lock acquisitions/releases of the program. A token in a place that represents a basic block models a thread executing in this basic block; a token in a place that represents a lock models the availability of this lock. The final Petri net model is called a Gadara net. We formally define Gadara nets in Section 3. Under the framework of Gadara nets, we are able to: (i) systematically characterize the execution of programs in terms of formal models; (ii) analyze the desired properties of programs in the context of models, and transform the goals into equivalent control specifications on Petri nets; and (iii) synthesize provably correct and optimal control logic on the model that can in turn be instrumented in the original programs.

In this paper, we will use a deadlock bug in the BIND software as a running example, which is shown in Fig. 2. The acronym BIND stands for “Berkeley Internet Name Daemon,” which is a popular Domain Name System (DNS) on the Internet. Figure 2a shows the lines of code that are related to the deadlock under consideration; the corresponding Gadara net model is shown in Fig. 2b. The deadlock occurs if there is one token in  $p_1$ , which represents one thread holding lock  $A$  while waiting



**Fig. 2** A deadlock example in BIND: **a** simplified code; **b** Gadara net model

for lock  $B$ , and there is one token in  $p_4$ , which represents another thread holding lock  $B$  while waiting for lock  $A$ . This deadlock bug occurred in the final release version 9.2.2, and was fixed in the release candidate version 9.2.3rc1. As the bug database of BIND is not open to the public, we confirmed the bug by the change log of 9.2.3rc1, as well as using source code comparison. The bug resided in the `rbtdb.c` file, which is a red black tree data structure that stores domain names and IP addresses. For the sake of discussion, the Gadara net model has been simplified; in particular, we model the Reader/Writer lock in this example as a mutex.

### 3 The Gadara Petri net model

Gadara nets, first introduced in Wang et al. (2009b), are a special class of Petri nets that model multithreaded C programs with lock allocation and release operations, for the purpose of CMW-deadlock avoidance. In this section, we formally define the class of Gadara nets. When an original Gadara net is augmented with the synthesized monitor places, we obtain the class of controlled Gadara nets, which are also defined. We first briefly review some Petri net preliminaries; see Murata (1989) for a detailed discussion.

#### 3.1 Petri net preliminaries

**Definition 2** A Petri net dynamic system  $\mathcal{N} = (P, T, A, W, M_0)$  is a bipartite graph  $(P, T, A, W)$  with an initial number of tokens. Specifically,  $P = \{p_1, p_2, \dots, p_n\}$  is the set of places,  $T = \{t_1, t_2, \dots, t_m\}$  is the set of transitions,  $A \subseteq (P \times T) \cup (T \times P)$  is the set of arcs,  $W : A \rightarrow \{1, 2, \dots\}$  is the arc weight function, and for each  $p \in P$ ,  $M_0(p)$  is the initial number of tokens in  $p$ .

The *marking* (a.k.a. *state*) of a Petri net  $\mathcal{N}$  is a column vector  $M$  of  $n$  entries corresponding to the  $n$  places. As defined above,  $M_0$  is the initial marking. We use  $M(p)$  to denote the (partial) marking on a place  $p$ , which is a scalar; we use  $M(Q)$  to denote the (partial) marking on a set of places  $Q$ , which is a  $|Q| \times 1$  column vector. The notation  $\bullet p$  denotes the set of input transitions of place  $p$ :  $\bullet p = \{t | (t, p) \in A\}$ . Similarly,  $p \bullet$  denotes the set of output transitions of  $p$ . The sets of input and output places of transition  $t$  are similarly defined by  $\bullet t$  and  $t \bullet$ . This notation is extended to sets of places or transitions in a natural way. A transition  $t$  is *enabled* or *fireable* at  $M$ , if  $\forall p \in \bullet t, M(p) \geq W(p, t)$ . When an enabled transition  $t$  *fires*, for each  $p \in \bullet t$ , it removes  $W(p, t)$  tokens from  $p$ ; and for each  $q \in t \bullet$ , it adds  $W(t, q)$  tokens to  $q$ . The *reachable state space*  $R(\mathcal{N}, M_0)$  of  $\mathcal{N}$  is the set of all markings reachable by transition firing sequences starting from  $M_0$ .

A pair  $(p, t)$  is called a *self-loop* if  $p$  is both an input and output place of  $t$ . We consider only *self-loop-free* Petri nets in this paper. A Petri net is called *ordinary* if all the arcs in the net have unit arc weights, i.e.,  $W(a) = 1, \forall a \in A$ ; otherwise, it is called *non-ordinary*. Without any confusion, we can drop  $W$  in the definition of any Petri net  $\mathcal{N}$  that is ordinary.

The *incidence matrix*  $D$  of a Petri net is an integer matrix  $D \in \mathbb{Z}^{n \times m}$ , where  $D_{ij} = W(t_j, p_i) - W(p_i, t_j)$  represents the net change in the number of tokens in

place  $p_i$  when transition  $t_j$  fires. A *state machine* is an ordinary Petri net such that each transition  $t$  has exactly one input place and exactly one output place, i.e.,  $\forall t \in T, |\bullet t| = |t \bullet| = 1$ .

Let  $D$  be the incidence matrix of a Petri net  $\mathcal{N}$ . Any non-zero integer vector  $y$  such that  $D^T y = 0$  is called a *P-invariant* of  $\mathcal{N}$ . Further, P-invariant  $y$  is called a *P-semiflow* if all the elements of  $y$  are non-negative.

By definition, P-semiflow is a special case of P-invariant. A straightforward property of P-invariants is given by the following well-known result (Murata 1989): If a vector  $y$  is a P-invariant of Petri net  $\mathcal{N} = (P, T, A, M_0)$ , then we have  $M^T y = M_0^T y$  for any reachable marking  $M \in R(\mathcal{N}, M_0)$ . The *support* of P-semiflow  $y$ , denoted as  $\|y\|$ , is defined to be the set of places that correspond to nonzero entries in  $y$ . A support  $\|y\|$  is said to be *minimal* if there does not exist another nonempty support  $\|y'\|$ , for some other P-semiflow  $y'$ , such that  $\|y'\| \subset \|y\|$ . A P-semiflow  $y$  is said to be *minimal* if there does not exist another P-semiflow  $y'$  such that  $y'(p) \leq y(p), \forall p$ . For a given minimal support of a P-semiflow, there exists a unique minimal P-semiflow, which we call the *minimal-support P-semiflow* (Murata 1989).

### 3.2 Gadara Petri nets

As discussed in Section 2, Gadara nets are translated from the enhanced CFG of multithreaded programs. They provide a formal foundation to model the locking behavior (case of mutexes) of the program. Gadara nets share features with classes of Petri nets that arise in the modeling of manufacturing systems (Reveliotis 2005; Li et al. 2008). More specifically, they consist of a set of *process subnets* that correspond to thread entry points in the program, and resource places that model the locks through which threads interact.

**Definition 3** Let  $I_{\mathcal{N}} = \{1, 2, \dots, m\}$  be a finite set of process subnet indices. A Gadara net is an ordinary, self-loop-free Petri net  $\mathcal{N}_G = (P, T, A, M_0)$  where

1.  $P = P_0 \cup P_S \cup P_R$  is a partition such that: (a)  $P_S = \bigcup_{i \in I_{\mathcal{N}}} P_{S_i}, P_{S_i} \neq \emptyset$ , and  $P_{S_i} \cap P_{S_j} = \emptyset$ , for all  $i \neq j$ ; (b)  $P_0 = \bigcup_{i \in I_{\mathcal{N}}} P_{0_i}$ , where  $P_{0_i} = \{p_{0_i}\}$ ; and (c)  $P_R = \{r_1, r_2, \dots, r_k\}, k > 0$ .
2.  $T = \bigcup_{i \in I_{\mathcal{N}}} T_i, T_i \neq \emptyset, T_i \cap T_j = \emptyset$ , for all  $i \neq j$ .
3. For all  $i \in I_{\mathcal{N}}$ , the subnet  $\mathcal{N}_i$  generated by  $P_{S_i} \cup \{p_{0_i}\} \cup T_i$  is a strongly connected state machine. There are no direct connections between the elements of  $P_{S_i} \cup \{p_{0_i}\}$  and  $T_j$  for any pair  $(i, j)$  with  $i \neq j$ .
4.  $\forall p \in P_S$ , if  $|p \bullet| > 1$ , then  $\forall t \in p \bullet, \bullet t \cap P_R = \emptyset$ .
5. For each  $r \in P_R$ , there exists a unique minimal-support P-semiflow,  $Y_r$ , such that  $\{r\} = \|Y_r\| \cap P_R, (\forall p \in \|Y_r\|)(Y_r(p) = 1), P_0 \cap \|Y_r\| = \emptyset$ , and  $P_S \cap \|Y_r\| \neq \emptyset$ .
6.  $\forall r \in P_R, M_0(r) = 1, \forall p \in P_S, M_0(p) = 0$ , and  $\forall p_0 \in P_0, M_0(p_0) \geq 1$ .
7.  $P_S = \bigcup_{r \in P_R} (\|Y_r\| \setminus \{r\})$ .

A Gadara net  $\mathcal{N}_G$  is defined to be an ordinary Petri net, because it models programs with mutex locks. **Condition 1** classifies the set of places in  $\mathcal{N}_G$  into three types: (i) The *idle place*  $p_{0_i} \in P_0$  is an artificial place added to facilitate the discussion of liveness and other properties. The tokens in an idle place represent the threads

that “wait” for future execution. (ii)  $P_S$  is the set of *operation places*. Each operation place models a *basic block* of the program. A token in an operation place represents one instance of thread that is executing in the current basic block. (iii)  $P_R$  is the set of *resource places* that model mutex locks. A token in a resource place represents the availability of the mutex lock. For example, in the Gadara net shown in Fig. 2b, place  $p_0$  is an idle place, places  $r_A$  and  $r_B$  are resource places, and the other places in the net are operation places.

**Condition 2** defines the set of transitions in  $\mathcal{N}_G$ . Each subnet of  $\mathcal{N}_G$  has its own set of transitions, which is not shared by any other subnet. A transition in  $\mathcal{N}_G$  models the action of lock acquisition or release by the program; a transition can also model branches in the program, such as `if/else`.  $\mathcal{N}_G$  consists of a set of subnets  $\mathcal{N}_i$  that define work processes, called process subnets in the literature. Based on process subnet  $\mathcal{N}_i$ , if we further consider the resource places (and monitor places to be introduced in the next section) associated with it, then the resulting net is called a *resource-augmented process subnet*, denoted as  $\mathcal{N}_i^{aug}$ . Unlike most prior work in manufacturing applications, our process subnets need not be acyclic, due to the modeling of loops in programs. We observe from Fig. 2b that the concurrent execution of multiple threads can even be modeled by one process subnet with multiple tokens in different operation places.

In **Condition 3**, the restriction of the process subnets  $\mathcal{N}_i$  to the class of state machines implies that there is no “forking” or “joining” in these subnets. The state machine structure of a process subnet is a natural result of the translation of the enhanced CFG as described in Section 2. On the other hand, the strong connectivity of the subnets  $\mathcal{N}_i$ , which is also stipulated by Condition 3, ensures that in the dynamics of these subnets, a token starting from the idle place will always be able to come back to the idle place after processing. In more natural terms, this requirement for strong connectivity implies that the only reason that might prevent the completion of the considered processes is their contest for the locks that govern their access to their critical sections and not any other potential errors in the underlying program logic. Further, the process subnets are interconnected only by resource places, i.e., any operation place or idle place in  $\mathcal{N}_i$  does not connect to any transition in  $\mathcal{N}_j$ , for  $i \neq j$ .

**Condition 4** models the requirement that a transition representing a branch selection should not be engaged in any resource allocation. Conditions 5 and 6 characterize a distinct and crucial property of Gadara nets. First, the semiflow requirement in **Condition 5** guarantees that a resource acquired by a process will always be returned later. A process subnet cannot “generate” or “destroy” resources. We further require all coefficients of these semiflows  $Y_r$  to be equal to one. This requirement implies that the total number of tokens in  $||Y_r||$ , the support places of any such semiflow  $Y_r$ , is constant at any reachable marking  $M$ . Condition 6 defines the initial token content, and therefore this constant is exactly equal to one. Hence, we have the following proposition:

**Proposition 1** *For any  $r \in P_R$ , at any reachable marking  $M$  in  $\mathcal{N}_G$ , there is exactly one token in the support places of P-semiflow  $Y_r$ .*

To illustrate the concept of P-semiflow, consider the Gadara net shown in Fig. 2b that has two resource places  $r_A$  and  $r_B$ . The minimal-support P-semiflows associated

with  $r_A$  and  $r_B$  are  $\|Y_{r_A}\| = \{r_A, p_1, p_2, p_3, p_5, p_6\}$  and  $\|Y_{r_B}\| = \{r_B, p_2, p_3, p_4, p_5\}$ , respectively.

As we discussed above, if the token is in resource place  $r$ , the mutex lock corresponding to  $r$  is available. Otherwise, it is in a place  $p \in \|Y_r\| \cap P_{S_i}$  of some process subnet  $\mathcal{N}_i$ , which means that the thread in  $p$  is holding the lock. **Condition 6** specifies the initial markings of the three types of places. At the initial state, all the mutex locks are available; there is no thread executing in the process subnets; and, the number of threads waiting for future execution can be any positive integer.

**Condition 7** states that any operation place models a basic block, which requires the acquisition of at least one lock for its execution. A multithreaded program contains sections executed with at least one lock held by the executing thread, called *critical sections* in operating systems terms, and sections executed without holding any lock. Condition 7 implies that the process subnets only model the critical sections of the programs. Since the sections executed without involving any lock are irrelevant to CMW-deadlock analysis, in practice, we prune the Petri nets translated from CFGs so that our obtained Gadara nets only model the critical sections. This pruning process is automated; see Wang (2009) for details.

### 3.3 Controlled Gadara nets

Based on the Gadara net model of the program, we want to synthesize control logic to be enforced on the net so that the controlled net corresponds to a CMW-deadlock-free program. Supervisory control based on place invariants (SBPI) is a common control technique for Petri nets (Yamalidou et al. 1996; Giua 1992; Iordache and Antsaklis 2006). Control specifications implemented by SBPI are represented by a set of linear inequalities on the net markings. Each linear inequality is enforced via a *monitor* place with its associated arcs that augment the original net. The added monitor place establishes a new invariant in the net dynamics and guarantees that the specified linear inequality is always satisfied in the controlled net. This invariant has a structure that is similar to that introduced by Condition 5 of Definition 3, with the monitor place playing the role of a new (generalized) resource place. When we use SBPI on the Gadara net, we obtain a controlled Gadara net, as defined below. Note that one need not associate a controlled Gadara net with any specific control policy. It is a structural definition that does not refer explicitly to the content of the linear inequalities that are enforced by SBPI.

**Definition 4** Let  $\mathcal{N}_G = (P, T, A, M_0)$  be a Gadara net. A controlled Gadara net  $\mathcal{N}_G^c = (P \cup P_C, T, A \cup A_C, W^c, M_0^c)$  is a self-loop-free Petri net such that, in addition to all conditions in Definition 3 for  $\mathcal{N}_G$ , we have

8. For each  $p_c \in P_C$ , there exists a unique minimal-support P-semiflow,  $Y_{p_c}$ , such that  $\{p_c\} = \|Y_{p_c}\| \cap P_C$ ,  $P_0 \cap \|Y_{p_c}\| = \emptyset$ ,  $P_R \cap \|Y_{p_c}\| = \emptyset$ ,  $P_S \cap \|Y_{p_c}\| \neq \emptyset$ , and  $Y_{p_c}(p_c) = 1$ .
9. For each  $p_c \in P_C$ ,  $M_0^c(p_c) \geq \max_{p \in P_S} Y_{p_c}(p)$ .

Definition 4 indicates that the introduction of the monitor places into  $\mathcal{N}_G^c$  preserves the net structure of  $\mathcal{N}_G$  as specified by Definition 3. **Condition 8** states that the monitor places  $P_C$  share similar structural properties with the resource

places  $P_R$  in terms of the place invariants imposed on the net, which is inspired by the SBPI technique. But they have weaker constraints. More specifically, monitor places may have multiple initial tokens and non-unit arc weights. Thus,  $\mathcal{N}_G^c$  does not necessarily have to be an ordinary net, due to the arcs with non-unit weights that can be potentially introduced by a monitor place. **Condition 9** implies that the initial marking of a monitor place provides a number of tokens that is able to cover, in isolation, the token request posed by any stage in the support of the semiflow of that monitor place.

As a special case of  $\mathcal{N}_G^c$ , if all the arcs in the net have unit arc weights (or, more specifically, all the arcs associated with monitor places in the net have unit arc weights), then  $\mathcal{N}_{G1}^c$ , the class of controlled Gadara nets that remain ordinary, can be defined as follows.

**Definition 5** Let  $\mathcal{N}_G = (P, T, A, M_0)$  be a Gadara net. An ordinary controlled Gadara net  $\mathcal{N}_{G1}^c = (P \cup P_C, T, A \cup A_C, M_0^c)$  is an *ordinary*, self-loop-free Petri net that satisfies Conditions 1 to 7 in Definition 3 and Conditions 8 and 9 in Definition 4.

*Remark 2* From Definitions 3–5, we observe that  $\mathcal{N}_G$  is a special subclass of both  $\mathcal{N}_{G1}^c$  and  $\mathcal{N}_G^c$ , where  $P_C = \emptyset$  and  $A_C = \emptyset$ . Furthermore,  $\mathcal{N}_{G1}^c$  is a special subclass of  $\mathcal{N}_G^c$ , where  $W^c(a) = 1, \forall a \in A \cup A_C$ . Therefore, any property that we derive for  $\mathcal{N}_G^c$  holds for both  $\mathcal{N}_{G1}^c$  and  $\mathcal{N}_G$  as well. In the following, for the sake of simplicity, we refer to  $\mathcal{N}_G^c$  as a “Gadara net” (unless special mention is made).

Conditions 5–7 of Definition 3 together lead to the following important property of Gadara nets.

**Proposition 2** *Given a Gadara net  $\mathcal{N}_G^c$ , for any reachable marking  $M, \forall p \in P_S, M(p)$  is either 0 or 1. In other words, all operation places in  $\mathcal{N}_G^c$  are 1-bounded.*

*Proof* Proposition 1 states that for any  $r \in P_R$ , there is exactly one token in the support places,  $\|Y_r\|$ , of its P-semiflow  $Y_r$ . This result, when considered together with Condition 7 of Definition 3, implies that for any operation place in  $\mathcal{N}_G^c$ , its marking is either 0 or 1. □

We see that  $\mathcal{N}_G^c$  is obtained by augmenting the original net with monitor places that will control the firing of transitions. In this regard, we partition the transitions in the net  $T$  into two disjoint subsets:  $T = T_c \cup T_{uc}$ , where  $T_c$  is the set of controllable transitions (which can be disabled by a monitor place), and  $T_{uc}$  is the set of uncontrollable transitions (which cannot be disabled by a monitor place). Then,  $\mathcal{N}_G^c$  is said to be *admissible* if  $P_C \bullet \cap T_{uc} = \emptyset$ . In the remainder of this paper, we make the following assumption:

**Assumption 1**  $\mathcal{N}_G^c$  is admissible.

According to the semantics of the program represented by Gadara nets, branching transitions are uncontrollable; this is why the branching transitions must satisfy Condition 4 of Definition 3. On the other hand, lock acquisition transitions are controllable so that we can avoid CMW-deadlocks. The rest of the transitions can

be classified either way, representing the “upper bound” and the “lower bound” of  $T_{uc}$ , respectively.

**Assumption 2**  $\{t \in T : (\exists p \in P_S), (|p \bullet| > 1) \wedge (t \in p \bullet)\} \subseteq T_{uc} \subseteq T \setminus (P_R \bullet)$ .

The development of results in this paper *only* requires that  $T_{uc}$  contains all the branch selection transitions (i.e., the lower bound in Assumption 2); these results also extend to any other choice of  $T_{uc}$  that satisfies Assumption 2.

### 3.4 Discussion

Petri nets have been extensively applied to the modeling and analysis of flexible manufacturing systems and other technological applications involving a resource allocation function (Li et al. 2008; Reveliotis 2005). In this application domain, the class of  $S^3PR$  nets is one of the most widely studied sub-classes of Petri nets; it consists of process-oriented nets that possess an acyclicity property (Ezpeleta et al. 1995). Many sub-classes of Petri nets have been developed to extend the formulation of  $S^3PR$  in order to model special features of specific systems. Recently, a new class of Petri nets, called  $STPR$ , has been proposed for anomaly detection in manufacturing systems (Allen 2010). A unique characteristic of  $STPR$  nets is that the system allows resource creation and negated resources; these features are not suitable for our needs in this paper. Multithreaded software systems share some similarities with manufacturing systems, e.g., the operation of both systems requires acquisition and release of resources (i.e., locks). However, loops, such as `for` and `while`, are very common in programs, and they result in internal cycles in the process subnets of their Petri net models. Thus, there is a need to relax the acyclicity constraint of  $S^3PR$  nets. The resulting superclass is called  $S^*PR$ . Deadlock analysis is known to be difficult when the process subnets in process-oriented nets contain internal cycles (Park and Reveliotis 2002; Jeng and Xie 2001). In Jeng and Xie (2001), the authors study the class of RCN\* merged nets, which arises in semiconductor manufacturing systems. The potentially degraded behaviors (e.g., reworks and failures) in this manufacturing setting necessitate the internal cycles in the model. In Park and Reveliotis (2002), liveness-enforcing supervision is investigated for a broad class of resource allocation systems, in the presence of uncontrollable behavior that can also lead to cyclic behavior. Park and Reveliotis (2001) extends the results on liveness analysis and control of ordinary nets to the class of non-ordinary process-resource nets. There are few results on deadlock analysis in  $S^*PR$  (Ezpeleta et al. 2002). Gadara nets  $\mathcal{N}_G$  fall within the  $S^*PR$  class, but they possess features, such as unit arc weight and 1-bounded operation places, which render deadlock analysis more tractable and enable the synthesis of MPLC control logic through monitor places.

## 4 Main properties of Gadara nets

With the class of Gadara nets formally defined, our next task is to establish the relevant properties of Gadara nets, such that the goal of CMW-deadlock-free execution of a program can be mapped to an equivalent objective in terms of its corresponding Gadara net model. This task is carried out in three steps. First, we establish in

Section 4.3 that the goal of CMW-deadlock-free execution of a program is equivalent to its corresponding Gadara net model satisfying a *behavioral* property, called reversibility. Second, we prove in Section 4.4 that for a Gadara net, liveness, which is a *behavioral* property, is equivalent to the absence of certain types of siphons in the net, which is a *structural* feature. Third, we show in Section 4.5 that for a Gadara net, liveness is equivalent to reversibility. As a result of the above three steps of analysis, the *behavioral* property of CMW-deadlock-free execution of a program is mapped to an equivalent objective in terms of a *structural* property of the Gadara net. This mapping has important implications for efficient MPLE control synthesis. Finally, we conclude this section with the discussion of an additional property of Gadara nets that is known as the linear separability of their state space and facilitates the MPLE control of these nets through monitor places.

#### 4.1 Petri net liveness and reversibility

First, let us provide a series of definitions that formalize the Petri net concepts of liveness and reversibility and some additional concepts related to them.

For the sake of simplicity, in the following discussion we use  $R(\mathcal{N}, M)$  to denote the set of reachable markings of net  $\mathcal{N}$  starting from marking  $M$ .

A marking  $M$  is *live* if  $\forall t \in T$ , there exists  $M' \in R(\mathcal{N}, M)$ , such that  $t$  is enabled at  $M'$ . A Petri net  $(\mathcal{N}, M_0)$  is *live* if  $\forall M \in R(\mathcal{N}, M_0)$ ,  $M$  is live. Petri net  $\mathcal{N}$  is said to be *quasi-live* if, for all  $t \in T$ , there exists  $M \in R(\mathcal{N}, M_0)$ , such that  $t$  is enabled at  $M$ . Petri net  $\mathcal{N}$  is said to be *reversible* if  $M_0 \in R(\mathcal{N}, M)$ , for all  $M \in R(\mathcal{N}, M_0)$ .

**Definition 6** A Petri net is in a *total-deadlock* if all the transitions in the net are disabled.

Clearly, the state machine structure of subnets and the initial marking of idle places (as specified by Conditions 3 and 6 of Definition 3, respectively) imply that all subnets  $\mathcal{N}_i$  in a Gadara net  $\mathcal{N}_G$  are quasi-live. Furthermore, the resource requirement of operation places and the initial marking of resource places (as specified by Conditions 5 and 6 of Definition 3, respectively) imply that quasi-liveness is preserved, when each subnet  $\mathcal{N}_i$  is augmented with the corresponding resource places in  $P_R$ . Similarly, Conditions 8 and 9 of Definition 4 imply the preservation of quasi-liveness for the subnets  $\mathcal{N}_i$  of  $\mathcal{N}_G^c$  when augmented with the monitor places  $p_c \in P_C$ . Finally, the combination of Condition 3 of Definition 3 with the quasi-liveness of the resource and monitor-place-augmented subnets  $\mathcal{N}_i$  established above, further implies the reversibility of the latter, when executing in isolation, i.e., when  $M_0(p_{o_i}) = 1$ .

#### 4.2 Resource-induced deadly marked siphons and modified markings

We first introduce the notion of siphon, which is a well-defined structural construct in Petri nets.

A nonempty set of places  $S$  is said to be a *siphon* if  $\bullet S \subseteq S \bullet$ . In Fig. 2b, the set of places  $S_{AB} = \{r_A, r_B, p_2, p_3, p_5, p_6\}$  is a siphon.

The following concepts pertain to the process-resource net structure of Gadara nets, and they play a very important role in the characterization of the liveness and reversibility of Gadara nets that is provided in the rest of this section.

Place  $p$  is said to be a *disabling place* at marking  $M$  if there exists  $t \in p\bullet$ , s.t.  $M(p) < W(p, t)$ .

**Definition 7** A siphon  $S$  of a Gadara net  $\mathcal{N}_G^c$  is said to be a *resource-induced deadly marked (RIDM) siphon* (Reveliotis 2005) at marking  $M$ , if it satisfies the following conditions:

1. every transition  $t \in \bullet S$  is disabled by some place  $p \in S$  at marking  $M$ ;
2.  $S \cap (P_R \cup P_C) \neq \emptyset$ ;
3.  $\forall p \in S \cap (P_R \cup P_C)$ ,  $p$  is a disabling place at marking  $M$ .

From Definition 7, a RIDM siphon is defined by a siphon  $S$ , together with a partial marking on  $S$ . Thus, whenever we refer to a RIDM siphon  $S$ , it means the set of places that constitute  $S$  as well as the partial marking on  $S$ . To illustrate the notion of RIDM siphon, again, refer to the example in Fig. 2b, and consider the reachable marking  $M$ , where there is one token in  $p_0$ , one in  $p_1$ , and one in  $p_4$ , while all other places are empty. The siphon  $S_{AB} = \{r_A, r_B, p_2, p_3, p_5, p_6\}$  discussed above is a RIDM siphon at marking  $M$ . Further,  $S_{AB}$  is an *empty* siphon at marking  $M$ . The notion of RIDM siphon can also be used in a non-ordinary net. In general, a RIDM siphon can be nonempty. An empty siphon is a special case of RIDM siphon. See Fig. 5.10 on p. 136 of Reveliotis (2005) and Fig. 1 in Liao et al. (2010) for examples of nonempty RIDM siphons in non-ordinary nets.

**Definition 8** Given a Gadara net  $\mathcal{N}_G^c$  and a marking  $M \in R(\mathcal{N}_G^c, M_0^c)$ , the *modified marking*  $\overline{M}$  is defined by

$$\overline{M}(p) = \begin{cases} M(p), & \text{if } p \notin P_0; \\ 0, & \text{if } p \in P_0. \end{cases} \tag{1}$$

Modified markings essentially “erase” the tokens in idle places. The set of modified markings induced by the set of reachable markings is defined by  $\overline{R}(\mathcal{N}_G^c, M_0^c) = \{\overline{M} | M \in R(\mathcal{N}_G^c, M_0^c)\}$ . Note that the number of tokens in idle places  $P_0$  can always be uniquely recovered from the invariant implied by the strongly-connected state-machine structure of the subnet  $\mathcal{N}_i$ . So, there is a one-to-one mapping between the original marking and the modified marking, i.e.,  $M_1 = M_2$  if and only if  $\overline{M}_1 = \overline{M}_2$ , where  $M_1$  and  $M_2$  are reachable.

Condition 7 of Definition 3 indicates that the set of idle places do not directly interact with any resource place, and therefore they are irrelevant to the analysis of CMW-deadlocks. The notion of modified markings enables us to associate the non-liveness of the net to RIDM siphons.

### 4.3 Multithreaded program and its Gadara net model

The following result provides a bridge between a program and its corresponding Gadara net model, under the assumptions discussed in Section 2, in terms of two relevant behavioral properties.

**Proposition 3** *A multithreaded program that can be modeled as a Gadara net  $\mathcal{N}_G^c$  is CMW-deadlock-free iff  $\mathcal{N}_G^c$  is reversible.*

*Proof* First we show the “ $\Rightarrow$ ” direction.

If a program is free from any CMW-deadlocks, then for any stage the program is executing, all instances of threads in the program can always complete the rest of their executions, and terminate the processes. This corresponds to the case in the Gadara net model, where starting from any marking of the net, the tokens in the operation places can eventually return to the idle places, which leads the net back to the initial marking. Thus, the net is reversible.

Next we show the “ $\Leftarrow$ ” direction.

(Proof by contra-positive proposition) Suppose there exist at least two threads involved in a CMW-deadlock of the program; then these instances of threads are unable to complete their executions. In the corresponding Gadara net model of the program, these deadlocked threads are modeled as tokens in operation places. The fact that these threads are unable to terminate implies that the aforementioned tokens will never return to the idle places. In other words, starting from this state, the net will never return to the initial marking. Thus, the net is not reversible.  $\square$

*Remark 3* When it is not possible to build an exact Gadara net model of a program due to modeling constraints such as those discussed in Section 2, it is preferable to build a “conservative” model that is certain to include all possible execution paths of the program (and possibly some infeasible paths as well). In this case, the reversibility property of the Gadara net model is a sufficient (but possibly not necessary) condition for CMW-deadlock-freeness of the program; the rest of the discussion in this paper still applies for the conservative model.

*Remark 4* From Remark 1 and the above discussion, we know that a Gadara net model being total-deadlock-free does *not* guarantee that its corresponding program is free from any CMW-deadlocks. For example, let us consider a Gadara net model containing  $N$  process subnets. Assume that at some marking of the net: (i) there exist two process subnets, say  $\mathcal{N}_1$  and  $\mathcal{N}_2$ , such that all the transitions in these two process subnets are disabled; and (ii) for the remaining  $N - 2$  process subnets, there exists at least one enabled transition in each of them. The Gadara net at this marking is total-deadlock-free by Definition 6. However, the underlying program has a CMW-deadlock, which involves the threads modeled by process subnets  $\mathcal{N}_1$  and  $\mathcal{N}_2$ .

It is well known that if an ordinary Petri net cannot reach an empty siphon, then the net is total-deadlock-free (Reisig 1985). But, Remark 4 implies that for the purpose of CMW-deadlock avoidance in a multithreaded program, requiring its Gadara net model to be total-deadlock-free is not sufficient. This motivates our investigation of the liveness property of Gadara nets in the next section, where we establish *necessary and sufficient* conditions for liveness (of  $\mathcal{N}_G^c$ ,  $\mathcal{N}_G$ , and  $\mathcal{N}_{G_1}^c$ ) in terms of the absence of certain types of siphons.

#### 4.4 Liveness of Gadara nets

Liveness and reversibility are closely related properties of Gadara nets. In fact, they are shown to be equivalent in Section 4.5. In this section, we first establish some results about the liveness of Gadara nets, which connect this *behavioral* property to

a certain *structural* property in terms of siphons. Similar results exist in the literature (see Theorem 5.3 and Corollary 3 on p. 132 of Reveliotis 2005) for a class of process-resource nets that are structurally similar but model processes with no internal cycles. Despite the presence of cycles and other technical differences in our process subnets, the above results in Reveliotis (2005) can be extended to Gadara nets.

**Theorem 1** *Gadara net  $\mathcal{N}_G^c$  is live iff there does not exist a modified marking  $\overline{M} \in \overline{R}(\mathcal{N}_G^c, M_0)$  and a siphon  $S$  such that  $S$  is a RIDM siphon at  $\overline{M}$ .*

*Proof* First we show the “ $\Rightarrow$ ” direction.

(Proof by contra-positive proposition) Suppose that there exists a marking  $M$  such that the corresponding modified marking  $\overline{M}$  contains a RIDM siphon  $S$ . From the definition of the RIDM siphon, there exists a place  $q \in S \cap (P_R \cup P_C)$ , and a transition  $t \in q\bullet$  that is disabled due to the lack of enough tokens in  $q$ . On the other hand, since  $q \in S$ , by the definition of RIDM siphons, the transitions in  $\bullet q$  are all disabled. Therefore, place  $q$  will never get replenished in  $R(\mathcal{N}_G^c, \overline{M})$ , and the disabled transition  $t$  will remain non-live in  $R(\mathcal{N}_G^c, \overline{M})$ . Furthermore, Condition 5 of Definition 3 and Condition 8 of Definition 4 imply that  $P_0 \cap \|Y_q\| = \emptyset$ , and  $q \notin T_I\bullet$ , where  $T_I = P_0\bullet$ . So, when we move from the modified markings to the original markings in  $\mathcal{N}_G^c$  by re-introducing the tokens in  $P_0$ , place  $q$  will not gain new tokens, and the disabled transition  $t$  will remain non-live. Therefore, the liveness of  $\mathcal{N}_G^c$  implies that  $\overline{R}(\mathcal{N}_G^c, M_0)$  contains no RIDM siphons.

Next we show the “ $\Leftarrow$ ” direction.

(Proof by contra-positive proposition) Suppose that  $\mathcal{N}_G^c$  is not live. We want to show that  $\overline{R}(\mathcal{N}_G^c, M_0)$  contains at least one RIDM siphon. By the non-liveness assumption, we know that there exists a marking  $M' \in R(\mathcal{N}_G^c, M_0)$  such that at least one transition  $t' \in T$  is never enabled in  $R(\mathcal{N}_G^c, M')$ .

In view of the structural assumptions made in defining  $\mathcal{N}_G^c$ , there also exists a marking  $M \in R(\mathcal{N}_G^c, M')$ , that satisfies the following two conditions: (i) There exists at least one process subnet  $\mathcal{N}_i$  such that  $M(p_{0_i}) < M_0(p_{0_i})$ . Namely, an instantiation of the thread modeled by  $\mathcal{N}_i$  is “half-way” in execution at marking  $M$ . Furthermore, the dead transition  $t'$  must belong to one of these thread subnets. (ii) Every transition  $t \notin P_0\bullet$  is disabled at  $M$ . From the definition of the modified marking, this fact further implies that all the transitions are disabled at  $\overline{M}$ . That is,  $\overline{M}$  is a total-deadlock.

We claim that (i) must be satisfied, because otherwise  $M_0$  is reachable from  $M'$ . In this case, the quasi-liveness property of  $\mathcal{N}_i$ , discussed in Section 4.1, implies that  $t'$  is not dead at  $M'$ , which contradicts our assumption. We claim that (ii) must also be satisfied. Although a process subnet of  $\mathcal{N}_G^c$  may contain an internal cycle, Condition 4 of Definition 3 and Assumption 1 guarantee that the entering/leaving of any cycle will not be constrained by any generalized resource, and thus a token will never be “trapped” in a cycle where it loops indefinitely. Therefore, the remaining process subnets, which are not involved in the CMW-deadlock, can eventually complete the execution of all their active thread instances and return all their tokens back to their idle places. Hence, the only enabled transitions of these subnets at  $M$  are the output transitions of their idle places, which further implies that they are in a total-deadlock at  $\overline{M}$ . In other words, a marking  $M \neq M_0^c$ , whose modified marking  $\overline{M}$  corresponds to a total-deadlock, is always reachable from  $M'$ .

We are left to show that  $\overline{M}$  contains a RIDM siphon. Let  $S$  denote the set of disabling places at  $\overline{M}$ . Since  $\overline{M}$  is a total-deadlock,  $S \bullet = T$ , where  $T$  is the set of all transitions in the net. Thus, we have the relationship:  $S \subseteq S \bullet = T$ . By definition,  $S$  is a siphon. Obviously,  $S$  also satisfies Conditions 1 and 3 of Definition 7. Furthermore, Condition (i) that characterizes marking  $M$ , when combined with the state machine structure of net  $\mathcal{N}_i$  (cf. Condition 3 of Definition 3), implies that there exists at least one transition  $t \in T_i$  with  $\bullet t \cap P_S = \{p\} \neq \emptyset$  and with  $M(p) = \overline{M}(p) = 1$ . Therefore, the total-deadlock at  $\overline{M}$  must involve some place  $q \in P_R \cup P_C$ , and Condition 2 of Definition 7 is satisfied. Hence,  $S$  is a RIDM siphon in  $\mathcal{N}_G^c$ .  $\square$

When a Gadara net is ordinary (i.e.,  $\mathcal{N}_G$  or  $\mathcal{N}_{G1}^c$ ), we can characterize liveness in terms of empty siphons, which is a special case of RIDM siphons.

**Theorem 2**

- (1) Gadara net  $\mathcal{N}_G$  is live iff there does not exist a marking  $M \in R(\mathcal{N}_G, M_0)$  and a siphon  $S$  such that  $S$  is an empty siphon at  $M$ .
- (2) Gadara net  $\mathcal{N}_{G1}^c$  is live iff there does not exist a marking  $M \in R(\mathcal{N}_{G1}^c, M_0^c)$  and a siphon  $S$  such that  $S$  is an empty siphon at  $M$ .

The proof of this theorem is similar to the proof of Corollary 3 on p. 132 of Reveliotis (2005) and is omitted here.

As discussed in Section 4.2, the siphon  $S_{AB} = \{r_A, r_B, p_2, p_3, p_5, p_6\}$  in the Gadara net shown in Fig. 2b becomes an empty siphon at the reachable marking  $M$ , where there is one token in  $p_0$ , one in  $p_1$ , and one in  $p_4$ , while all other places are empty. Thus, from Theorem 2, the Gadara net depicted in Fig. 2b is not live. Alternatively, we can also verify that  $S_{AB}$  is a RIDM siphon at  $\overline{M}$ ; hence, from Theorem 1, we arrive at the same conclusion that the Gadara net in Fig. 2b is not live.

4.5 Reversibility of Gadara nets

In this section, we establish the equivalence between liveness and reversibility in Gadara nets. This result “links” Proposition 3 with Theorems 1 and 2, such that the goal of CMW-deadlock-free execution of the program can be mapped to the absence of certain types of siphons in the Gadara net.

**Theorem 3** Gadara net  $\mathcal{N}_G^c$  is live iff it is reversible.

*Proof* First we show the “ $\Rightarrow$ ” direction.

Given a marking  $M \in R(\mathcal{N}_G^c, M_0)$  with  $M \neq M_0$ , consider a non-empty place  $p \in P_S$  and its corresponding process subnet  $\mathcal{N}_i$ . The strong connectivity of  $\mathcal{N}_i$  implies that there is a path (i.e., a sequence of feasible transitions) from  $p$  to  $p_0$ . Let  $t'$  denote the transition in that path with  $t' \in \bullet p_0$ . The assumed liveness of the net implies that starting from  $M$ , we shall eventually be able to fire  $t'$ . Furthermore, the activation of the aforementioned sequence of feasible transitions does not have to involve any of the tokens in  $M(p_0)$ . Thus, the token in  $p$  at marking  $M$  can eventually be collected into  $p_0$ . Since the above argument holds for any non-empty operation place at any marking  $M \in R(\mathcal{N}_G^c, M_0)$ , and the total number of tokens in  $P_S$  at  $M$  is finite, we

shall eventually be able to collect all the tokens in  $P_S$  at marking  $M$  into  $P_0$ . Denote this last marking as  $M'$ . Combined with Condition 5 of Definition 3, it follows that  $M' = M_0$ .

Next we show the “ $\Leftarrow$ ” direction.

We discussed in Section 4.1 that the resource and monitor-place-augmented subnets in  $\mathcal{N}_G^c$  are quasi-live. This property, together with the assumed reversibility of the net, implies that  $\mathcal{N}_G^c$  is live.  $\square$

#### 4.6 Linear separability and MPLE control of Gadara nets

We summarize the properties we have shown so far with the following important results.

##### Theorem 4

- (1) *If a multithreaded program can be modeled as Gadara net  $\mathcal{N}_G^c$ , then the program is CMW-deadlock-free iff  $\mathcal{N}_G^c$  cannot reach a modified marking  $\overline{M}$  such that there exists at least one RIDM siphon at  $\overline{M}$ .*
- (2) *If a multithreaded program can be modeled as Gadara net  $\mathcal{N}_G$  (or  $\mathcal{N}_{G1}^c$ ), then the program is CMW-deadlock-free iff  $\mathcal{N}_G$  (or  $\mathcal{N}_{G1}^c$ ) cannot reach a marking  $M$  such that there exists at least one empty siphon at  $M$ .*

Theorem 4 implies that the problem of CMW-deadlock avoidance in a multithreaded program is *equivalent* to the problem of preventing any RIDM siphon (resp., empty siphon) from becoming reachable in the modified reachability space (resp., original reachability space) of its Gadara net model  $\mathcal{N}_G^c$  (resp.,  $\mathcal{N}_G$  or  $\mathcal{N}_{G1}^c$ ). The results established in this section serve as the foundations for the development of MPLE control policies for Gadara nets based on structural analysis (Liao et al. 2010). They also provide a formal method for efficiently verifying the liveness of a Gadara net (and the CMW-deadlock-freeness of its underlying program), as we will see in Section 5.

MPLE control synthesis is an important class of problems in supervisory control of Petri nets. Next we show that MPLE control through monitor places is always feasible in Gadara nets. Note that such a property does not always hold in general for other classes of nets; see Wang et al. (2009b) for a counter-example. We first establish a general property that in Gadara nets, any set of reachable markings can always be separated from the rest through a set of linear inequalities, so that the SBPI technique can be used to synthesize monitor places to enforce such a separation. The property is referred to as the *linear separability* of the state space of Gadara nets.

For the sake of discussion, let us denote the control specifications in SBPI as a set of linear constraints  $\{(l_k, b_k), k = 1, 2, \dots\}$  of the form

$$l_k^T M \leq b_k \quad (2)$$

that are enforced on the net markings, where for any  $k$ ,  $l_k$  is a weight vector and  $b_k$  is a scalar. Similarly to the notion of modified marking, we define the notion of  $P_S$ -marking to facilitate the ensuing discussion.

**Definition 9** Given a Gadara net  $\mathcal{N}_G^c$  and a marking  $M \in R(\mathcal{N}_G^c, M_0^c)$ , the  $P_S$ -marking  $\overline{\overline{M}}$  is defined by

$$\overline{\overline{M}}(p) = \begin{cases} M(p), & \text{if } p \in P_S; \\ 0, & \text{if } p \notin P_S. \end{cases} \tag{3}$$

As in the case of modified markings, this projection does not introduce any ambiguity. There is a one-to-one mapping between the original marking and the  $P_S$ -marking, i.e.,  $M_1 = M_2$  if and only if  $\overline{\overline{M}}_1 = \overline{\overline{M}}_2$ , where  $M_1$  and  $M_2$  are reachable. More specifically, the number of tokens in the places in the sets  $P_R$  and  $P_C$  can be recovered from the invariants respectively established by Conditions 5 and 8 in Definitions 3 and 4; the number of tokens in the places in the set  $P_0$  can be recovered in a similar manner as for modified markings. Therefore, we consider linear constraints for  $P_S$ -markings only, i.e., the coefficients corresponding to places in sets  $P_0$ ,  $P_R$ , and  $P_C$  are all zero. From Proposition 2, we know that  $\overline{\overline{M}}$  is a binary vector, which is a key result to establish the desired linear separability property.

**Theorem 5** Given a Gadara net  $\mathcal{N}_G^c$  and a set of markings  $V \subseteq R(\mathcal{N}_G^c, M_0^c)$ , there exists a finite set of linear constraints  $LC(V) = \{(l_1, b_1), (l_2, b_2), \dots\}$  such that  $M \in V$  iff  $\forall (l_i, b_i) \in LC(V), l_i^T M \leq b_i$ .

*Proof* We prove by construction. According to Definition 9, any marking is uniquely characterized by its corresponding  $P_S$ -marking. Thus, for any marking  $M' \notin V$ , we can focus our attention on the associated  $P_S$ -marking  $\overline{\overline{M'}}$ . We construct the linear constraint associated with  $M'$  based on  $\overline{\overline{M'}}$  as follows.

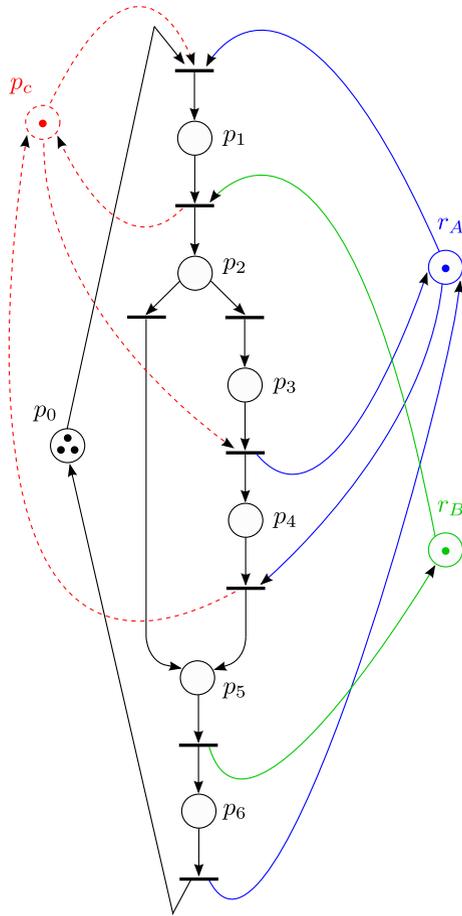
$$l(p) := \begin{cases} -1, & \text{if } \overline{\overline{M'}}(p) = 0 \\ 1, & \text{if } \overline{\overline{M'}}(p) = 1 \\ 0, & \text{if } p \notin P_S \end{cases} ; b := \sum_{p \in P_S} \overline{\overline{M'}}(p) - 1 \tag{4}$$

Observe that the coefficient vector  $l$  and the scalar  $b$  specified in Eq. 4 satisfy:  $l^T M' = b + 1 > b$ . We know that any  $P_S$ -marking is a binary vector, i.e., its component is either 0 or 1. Thus, the choice of  $l$  and  $b$  guarantees that if we change any component in  $\overline{\overline{M'}}$ , then the value of  $l^T M'$  will decrease by 1 after the change. Any reachable marking  $M \neq M'$  can be considered as being obtained by changing a set of components of  $\overline{\overline{M'}}$ . As a result, any reachable marking  $M \neq M'$  satisfies the linear inequality  $l^T M \leq b$ ; and,  $M'$  is the only marking that does not satisfy this linear inequality. In other words, if we enforce the constraint  $l^T M \leq b$  on the net, then we *only* prevent one single marking  $M'$  from being reachable and nothing else.

We can construct such a linear inequality constraint for every marking in  $R(\mathcal{N}_G^c, M_0^c) \setminus V$ . Since  $R(\mathcal{N}_G^c, M_0^c)$  is finite, containing no more than  $2^{|P_S|}$  states,  $R(\mathcal{N}_G^c, M_0^c) \setminus V$  is finite as well, and there is a finite set of linear constraints that separates  $V$  from its complement in  $R(\mathcal{N}_G^c, M_0^c)$ . □

Separating the set of desirable markings from the set of undesirable markings, with respect to the goal of liveness enforcement, is a special case of this general result. Therefore, we have established the feasibility of MPLE control for Gadara nets

**Fig. 3** A deadlock example in BIND: controlled Gadara net model



through monitor places. This result provides the foundation for our complementary work on control synthesis, reported in Liao et al. (2010, 2011) and Nazeem et al. (2010, 2011). While this is beyond the scope of the present paper, we make the following brief comments. In Liao et al. (2010, 2011), we presented an efficient siphon-based MPLE control synthesis algorithm for Gadara nets, while in Nazeem et al. (2010, 2011), we proposed an alternative approach based on state space expansion and classification theory. When applied to the BIND example in Fig. 2b, both methodologies synthesize the same control specification:  $p_1 + p_4 \leq 1$ . Using SBPI, we obtain the monitor place  $p_c$  that enforces this specification, as shown in Fig. 3.

## 5 Verification of liveness using mathematical programming

According to Theorems 1 and 2, liveness in Gadara nets can be verified by detecting certain types of siphons that may be reachable in the nets. The problem of siphon

detection in Petri nets has been extensively studied in the literature. In Boer and Murata (1994), a basis siphon generation algorithm is presented using the sign incidence matrix derived from the original incidence matrix of the net. In the Gadara project, an efficient siphon detection algorithm using the so-called *lock dependency graph* is reported in Wang (2009). Recently, a similar method of siphon detection using graph theory has been applied to the class of  $S^4PR$  nets (Cano et al. 2010). In contrast to the above explicit siphon generation approaches, a generic Mixed Integer Programming (MIP) formulation is presented in Chu and Xie (1997) for the detection of *maximal empty siphons in ordinary, structurally bounded* Petri nets; we refer to this formulation as MIP-ES hereafter. Furthermore, MIP has also been employed to detect *maximal RIDM siphons* in general process-resource nets that are not necessarily ordinary (Reveliotis 2005); we refer to this general MIP formulation stated on pp. 139–140 of Reveliotis (2005) as MIP-RS hereafter.

From the development of Theorem 1, we know that if a Gadara net is not live, then the net will eventually reach a so-called “total-deadlock modified-marking”, where all the transitions in the net are disabled. This result is formally stated as Corollary 1 in Section 5.1 below. This corollary also provides us with an efficient methodology to verify the liveness of a Gadara net through mathematical programming formulations by detecting total-deadlock modified-markings. Similar in spirit to the aforementioned mathematical programming formulations, our formulations search for a total-deadlock modified-marking over the broader set of markings defined by the state equation of the net. Thus, any total-deadlock modified-marking identified by these formulations might or might not be reachable in the actual net. More specifically, *if the proposed formulations do not have a solution, then the net is live*; otherwise, the net may or may not be live. A “byproduct” of these formulations is a RIDM siphon (or an empty siphon in the case of ordinary nets) that is constructed from the identified total-deadlock modified-marking through Corollary 2 in Section 5.1 below. The constructed siphon can then be used for MPLE control synthesis, as we do in Liao et al. (2011).<sup>1</sup>

A more detailed description of the technical developments of this section is as follows. Exploiting the special properties of Gadara nets, we propose in Section 5.2, an efficient MIP formulation for liveness verification of  $\mathcal{N}_G$ . This MIP formulation is then generalized for liveness verification of  $\mathcal{N}_{G_1}^c$  in Section 5.3. In Section 5.4, we propose another MIP formulation for liveness verification of  $\mathcal{N}_G^c$ . In the following discussion, we denote the above three formulations as MIP- $\mathcal{N}_G$ , MIP- $\mathcal{N}_{G_1}^c$ , and MIP- $\mathcal{N}_G^c$ , respectively, which are self-explanatory from their names. The formulations MIP- $\mathcal{N}_G$  and MIP- $\mathcal{N}_{G_1}^c$  customize the generic formulation MIP-ES; the formulation MIP- $\mathcal{N}_G^c$  customizes the generic formulation MIP-RS. The development of the customized MIP formulations was motivated by the need of efficient control synthesis for large-scale concurrent software, and it exploits the special structure of Gadara net models of multithreaded programs. These customized formulations enhance the efficiency and scalability of liveness verification of Gadara nets, which is important for CMW-deadlock analysis of large-scale software. They are also

<sup>1</sup>It should also be noticed that, in the particular case that the identified RIDM siphon is actually unreachable, the monitor places resulting from the MPLE synthesis do not compromise the maximal permissiveness of the synthesized control logic.

employed in the MPLE control synthesis of Gadara nets (Liao et al. 2011). In Section 5.5, we report experimental results that compare the performance of liveness verification of  $\mathcal{N}_{G1}^c$  using MIP- $\mathcal{N}_{G1}^c$  with that of using MIP-ES; we also compare the performance of liveness verification of  $\mathcal{N}_G^c$  using MIP- $\mathcal{N}_G^c$  with that of using MIP-RS. Although the formulations considered in our comparative study use different objective functions and produce, in general, different siphons, they all have the same implication for the purpose of liveness verification: a special property of the optimal solution or, in certain cases, the absence of such a solution itself, is a sufficient condition for the liveness of the Gadara net.

### 5.1 Key properties

We first present some properties of Gadara nets that are relevant to the development of the formulation of liveness verification. Based on Theorem 1, we have the following results. Both Corollaries 1 and 2 follow from the “ $\Leftarrow$ ” direction of the proof of Theorem 1.

**Corollary 1** *If  $\mathcal{N}_G^c$  is not live, then  $\mathcal{N}_G^c$  will reach a modified marking  $\bar{M} \in \bar{R}(\mathcal{N}_G^c, M_0^c)$  and  $M \neq M_0^c$ , such that  $\mathcal{N}_G^c$  is in a total-deadlock at the modified marking  $\bar{M}$ .*

**Corollary 2** *In  $\mathcal{N}_G^c$ , given a total-deadlock modified-marking  $\bar{M} \in \bar{R}(\mathcal{N}_G^c, M_0^c)$  and  $M \neq M_0^c$ , let  $S$  be the set of disabling places at  $\bar{M}$ . Then,  $S$  is a RIDM siphon at  $\bar{M}$ .*

Given a total-deadlock modified-marking  $\bar{M} \neq \bar{M}_0^c$ , we can easily construct a RIDM siphon at  $\bar{M}$  using Corollary 2. Note that the modified initial marking is always a total-deadlock modified-marking. But for liveness verification, we are interested in detecting a total-deadlock modified-marking that is different from the modified initial marking. Therefore, instead of repeating the above statement, we impose this qualification on any sought total-deadlock modified-marking considered in the rest of this section.

### 5.2 Verification of liveness of $\mathcal{N}_G$

Recall that a place  $p$  is said to be a disabling place at marking  $M$  if  $p$  disables at least one of its output transitions at  $M$ . Further, in an ordinary net, if a place  $p$  is a disabling place at marking  $M$ , then we have  $M(p) = 0$  and  $p$  disables *all* of its output transitions. By Definition 8, we know that for any place  $p \in P_0$ , its modified marking  $\bar{M}(p) = 0$ . Moreover, from Definition 3 and Proposition 2, we know that  $\mathcal{N}_G$  is an ordinary net, and the modified marking of any place  $p \in P_S \cup P_R$  is either 0 or 1. Therefore, in  $\mathcal{N}_G$ , the modified marking of a place  $p$ ,  $\bar{M}(p)$ , can be used as a *binary indicator variable* associated with  $p$ , as described in the following remark.

**Remark 5** For any place  $p \in P_0 \cup P_S \cup P_R$ , we have: (i)  $\bar{M}(p) = 0$  iff at  $\bar{M}$ , place  $p$  is a disabling place and  $p$  disables all of its output transitions; (ii)  $\bar{M}(p) = 1$  iff at  $\bar{M}$ , place  $p$  is not a disabling place and  $p$  enables all of its output transitions.

According to Corollary 1, if  $\mathcal{N}_G^c$  is not live, then we know a priori that the net will reach a total-deadlock at some modified marking  $\bar{M}$ . Moreover, once  $\bar{M}$  is reached,

we know a priori from Corollary 2 that there exists a RIDM siphon  $S$  at  $\bar{M}$ , which contains the set of all disabling places at  $\bar{M}$ . In particular, we know from Remark 5 that in the case of  $\mathcal{N}_G$ , this RIDM siphon  $S$  is an empty siphon at  $\bar{M}$ .

The above discussion implies that we can verify the liveness of  $\mathcal{N}_G$  very efficiently, by detecting a total-deadlock modified-marking  $\bar{M}$ , i.e., a modified marking  $\bar{M}$  where all the net transitions are disabled. Based on the special structure of  $\mathcal{N}_G$ , any transition  $t$  in the net can be categorized into one of the following three types. (i) Transition  $t$  is an output transition of an idle place. We know that under the notion of modified marking,  $t$  is always disabled. (ii) Transition  $t$  has only one input place, and this input place is an operation place. For  $t$  to be disabled, its input place must be a disabling place. (iii) Transition  $t$  has more than one input place. For  $t$  to be disabled, at least one of its input places must be a disabling place.

Therefore, in order to detect a total-deadlock modified-marking  $\bar{M}$ , we need to enforce the above three types of transitions to be disabled at  $\bar{M}$ , which is addressed by constraints (7)–(9) of the MIP formulation presented below. If  $\bar{M}$  is detected, then we can use Corollary 2 to construct an empty siphon, which will be used in MPLÉ control synthesis; otherwise, we know that the net is live. In other words, the problem of liveness verification of  $\mathcal{N}_G$  can be mapped to the problem of finding a total-deadlock modified-marking in the modified reachability space of  $\mathcal{N}_G$ . The latter problem can be solved by the following MIP formulation, MIP- $\mathcal{N}_G$ , which customizes the generic MIP-ES formulation presented in Chu and Xie (1997) for maximal empty siphon detection in structurally bounded ordinary nets.

$$\mathbf{MIP}\text{-}\mathcal{N}_G: \quad \min \quad \sum_{p \in P_S} \bar{M}(p) \tag{5}$$

$$s.t. \quad M = M_0 + D\sigma \tag{6}$$

$$\bar{M}(p) = M(p), \forall p \in P_S \cup P_R; \bar{M}(p) = 0, \forall p \in P_0 \tag{7}$$

$$\bar{M}(p) = 0, \forall p \in Q, \text{ where} \tag{8}$$

$$Q = \{q \in P : (\exists t \in T), (\bullet t = \{q\}) \wedge (q \in P_S)\}$$

$$\sum_{p \in \bullet t} \bar{M}(p) - |\bullet t| + 1 \leq 0, \forall t \text{ s.t. } |\bullet t| > 1 \tag{9}$$

$$\sum_{p \in P_S} \bar{M}(p) \geq 2 \tag{10}$$

$$\sum_{p \in P_R} \bar{M}(p) \leq |P_R| - 2 \tag{11}$$

$$M \geq 0; \sigma \in \mathbb{Z}_0^+ \tag{12}$$

We explain the MIP- $\mathcal{N}_G$  formulation presented in Eqs. 5–12 as follows. In the objective function (5), we want to minimize the number of marked operation places in the detected total-deadlock modified-marking. The selection of such an objective function will produce siphons that are efficient for MPLÉ control synthesis (Liao et al. 2011); the details are beyond the scope of this paper. Constraint (6) is the state

equation of the net, which is a necessary condition for the set of reachable markings. Constraint (7) connects an original marking with its associated modified marking based on Definition 8. From the above discussion, we want to verify liveness by finding a total-deadlock modified-marking  $\bar{M}$ . Constraints (7)–(9) enforce that the three types of transitions, discussed above, are all disabled at  $\bar{M}$ . Constraint (10) follows from the fact that at least two threads must be involved in a CMW-deadlock. In the context of the Gadara net model, this implies that at least two operation places are marked in a CMW-deadlock. As a result, it follows from constraint (10), and Conditions 6 and 7 of Definition 3, that at least two resource places must be empty, and hence become disabling places in a CMW-deadlock; this leads to constraint (11). Constraint (12) specifies the bounds of the variables.

The solution of  $\text{MIP-}\mathcal{N}_G$ , if it exists, is a total-deadlock modified-marking  $\bar{M}$ , based on which we can construct an empty siphon using Corollary 2. The correctness of the MIP formulation follows as a result of Proposition 2 and Corollary 1, together with the preceding discussion. The number of variables and constraints used by  $\text{MIP-}\mathcal{N}_G$  is  $O(|P| + |T|)$ ; in particular, the formulation involves  $2|P|$  non-negative real variables and  $|T|$  non-negative integer variables.

### 5.3 Verification of liveness of $\mathcal{N}_{G1}^c$

The class of Gadara nets  $\mathcal{N}_{G1}^c$  shares all the features of  $\mathcal{N}_G$ . The only difference between  $\mathcal{N}_{G1}^c$  and  $\mathcal{N}_G$  is that  $\mathcal{N}_{G1}^c$  has a set of monitor places  $P_C$ , whose initial markings may be greater than 1. Observing this difference, the  $\text{MIP-}\mathcal{N}_G$  formulation presented in Eqs. 5–12 in Section 5.2 can be immediately extended to liveness verification of  $\mathcal{N}_{G1}^c$ . Although Remark 5 remains true in  $\mathcal{N}_{G1}^c$  for any  $p \in P_0 \cup P_S \cup P_R$ , it generally does not hold for the modified markings of monitor places. Thus, we need to introduce a new constraint on the binary indicator variables associated with the monitor places. For the sake of simplicity, with a slight abuse of notation, we also use the notation  $\bar{M}(p)$  to denote the *binary indicator variable* for any  $p \in P_C$  in the formulation  $\text{MIP-}\mathcal{N}_{G1}^c$  presented below. That is,  $\bar{M}(p)$  is not necessarily the modified marking for any  $p \in P_C$  in  $\text{MIP-}\mathcal{N}_{G1}^c$ .  $\bar{M}(p)$  is used as an indicator variable such that if  $p$  is not a disabling place at  $\bar{M}$ , then  $\bar{M}(p) = 1$ ; otherwise,  $\bar{M}(p) = 0$ .

Define  $SB(p)$  to be a *structural bound* of place  $p$ . In Gadara nets, we can set:  $SB(p) = M_0^c(p)$ ,  $\forall p \in P_0 \cup P_C$ , and  $SB(p) = 1$ ,  $\forall p \in P_S \cup P_R$ .

The liveness of  $\mathcal{N}_{G1}^c$  can be verified by detecting a total-deadlock modified-marking in the modified reachability space of  $\mathcal{N}_{G1}^c$ , which can be solved by the following MIP formulation:

**MIP- $\mathcal{N}_{G1}^c$ :** In addition to the  $\text{MIP-}\mathcal{N}_G$  formulation (5)–(12),<sup>2</sup> we also need constraints (13) and (14) on  $\bar{M}(p)$  for any  $p \in P_C$ .

$$\bar{M}(p) \in \{0, 1\}, \forall p \in P_C \tag{13}$$

$$M(p) \geq \bar{M}(p) \geq \frac{M(p)}{SB(p)}, \forall p \in P_C \tag{14}$$

<sup>2</sup>Technically, the notation  $M_0$  in Eq. 6 should be substituted by  $M_0^c$ .

Constraint (13) specifies that  $\overline{M}(p)$  is a binary indicator variable associated with any  $p \in P_C$ . Constraint (14) characterizes the enabling/disabling feature of a monitor place  $p \in P_C$  in terms of the binary indicator variable  $\overline{M}(p)$ . The intuition is explained as follows. Since  $\mathcal{N}_{G_1}^c$  is an ordinary net, if a monitor place  $p \in P_C$  is a disabling place at marking  $\overline{M}$ , then  $M(p) = 0$ , which, together with constraint (14), forces the corresponding  $\overline{M}(p)$  to be 0. On the other hand, if a monitor place  $p \in P_C$  in  $\mathcal{N}_{G_1}^c$  is not a disabling place at marking  $\overline{M}$ , then  $M(p) \geq 1$ , which, together with constraints (13) and (14), forces the corresponding  $\overline{M}(p)$  to be 1.

*Remark 6* A controlled Gadara net ( $\mathcal{N}_{G_1}^c$  or  $\mathcal{N}_G^c$ ) is obtained by augmenting an original Gadara net  $\mathcal{N}_G$ . Thus, constraints (10) and (11) used in  $\text{MIP-}\mathcal{N}_G$ , which are derived based on the definition of  $\mathcal{N}_G$ , remain true in  $\text{MIP-}\mathcal{N}_{G_1}^c$ , presented above, and in  $\text{MIP-}\mathcal{N}_G^c$ , to be presented in the next section.

Similarly to the case of  $\mathcal{N}_G$ , if  $\mathcal{N}_{G_1}^c$  is not live, then the solution of  $\text{MIP-}\mathcal{N}_{G_1}^c$  corresponds to a total-deadlock modified-marking, based on which we can construct an empty siphon using Corollary 2. The number of variables and constraints used by  $\text{MIP-}\mathcal{N}_{G_1}^c$  is  $O(|P| + |T|)$ ; in particular, the formulation involves  $2|P| - |P_C|$  non-negative real variables,  $|P_C|$  binary variables, and  $|T|$  non-negative integer variables.

### 5.4 Verification of liveness of $\mathcal{N}_G^c$

We know from Definition 4 that  $\mathcal{N}_G^c$  is not necessarily ordinary. The potential non-ordinariness makes the liveness verification formulation for  $\mathcal{N}_G^c$  more complicated than those for  $\mathcal{N}_G$  and  $\mathcal{N}_{G_1}^c$ . In  $\text{MIP-}\mathcal{N}_G^c$ , we need to further introduce a new binary indicator variable, defined as follows.

Let  $A(p, t)$  be an indicator variable associated with the directed arc from place  $p$  to transition  $t$  at  $\overline{M}$ . The dependency of  $A(p, t)$  on  $\overline{M}$  is suppressed in the notation for the sake of simplicity. The value of  $A(p, t)$  is defined as:

$$A(p, t) = \begin{cases} 1, & \text{if place } p \text{ enables transition } t \text{ at } \overline{M}; \\ 0, & \text{if place } p \text{ disables transition } t \text{ at } \overline{M}. \end{cases} \tag{15}$$

If  $A(p, t) = 1$ , then the arc  $(p, t)$  is said to be an *enabled arc*; otherwise, it is said to be a *disabled arc*. Note that the potential non-ordinariness in  $\mathcal{N}_G^c$ , which motivates the introduction of the indicator variable  $A(p, t)$ , can only be caused by the associated arcs of the monitor places. Therefore, we only need to introduce the indicator variable  $A(p, t)$  for place-transition pairs  $(p, t)$  such that  $p \in P_C$  and  $t \in p \bullet$ .

Similar to  $\text{MIP-}\mathcal{N}_{G_1}^c$ , we use  $\overline{M}(p)$  as a binary indicator variable associated with  $p \in P$  in the  $\text{MIP-}\mathcal{N}_G^c$  formulation. That is, if  $p$  is not a disabling place at  $\overline{M}$ , then  $\overline{M}(p) = 1$ ; otherwise,  $\overline{M}(p) = 0$ . In the formulation, for any  $p \in P_0 \cup P_S \cup P_R$ ,  $\overline{M}(p)$  represents *both* the indicator variable associated with  $p$  and the modified marking of  $p$  (according to Remark 5); for any  $p \in P_C$ ,  $\overline{M}(p)$  *only* represents the indicator variable associated with  $p$  (a slight abuse of notation as discussed in Section 5.3).

The liveness of  $\mathcal{N}_G^c$  can also be verified by detecting a total-deadlock modified-marking in the modified reachability space of  $\mathcal{N}_G^c$ . This can be solved by the following MIP formulation,  $\text{MIP-}\mathcal{N}_G^c$ , which customizes the generic MIP-RS formulation

presented in Reveliotis (2005) for maximal RIDM siphon detection in general process-resource nets.

$$\text{MIP-}\mathcal{N}_G^c: \min \sum_{p \in P_S} \bar{M}(p) \tag{16}$$

$$\text{s.t. } M = M_0^c + D\sigma \tag{17}$$

$$\bar{M}(p) = M(p), \forall p \in P_S \cup P_R; \bar{M}(p) = 0, \forall p \in P_O \tag{18}$$

$$\bar{M}(p) = 0, \forall p \in Q, \text{ where} \tag{19}$$

$$Q = \{q \in P : (\exists t \in T), (\bullet t = \{q\}) \wedge (q \in P_S)\}$$

$$\sum_{p \in \bullet t \cap P_C} A(p, t) + \sum_{p \in \bullet t \cap (P \setminus P_C)} \bar{M}(p) - |\bullet t| + 1 \leq 0, \tag{20}$$

$$\forall t \text{ s.t. } |\bullet t| > 1$$

$$A(p, t) \geq \frac{M(p) - W(p, t) + 1}{SB(p)}, \tag{21}$$

$$\forall W(p, t) > 0 \text{ s.t. } p \in P_C$$

$$A(p, t) \geq \bar{M}(p), \forall W(p, t) > 0 \text{ s.t. } p \in P_C \tag{22}$$

$$\sum_{t \in p\bullet} A(p, t) - |p\bullet| + 1 \leq \bar{M}(p), \forall p \in P_C \tag{23}$$

$$\sum_{p \in P_S} \bar{M}(p) \geq 2 \tag{24}$$

$$\sum_{p \in P_R} \bar{M}(p) \leq |P_R| - 2 \tag{25}$$

$$M \geq 0; \sigma \in \mathbb{Z}_0^+; \bar{M}(p) \in \{0, 1\}, \forall p \in P_C; \tag{26}$$

$$A(p, t) \in \{0, 1\}, \forall p \in P_C, \forall t \in p\bullet$$

We explain the MIP- $\mathcal{N}_G^c$  formulation presented in Eqs. 16–26 as follows. The objective function (16) and constraints (17)–(19), (24), and (25) are the same as their counterparts in MIP- $\mathcal{N}_G$  and MIP- $\mathcal{N}_{G1}^c$ . Similar to MIP- $\mathcal{N}_G$  and MIP- $\mathcal{N}_{G1}^c$ , the MIP- $\mathcal{N}_G^c$  formulation aims to verify the liveness of  $\mathcal{N}_G^c$  by detecting a total-deadlock modified-marking  $\bar{M}$ . Constraint (19) enforces that the set of transitions, which have only one input place, must be disabled. Moreover, for the set of transitions that have more than one input place, constraint (20) enforces that at least one input place must be a disabling place. On the other hand, constraint (21)<sup>3</sup> ensures that the value of  $A(p, t)$ , which is associated with an enabled arc  $(p, t)$  with  $p \in P_C$ , must be 1. Hence, all variables  $A(p, t)$  that are forced to zero by constraint (20) are indeed variables that correspond to disabled arcs. Constraint (22) recognizes any monitor place, which

<sup>3</sup>Constraint (21) does not completely characterize the correct pricing of  $A(p, t)$  for all arcs. But what we need for liveness verification (and RIDM siphon construction) is the correct pricing of  $\bar{M}(p)$ , which is guaranteed by the nature and role of the objective function (16).

disables at least one of its outgoing arcs and hence is a disabling place. Constraint (23) recognizes any monitor place, which enables all of its outgoing arcs and hence is not a disabling place. Constraint (26) specifies the bounds of the variables.

If  $\mathcal{N}_G^c$  is not live, then the solution of MIP- $\mathcal{N}_G^c$  corresponds to a total-deadlock modified-marking, based on which we can construct a RIDM siphon using Corollary 2. Compared to MIP- $\mathcal{N}_G$  and MIP- $\mathcal{N}_{G1}^c$ , the additional complexity in MIP- $\mathcal{N}_G^c$  arises from the variables and constraints associated with the arcs  $(p, t)$ , where  $p \in P_C$ . The number of variables and constraints used by MIP- $\mathcal{N}_G^c$  is  $O(|P| + |T| + |P_C||T|)$  in the worst case. In practice, we observe that  $|P_C| \ll |P|$  in controlled Gadara net models of real-world software.

## 5.5 Experimental results

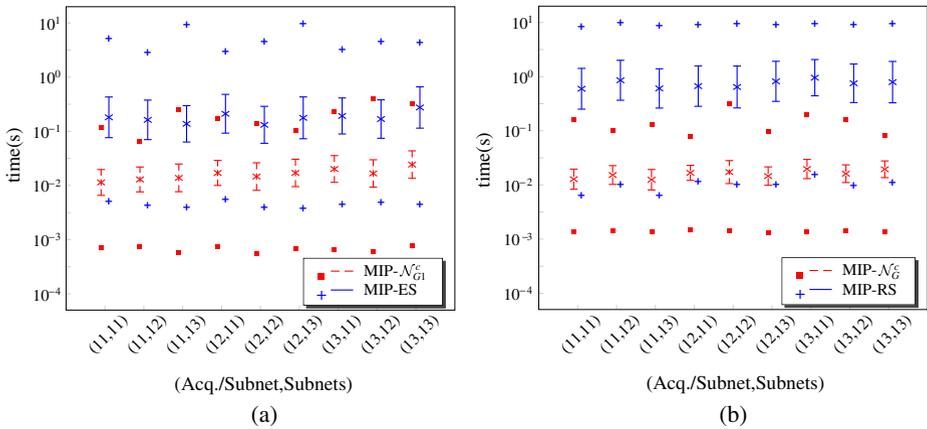
In this section, we report the experimental results from a comparative analysis between the performance of the customized algorithms MIP- $\mathcal{N}_{G1}^c$  and MIP- $\mathcal{N}_G^c$  with that of the generic siphon detection algorithms MIP-ES and MIP-RS, respectively, for liveness verification of Gadara nets. The experiments were completed on a Mac OS X laptop with a 2.4 GHz Intel Core2Duo processor and 2 GB of RAM. The mathematical programming formulations are solved using Gurobi 3.0.1 (Gurobi 2010).

We first compare the performance of MIP- $\mathcal{N}_{G1}^c$  with that of MIP-ES presented in Chu and Xie (1997). Random Gadara nets for these experiments are generated by a random-walk-style algorithm. At each step, the program randomly decides either to grab a lock or to release one already held; the number of steps is specified as an input parameter. Additional logic is applied to ensure valid behavior. The random Gadara net generator (available at <http://gadara.eecs.umich.edu/software.html>) is based on our experience in modeling real concurrent programs (Wang 2009). Furthermore, we apply the MPLE iterative control techniques proposed in Liao et al. (2010) to synthesize control logic for these random Gadara nets. Monitor places are added to the original Gadara nets by running a random number of control iterations for each net.<sup>4</sup> The resulting controlled Gadara nets, which belong to the class  $\mathcal{N}_{G1}^c$ , are input to MIP- $\mathcal{N}_{G1}^c$  and MIP-ES, for the purpose of liveness verification. Their execution times on these nets are recorded as sample data.

Figure 4a shows the sample statistics of the execution times of the two algorithms, where the  $y$ -axis is on a log scale. We group the samples according to the pair of parameters  $(a, s)$  that is used in generating the random Gadara nets, where  $a$  is the number of resource acquisitions per subnet, and  $s$  is the number of process subnets in the Gadara net. The  $x$ -axis of the figure shows the nine different groups we studied. The number of monitor places is suppressed, because it varies within a group. We report the average number of monitor places for each group in Table 1. In Fig. 4, the crosses represent the means, the segments represent the half-standard-deviation confidence intervals, and the solid squares and plus signs represent the maxima or minima.<sup>5</sup>

<sup>4</sup>For a given Gadara net, if the iterative control technique converges before the pre-selected random number of iterations are completed, we output the converged net and disregard the remaining iterations.

<sup>5</sup>Sample statistics are based on log-scale data.



**Fig. 4** Sample statistics: **a**  $MIP-N_{G_1}^c$  vs. MIP-ES; **b**  $MIP-N_G^c$  vs. MIP-RS

Next, we analyze the performance of the two algorithms using the Normalized Cumulative Frequency (NCF), which is defined as follows.

$$NCF(x) = \frac{\sum_{i=1}^n J_i(x)}{n} \tag{27}$$

where  $n$  is the sample size of a group, and  $J_i(x)$  is an indicator variable associated with the  $i$ -th sample and is a function of  $x$  ( $x \geq 0$ ), such that

$$J_i(x) = \begin{cases} 1, & \text{if the value of the } i\text{-th sample} \leq x; \\ 0, & \text{otherwise.} \end{cases} \tag{28}$$

The NCFs of our experiments on  $MIP-N_{G_1}^c$  and MIP-ES are shown in Fig. 5a, where the  $x$ -axis is on a log scale.

We also compare the performance of  $MIP-N_G^c$  with that of MIP-RS presented in Reveliotis (2005). In this case, we apply the Empty-Siphon-Based Control Algorithm, described in Section IV-A.1 of Liao et al. (2010), to the Gadara nets, and choose the controlled Gadara nets that are non-ordinary and belong to the class of  $N_G^c$ . These nets are input to the two algorithms, for the purpose of liveness verification. Similarly, the sample statistics are shown in Fig. 4b and the NCFs are shown in Fig. 5b.

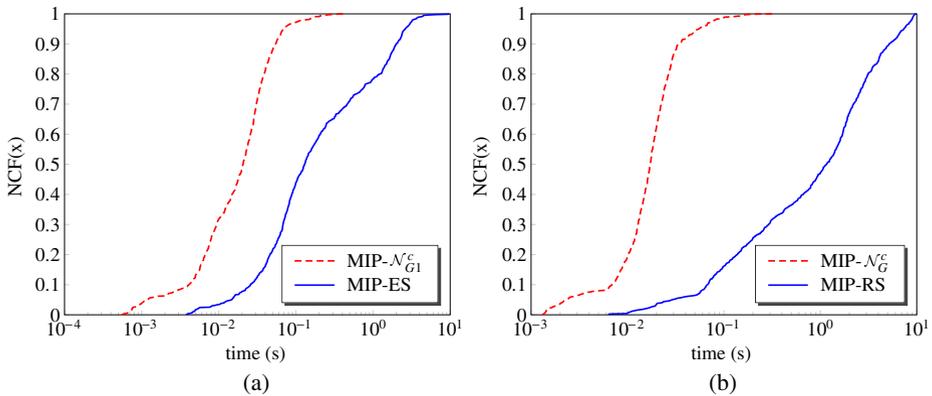
From the above analysis, we observe in Fig. 4 that the proposed customized algorithms are more efficient for liveness verification of Gadara nets than the generic siphon detection algorithms in all the nine groups in terms of means, standard deviations, and ranges. From Fig. 5, we find that for  $MIP-N_{G_1}^c$ , 98% of the samples are smaller than 0.1 s, while for MIP-ES, only 40% of the samples are; further, for  $MIP-N_G^c$ , 99% of the samples are smaller than 0.1 s, while for MIP-RS, only 15% of the samples are.

Table 1 presents a summary of the experimental results. For each set of parameters (each row in the table), over 100 samples of random Gadara nets are generated. Consider the comparison between the performance of  $MIP-N_{G_1}^c$  and that of

**Table 1** Experimental results of comparative analysis on liveness verification algorithms

Method	a	s	P	T	C	SS	US	TLE
MIP- $\mathcal{N}_{G_1}^c$	11	11	87.25	68.65	7.12	230581	91889	0.01
MIP-ES								0.06
MIP- $\mathcal{N}_G^c$			85.86	66.55	7.88	218741	85157	0.00
MIP-RS								0.22
MIP- $\mathcal{N}_{G_1}^c$	11	12	94.84	76.08	7.15	496055	221560	0.01
MIP-ES								0.11
MIP- $\mathcal{N}_G^c$			93.66	73.64	8.46	444871	202773	0.00
MIP-RS								0.19
MIP- $\mathcal{N}_{G_1}^c$	11	13	101.34	82.02	7.62	614988	235364	0.01
MIP-ES								0.10
MIP- $\mathcal{N}_G^c$			99.61	79.68	8.26	653032	274092	0.00
MIP-RS								0.24
MIP- $\mathcal{N}_{G_1}^c$	12	11	89.63	71.52	6.64	291166	104067	0.01
MIP-ES								0.06
MIP- $\mathcal{N}_G^c$			87.45	68.48	7.51	286145	125343	0.00
MIP-RS								0.16
MIP- $\mathcal{N}_{G_1}^c$	12	12	96.01	77.58	6.87	523258	203359	0.01
MIP-ES								0.10
MIP- $\mathcal{N}_G^c$			95.06	75.64	7.81	535029	241084	0.00
MIP-RS								0.18
MIP- $\mathcal{N}_{G_1}^c$	12	13	103.89	84.79	7.49	862689	324566	0.01
MIP-ES								0.06
MIP- $\mathcal{N}_G^c$			103.14	83.05	8.41	745614	310375	0.00
MIP-RS								0.18
MIP- $\mathcal{N}_{G_1}^c$	13	11	93.09	73.84	7.71	254733	101207	0.01
MIP-ES								0.13
MIP- $\mathcal{N}_G^c$			91.24	71.50	8.26	235609	95000	0.00
MIP-RS								0.22
MIP- $\mathcal{N}_{G_1}^c$	13	12	98.50	79.62	7.28	394573	155436	0.02
MIP-ES								0.08
MIP- $\mathcal{N}_G^c$			97.25	77.62	8.06	398204	160820	0.00
MIP-RS								0.18
MIP- $\mathcal{N}_{G_1}^c$	13	13	105.34	85.62	7.99	716595	314641	0.01
MIP-ES								0.04
MIP- $\mathcal{N}_G^c$			104.28	83.66	8.87	703018	298153	0.00
MIP-RS								0.17

MIP-ES. We set a time-out threshold of 10 s. A net times out if its liveness cannot be determined by either MIP- $\mathcal{N}_{G_1}^c$  or MIP-ES in less than 10 s. The proportion of sample nets that timed out is reported in the last column (TLE) of the table. All the other statistical data in this table are calculated over only sample nets where both MIP- $\mathcal{N}_{G_1}^c$  and MIP-ES did not time out. The comparison between the performance of MIP- $\mathcal{N}_G^c$  and that of MIP-RS is carried out in a similar way. The first column lists the four algorithms under consideration. The second (a) and third (s) columns are the number of resource acquisitions per subnet and the number of process subnets, which are input parameters to the random program generator. In generating the random nets, the number of resources (locks) in the original Gadara net is set to be 12, and the probability of acquiring a new resource before releasing one already



**Fig. 5** Normalized Cumulative Frequency (NCF): **a**  $\text{MIP-}\mathcal{N}_{G1}^c$  vs. MIP-ES; **b**  $\text{MIP-}\mathcal{N}_G^c$  vs. MIP-RS

held is 0.5. The fourth (P), fifth (T), and sixth (C) columns correspond to the average number of places, transitions, and monitor places in the sample Gadara nets. The seventh (SS) and eighth (US) columns describe the state space complexity, i.e., the average numbers of safe and unsafe states that are reachable in the nets. Note that the solution of the mathematical programming formulations does *not* require the construction of the state space; the numbers of safe and unsafe states were generated separately for the sake of scalability assessment. The last column (TLE) is the proportion of sample nets that did time out.

From Table 1, we see that the proposed customized algorithms seldom timed out, while the generic algorithms timed out more often. Moreover, for the nets where the proposed customized algorithms timed out, the generic algorithms also timed out. Since  $\text{MIP-}\mathcal{N}_{G1}^c$  and  $\text{MIP-}\mathcal{N}_G^c$  were formulated to exploit the structural properties of Gadara nets, it is not surprising that they outperform MIP-ES and MIP-RS, respectively. What is encouraging is that the results in Figs. 4 and 5 and in Table 1 demonstrate that  $\text{MIP-}\mathcal{N}_{G1}^c$  and  $\text{MIP-}\mathcal{N}_G^c$  are scalable to large nets, which make them attractive for analyzing CMW-deadlock-freeness in large software programs.

## 6 Case studies of deadlock in open source software

In addition to BIND, whose deadlock bug is used as a running example in this paper, we have used our model-based approach to perform deadlock analysis of several open-source programs so far in the Gadara project. These case studies demonstrate the benefits of a formal, model-based approach in providing an accurate and compact characterization of a deadlock scenario and in enabling systematic deadlock analysis using the techniques presented in this paper.

OpenLDAP is a popular open-source implementation of the Lightweight Directory Access Protocol (LDAP). We built the Gadara net model of version 2.2.20 of `slapd`, which is a high-performance multithreaded network server program of OpenLDAP, and has a confirmed CMW-deadlock bug. The `slapd` program has 1,795 functions, of which 456 remain after the pruning process discussed in Section 3.2 (Wang et al. 2008). The discovery of the CMW-deadlock bug in OpenLDAP by

analyzing its Gadara net model is discussed in Wang et al. (2010). Apache, formally known as Apache HTTP Server, is an open-source web server software. We built the Gadara net model of Apache `httpd` version 2.2.8. Analysis of this model revealed no CMW-deadlock in the software, which is consistent with the data in the Apache bug database (Wang et al. 2009a).

In the rest of this section, we discuss in detail a deadlock bug in version 2.5.62 of the Linux kernel that is captured in its Gadara net model. The deadlock example is inspired by the study conducted in Engler and Ashcraft (2003). Figure 6 shows this deadlock example. We annotated the lines of code that are related to lock allocations and releases. Each annotation explains the specifics of the corresponding line of

```

/** Thread 1 */
spin_lock(&im->lock);          /* LOCK(A), igmp.c, igmp_timer_expire(), 268 */
...
if (!fl.fl4_src){
    ...
    read_lock(&inetdev_lock);  /* LOCK(B), devinet.c, inet_select_addr(), 786 */

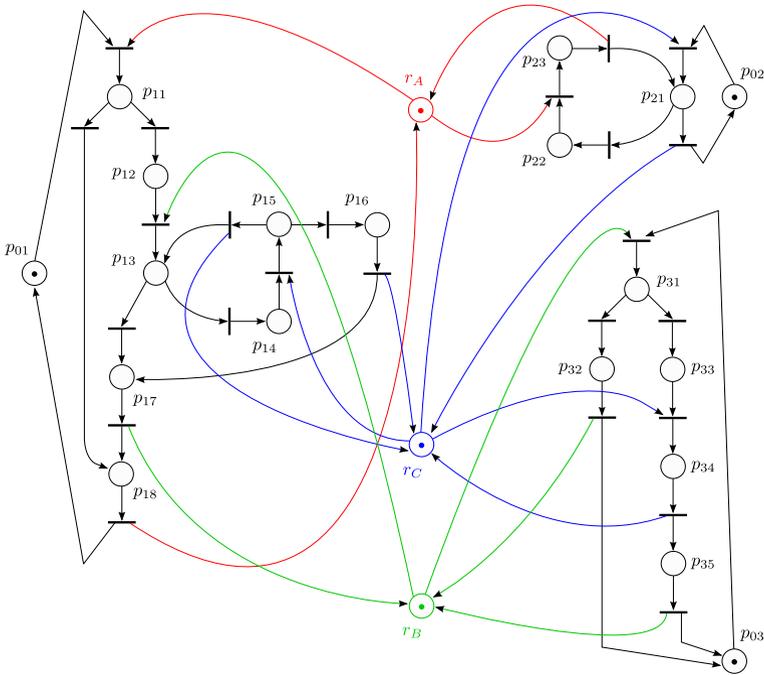
    for (...){
        ...
        read_lock(&in_dev->lock); /* LOCK(C), devinet.c, inet_select_addr(), 791 */
        ...
        if (...){
            read_unlock(&in_dev->lock); /* UNLOCK(C), devinet.c, inet_select_addr(), 795 */
            ...
            break;
        }
        ...
        read_unlock(&in_dev->lock); /* UNLOCK(C), devinet.c, inet_select_addr(), 800 */
    }
    ...
    read_unlock(&inetdev_lock); /* UNLOCK(B), devinet.c, inet_select_addr(), 803 */
    ...
}
...
spin_unlock(&im->lock);        /* UNLOCK(A), igmp.c, igmp_timer_expire(), 289 */

/** Thread 2 */
read_lock(&in_dev->lock);     /* LOCK(C), igmp.c, igmp_heard_query(), 338 */
for (...){
    ...
    spin_lock_bh(&im->lock);   /* LOCK(A), igmp.c, igmp_mod_timer(), 165 */
    ...
    spin_unlock_bh(&im->lock); /* UNLOCK(A), igmp.c, igmp_mod_timer(), 171 & 177 */
}
read_unlock(&in_dev->lock);   /* UNLOCK(C), igmp.c, igmp_heard_query(), 346 */

/** Thread 3 */
read_lock(&inetdev_lock);    /* LOCK(B), devinet.c, inet_select_addr(), 759 */
...
if (!in_dev){
    read_unlock(&inetdev_lock); /* UNLOCK(B), devinet.c, inet_select_addr(), 808 */
    return addr;
}
read_lock(&in_dev->lock);     /* LOCK(C), devinet.c, inet_select_addr(), 764 */
...
read_unlock(&in_dev->lock);   /* UNLOCK(C), devinet.c, inet_select_addr(), 775 */
read_unlock(&inetdev_lock);  /* UNLOCK(B), devinet.c, inet_select_addr(), 776 */

```

**Fig. 6** A deadlock example in the Linux kernel: simplified code



**Fig. 7** A deadlock example in the Linux kernel: Gadara net model

code using four components: lock/unlock action, file name, function name, and line number in the code. The deadlock involves three threads and three locks. Further, Thread 1 involves a six-level call chain, and Thread 2 calls two functions. We have inlined the chains of function calls and simplified the control flows, so that only the code that is relevant to the deadlock is presented in Fig. 6.

The Gadara net model of the considered lines of code is shown in Fig. 7. Analysis of this model using the techniques presented in this paper reveals two total-deadlock markings that are reachable from the initial marking as depicted in the figure: (i) The first total-deadlock marking is  $M_1$ , where there is one token in  $p_{12}$ , one in  $p_{22}$ , and one in  $p_{33}$ , while all other places are empty. At marking  $M_1$ , all three threads are involved in the deadlock. (ii) The second total-deadlock marking is  $M_2$ , where there is one token in  $p_{14}$ , one in  $p_{22}$ , and one in  $p_{03}$ , while all other places are empty. At marking  $M_2$ , only Threads 1 and 2 are involved in the deadlock. As we can see, the original deadlock bug in the program, which involves chains of function calls and complicated branchings, is clearly captured in this Gadara net model, which lays the groundwork for formal deadlock analysis.

## 7 Conclusion

Fear of deadlock distorts software development and diverts energy from more profitable pursuits, e.g., by intimidating programmers into adopting cautious coarse-grained locking when multicore performance demands deadlock-prone fine-grained

locking. Deadlock in lock-based programs is difficult to reason about because locks are not composable: Deadlock-free lock-based software components may interact to deadlock in a larger program (Sutter and Larus 2005). Non-composability therefore undermines the cornerstones of programmer productivity: software modularity and divide-and-conquer problem decomposition. In addition, insidious corner-case deadlocks may lurk even within single modules that are developed by individual expert programmers (Engler and Ashcraft 2003); such bugs can be difficult to detect, and repairing them is a costly, manual, time-consuming, and error-prone chore. The above challenges have motivated the formal model-based approach that we have adopted in the Gadara project to develop a software tool that will automatically instrument a given program to provably ensure deadlock freeness at run-time.

This paper has presented our results on modeling and analysis of lock-based multithreaded programs for the purpose of CMW-deadlock analysis, which are at the basis of the Gadara methodology. Specifically, we have defined a new class of Petri nets, called Gadara nets, to systematically model lock allocation and release in this programming paradigm. We have established a set of important properties of Gadara nets. The liveness and reversibility properties provide a means to map the behavioral objective of CMW-deadlock-freeness of a program to the structural requirement on its corresponding Gadara net model, which in turn lays the foundations for structure-based MPLE control synthesis of Gadara nets. The linear separability property further shows the feasibility of MPLE control synthesis. We have proposed a set of customized algorithms for liveness verification of Gadara nets and compared their performance with generic MIP-based siphon detection algorithms that are well-known in the literature. Our future work will report on the control synthesis framework and customized techniques that we have developed on the basis of the results in this paper for the class of Gadara nets.

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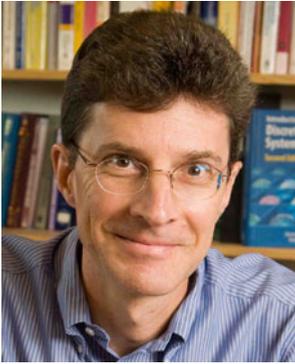
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