# The Design Methodology of Distributed Computer Systems

**Abstract**

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Chapter 2 describes top-down development approach. The development process is divided into four successive phases: (1) requirement and specification phase; (2) design phase; (3) implementation phase; (4) evaluation and validation phase. Guidelines and automated tools for the first two phases are developed. A graphical method (using the max. flow min. cut algorithm and cut-tree concept) is used.

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### ELECTRONICS RESEARCH LABORATORY

**Performing Organization Name and Address**

Electronics Research Laboratory
College of Engineering
University of California, Berkeley CA 94720

**Performing Office Name and Address**

Air Force Office of Scientific Research/NI
Bolling AFB DC 20332

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Chapter 3 examines Petri net model for asynchronous concurrent systems. Procedures based on Petri net for predicting and verifying the system performance are presented. The computational complexities of these procedures are also shown.

Chapter 4 examines the analysis techniques for deadlocks in asynchronous concurrent systems. In particular, we study in detail deadlocks caused by conflicts in mutual exclusive access to resources with the constraint that each resource type has only one member.

Chapter 5 first classifies and then evaluates several existing software reliability models according to some proposed criteria. Then it develops a theory of software reliability based on the nature of the input domain of the program, i.e., the size of the errors and the number, complexity and continuity of equivalence classes formed in the input domain.
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FINAL REPORT

THE DESIGN METHODOLOGY
OF DISTRIBUTED COMPUTER SYSTEMS

by

C. V. Ramamoorthy

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ELECTRONICS RESEARCH LABORATORY
College of Engineering
University of California, Berkeley
94720

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CHAPTER ONE

Introduction

In the past year, we have studied the distributed computer system. The work that we have accomplished can be summarized as follows:

1. Top down design strategy.
3. Methods to detect deadlock in distributed systems.
4. To develop an theory of software reliability based on the nature of the input domain of the program.

Current approaches to the design and analysis of computer systems are based primarily on experience and intuition. The specification, design, implementation and evaluation of computer systems are very expensive, difficult to test adequately, slow to deploy and difficult to adapt to changing requirements. These difficulties have led to many schedule slippages and project failures.

This research attempts to develop a systematic approach for the design and analysis of computer systems. However, the activities involved are so wide and varied that only part of the full scope of the design and development process is studied. A top-down development approach for computer systems is developed.

The techniques for prediction and verification of the performance of asynchronous concurrent systems can be classified into two categories: (1) deterministic models, and (2) probabilistic models. In deterministic models, it is usually assumed that the task arrival times, the task execution times, and the synchronization involved are known in advance to the analysis. With this information, a very precise prediction of the system performance can be obtained. This approach is very useful for performance evaluation of real time control systems with hard deadline requirements.
In probabilistic models, the task arrival rates and the task service times are usually specified by probabilistic distribution functions. The synchronization among tasks is usually not modelled, because otherwise the number of system states becomes so large that it would be impossible to perform any analyses. Probabilistic models usually give a gross prediction on the performance of the system and are good for early stages of system design when the system characteristics are not well understood. In this paper, we focus on performance analysis of real time systems and therefore we have chosen the deterministic approach. In particular, in order to model clearly the synchronization involved in concurrent systems, the Petri net model is chosen.

In our approach, the system to be studied is first modelled by a Petri net. Based on the Petri net model, a given system is classified as either: (1) a consistent system; or (2) an inconsistent system (the definitions are given in later sections of the paper). Most real-world systems fall into the first class and so we focus our discussion on consistent systems. Due to the difference in complexity involved in the performance analyses of different types of consistent systems, they are further subclassified into: (i) decision-free systems; (ii) safe persistent systems; and (iii) general systems. Procedures for predicting and verifying the system performance of all three types are presented. It is found that the computational complexity involved increases in the same order as they are listed above.

Our work in system deadlocks concentrates on analysis techniques for deadlocks in asynchronous concurrent systems. This includes multi-programmed systems, multiple processor systems and computer networks. In particular, we study in detail deadlocks caused by conflicts in mutual exclusive accesses to resources with the constraint that each resource type has only one member. Deadlocks due to the erroneous nesting of binary semaphores (Dij 71), nesting of
critical regions \( (Bri\ 72, Bri\ 73a) \) and nesting of monitors \( (Bri\ 73b, Hoa\ 74) \) are important members in the above category. In addition to these, deadlocks due to conflicts in data file lockings in distributed database systems also fall into the above category.

In order to facilitate the use of digital computers in critical, real-time control systems (e.g., nuclear power plant safety control systems), the software must be thoroughly validated. Software reliability is a measure of the confidence in the operational correctness of the software. Since the early 70's several software reliability models have been proposed. However, most of these models are ad hoc extensions of hardware reliability models and their assumptions have not been validated.

This thesis first classifies and then evaluates several existing software reliability models according to some proposed criteria. Then it develops a theory of software reliability based on the nature of the input domain of the program, i.e., the size of the errors and the number, complexity and continuity of equivalence classes formed in the input domain.

A general framework is developed for software reliability growth models used during the debugging phase of software development. It incorporates the concepts of residual error size and the testing process used. Two specific models are then developed. The first approach models the effect of debugging actions on the residual error size as a random walk process with a continuous state-space. The time between the detection (and correction) of successive errors is then modelled as a doubly stochastic Poisson process. The application of this model and its statistical evaluation are also discussed. The second approach is a bayesian one dealing with the prior and posterior distributions of the residual error size.

During the validation phase, the program is tested extensively in order to determine its reliability. Even if new errors are detected, they are not corrected.
A model is developed for directly estimating the correctness probability of the software based on the set of test cases used and on the number of equivalence classes, their complexity and continuity properties. The model is applied to a pilot program developed for nuclear power plant safety control systems.

A predictive model, applicable during the operational phase, is developed based on the continuity of the input domain. An uncertainty measure using fuzzy set theory is proposed for the operational software. The perturbation of the residual error size due to different maintenance activities is also discussed.

The theory is then applied to the evaluation of software validation techniques and programming languages. Some language constructs and documentation techniques which can improve the reliability of the software are proposed. The application of the theory to different aspects of project management is also discussed.

This report is divided into 6 chapters. The top down design strategy is presented in chapter 2. Chapter 3 presents the techniques for performance evaluation in concurrent systems. Chapter 4 develops the procedure of deadlock detection in distributed systems. Chapter 5 presents the development of a theory of Software Reliability model based on the nature of the input domain of the Program. Lastly, section 6 gives a conclusion of this report.
CHAPTER 2

A Top-Down Approach for the Development of Distributed Computer Systems

2.1 Introduction

In this chapter, a systematic approach for the development of distributed computer systems is discussed. The objective is to develop guidelines and automated tools for the design of distributed systems. The philosophy behind the approach is based on top-down hierarchical modelling of DCS.

2.2 The Top-Down Development Approach

The top-down approach proposed here can be broken down into four successive phases (Figure 2.1):

1. Requirement and specification phase.
2. Design phase.
3. Implementation phase.
4. Evaluation and validation phase.

The requirement and specification phase starts with some (possibly incomplete, vague, and informal) system requirements that approximate the desired system, and finishes when the modified and elaborated requirements have been formally encoded and tested to the satisfaction of the system engineers and the "customers".

The design phase starts with the requirement specifications and finishes when the system specifications are produced. The objective is to optimize and organize the system in a well formed structure. It involves an hierarchy of decomposition and partitioning of the system into subsystems.

The implementation phase takes the system specification and develops the system architecture. It then maps the system functions into either hardware or
Figure 2.1 A top down development methodology
software functions. It is only at this step that physical constraints and technology comes into consideration.

The final step is the evaluation and validation of the system. This phase uses the bottom up validation approach. It takes the final design and ensures that the system meets the original requirements. This step uses both analytical modelling and simulation.

2.2.1 Requirement and Specification Phase

This phase consists of four major steps (Figure 2.2): (i) requirement elaboration, (ii) requirement specification and attribute formulation, (iii) process definition, and (iv) verification of requirements.

2.2.1.1 Requirement Elaboration

The requirement elaboration step can be considered as a problem understanding stage. The objective is to let the requirement engineers to have a bird's-eye view on the operations of the system.

2.2.1.2 Requirement Specification and Attribute Formulation

(A) Requirement Specification

In real-world situations, the problems are so complex that pure mathematical formulation is usually impossible. The approach of using a specification language is chosen.

A specification language is a syntactically and semantically well defined language possibly intermixed with mathematic equations. Its whole purpose is to provide a efficient and effective medium for defining the system requirements. The language should be amenable to both static (hierarchical relationship, data definition, etc.) and dynamic (control flow and data flow) analyses (Bel 76, Ham 76, Pet 77).
Figure 2.3 The flow chart for the requirement and specification phase
Attribute Formulation

For a distributed system, the attributes are cost, reliability, availability, flexibility, expandability, reconfigurability, etc. Some of them are very difficult to be quantified. Usually, the situation is further complicated by the fact that the system attributes are interdependent on each other and they may compete and interact with each other. The designers are forced to consider design tradeoffs early in the development process.

2.2.1.3 Process Definition

The process definition step accepts inputs from the requirement specification and attribute formulation step and identifies major functions to be performed. First the input stimulus and the required responses are characterized.

2.2.1.4 Verification of Requirements

In this step, the processes of the virtual system is verified to meet the original users' requirements. As the system is developed hierarchically, the specifications of one level are the requirements of the next level. To verify the correctness of the virtual system, we only have to verify the consistency between the specifications and requirements between consecutive levels.

2.2.2 Design Phase

The design phase starts with the defined processes which are the output of the requirement and specification phase. The major steps involved in the design phase are decomposition and partitioning, functional specification and finally verification (Figure 23).

2.2.2.1 Decomposition and Partitioning

In order for the design process to be manageable, it must be decomposed and partitioned in such a way that most decisions can be made locally, based on
Figure 2.7 The flow chart for the design phase
data available within a local area of the developing system specifications. To achieve this, the system is decomposed into progressively more detailed components which are then grouped into partitions (subsystems) to minimize the amount of interactions between partitions. A graph theoretical approach for the systematic decomposition and partitioning of a system is developed.

2.2.2.2 Functional Specification

The next major step in the design phase is functional specification of the partitioned processes. This functional specification is different from the process specification described in the requirement specification phase. The objective of the process specification is to define the interactions of the processes for the decomposition step. The objective of the functional specification here is to define the characteristics of the functions so to enable optimization in the functions to processors mapping.

2.2.2.3 Verification of Design

No single model is powerful enough to have all the above features. The control flow of a distributed system can be modelled quite effectively by Petri net, UCLA graph model, E-net, etc. (Pet 77, Gos 71, Nee 73). These models represent clearly the flow of information and control in a distributed system, especially those which exhibit asynchronous and concurrent properties.

In order to predict and analyze the performance of the designed system, queuing models and simulation are often used (Fer 78).

2.2.3 Implementation, Evaluation and Validation

The implementation phase takes the virtual system and develops the system architecture. It then maps the system functions into either hardware or software functions.
The final phase is the evaluation and validation of the system. This phase uses the bottom up validation approach. Both analytical modelling and simulation will be used. Because of the hierarchical decomposition, each subsystem to be analyzed should be small and therefore complexity should be low.

2.3 Summary

The development process is divided into four successive phases: (i) requirement and specification phase; (ii) design phase; (iii) implementation phase; and (iv) evaluation and validation phase. The first two phases are explored in detail. The last two phases of the development process are only outlined briefly because they are very technology and architecture dependent.
CHAPTER 3
Performance Evaluation of Asynchronous Concurrent System

3.1 Review of Petri Nets

3.1.1 Basic Properties of Petri Nets

Petri nets (PET 77, AGE 75) are a formal graph model for modelling the flow of information and control in systems, especially those which exhibit asynchronous and concurrent properties.

3.1.2 Application of Petri Nets in Control Flow Analysis

Petri nets have been used extensively to study the control flow of computer systems. By analyzing the liveness, boundedness and proper termination properties of the Petri net model of a computer system, many desirable properties of the system can be unveiled.

A Petri net is live (HAC 75, HOL 71) if there always exists a firing sequence to fire each transition in the net. By proving that the Petri net is live, the system is guaranteed to be deadlock free.

A Petri net is bounded (KAR 66, LIE 76) if for each place in the net, there exists an upper bound to the number of tokens that can be there simultaneously. If tokens are used to represent intermediate results generated in a system, by proving that the Petri net model of the system is bounded, the amount of buffer space required between asynchronous processes can be determined and therefore information loss due to buffer overflow can be avoided. If the upper bound on the number of tokens at each place is one, then the Petri net is safe. Programming constructs like critical regions (BRI 72) and monitors (BRI 73, HOA 74) can be modelled by safe Petri nets.

A Petri net is properly terminating (GOS 71, POS 74) if the Petri net always terminate in a well-defined manner such that no tokens are left in the net.
By verifying that the Petri net is properly terminated, the system is guaranteed to function in a well behaved manner without any side-effects on the next initiation.

3.1.3 Extended Timed Petri Nets

In order to study the performance of a system, the Petri net model is extended to include the notion of time (RAM 74). In such extended nets, an execution time, \( r \), is associated with each transition. When a transition initiates its execution it takes \( r \) units of time to complete its execution. With the extended Petri net model the performance of a computer system can be studied.

3.2 Performance Evaluation

The work that we have accomplished in performance evaluation is to use Petri nets to find the maximum performance of the system, i.e., to find the minimum cycle time (for processing a task) of the system. As pointed out before, different computational complexities are involved in the analyses of systems of different types. The approaches for analyzing each type of system are studied separately in detail in the following section. Before we come to the analyses, some definitions are in order.

**Definition.** In a Petri net, a sequence of places and transitions, \( P_1t_1t_2t_2...P_n \), is a directed path from \( P_1 \) to \( P_n \) if transition \( t_i \) is both an output transition of place \( P_i \) and an input transition of place \( P_{i+1} \) for \( 1 \leq i < n-1 \).

**Definition.** In a Petri net, a sequence of places and transitions, \( P_1t_1P_2t_2...P_n \), is a directed circuit if \( P_1t_1P_2t_2...P_n \) is a directed path from \( P_1 \) and \( P_n \) and \( P_1 \) equals \( P_n \).

**Definition.** A Petri net is strongly connected if every pair of places is contained in a directed circuit.
In this paper, we presented the performance analysis techniques for strongly connected non-terminating Petri nets. Extensions to analyze weakly connected Petri nets are quite straightforward so it will not be discussed in this report.

3.2.1 Consistent and Inconsistent Systems

The first step involved in our approach to analyze the performance of a system is to model it by a Petri net. A system is a consistent (inconsistent) system if its Petri net model is consistent (inconsistent). A Petri net is consistent (condition A) if and only if there exists a non-zero integer assignment to its transition such that at every place, the sum of integers assigned to its input transitions equals the sum of integers assigned to its output transitions; otherwise, the system is inconsistent. If a system is live and consistent, the system goes back to its initial configuration (state) after each cycle and then repeats itself. If a system is inconsistent, either it produces an infinite number of tokens (i.e., it needs infinite resources) or consumes tokens and eventually comes to a stop.

3.2.2 Decision-free Systems

A system is a decision-free system if its Petri net model is a decision-free Petri net. A Petri net is decision-free if and only if for each place in the net, there is one input arc and one output arc. This means that tokens at a given place are generated by a predefined transition (its only input transition) and consumed by a predefined transition (its only output transition).

For a decision-free system, the maximum performance can be computed quite easily.

**Theorem 3.1.** For a decision-free Petri net, the number of tokens in a circuit remains the same after any firing sequence.
Definition. Let $S_i(n_i)$ be the time at which transition $t_i$ initiates its $n_i$-th execution. The cycle time, $C_i$, of transition $t_i$ is defined as

$$\lim_{n_i \to \infty} \frac{S_i(n_i)}{n_i}.$$ 

Theorem 3.2. All transitions in a decision-free Petri net have the same cycle time.

Theorem 3.3. For a decision-free Petri net, the minimum cycle time (maximum performance) $C$ is given by

$$C = \max \left\{ \frac{T_k}{N_k} : k = 1, 2, \ldots, q \right\}$$

such that

$$S_i(n_i) = a_i + Cn_i$$

$$T_k = \sum_{t_i \in L_k} r_i$$

$$N_k = \sum_{P_i \in L_k} M_i$$

$q = \text{number of circuits in the net}$

$a_i = \text{constant associated with transition } t_i$

$L_k = \text{loop (circuit) } k$

$M_i = \text{number of tokens in place } P_i$

We develop a very fast procedure to verify the performance of a system.

A procedure for verifying system performance

(1) Express the token loading in an $n \times n$ matrix, $P$, where $n$ is the number of places in the Petri net model of the system. Entry $(A, B)$ in the matrix
equals \( x \) if there are tokens in place \( A \), and place \( A \) is connected directly to place \( B \) by a transition. Matrix \( P \) of the example system in Fig 3.1 is shown below:

\[
\begin{array}{ccccccc}
A & B & C & D & E & F & G \\
A & 1 & 0 & 0 & 0 & 0 & 0 \\
B & 0 & 0 & 1 & 0 & 0 & 0 \\
C & 0 & 0 & 0 & 0 & 1 & 0 \\
D & 0 & 0 & 0 & 0 & 0 & 1 \\
E & 0 & 0 & 0 & 0 & 0 & 0 \\
F & 0 & 0 & 0 & 0 & 0 & 0 \\
G & 0 & 0 & 0 & 0 & 0 & 0 \\
\end{array}
\]

Matrix \( P \)

Express transition time in an \( nxn \) matrix, \( Q \). Entry \( (A,B) \) in the matrix equals to \( r_i \) (execution time of transition \( i \)) if \( A \) is an input place of transition \( i \) and \( B \) is one of its output places. Entry \( (A,B) \) contains the symbol "w" if \( A \) and \( B \) are not connected directly as described above.

Matrix \( Q \) for the example system is:

\[
\begin{array}{ccccccc}
A & B & C & D & E & F & G \\
A & v & v & v & v & v & v \\
B & v & w & v & v & v & v \\
C & v & w & v & v & v & v \\
D & v & w & v & v & v & v \\
E & v & v & v & v & v & v \\
F & v & v & v & v & v & v \\
G & v & v & v & v & v & v \\
\end{array}
\]

Matrix \( Q \)
Figure 3.1 A computer configuration with the execution times of its processes
(3) Compute matrix CP-Q (with n-2 = oo for n N), then use Floyd's algorithm (Flo 62) to compute the shortest distance between every pair of nodes using matrix CP-Q as the distance matrix. The result is stored in matrix S. There are three cases:

(a) All diagonal entries of matrix S are positive (i.e., CNk -Tk > 0 for all circuits) -- the system performance is higher than the given requirement.

(b) Some diagonal entries of matrix S are zero's and the rest are positive (i.e., CNk -Tk = 0 for some circuits and CNk -Tk > 0 for the other circuits) -- the system performance just meets the given requirement.

(c) Some diagonal entries of matrix S are negative (i.e., CNk -Tk < 0 for some circuits) -- the system performance is lower than the given requirement.

In the example, for C = 15, CP-Q is

\[
\begin{array}{cccccccc}
A & B & C & D & E & F & G \\
A & oo & oo & 10 & 10 & oo & oo & oo \\
B & oo & oo & oo & oo & oo & oo & oo \\
C & oo & oo & oo & oo & -5 & oo & oo \\
D & oo & oo & oo & oo & oo & -4 & oo \\
E & oo & -3 & oo & oo & oo & oo & -3 \\
F & oo & -3 & oo & oo & oo & oo & -3 \\
G & -2 & oo & oo & oo & oo & oo & oo \\
\end{array}
\]

After applying Floyd's algorithm to find the shortest distance between every pair of places we have:

\[
\begin{array}{cccccccc}
A & B & C & D & E & F & G \\
A & 0 & 2 & 10 & 10 & 5 & 6 & 2 \\
B & 0 & 2 & 10 & 10 & 5 & 6 & 2 \\
C & 10 & 8 & 6 & 0 & -5 & -4 & -2 \\
D & 10 & 8 & 6 & 0 & -5 & -4 & -2 \\
E & 10 & 8 & 6 & 0 & -5 & -4 & -2 \\
F & 10 & 8 & 6 & 0 & -5 & -4 & -2 \\
G & 10 & 8 & 6 & 0 & -5 & -4 & -2 \\
\end{array}
\]

Matrix S
Since the diagonal entries are non-negative, the performance requirement of $C = 15$ is satisfied. Moreover, since entries $(A,A)$, $(C,C)$, $(E,E)$ and $(G,G)$ are zero's, $C = 15$ is optimal (i.e., it is the minimum cycle time). In addition, when a decision-free system runs at its highest speed, $CN_\kappa$ equals to $T_k$ for the bottleneck circuit. This implies that the places that are in the bottleneck circuit will have zero diagonal entries in matrix $S$. In the example, the bottleneck circuit is $At_1Ct_2Et_4Gt_5$. With this information, the system performance can be improved by either reducing the execution times of some transitions in circuit (by using faster facilities) or by introducing more concurrency in the circuit (by introducing more tokens in the circuit). Which approach should be taken is application dependent and beyond the scope of this thesis.

The above procedure can be executed quite fast. The formulation of matrices $P$ and $Q$ takes $O(n^2)$ steps. The Floyd algorithm takes $O(n^3)$ steps. As a whole, the procedure can be executed in $O(n^3)$ steps. Therefore, the performance requirement of a decision-free system can be verified quite efficiently.

### 3.2.3 Safe Persistent Systems

A system is a safe persistent system if its Petri net model is a safe persistent Petri net. A Petri net is a safe persistent Petri net if and only if it is a safe petri net and for all reachable markings, a transition is disabled only by firing the transition. To compute the performance of the system, we first transform it into a decision-free system and then use the algorithm discussed in the previous subsection to compute the system performance.

A persistent Petri net can be transformed into a decision-free Petri net by tracing the execution of the system for one cycle.

### 3.2.4 General Systems

A system is a general system if its Petri net model is a general Petri net.
A Petri net is a general Petri net if it is a consistent Petri net and there exists a reachable marking such that the firing of a transition disables some other transitions.

General systems are very difficult to analyze. In the next theorem, we show that it is unlikely that a fast algorithm exists to verify the performance of a general system. A method of computing the upper and lower bounds of the performance of a conservative general system (Lie 76) is proposed. For a non-conservative general system, no good heuristics are known to the authors and further research is needed.

Theorem 3.4. Verifying the performance of a general Petri net is an NP-complete problem (Kar 72).
4.1 An Approach to Deadlock Prevention

The scope of our study on system deadlock is restricted to systems using: (i) binary semaphores; (ii) critical regions; and (iii) monitors as their interprocess synchronization mechanisms. This enforces structural design and greatly reduces the computational complexities involved in the analyses. Based on the above synchronization constructs, a formal graph model (the request-possession graph) is developed to model deadlocks in these systems. The necessary and sufficient conditions for the occurrence of a deadlock are derived. Based on these conditions, techniques for uncovering potential deadlocks in a system are developed, and a systematic approach for the construction of deadlock-free systems using critical regions and/or monitors is proposed.

4.1.1 The Request-Possession Graph Model

An request-possession graph (an RP-graph) is a formal graph model developed to study deadlocks in systems which use binary semaphores, critical regions and/or monitors as their synchronization mechanisms. It is a directed bipartite graph with two types of nodes and two types of arcs (Fig. 4.1b): (1) resource reference nodes (which are called reference nodes in short in the rest of the chapter), and (2) resource nodes. The reference nodes are used to represent accesses of resources in a system and the resource nodes are used to represent resources. A dotted arc directed from a reference node to a resource node represents the request of the resource from the reference node. A solid arc directed from a resource to a reference node represents the assignment of the resource to the reference node.
The RP-graph of a program can be generated by scanning through the program once. The procedure for constructing the RP-graph of a concurrent system can be best illustrated by an example. Figure 4.1 shows a concurrent system together with its RP-graph. For each binary semaphore (P or V operation) in the system, there is a corresponding resource node (reference node) in the RP-graph. For each P operation in the system, a dotted arc is drawn from the corresponding reference node to the corresponding resource node. Solid arcs are then drawn from the resource nodes to a reference node for the resources that have been possessed by the process when it begins to execute the reference node. For example, solid arcs are drawn from resource nodes a and b to reference node V(b) or process X because both resources a and b are possessed by the process when it begins to execute instruction V(b). Following the above procedure, the RP-graph of a system can be constructed in linear time to the number of instructions in a program. As the releases of resources will never bring a system into a deadlock, the reference nodes corresponding to V operations are omitted in RP-graphs.

4.1.2 The Necessary and Sufficient Conditions for Deadlocks

The necessary condition for deadlocks developed in this section is applicable to systems using binary semaphores, critical regions and/or monitors as their synchronization mechanisms. The sufficient condition for deadlocks developed is only applicable to systems using critical regions and/or monitors as their synchronization mechanisms. This is due to the unstructureness of semaphores and are explained later in this section.

Definition. A system is safe if and only if it is deadlock-free. A system is unsafe if and only if it potentially can get into a deadlock state.

Theorem 4.1. Only gives the necessary condition for an unsafe system. The existence of a directed cycle in the RP-graph of a system does not imply that the
Process X

* P(a)
* use printer
* P(b)
* use tape drive
* V(b)
* V(a)

Process Y

* P(b)
* use tape drive
* P(a)
* use printer
* V(a)
* V(b)

Figure 4.12 An example of system deadlock

Figure 4.1b The request-possession graph of figure 4.4a
The system is unsafe.

The RP-graph can be generated automatically in linear time to the number of instructions in a system. The Floyd algorithm can be used to detect the existence of directed cycle in the RP-graph, which has execution time \(O(n^3)\) steps where \(n\) is the number of nodes in the generated RP-graph. As a result, the proposed algorithm can be executed in poly-nominal time to the number of instructions in a system.

Before we discuss the sufficient condition for a safe system, some extensions have to be made on the RP-graph. The resultant model is called the augmented request-possession-graph (the ARP-graph). It is very similar to the RP-graph except that each reference node, \(r\), is given a set of names, \(S_r\), such that \(s^* S_r\) if and only if:

1. \(s\) is the name of the process when it begins to execute node \(r\), or,
2. \(s\) is the name of a resource that has been possessed by the process when it begins to execute node \(r\) (i.e., there exists a solid directed arc from resource \(s\) to node \(r\) in the RP-graph).

Theorem 4.2. A system is safe if and only if its ARP-graph does not contain a directed cycle with distinct names on its reference nodes (i.e., \(S_u \cap S_v = \emptyset\) for all pairs of nodes, \(u\) and \(v\), in the cycle).

Theorem 4.2. Is true for a system which uses critical regions and monitors as its synchronization mechanisms, however, it does not hold for a system that uses semaphores as its synchronization mechanism. From this point onwards, when we talk about systems, we mean systems which use critical regions and/or monitors as their synchronization mechanisms.

One application of theorem 4.2 is to prove the safety of a system. Before we use the Theorem, we have to develop an effective procedure to
determine whether there exists a directed cycle with distinct labels on its nodes in a labelled directed graph. However, it is shown in the following theorem that the above problem is NP-complete (i.e., it is unlikely to have a fast algorithm to solve the problem).

**Theorem 4.3.** It is NP-complete to find a directed cycle with distinct labels on its nodes in a labelled directed graph.

### 4.1.3 An Approach to the Design of Deadlock-Free System

**Theorem 4.4**

If all critical regions and/or monitors are linearly ordered, and all processes enter a critical region or a monitor at a higher level before those at a lower level, deadlock cannot occur.

The above strategy imposes severe constraints on the nesting of critical regions and/or monitors. Two of its drawbacks are: (1) reducing the concurrency in a system; and (2) reducing the transparency of a system. One approach to remedy some of the drawbacks is to group critical regions and/or monitors into sets allowing unordered nesting within each set. A linear ordering is then imposed among sets. A process must not enter a critical region or a monitor in a set at a higher level after it has entered one in a set at a lower level. The linear ordering among sets guarantees that deadlock cannot occur due to improper nesting of critical regions or monitors in different sets. The deadlock-free condition within each set is verified by the deadlock detection procedure discussed in section 4.1.1. This approach provides: (1) good programming style; (2) higher degree of concurrency; (3) no run time overhead; and (4) automatic deadlock detection during compilation.

### 4.2 Deadlock Detection in Distributed Data Bases

In a distributed data base, deadlocks can be detected quite easily by using
a centralized control strategy. Whenever a process locks or releases a data file, it
gets the permission from a central control node. This control node maintains a
demand graph for the whole system and checks for deadlocks by searching for a
directed cycle in the graph. However, the approach is inefficient. All data
accesses have to get the permissions from the central control node although they
may not cause any deadlocks. This slows down the system, wastes the system
communication bandwidth and unnecessarily congests the communication
subsystem. Above all, if the control node goes down, it is very difficult to recover
the system from the failure.

Another approach for deadlock detection is to store the resource status
locally at each site. Periodically, a node is chosen to be the control node.
Resource status are then sent from each site to the control node for analyses. This
remedies most of the drawbacks of the centralized approach. However, due to the
inherent communication delay, the chosen control node may get an inconsistent
view of the system, and it may make a wrong conclusion.

We have developed three approaches to construct consistent demand
graph. In the approaches, it is assumed that each transaction is given a unique
name.

4.2.1 A Two Phase Deadlock Detection Protocol

In this protocol, each site maintains a status table for all resources that
are owned by the site. For each resource, the table keeps track of the transaciton
that has locked the resource (if one exists) and the transactions which are waiting
for the resource (if they exist). Periodically, a node is chosen as the control. The
chosen control node performs the following operations:

1. Broadcasts a message to all nodes in the system requesting them to send
   their status tables and waits until all tables have been received.

2. Constructs a demand graph for the system:
(a) If there is no directed cycle, the system is not in a deadlock and the node releases its control.

(b) If there is a directed cycle, the node continues its execution.

(3) Broadcasts a second message to all nodes in the system requesting them to send their status tables and waits until all tables have been received.

(4) Constructs a demand graph for the system using only transactions that are reported in both the first and second reports:

(a) If there is no direct cycle, the system is not in a deadlock and the node releases its control.

(b) If there is a directed cycle, the system is in a deadlock. The node reports the deadlock situation to a deadlock resolver.

The above procedure uses a two phase commit protocol. By only using transactions that are reported in both the first and the second status reports in constructing the demand graph, a consistent system state is obtained. The main advantage of this protocol is its simplicity. The drawback is the requirement of two status reports from each site before a deadlock can be determined. In general, the protocol is good for systems in which deadlocks occur only infrequently.

4.2.2 A One Phase Deadlock Detection Protocol

In this protocol, a deadlock is detected in one communication phase. Each site maintains a resource status table for all local resources and a process status table for all local processes. The resource status table keeps track of the transactions that have locked a local resource and the transactions which are waiting for a local resource. The process status table keeps track of the transactions that are being owned by processes local to the site. The system operates according to the following rules:

(A) A process at site $S$ requests a resource -- a transaction $(S,t)$ is created, where $S$ is the site name and $t$ is the time at which the transaction is
initiated. An entry \((S,t,w)\) is put into the process status table of the site indicating the transaction \((S,t)\) is waiting for a resource. A message is sent to acquire the resource.

(B) Site \(T\) receives a message that transaction \((S,t)\) requests a resource local to \(T\):

(i) If the resource is free, the resource is assigned to the transaction and a lock is set on the resource. An entry \((S,t,a)\) is created in the resource status table of the site and a message is sent to notify the requesting process of the assignment.

(ii) If the resource is being locked, an entry \((S,t,w)\) is created in the resource status table of the site and a message is sent to acknowledge the receiver of the request.

(C) Site \(S\) receives a resource assignment message for transaction \((S,t)\) -- the entry \((S,t,w)\) in the process status table is changed to \((S,t,a)\).

(D) Site \(S\) receives a request acknowledgement message for transaction \((S,t)\) -- do nothing.

(E) A process at site \(S\) releases a resource corresponding to transaction \((S,t)\) -- the entry \((S,t,a)\) is removed from the process status table and a message is sent to notify the release.

(F) Site \(T\) receives a resource message corresponding to transaction \((S,t)\) -- the resource is unlocked and the entry \((S,t,a)\) is removed from the resource status table.

Periodically, a node is chosen as the control. The chosen control node performs the following operations:

(1) Broadcasts a message to all nodes in the system requesting them to send their status tables and waits until all tables have been received.
(2) Constructs a demand graph for the system using only transactions for which the resource status table agrees with the process status table (i.e., identical entries exist in both the resource status table and the process status table).

(a) If there is no directed cycle, system is not in a deadlock and the node releases its control.

(b) If there is a directed cycle, system is in a deadlock. The node reports the deadlock situation to the deadlock resolver.

In order to show that the above protocol is correct, we have to prove that the existence of a directed cycle in the constructed demand graph implies the occurrence of a deadlock state.

**Theorem 4.5**

A system is in a deadlock if and only if there is a directed cycle in the demand graph constructed by the above procedure.

4.2.3 **A Hierarchical Deadlock Detection Protocol**

In very large distributed data bases, it may be very costly to transfer all status tables to one site. In particular, if the access pattern is very localized, it will be of great advantage if deadlocks are detected locally. In these systems, one approach is to group sites which are close to each other into a cluster.

Periodically, a node in a cluster is chosen to be the control. This control node executes the one phase deadlock detection protocol and constructs a demand graph for the cluster. The result obtained by the control node together with the intercluster accesses (which should be relatively few) are then sent to a central control node (which is also chosen dynamically). Based on this information, the central control node constructs the demand graph of the whole system. In this
way, deadlocks within a cluster are detected by the control node of the cluster and
deadlocks among clusters are detected by the central control node.

Definition

A transaction is a local (intercluster) transaction if and only if the
requesting process and the requested resource are in the same (different) cluster(s).

A Hierarchical Deadlock Detection Protocol

(A) Periodically, a central control node is chosen. This node performs the
following operations:

(1) Chooses dynamically a control node for each cluster.

(2) Broadcasts a message to all control nodes requesting them to send
their status information and wait-for relations of the intercluster
transactions.

(3) Constructs a demand graph of the system using both the intercluster
transactions for which the resource status report agrees with the
process status report and the wait-for relations (which are defined
later) sent from the control nodes. If there is a directed cycle in the
demand graph, the system is in a deadlock, otherwise, the system is
not in a deadlock.

(B) Whenever a node receives a status report request from the central control
node, it performs the following operations:

(1) Broadcasts a message to all nodes in the cluster requesting them to
send their status tables and waits until all tables have been received.

(2) Constructs a demand graph for the cluster using only local
transactions for which the resource status table agrees with the
process status table.
(3) Computes the transitive closure of the demand graph. If there is a directed cycle in the demand graph, the system is in a deadlock.

(4) Derives the wait-for relations from the transitive closure of the demand graph. A process/resource is waiting for a process/resource if and only if:

(a) The processes and/or the resources are in some intercluster transactions.

(b) The process/resource is waiting directly or indirectly for the process/resource (i.e., there is a directed arc pointing from the process/resource to the process/resource in the transitive closure of the demand graph).

(5) Send the intercluster transaction status information and the wait-for relations to the central control node.

The above concept can be extended into many levels. In this way, a hierarchy of control nodes can be constructed. Due to the local access pattern of a system, the amount of information that has to be sent from a child control node to its parent can be greatly reduced.
5.1 Classification of Software Reliability Models

To analyze and further develop different reliability models, we first classify them based primarily on the phase of software life-cycle during which the model is applicable, namely, Testing and Debugging phase, Validation phase, Operation and Maintenance phase. During the Testing and Debugging phase, the implemented software is tested and debugged. It is often assumed that the correction of errors does not introduce any new errors. Hence, the reliability of the program increases and, therefore, the models used during this phase are also called reliability growth models. These models are mainly used to obtain a preliminary estimate of the software reliability. However, software developed for critical applications, like airtraffic control, must be shown to have a high reliability prior to actual use. At the Validation phase, the software is subjected to a large amount of testing in order to estimate the reliability. Errors found during this phase are not corrected. In fact, if errors are discovered the software may be rejected. The Nelson model (TRW 76) is based on statistical principles. The software is tested with test cases having the same distribution as the actual operating environment. After the software has been thoroughly validated it is put into operation. During use further errors may be detected or there may be user demands for new features. These pressures result in maintenance activity (SWA 76, SWA 79), i.e., modification of the software. The addition of new features results in a growth in the size of the software. During the maintenance phase, the possible activities are: error correction, addition of new features and improvements in algorithms. Any of these activities can perturb the reliability of the system. The new reliability can be estimated using the models for the validation phase.

However, it may be possible to estimate the change in the reliability using fewer
testing cases by ensuring that the original features have not been altered. We do not know of any existing software reliability models applicable during this phase. Based on the above classifications, we develop a theory of software reliability based on the nature of the input domain of the program, i.e., the size of the errors and the number, complexity and continuity of equivalence classes formed in the input domain.

5.2 Testing and Debugging Phase

The major assumption of all software reliability growth models is that inputs are selected randomly and independently from the input domain according to the operational distribution.

This is a very strong assumption and will not hold in general, especially so in the case of process control software where successive inputs are correlated in time during system operation. To adjustify the above disadvantage, the models are developed and can be applied to any type of software, their validity increases as the size of the software and the number of programmers involved increases:

(A) Random Walk Model

We can view the error size under operational inputs, say, , as a random walk process in the interval (0,e). Each time the program is changed (due to error correctins or other modifications) changes. Let denote the time between failures after the jth change. is a random variable whose distribution depends on j. We do not know anything about the random walk process of other than a sample of time between failures. Hence, one approach is to construct a model for and fit the parameters of the model to the sample data. Then we assume that the future behaviour of can be predicted from the behaviour of the model.

(B) Bayesian Model

An alternative approach is the bayesian approach advocated by Littlewood
Here we postulate a prior distribution for each of \(1, 2, \ldots, j\). Then based on the sample data, we compute the posterior distribution of \(j+1\).

5.3 Validation Phase

The well known Nelson Method during this phase is based upon the policy that the test cases are selected randomly according to the operational distribution. However, it suffers from a number of practical drawbacks:

1. In order to have a high confidence in the reliability estimate, a large number of test cases must be used.

2. It does not take into account "continuity" in the input domain. For example, if the program is correct for a test case, then it is likely that it is correct for all test cases executing the same sequence of statements.

3. It assumes random sampling of the input domain. Thus, it cannot take advantage of testing strategies which have a higher probability of detecting errors, e.g., boundary value testing, etc. Further, for most real-time control systems, the successive inputs are correlated if the inputs are sensor readings of physical quantities, like temperature, which cannot change rapidly. In these cases we cannot perform random testing.

4. It does not consider any complexity measure of the program, e.g., number of paths, statements, etc. Generally, a complex program should be tested more than a simple program for the same confidence in the reliability estimate.

The approach we developed reduces the number of test cases required by exploiting the nature of the input domain of the program. The input domain based approach to the estimation of software reliability is: \(R = 1 - V_{CR}\), where \(V_{CR}\) is the estimated remaining error size. \(V_{CR}\) can be determined by testing the program and locating and estimating the size of errors found. In most cases this is simple since it is relatively easy to find the inputs affected by a known error. If this cannot be done,
random sampling can be used to estimate the size of the error. It is expected that software for critical applications will contain no known errors during this phase. Reliability of the program given any input distribution by assuming some knowledge about the error distribution in the input domain. Furthermore, we can generalize this by considering the input distribution as well as the membership function of each input element in probabilistic equivalence classes defined as fuzzy sets (ZADE79).

5.5 Applications

(a) PROGRAMMING LANGUAGE DESIGN: The reliability of a program depends greatly on the language on which it is coded. For example, many more errors will be introduced in a program coded in a Machine Level Language (MLL) than in a program coded in a High Level Language (HLL). This is the basis of the concept of language level introduced by Halstead (HAL77). However, this criteria only considers the difference between the volumes of the programs produced using different languages. Here we propose a different measure of the goodness of a programming language. The criteria is qualitative and is based on the size of possible errors which a programmer can commit. A good programming language construct is one which maximizes the chance of detecting an error when it occurs, i.e., it increases the size of likely errors. We consider all methods of validating the software, including code reading, static analysis, dynamic analysis and testing.

(b) PROJECT MANAGEMENT: Another important application of software reliability theory is in project management. One obvious use of the reliability measure is as a criterion for the acceptance or rejection of the software. Besides, software reliability can be applied to the scheduling of testing when several different strategies can be used. The analysis is based on the concept of efficiency of testing strategies. We develop a probabilistic model which determines a test case selection strategy in order to minimize some cost criterion. The cost could be
the amount of time required to develop a test case using a particular strategy. This is useful for control systems' software since the requirement of high confidence in the reliability estimate implies a large amount of testing. The model also specifies the optimal distribution of test cases over the various modules constituting the program. For example, simple modules should be tested less than complex error-prone modules.
CHAPTER 6

Future Work

One future research area is to develop the criteria for grouping critical regions and monitors into sets so to minimize the amount of "unstructuredness" created by the grouping. Another future research area is to develop faster deadlock detection procedures. Although it has been proven that determining the safety of a system is NP-complete, the computation complexity can be in polynomial to the size of the program if some parameters are fixed.

One issue which we have not dealt with is the estimation of the overall hardware/software system reliability. The combination of hardware and software reliability estimates is discussed in (BUN 80, KEE 76, KLI 80, THO 80). However, the approach generally advocated is to assume that hardware and software failures are independent, so that the overall system reliability is the product of the software and hardware reliability estimates. This is unsatisfactory since it is possible for the software to rectify hardware failures and vice versa. For example, the failure of a line printer need not be a system failure if the software can re-direct the output to another device. A viable approach is to view the overall system as being similar to a mul-machine system.

For complex systems, methods must be developed for estimating the design correctness of the hardware. Thus, failures can be due to software errors, hardware component break-downs or hardware design errors. The applicability of software reliability growth models discussed above to estimating the design correctness needs to be investigated.

Another important research area is developing techniques for validating software reliability models. At present the models are applied to some project data and their validity is deduced from the results. This is not satisfactory since very few sets of actual data are available. Further, the models make some
assumptions which may not hold for the particular project. For example, most software reliability growth models assume that the testing process is the same as the operational environment, which is not true in general. In this thesis we have adopted a deductive approach coupled with several experiments. Also, we have derived auxiliary results (e.g., the optimal set of test cases) which seem reasonable. Further, we have developed an independent way of validating each model, namely, the determination of the error size for the stochastic model and the error seeding approach to estimating the correctness probability for the theoretical model we developed.
Bibliography


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