

# Reducing STM Overhead with Access Permissions

Nels E. Beckman   Yoon Phil Kim   Sven Stork   Jonathan Aldrich

School of Computer Science  
Carnegie Mellon University  
{nbeckman,svens,aldrich}@cs.cmu.edu, feel@alumni.cmu.edu

## Abstract

While transactional memory makes concurrent programming more convenient, software transactional memory (STM) is typically associated with a high overhead. In this work we present a technique for reducing overhead associated with STM using *access permissions*, annotations on method parameters describing how references may alias. This information, which is statically checked for correctness, can be used to eliminate synchronization and logging operations. We have implemented this technique and show that it improves performance on a number of benchmarks.

**Categories and Subject Descriptors** D.1.3 [Concurrent Programming]; D.4.6 [Performance]

**General Terms** Performance, Verification

**Keywords** Transactional Memory, Optimization, Permissions

## 1. Introduction

Transactional memory [12], or TM, is a promising approach to decreasing the difficulty of writing multi-threaded, shared-memory applications. TM systems provide programmers with a new primitive, the atomic block, whose simple semantics dictates that code inside the block must be run *as if* no other threads were running concurrently (Figure 1). This primitive is typically implemented in an optimistic fashion, wherein threads run concurrently but have the effects of their memory writes “un-done” if they were able to observe a view of memory inconsistent with atomic semantics.

Unfortunately, there are some obstacles to the widespread adoption of this approach. One obstacle is the relatively large overhead that existing transactional memory systems impose over standard lock-based synchronization. This overhead is primarily due to required instrumentation, as certain *logging* and *synchronization* operations must be performed on every (or at least many) memory accesses.

In this paper we propose an optimization of *software* transactional memory or STM [10]. Our optimization will make use of access permissions [4], static type annotations associated with program references which modularly describe the ways in which the referred object may be aliased

```
void xfer(Account a1, Account a2, int amt) {  
    atomic: {  
        a1.withdraw(amt);  
        a2.deposit(amt);  
    }  
}
```

**Figure 1.** A very simple use of the atomic block in a Java-like language. Note that this snippet uses Java’s labeled block in order to maintain compatible syntax, as does our implementation.

by other program references.<sup>1</sup> In this optimization, for certain references, such as those that point to immutable objects, we will be able to remove all synchronization and logging operations. For other references, such as those that uniquely point to the object to which they refer, we will be able to remove all synchronization overhead associated with accessing the object (because the object was in fact thread-local) or we will be able to treat that object as part of the protection domain of another object (because the object was transitively accessible from a thread-shared object). In each case, our optimization reduces the overhead of STM.

This paper makes the following contributions:

1. We present a technique for the compile-time removal of unnecessary synchronization and logging in STM implementations based on access permissions, an existing alias control mechanism.
2. We have implemented this optimization in AtomicPower, a source-to-source implementation of STM based on AtomJava [15] and work by Adl-Tabatabai et al. [1]. AtomicPower takes a program written in Java using STM primitives and translates it into an optimized, thread-safe pure Java program.
3. We have evaluated our optimizations on a number of benchmarks, including an open-source video game application. In general performance is improved, and in cer-

<sup>1</sup>Readers familiar with Ownership type systems [8] or Fractional Permission systems [6] will immediately recognize many features of access permissions.

tain cases greatly improved, ranging from 10% to 40% improvement.

Since access permissions were designed to aid in the verification of behavioral properties of object-oriented programs, we claim that programmers who are already using this system to verify concurrent programs will receive performance improvement “for free,” without any additional specification burden.

We proceed as follows: Section 2 describes access permissions and their use in lightweight behavioral verification. Section 3 first describes our implementation of software transactional memory and then describes our permission-based optimizations to that implementation. In Section 4 we describe our evaluation procedure, our benchmarks, and the results of our optimization. Finally, we discuss related work and conclude.

## 2. Background: Access Permissions

Access permissions are a static means of controlling aliasing for the purposes of program verification. The system we use was proposed by Bierhoff and Aldrich [4] for the purposes of statically verifying correct usage of object protocols, also known as tpestate [18]. (Their system in turn was inspired by Boyland [6].) Access permissions are similar to other alias control schemes (e.g., ownership [8]) because they restrict the ways in which objects can be aliased. In recent work [3] we extended tpestate verification using access permissions to concurrent programs that use atomic blocks as a means of mutual exclusion. That work was the inspiration for our permission-based optimizations.

While a full description of the verification system is outside the scope of this paper, in this section we describe access permissions as they are used to annotate concurrent programs.

Access permissions are predicates that are statically associated with program references. These predicates tell us how the reference with which they are associated can be aliased and modified. They must be provided by the programmer at method boundaries, and as class invariants, but can otherwise be automatically tracked as they flow through method bodies. A program annotated with access permissions encodes the sort of information provided by whole-program alias analysis without actually performing any whole-program analysis.

There are five kinds of access permissions, each of which denotes a different pattern of aliasing for the references with which they are associated. Here we describe each in turn. In Figure 2 we recap all five.

**Unique** permission is associated with a reference that points to an object that can only be reached through that single reference. The reference can be used to read and modify the object. This is also known as a linear reference [19].

This Ref. May:	Other Refs. May:		
	None	Read	Write
Read	unique	immutable	pure
Write	unique	full	share

**Figure 2.** A recap of the five permission types.

**Immutable** permission is associated with a reference that points to an object that many references may point to, but of those references none can be used to modify the object.

**Full** permission is associated with a reference that can be used to read and modify the object to which it points. Other references may simultaneously exist that point to the same object, but those other references cannot be used to modify the object.

**Share** permission is associated with a reference that can both read and modify the object to which it points. However, a share permission indicates that any number of other references may simultaneously point to the same object, and some of those references could be used to modify the object.

**Pure** permission is associated with a reference that can be used to read an object. It differs from immutable because it indicates that other modifying references to the same object, namely full or share, may exist.

Programmers specify method formals and the receiver as requiring a certain kind of access permission. Then, at call sites for that method, our static checker will determine whether or not the proper permission is available on the references that are passed as actuals to the method. Because certain permissions kinds are in a sense, “stronger” than others, it is often possible to call a method that requires a different permission for a parameter than is available on the argument, using the “splitting” rules of our system. For instance, a unique permission on an argument will satisfy a method that requires a full permission for the corresponding parameter, since knowing that a reference is the *only* reference in a program pointing to some object is more powerful than knowing a reference is the *only modifying* reference.

The following example shows a class meant to hold parameters for a multi-threaded benchmark. It is annotated with access permissions:

```
class BenchmarkParams {
    @Perm(ensures="unique(this)")
    BenchmarkParams() { ... }

    @Unique void setTimeLimit(int t) { ... }
    @Imm int getTimeLimit() { ... }
}
```

The specification indicates that the constructor returns the sole reference (unique) to the new object. The benchmark time limit can be changed as long as the caller has the only reference (unique) to the object. In order to query the limit

using the `getTimeLimit` method, a client needs just a reading permission (`immutable`).

In the following code the call to `createThread` will succeed statically. It will consume an `immutable` permission, which can be satisfied with the available `unique` permission, but it will not return it (as noted in its specification), presumably so that the permission can be stored in the field of a newly created thread. This leaves an `immutable` in the calling context, subsequently enabling a call to `getTimeLimit`, but not to `setTimeLimit`:

```
void createThread(@Imm(returned=false)
    BenchmarkParams) { ... }
```

```
BenchmarkParams p = new BenchmarkParams();
p.setTimeLimit(2000); // Okay, has unique(p)
createThread(p); // Consumes immutable(p)
p.getTimeLimit(); // Okay, has immutable(p)
p.setTimeLimit(500); // Error! need unique(p)
```

### 3. Approach

We implemented STM as a source-to-source translation, from Java with certain labeled statements delineating atomic blocks (those labeled as `atomic`) to pure Java. We then used static access permission annotations to remove unnecessary synchronization and logging. Before describing our optimization, we briefly discuss our initial implementation of STM in order to show what kinds of synchronization and logging operations are normally necessary. Our optimization is able to reduce overhead on accesses to `immutable` and `unique` references, and to a lesser extent, full references.

#### 3.1 Base Implementation

Our implementation of software transactional memory is a combination of `AtomJava` [15] and work by Adl-Tabatabai et al. [1].<sup>2</sup> `AtomJava` is a source-to-source implementation of STM that uses a pessimistic synchronization strategy. It takes programs written in “Java plus atomic blocks” and outputs pure Java source code. We used `AtomJava` as a starting point, but rewrote much of the internals and run-time system in order to use the synchronization strategy proposed by Adl-Tabatabai et al. [1]. While we have attempted to make our implementation as fast as possible, we do not claim excellent absolute performance. Rather, we claim that we can improve relative performance by reducing the number of synchronization and logging operations required. It is our belief that access permissions could help optimize many different implementations of STM, but that the optimization might be slightly different with other design choices.

Our implementation uses an optimistic read, pessimistic write strategy with object granularity. Each object is either owned, or unowned. Unowned objects can be read at will by

<sup>2</sup>This work was initially developed as part of Yoon Phil Kim’s master’s thesis [16].

any transaction, but in order to write an object, a transaction must be the owner of that object, and it remains the owner until the end of the transaction. Writers modify objects in place, and roll back the state of the object in case of transaction abort. We use a version numbering scheme in order to detect possibly-inconsistent reads.

The source-to-source translation process begins by rewriting every object to (transitively) extend `TxnObject` which holds a `TxnRecord` for storing object meta-data. The `TxnRecord` contains both an owner field, telling transactions whether or not the object is owned and by whom, and a version number. Every thread in the program is rewritten to extend `TxnThread`. `TxnThread` itself extends `java.lang.Thread`, but holds a `TxnDescriptor` object which contains additional data related to a transaction’s status. `TxnDescriptor` holds three thread-local hash maps, one each for the read set, write set and undo log.

Our implementation must also rewrite atomic blocks and memory reads inside transactions. Like `AtomJava`, we create two copies of each method, the original version and a version to be called inside of atomic contexts. An atomic block is rewritten as a loop that initially calls `txnStart`, setting the current transaction’s status to ‘active.’ The loop contains a try-catch block whose finally block attempts to commit the transaction, continuing the loop if the transaction commit fails. Field reads (and writes) in an atomic context are replaced with calls to `txnOpenObjectForRead` (or `Write`), which obtains the object’s `TxnRecord` and calls `txnOpenRecordForRead` (or `Write`), whose implementations are shown in Figure 3. Note that the `isOwned` method has cost equivalent to a volatile read, and `setOwner` must perform an atomic test-and-set. `logWriteSet` performs a whole object copy and a hash table insert, while `logReadSet` performs just a hash table insert.

We use a polite contention manager [13], and in order to avoid infinitely running transactions due to inconsistent reads we validate the read set by inserting a call to `validateReadSet` on back edges and method entries. This performs validation once every 1000 calls. Arrays are synchronized on `TxnRecords` held by a global array, since we cannot force them to extend a super-class of our choosing. Our run-time system uses the array’s hash code in order to index into the global array. This will occasionally cause access to disjoint arrays to be perceived as contention.

Finally, and in order to make our evaluation more realistic, our implementation performs some basic optimizations on both the base case and the optimized case. We do not open the receiver object for reading on an access to a final field. Additionally, we perform a basic intra-procedural flow analysis to remove redundant read and write open operations on the same object.

#### 3.2 Optimization

In this section we describe a technique for statically optimizing the performance of programs annotated with access

```

static void txnOpenTxnRecordForRead(TxnRecord rec) {
    TxnDescriptor txnDesc = getCurrentThreadTxnDescriptor();
    if ( txnDesc.writeSetContains(rec) ) return;
    do { if (!rec.isOwned()) {
        logReadSet(rec, txnDesc);
        return;
    }
        txnHandleContention(rec);
    } while (true);
}

static void txnOpenTxnRecordForWrite(LoggableObject obj, TxnRecord rec) {
    TxnDescriptor txnDesc = getCurrentThreadTxnDescriptor();
    if ( txnDesc.writeSetContains(rec) ) return;
    do { if (!rec.isOwned()) {
        if (rec.setOwner(null, txnDesc)) {
            logWriteSet(obj, rec, txnDesc);
            return;
        }
    }
        txnHandleContention(rec);
    } while (true);
}

```

**Figure 3.** The implementation of the methods `txnOpenTxnRecordForRead()` and `txnOpenTxnRecordForWrite()` in the STM run-time.

permissions. This is the primary contribution of this work. In this section we describe the optimization process, while in Section 3.3 we discuss some of the implications of this process.

Our optimization occurs during source to source translation, as in-transaction reads and writes are encountered. We use the access permission associated with the object reference to determine if we *really* have to open the object for reading or writing. The reason that we open an object for reading or writing is to protect it against concurrent access by multiple threads. So if an object is not thread-shared, then it does not need to be opened for reading or writing. Fortunately for us, in our earlier work [3], we showed that access permissions can soundly approximate whether or not a given reference points to a thread-shared object.

Our approximation works by assuming that whenever the access permission on a reference indicates that another reference may exist, those references are reachable from other threads, making the object thread-shared. For instance, we assume any object pointed to by a share reference is thread-shared, assuming that those other references, wherever they may be, are held by other threads. This gets interesting when we talk about unique permissions. Since unique permission means that no other references to an object can exist, we take this to mean that the object is not thread-shared. In this case, our optimization will not open the object for reading or writing. The first three rules of our optimization (naively) assume that the access permission alone is a sound approximation of thread-sharing:

**Rule 1** References of immutable permission will never be opened for reading. Since no thread will change their value, there is no need to protect a thread from concurrent modification.

**Rule 2** When writing to the fields of a unique object, it is not necessary to open that object for writing since no other thread can concurrently access the object. However, it is necessary to log the initial value of the object as the transaction still may be rolled back. Therefore, when writing to objects of this permission, a call to the `txnOnlyLogWriteObject` method is inserted, which logs a copy of the object, but does not perform an atomic test and set on its owner field.

**Rule 3** Neither objects of unique nor full permission ever need to be opened for reading. Again, since no other threads have modifying permission to objects of these permission kinds, there is no need to protect our thread from concurrent modification.

Of course an object that is uniquely referenced by the field of a thread-shared object becomes thread-shared itself! If our optimization just consisted of these first three rules, these thread-shared objects would not be protected from concurrent modification.

Therefore, we add one additional rule to ensure that our optimization is sound. The net result will be that either a unique object was *actually* thread-local, or that the uniquely referenced object has become part of the synchronization domain of another thread-shared object.

**Rule 4** Because unique and full permissions can be reached through fields of other thread-shared objects, we require that any share, full, or pure object be opened for writing before any method is called on a unique or full field of that object.

The first and third rules will lead to a reduction in the number of synchronizing operations in the resulting translated program, since no check will be performed to query the “owned” status of that object. These rules will also lead to a reduction in the number of logging events, since their consistency will not need to be later checked. While logging is a thread-local operation, it does require inserting an item into a hash table. The second rule will help to eliminate the synchronization overhead of an atomic test-and-set, which is required when acquiring ownership of an object.

Note that references associated with full permission still must be opened for writing, as other pure references may be used to concurrently read the same object.

In Figure 4 we have illustrated the effect of our optimization on the `contains` method of a linked list. This linked list is used for the buckets of a hash set, which we use as a benchmark and describe in detail in Section 4. Since the list is singly-linked, each element refers to the next with a unique reference. The receiver of the `contains` method is annotated with the `@Imm` permission, since it does not perform mutation, but this is okay since the unique permission can be used to satisfy the immutable requirement. The primary difference between the optimized and unoptimized versions of this method are the removal of the call to `__aj_get_value(...)` in the optimized version. This call would normally open `this` for reading, but since we have a unique permission to the list node, we do not require synchronization. Also note that subsequent reads on fields of the receiver do not perform synchronization in either case, because of our basic optimizations.

In the next section we further discuss the ramifications of our changes.

### 3.3 Discussion

We have presented a technique for optimizing the performance of STM programs using access permissions that will potentially reduce overhead on thread-local, immutable objects, and other objects that are used in restricted aliasing patterns. However, there are some more subtle points that deserve further discussion.

The first thing to note is that while we can reduce or even eliminate the overhead associated with reading and writing references of immutable or unique permission, those are the sorts of operations that, by themselves, do not need to be performed inside of an atomic block at all. Moreover, our permission checker [3] already tells a programmer statically which memory accesses must and need not be performed inside of a transaction, based on the same static access permissions (essentially obviating the need for strong atomicity). The point is that because of this, we mainly expect to

```
@Imm boolean contains(@Pure Object item) {
    if( this.value.equals(item) )
        return true;
    else if( next == null ) return false;
    else return next.contains(item);
}
```

```
boolean contains_atomic(Object item)
    throws TransactionException {
    txnPeriodicValidation();
    if (UniqueLinkedList .
        __aj_get_value(this).equals_atomic(item))
        return true;
    else if (next == null) return false;
    else return next.contains_atomic(item);
}
```

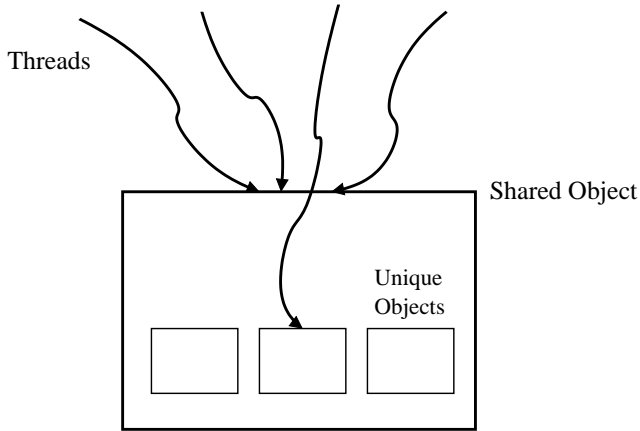
```
boolean contains_atomic(Object item)
    throws TransactionException {
    txnPeriodicValidation();
    if (this.value.equals_atomic(item))
        return true;
    else if (next == null) return false;
    else return next.contains_atomic(item);
}
```

**Figure 4.** The `contains` method of a linked list, before translation (top), and as translated for use in atomic contexts without (middle) and with (bottom) optimization.

get performance improvements out of unique and immutable objects that are “captured” inside of atomic blocks because of actions being performed on other, thread-shared objects.

The next thing to note continues the point made in the previous section: objects referenced through unique reference are not necessarily thread-local. Rule 4 ensures that even if a uniquely referenced object is thread-shared, it will still be protected from concurrent access, namely because all threads that will have accessed it will already have had to open the referring object for writing, which can only be performed by one thread at a time. This creates a situation illustrated in Figure 5. But because many objects can be protected through ownership of one outer object, there is the potential to greatly reduce overhead in some programs.

Occasionally, because of Rule 4, our optimization may insert “open for write” operations that were not otherwise necessary. Therefore, we must ask if the potential increase in contention is worth the reduction in overhead. Recent work has suggested that overhead, not contention, is the primary cause of poor performance in STM implementations [9]. For programs that generally access disjoint regions of memory, the increased granularity will hopefully not matter. We specified our HashSet benchmark (Section 4) twice in order to observe the effect of this increased granularity, and saw that, as expected, overhead was lowered but contention increased



**Figure 5.** unique and full fields accessed via a thread-shared object are protected since the outer object has necessarily been opened for writing. The single owner thread is free to modify inner, unique objects at will, as other threads attempt to acquire ownership of the outer object.

as the number of threads increased. Interestingly, the performance is not dramatically worse even in such a program with artificially high contention.

Finally, it is interesting to point out that sometimes with our system, a programmer’s specification goals may conflict with his performance goals. When writing a method specification for the purposes of behavioral verification, a programmer generally wants to write the weakest pre-condition possible. This will make the method useful in the largest number of contexts. In our system, this means requiring as weak a permission as possible (e.g., pure or share) to the parameters of a method. However, when performing optimization, since we must assume conservatively that references of pure or share permissions are being thread-shared, this may result in under-performance when a stronger permission was available. For example, if the programmer has unique permission to an object, they would like pure method calls on that object to not require any synchronization. This is a natural use for method specialization, since, statically, we can identify the points at which a caller has a stronger permission than strictly required by the method. Creating a copy of that method with reduced synchronization would help improve program performance. While we have not implemented this specialization feature in AtomicPower, we plan to do so in the future. Additionally, some of our benchmarks have been “hand-specialized” in order to take advantage of this observation. This process consisted simply of creating several copies of the same method with slightly different specifications.

## 4. Evaluation

In order to evaluate our technique, we have used our optimizations on a suite of annotated benchmarks of varying

sizes and we compared those results to our baseline implementation. In this section we describe the results of these benchmarks. We also describe our experiences specifying these concurrent programs, and report on interesting patterns.

### 4.1 Methodology

For the purposes of evaluation, we chose several benchmarks, consisting of micro-benchmarks, popular STM benchmarks, and an open source Java video game. For programs that were not originally written to use atomic blocks, we replaced existing synchronization constructs. Then, we used access permissions to specify as many of the methods and classes as possible, in order to describe the program’s aliasing behavior. This required a good understanding of each program’s run-time behavior. After specification, we used NIMBY [3], our static permission checker, to check the consistency of our specifications. This process verifies that the access permissions we wrote were actually correct, with respect to the aliasing behavior of the program. While the primary goal of NIMBY<sup>3</sup> is to check typestate behavioral properties, we did not specify any for the purposes of this experiment. Figure 6 describes the number and type of full, unique and immutable permissions that were used in each benchmark, since these permissions are the ones that provide performance benefit. For the largest benchmarks, we did not specify all of the references in the system. Specifically, we ignored methods and objects that were never used in transactions and we did not specify methods of pure or share permission that did not interact with other permissions in meaningful ways. Since the default reference annotation is share in our system, this is sound.

After permission verification, we took each benchmark and ran it through AtomicPower, our source-to-source translator, with and without our permission optimizations. For each benchmark, our optimization removed a different number of calls into the STM run-time system. Figure 6 describes the number of open for read and write calls that were statically removed for each benchmark, as well as the number of additional open for write calls that were inserted. Note that in general the removal and insertion of STM operations at different locations in the source program will have different effect on overall benchmark performance.

In general our STM implementation is not sound if it is not used to translate every file in an application. However, some of our benchmarks used classes from the Java standard library. While many of these classes could be translated from source, some could not due to limitations in our source to source translation (primarily due to use of anonymous inner classes and some features of Java generics). In a few cases we created new implementations which could more readily be translated by AtomicPower. In such cases we attempted to be as faithful as possible to the original implementation.

<sup>3</sup> <http://code.google.com/p/pluralism/>

Benchmark	Refs. Annotated			Open Calls Removed (Total)		Extra OW Calls Inserted
	immutable	unique	full	read	write	
4InALine	124	23	1	41 (289)	8 (100)	1
HashSet	0	4	0	1 (16)	0 (5)	1
ListSet	0	5	0	4 (19)	2 (18)	0
ReadHeavy	2	2	0	1 (1)	0 (0)	0
WriteHeavy	0	4	0	0 (0)	1 (1)	0

**Figure 6.** Number of references annotated with helpful access permissions, and the number of open for read/write calls this removed. The last column lists the number of additional open for write calls inserted due to rule 4.

Each benchmark has its own measure of performance, usually elapsed time or number of operations performed. We ran each with and without optimizations for 1000 runs (unless otherwise noted), varying the number of threads when appropriate.<sup>4</sup>

We will now briefly describe each benchmark in turn.

**ReadHeavyTest and WriteHeavyTest:** In order to get a feel for the potential of our optimization, we created two synthetic benchmarks, ReadHeavyTest and WriteHeavyTest. Both programs access objects inside of a transaction, but do so with only a single thread. ReadHeavyTest creates a chain of objects, each of which refers to the next with immutable permission, and then inside of a transaction reads from fields of every object in the chain. The entire process is performed 1000 times inside of a loop, and was designed to illustrate the effect of removing an open for read operation. WriteHeavyTest is the same, except that each object in the chain refers to the next object with a unique permission, and during the transaction each object in the chain is modified. This benchmark was designed to give us a feel for the amount of overhead that can be reduced when removing the ownership acquire operation, but retaining the object copy operation. For comparison purposes we also ran the same two experiments without any synchronization.

**4InALine:** We wanted to evaluate our optimizations on a real program representative of common multi-threaded OO programs. For this purpose, we chose 4InALine<sup>5</sup>, a GUI-based video game that is a clone of the board game Connect Four. We chose this program because it was relatively large (5471 loc in 62 classes), it was well designed and documented, and seemed at first glance to contain a number of immutable and thread-local objects that were being accessed inside of critical regions. 4InALine stores shared game data in a server object that is accessed by client threads, one per each player in the game, and by a GUI update thread. These threads will each occasionally make a copy of the current

game board, which they use to either calculate a next move, or to determine the visual representation of the board.

4InALine required some modification before it could be used as a benchmark. We replaced synchronized blocks with atomic blocks (57) and a retry statement (1). This program uses JFrame, a Swing framework class which allows users to create GUI windows. We created a wrapper class that would be introduced as an intermediary by AtomicPower. This wrapper ensures that user subclasses of JFrame will be properly synchronized without requiring us to translate large portions of the Swing framework. In practice, this translation strategy worked well, resulting in a program without flickering or obvious synchronization defects.

For the experiment, we ran 4InALine in a deterministic AI versus AI game on the weakest difficulty level, and gathered the elapsed time from game start to completion.

**ListSet:** ListSet is an STM benchmark from a paper by Herlihy et al. [14]. It is an implementation of a List. This benchmark is interesting for our purposes because it creates local objects inside of transactions that escape from their allocation context and are later accessed, but are not shared with other threads. Note that each node does *not* have a unique pointer to the next node, as one might expect of a singly-linked list. Therefore the entire backbone of the list is annotated with share permissions. For our benchmark, we created a number of threads and then measured the total number of insert/remove/contains operations those threads could cumulatively execute during two seconds. Each thread performed 30% updating operations.

**HashSet:** We created our own implementation of a hash set for benchmarking purposes. In this implementation, the hash set holds an array of bucket nodes that each point to a linked list. Inside the linked list, each node points to the next with unique permission. The outer object, however, points to each bucket node with share permission so that it will not become a contention bottleneck. In order to evaluate the effects of Rule 4, which may occasionally insert extra open for write operations, we also specified a “high contention” version of the same program. In this version, the outer hash set object points to its buckets with unique permission. This will eliminate synchronization internal to the data structure, but will effectively serialize access to it, since the outer-

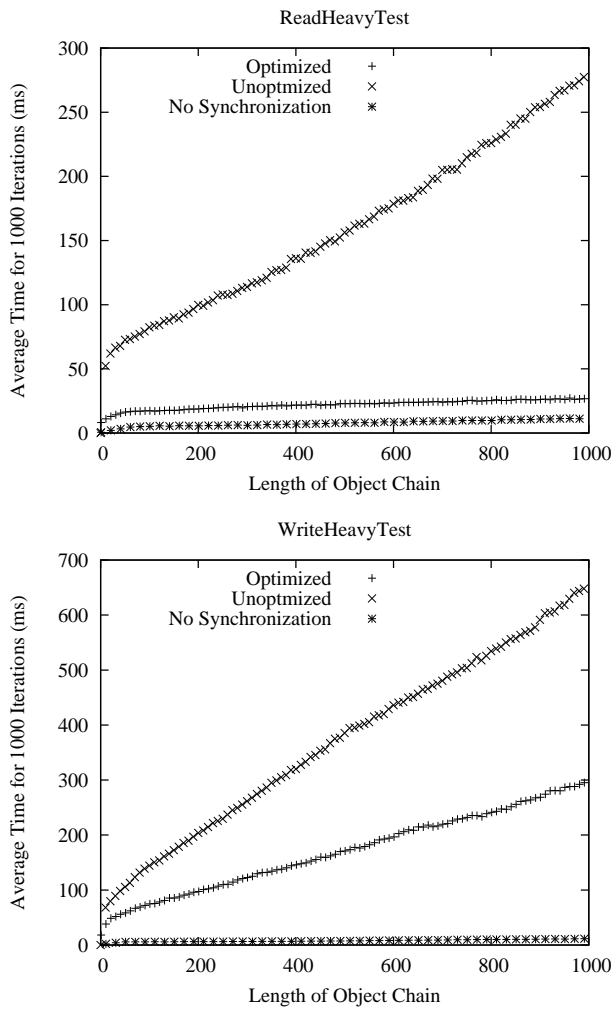
<sup>4</sup> Note that all of our performance numbers come from executing programs on a Dell PowerEdge 2900 III with 2 Quad Core Intel Xeon X5460 processors, running at 3.16GHz (1333MHz FSB) with 2x6MB of L1 cache, 32 GB of RAM, and running Linux 2.6.23.1-001-PSC and Sun’s Java SE Run-time Environment (build 1.6.0\_07-b06).

<sup>5</sup> <http://code.google.com/p/fourinline/>

most object will alternatively owned by each transaction, preventing all other transactions from accessing the set. Both versions pass the permission checker as specified. For this benchmark, we created a number of threads and made each perform 100000 operations, 30% of which were updating. We measured the elapsed time.

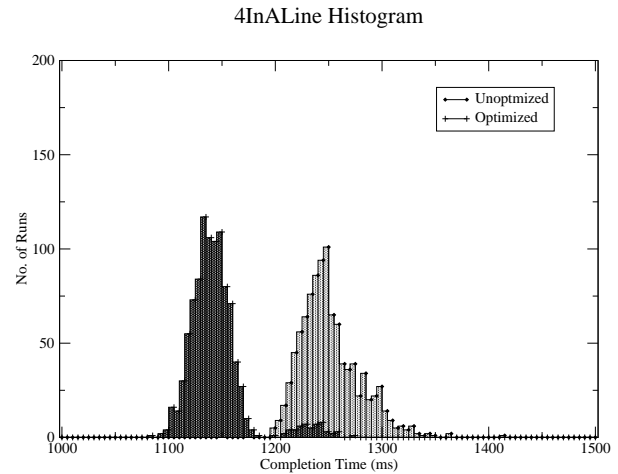
#### 4.2 Results and Discussion

The results of our benchmarks are shown in Figures 7 through 10. In general, our optimizations improved performance, although to varying degrees. Most improvements can be attributed to unique and immutable references.

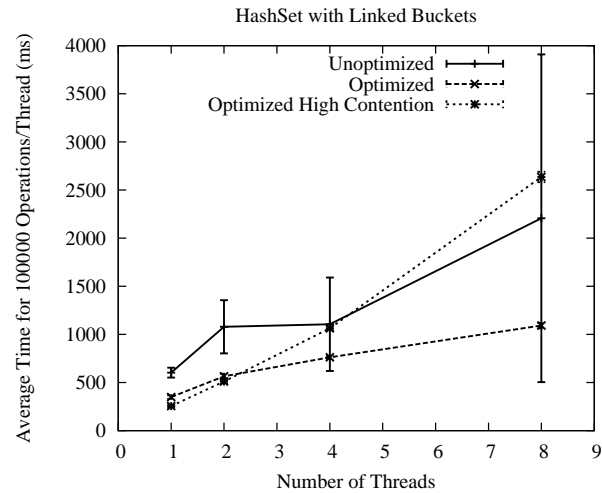


**Figure 7.** The results from running ReadHeavyTest and WriteHeavyTest (less is better).

The results from the ReadHeavyTest and the WriteHeavyTest (Figure 7), show that there is potentially a great deal to be gained by optimizing access to unique and immutable objects. In particular, removing the open for read operation provides a big benefit, since this makes a memory read essentially free. The synchronization-free benchmark is



**Figure 8.** Histogram of completion times for 4InALine (left is better, x axis begins at 1000).



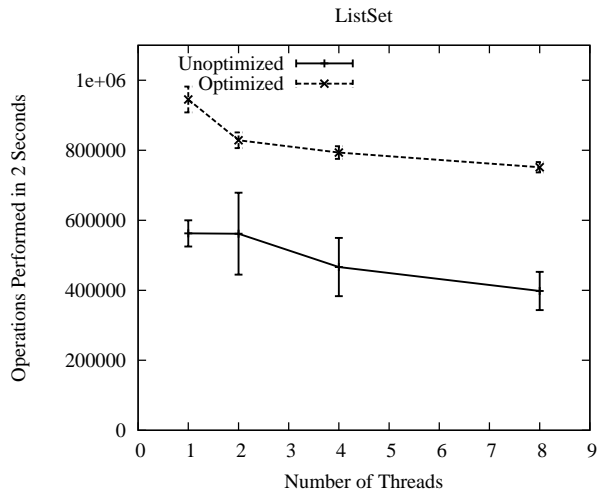
**Figure 9.** Mean completion times for the HashSet benchmark for different numbers of threads, using 30% modifying operations (less is better). Note the large standard deviation for the unoptimized case.

always faster even for the read-only case, since there is some overhead associated with starting and committing the 1000 transactions that are performed during each run.

The performance of ListSet (Figure 10) was improved because it uses a number of thread-local objects that happen to be trapped inside of atomic blocks. ListSet creates a Neighborhood object on each look-up. This object escapes its allocation context, but is immediately used by the caller, which is still inside a transaction, to determine the result of a search. This process happens once per operation.

However, in our system, objects do not have to be thread-local to be optimized. Uniquely referred objects can still be part of a thread-shared data structure, such as the bucket lists





**Figure 10.** Mean number of total operations performed in 2 seconds in the ListSet benchmark, using 30% modifying operations (more is better).

in the HashSet benchmark (Figure 9). Because the randomized inserts, contains and remove operations generally hash to different buckets, threads do not contend, and therefore the overhead that is saved because the entire linked list is being locked once at the head results in better performance. Furthermore, note the large standard deviation for the unoptimized case. We speculate that this is due to transaction aborts, which are generally expensive. Because the buckets are locked at the front, aborts are extremely rare in the optimized case, but can occur in the unoptimized case, where a thread may traverse the list, have it modified behind it, and then be forced to abort since its read set is now out of date. For our high contention specification, as expected, overall performance is better for smaller numbers of threads, since almost all synchronization operations will be removed, but degrades as more threads attempt to access the data structure and the single lock becomes a bottleneck.

4InALine (Figure 8) benefits from its use of a number of immutable objects. There are many pieces inside the model (which itself is thread-shared and mutated) that are never modified, and therefore numerous reading methods, such as calls to equals, are sped up. Also, 4InALine uses a number of immutable collections, such as a cache for storing lines that are known to be winning lines. Each line is implemented as an immutable list of immutable pieces, although to take full advantage of immutability, we had to perform hand-specialization, copying certain methods and re-specifying them as taking an immutable receiver.

## 5. Related Work

There has been much previous research attempting to optimize the performance of software transactional memory and to reduce its overhead.

For instance, work has been done in statically identifying objects that were allocated inside of a transaction using a whole program analysis [11, 1]. Shpeisman et al. [17] use a whole-program alias analysis in order to identify objects that are never accessed inside of a transaction, and additionally perform a dynamic escape analysis in order to find thread-local objects. Aldrich et al. [2], Blanchet [5] and Choi et al. [7] also perform an inter-procedural analysis in order to identify synchronization operations that can be removed, although not in a TM context.

Our work is different in a few ways. First, all of our optimizations are performed statically. Most importantly, our approach is modular, and uses only intra-procedural analysis. This is feasible because of the static access permissions which are provided by programmers, and checked for correctness. This may make it easier for our approach to scale to very large applications. Moreover, our approach is consistent with a language that uses dynamically linked libraries. As long as the code that we link against has been annotated, or we can do so externally, the optimizations we perform on our own code will be sound. Our analysis is sometimes more precise than existing approaches, because the designer’s intent is encoded in the annotations. For example, objects stored exclusively as fields of Thread objects can indeed be treated as thread-local. In earlier work, Shpeisman et al. [17] noted that fields of a thread could not necessarily be optimized as thread-local, since a new thread object is always reachable from its spawning context. This reduced their opportunities for optimization. In our approach, the start method on a thread can be specified as consuming the entire unique permission to the thread object. Figure 11 shows just such an example. This prevents the spawning thread from modifying or reading the newly created thread, thus providing us with another opportunity for optimization.

## 6. Conclusion

In this paper we presented a static technique for reducing the overhead of software transactional memory based on access permission annotations. Access permissions are a modular system for describing the ways in which a particular reference may alias other references. This information allows us to remove unnecessary synchronization and logging operations that traditionally require a whole-program analysis. Moreover, access permissions have been used for behavioral specification of programs that use atomic blocks [3], so that programmers willing to use our behavioral specifications will get performance increase without additional effort. We have implemented our technique in a tool called AtomicPower, and showed improved performance on a number of benchmarks.

## Acknowledgments

This work was supported by a University of Coimbra Joint Research Collaboration Initiative, DARPA grant #HR0011-

```

class ConsumerThread {
    @Unique(returned=false)
    void start() { super.start(); }

    @Unique void run() {
        atomic: {
            Object i = this.input.get();
            doWork(i);
            this.output.put(i);
        }
    }
}

void spawnConsumer() {
    ConsumerThread t =
        new ConsumerThread();
    t.start();
    //Cannot access thread object
}

```

**Figure 11.** The start method of the ConsumerThread class consumes the entire unique permission produced at construction-time. As a result, ConsumerThread need not be opened when reading and writing its fields inside an atomic block.

0710019, Lockheed Martin, and a grant from the National Science Foundation (CCF-0811592). Nels Beckman is supported by a National Science Foundation Graduate Research Fellowship (DGE-0234630).

## References

- [1] A.-R. Adl-Tabatabai, B. T. Lewis, V. Menon, B. R. Murphy, B. Saha, and T. Shpeisman. Compiler and runtime support for efficient software transactional memory. In *The 2006 ACM SIGPLAN conference on Programming language design and implementation*, pages 26–37. ACM Press, 2006.
- [2] J. Aldrich, E. G. Sirer, C. Chambers, and S. J. Eggers. Comprehensive synchronization elimination for java. *Science of Computer Programming*, 47(2-3):91–120, 2003.
- [3] N. E. Beckman, K. Bierhoff, and J. Aldrich. Verifying correct usage of atomic blocks and tpestate. In *The 2008 Conference on Object-Oriented Programming Systems, Languages and Applications*. ACM Press, 2008.
- [4] K. Bierhoff and J. Aldrich. Modular tpestate checking of aliased objects. In *The 22nd annual ACM SIGPLAN conference on Object oriented programming systems and applications*, pages 301–320. ACM Press, 2007.
- [5] B. Blanchet. Escape analysis for object-oriented languages: application to java. In *The 14th ACM SIGPLAN conference on Object-oriented programming, systems, languages, and applications*, pages 20–34. ACM Press, 1999.
- [6] J. Boyland. Checking interference with fractional permissions. In R. Cousot, editor, *Static Analysis: 10th International Symposium*, volume 2694 of *Lecture Notes in Computer Science*, pages 55–72, Berlin, Heidelberg, New York, 2003. Springer.
- [7] J.-D. Choi, M. Gupta, M. Serrano, V. C. Sreedhar, and S. Midkiff. Escape analysis for java. In *The 14th ACM SIGPLAN conference on Object-oriented programming, systems, languages, and applications*, pages 1–19. ACM Press, 1999.
- [8] D. G. Clarke, J. Noble, and J. Potter. Simple ownership types for object containment. In *The 15th European Conference on Object-Oriented Programming*, pages 53–76. Springer-Verlag, 2001.
- [9] D. Dice and N. Shavit. What really makes transactions faster? In *Proc. of the 1st TRANSACT 2006 workshop*, 2006.
- [10] T. Harris and K. Fraser. Language support for lightweight transactions. In *Object-Oriented Programming, Systems, Languages, and Applications*, pages 388–402, Oct 2003.
- [11] T. Harris, M. Plesko, A. Shinnar, and D. Tarditi. Optimizing memory transactions. *SIGPLAN Not.*, 41(6):14–25, 2006.
- [12] M. Herlihy and J. E. B. Moss. Transactional memory: Architectural support for lock-free data structures. In *Proceedings of the 20th Annual International Symposium on Computer Architecture*, pages 289–300, May 1993.
- [13] M. Herlihy, V. Luchangco, M. Moir, and I. William N. Scherer. Software transactional memory for dynamic-sized data structures. In *The twenty-second annual symposium on Principles of distributed computing*, pages 92–101. ACM Press, 2003.
- [14] M. Herlihy, V. Luchangco, and M. Moir. A flexible framework for implementing software transactional memory. In *The 21st annual ACM SIGPLAN conference on Object-oriented programming systems, languages, and applications*, pages 253–262. ACM Press, 2006.
- [15] B. Hindman and D. Grossman. Atomicity via source-to-source translation. In *The 2006 workshop on Memory system performance and correctness*, pages 82–91. ACM Press, 2006.
- [16] Y. P. Kim. Permission-based optimization for effecient software transactional memory. Master’s thesis, Carnegie Mellon University, 2008.
- [17] T. Shpeisman, V. Menon, A.-R. Adl-Tabatabai, S. Balensiefer, D. Grossman, R. L. Hudson, K. F. Moore, and B. Saha. Enforcing isolation and ordering in stm. *SIGPLAN Notices*, 42(6):78–88, 2007.
- [18] R. E. Strom and S. Yemini. Tpestate: A programming language concept for enhancing software reliability. *IEEE Trans. Softw. Eng.*, 12(1):157–171, 1986.
- [19] P. Wadler. Linear types can change the world! In M. Broy and C. Jones, editors, *IFIP TC 2 Working Conference on Programming Concepts and Methods, Sea of Galilee, Israel*, pages 347–359, 1990.