Zoo: A framework for the verification of concurrent OCAML 5 programs using separation logic

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The release of OCAML 5, which introduced parallelism into the language, drove the need for safe and efficient concurrent data structures. New libraries like SATURN [32] aim at addressing this need. From the perspective of formal verification, this is an opportunity to apply and further state-of-the-art techniques to provide stronger guarantees.

We present a framework for verifying fine-grained concurrent OCAML 5 algorithms. Following a pragmatic approach, we support a limited but sufficient fragment of the language whose semantics has been carefully formalized to faithfully express such algorithms. Source programs are translated to a deeply-embedded language living inside CoQ where they can be specified and verified using the IRIS [9] concurrent separation logic.

1 Introduction

Designing concurrent algorithms, in particular *lock-free* algorithms, is a notoriously difficult task. In this paper, we are concerned with proving the correctness of these algorithms.

Example 1: physical equality. Consider, for example, the OCAML implementation of a concurrent stack [1] in Figure 1. Essentially, it consists of an atomic reference to a list that is updated atomically using the Atomic.compare_and_set primitive. While this simple implementation—it is indeed one of the simplest lockfree algorithms—may seem easy to verify, it is actually more subtle than it looks.

Indeed, the semantics of Atomic.compare_and_set involves physical equality: if the content of the atomic reference is physically equal to the expected value, it is atomically updated to the new value. Comparing physical equality is tricky and can be dangerous—this is why structural equality is often preferred—because the programmer has few guarantees about the physical identity of a value. In particular, the physical identity of a list, or more generally of an inhabitant of an algebraic data type, is not really specified. The only guarantee is: if two values are physically equal, they are also structurally equal. Apparently, we don't learn anything interesting when two values are physically distinct. Going back to our example, this is fortunately not an issue, since we always retry the operation when Atomic.compare_and_set returns false.

Looking at the standard runtime representation of OCAML values, this makes sense. The empty list is represented by a constant while a non-empty list is represented by pointer to a tagged memory block. Physical equality for non-empty lists is just pointer comparison. It is clear that two pointers being distinct does not imply the pointed memory blocks are.

```
type 'a t = 'a list Atomic.t
let create () = Atomic.make []
let rec push t v =
  let old = Atomic.get t in
  let new_ = v :: old in
  if not @@ Atomic.compare_and_set t old new_ then (
    Domain.cpu_relax () ; push t v
  )
let rec pop t =
 match Atomic.get t with
  | [] -> None
  | v :: new_ as old ->
      if Atomic.compare_and_set t old new_ then (
        Some v
      ) else (
        Domain.cpu_relax () ; pop t
```

Figure 1. Implementation of a concurrent stack

From the viewpoint of formal verification, this means we have to carefully design the semantics of the language to be able to reason about physical equality and other subtleties of concurrent programs. Essentially, the conclusion we can draw is that the semantics of physical equality and therefore <code>Atomic.compare_and_set</code> is non-deterministic: we cannot determine the result of physical comparison just by looking at the abstract values.

Example 2: when physical identity matters. Consider another example given in Figure 2: the Rcfd.close¹ function from the Eio [33] library. Essentially, it consists in protecting a file descriptor using reference counting. Similarly, it relies on atomically updating the state field using Atomic.Loc.compare_and_set². However, there is a complication. Indeed, we claim that the correctness of close derives from the fact that the Open state does not change throughout the lifetime of the data structure; it can be replaced by a Closing state but never by another Open. In other words, we want to say that 1) this Open is physically unique and 2) Atomic.Loc.compare_and_set therefore detects whether the data structure has flipped into the Closing state. In fact, this kind of property appears frequently in lockfree algorithms; it also occurs in the Kcas [31] library³.

Once again, this argument requires special care in the semantics of physical equality. In short, we have to reveal something about the physical identity of some abstract values. Yet, we cannot reveal too much—in particular, we cannot simply convert an abstract value to a concrete one (a memory location)—, since the OCAML compiler performs optimizations like sharing of immutable constants, and the semantics should remain compatible with adding other optimizations later on, such as forms of hash-consing.

A formalized OCAML fragment for the verification of concurrent algorithms. These subtle aspects, illustrated through two realistic examples, justify the need for a faithful formal semantics of a fragment of OCAML tailored for the verification of concurrent algorithms. Ideally, of course, this fragment would include most of the language. However, the direct practical aim of this work—the verification of real-life libraries like SATURN [32]—led us to the following design philosophy: only include what is actually needed to express

¹ https://github.com/ocaml-multicore/eio/blob/main/lib_eio/unix/rcfd.ml

²Here, we make use of atomic record fields that were recently introduced in OCAML.

 $^{^3 \}texttt{https://github.com/ocaml-multicore/kcas/blob/main/doc/gkmz-with-read-only-cmp-ops.md}$

```
type state = Open of Unix.file_descr | Closing of (unit -> unit)
type t = { mutable ops: int [@atomic]; mutable state: state [@atomic]; }
let make fd = { ops= 0; state= Open fd }
let closed = Closing (fun () -> ())
let close t =
  match t.state with
  | Closing _ -> false
  | Open fd as prev ->
      let close () = Unix.close fd in
      let next = Closing close in
      if Atomic.Loc.compare_and_set [%atomic.loc t.state] prev next then (
        if t.ops == 0
        && Atomic.Loc.compare_and_set [%atomic.loc t.state] next closed
        then close ();
        true
      ) else
        false
```

Figure 2. Rcfd. close function from the Eio [33] library

and reason about concurrent algorithms in a convenient way.

In this paper, we show how we have designed a practical framework, Zoo⁴, following this guideline. We review the works related to the verification of OCAML programs in Section 2; we describe our framework in Section 3; we detail the important features, including the treatment of physical equality, in Section 4 before concluding.

2 Related work

The idea of applying formal methods to verify OCAML programs is not new. Generally speaking, there are mainly two ways:

Semi-automated verification. The verified program is annotated by the user to guide the verification tool: preconditions, postconditions, invariants, *etc*. Given this input, the tool generates proof obligations that are mostly automatically discharged. One may further distinguish two types of semi-automated systems: *foundational* and *non-foundational*.

In *non-foundational* automated verification, the tool and the external solvers it may rely on are part of the trusted computing base. It is the most common approach and has been widely applied in the literature [5, 8, 3, 20, 19, 4, 24, 25], including to OCAML by CAMELEER [17], which uses the GOSPEL specification language [13] and WHY3 [4].

In *foundational* automated verification, the proofs are checked by a proof assistant like CoQ, meaning the automation does not have to be trusted. To our knowledge, it has been applied to C [18] and RUST [30].

Non-automated verification. The verified program is translated, manually or in an automated way, into a representation living inside a proof assistant. The user has to write specifications and prove them.

The representation may be primitive, like Gallina for Coq. For pure programs, this is rather straightforward, e.g. in hs-to-coq [11]. For imperative programs, this is more challenging. One solution is to use a monad, e.g. in coq-of-ocaml [28], but it does not support concurrency.

⁴https://github.com/clef-men/zoo

The representation may be embedded, meaning the semantics of the language is formalized in the proof assistant. This is the path taken by some recent works [22, 23, 12] harnessing the power of separation logic, in particular the IRIS [9] concurrent separation logic. IRIS is a very important work for the verification of concurrent algorithms. It allows for a rich, customizable ghost state that makes it possible to design complex *concurrent protocols*. In our experience, for the lockfree algorithms we considered, there is simply no alternative.

The tool closest to our needs so far is CFML [22], which targets OCAML. However, CFML does not support concurrency and is not based on Iris. The Osiris [29] framework, still under development, also targets OCAML and is based on Iris. However, it does not support concurrency and it is arguably non-trivial to introduce it since the semantics uses interaction trees [15]—the question of how to handle concurrency in this context is a research subject. Furthermore, OSIRIS is not usable yet; its ambition to support a large fragment of OCAML makes it a challenge.

3 Zoo in practice

```
identifier
                                                                                                                                          String
integer
                                                                                                                                           \mathbb{Z}
boolean
                                                                                                                    \in
binder
                                                                                                                 ::=
                                                                                                                                          \langle \rangle \mid s
unary operator
                                                                                    \oplus
                                                                                                                 ::=
binary operator
                                                                                                                                          + | - | * | 'quot' | 'rem' | 'land' | 'lor' | 'lsl' | 'lsr'
                                                                                                                                          <= |<|>=|>|=|\neq|==|!=
                                                                                                                                          and | or
expression
                                                                                                                 := t \mid s \mid \#n \mid \#b
                                                                                                                                          fun: x_1 \dots x_n \Rightarrow e \mid \text{rec: } f \ x_1 \dots x_n \Rightarrow e
                                                                                                                                          let: x := e_1 \text{ in } e_2 \mid e_1;; e_2
                                                                                                                                          let: f x_1 \dots x_n := e_1 in e_2 | letrec: f x_1 \dots x_n := e_1 in e_2
                                                                                                                                          let: 'C x_1 ... x_n := e_1 \text{ in } e_2 \mid \text{let: } x_1, ..., x_n := e_1 \text{ in } e_2
                                                                                                                                          \oplus e \mid e_1 \otimes e_2
                                                                                                                                          if: e_0 then e_1 (else e_2)?
                                                                                                                                          for: x := e_1 to e_2 begin e_3 end
                                                                                                                                           \S C \mid `C (e_1, \ldots, e_n) \mid (e_1, \ldots, e_n) \mid e. < proj >
                                                                                                                                           [] | e_1 :: e_2
                                                                                                                                           C = \{e_1, \ldots, e_n\} \mid \{e_1, \ldots, e_n\} \mid e \cdot \{fld\} \mid e_1 \leftarrow \{fld\} \mid e_2 = \{fld\} \mid e_1 \leftarrow \{fld\} \mid e_2 = \{f
                                                                                                                                           ref e \mid !e \mid e_1 < -e_2
                                                                                                                                          match: e_0 with br_1 | \dots | br_n (| (as s)^? \Rightarrow e)^? end
                                                                                                                                           e . [fld] | Xchg e_1 e_2 | CAS e_1 e_2 e_3 | FAA e_1 e_2
                                                                                                                                          Proph | Resolve e_0 e_1 e_2
                                                                                                                                          Reveal e
                                                                                                                                          C(x_1 \dots x_n)^? (as s)^? \Rightarrow e
branch
                                                                                                                                          [] (as s)^? \Rightarrow e \mid x_1 :: x_2 (as s)^? \Rightarrow e
toplevel value
                                                                                                                                          t \mid \#n \mid \#b
                                                                                                                                          \begin{array}{l} \text{fun: } x_1 \ldots x_n \Rightarrow e \mid \text{rec: } f \ x_1 \ldots x_n \Rightarrow e \\ \S{C} \mid `{C} \ (v_1, \ldots, v_n) \mid (v_1, \ldots, v_n) \\ \llbracket \rbrack \mid v_1 :: v_2 \end{array}
```

Figure 3. ZooLang syntax (omitting mutually recursive toplevel functions)

In this section, we give an overview of the framework. We also provide a minimal example⁵ demonstrating its use.

⁵https://github.com/clef-men/zoo-demo

Language. The core of Zoo is ZooLang: an untyped, ML-like, imperative, concurrent programming language that is fully formalized in Coo. Its semantics has been designed to match OCaml's.

ZOOLANG comes with a program logic based on IRIS: reasoning rules expressed in separation logic (including rules for the different constructs of the language) along with CoQ tactics that integrate into the IRIS proof mode [7, 10]. In addition, it supports DIAFRAME [21], enabling proof automation.

The Zoolang syntax is given in Figure 3⁶, omitting mutually recursive toplevel functions that are treated specifically. Expressions include standard constructs like booleans, integers, anonymous functions (that may be recursive), let bindings, sequence, unary and binary operators, conditionals, for loops, tuples. In any expression, one can refer to a CoQ term representing a Zoolang value (of type val) using its CoQ identifier. Zoolang is a deeply embedded language: variables (bound by functions and let) are quoted, represented as strings.

Data constructors (immutable memory blocks) are supported through two constructs: $\S C$ represents a constant constructor $(e.g.\ \S None)$, $C(e_1,\ldots,e_n)$ represents a non-constant constructor $(e.g.\ \S Some(e))$. Unlike OCAML, ZOOLANG has projections of the form $e.proj>(e.g.\ (e_1,e_2).<1>)$, that can be used to obtain a specific component of a tuple or data constructor. ZOOLANG supports shallow pattern matching (patterns cannot be nested) on data constructors with an optional fallback case.

Mutable memory blocks are constructed using either the untagged record syntax $\{e_1, \ldots, e_n\}$ or the tagged record syntax C $\{e_1, \ldots, e_n\}$. Reading a record field can be performed using $e.\{fld\}$ and writing to a record field using $e_1 < -\{fld\} e_2$. Pattern matching can also be used on mutable tagged blocks provided that cases do not bind anything—in other words, only the tag is examined, no memory access is performed. References are also supported through the usual constructs: ref e creates a reference, e reads a reference and e e writes into a reference. The syntax seemingly does not include constructs for arrays but they are supported through the Array standard module e e array_make).

Parallelism is mainly supported through the Domain standard module (e.g. domain_spawn). Special constructs (Xchg, CAS, FAA), described in Section 4.5, are used to model atomic references.

The Proph and Resolve constructs are used to model prophecy variables [14], as described in Section 4.6.

Finally, Reveal is a special source construct that we introduce to handle physical equality. We demystify it in Section 4.4.

Translation from OCAML to ZOOLANG While ZOOLANG lives in CoQ, we want to verify OCAML programs. To connect them, we provide a tool to automatically translate OCAML source files⁷ into CoQ files containing ZOOLANG code: ocaml2zoo. This tool can process entire dune projects, including many libraries.

The supported OCAML fragment includes: shallow match, ADTs, records, inline records, atomic record fields, unboxed types, toplevel mutually recursive functions.

As an example of what ocaml2zoo can generate, the push function from Section 1 is translated into:

```
Definition stack_push : val :=
  rec: "push" "t" "v" =>
   let: "old" := !"t" in
  let: "new_" := "v" :: "old" in
   if: ~ CAS "t".[contents] "old" "new_" then (
      domain_yield () ;;
```

⁶More precisely, it is the syntax of the surface language, including many Coo notations.

⁷Actually, ocaml2zoo processes binary annotation files (.cmt files).

```
"push" "t" "v"
```

Specifications and proofs. Once the translation to ZOOLANG is done, the user can write specifications and prove them in IRIS. For instance, the specification of the stack_push function could be:

```
Lemma stack_push_spec t \iota v : 
 <<< stack_inv t \iota | \forall \forall vs, stack_model t vs >>> 
    stack_push t v @ \uparrow \iota 
 <<< stack_model t (v :: vs) | RET (); True >>>. 
 Proof. ... Qed.
```

Here, we use a *logically atomic specification* [6], which has been proven [16] to be equivalent to *linearizability* [2] in sequentially consistent memory models.

Similarly to Hoare triples, the two assertions inside curly brackets represent the precondition and postcondition for the caller. For this particular operation, the postcondition is trivial. The stack-inv t precondition is the stack invariant. Intuitively, it asserts that t is a valid concurrent stack. More precisely, it enforces a set of logical constraints—a concurrent protocol—that t must respect at all times.

The other two assertions inside angle brackets represent the *atomic precondition* and *atomic postcondition*. They specify the linearization point of the operation: during the execution of $stack_push$, the abstract state of the stack held by stack-model is atomically updated from vs to v: vs; in other words, v is atomically pushed at the top of the stack.

4 Zoo features

In this section, we review the main features of Zoo, starting with the most generic ones and then addressing those related to concurrency.

4.1 Algebraic data types

Zoo is an untyped language but, to write interesting programs, it is convenient to work with abstractions like algebraic data types. To simulate tuples, variants and records, we designed a machinery to define projections, constructors and record fields.

For example, one may define a list-like type with:

```
Notation "'Nil'" := (in_type "t" 0) (in custom zoo_tag). Notation "'Cons'" := (in_type "t" 1) (in custom zoo_tag).
```

Given this incantation, one may directly use the tags Nil and Cons in data constructors using the corresponding Zoolang constructs:

The meaning of this incantation is not really important, as such notations can be generated by ocaml2zoo. Suffice it to say that it introduces the two tags in the zoo_tag custom

entry, on which the notations for data constructors rely. The in_type term is needed to distinguish the tags of distinct data types; crucially, it cannot be simplified away by CoQ, as this could lead to confusion during the reduction of expressions.

Similarly, one may define a record-like type with two mutable fields f1 and f2:

```
Notation "'f1'" := (in_type "t" 0) (in custom zoo_field).
Notation "'f2'" := (in_type "t" 1) (in custom zoo_field).

Definition swap : val :=
  fun: "t" =>
  let: "f1" := "t".{f1} in
  "t" <-{f1} "t".{f2} ;; "t" <-{f2} "f1".</pre>
```

4.2 Mutually recursive functions

Zoo supports non-recursive (fun: $x_1 ldots x_n => e$) and recursive (rec: $f(x_1 ldots x_n) => e$) functions but only toplevel mutually recursive functions. Indeed, it is non-trivial to properly handle mutual recursion: when applying a mutually recursive function, a naive approach would replace the recursive functions by their respective bodies, but this typically makes the resulting expression unreadable. To prevent it, the mutually recursive functions have to know one another so as to replace by the names instead of the bodies. We simulate this using some boilerplate that can be generated by ocaml2zoo. For instance, one may define two mutually recursive functions f and g as follows:

```
Definition f_g := (
  recs: "f" "x" => "g" "x"
  and: "g" "x" => "f" "x"
)%zoo_recs.
(* boilerplate *)
Definition f := ValRecs 0 f_g.
Definition g := ValRecs 1 f_g.
Instance : AsValRecs' f 0 f_g [f;g]. Proof. done. Qed.
Instance : AsValRecs' g 1 f_g [f;g]. Proof. done. Qed.
```

4.3 Standard library

To save users from reinventing the wheel, we provide a standard library—more or less a subset of the OCAML standard library. Currently, it mainly includes standard data structures like: array (Array), resizable array (Dynarray), list (List), stack (Stack), queue (Queue), double-ended queue, mutex (Mutex), condition variable (Condition).o

Each of these standard modules contains ZooLang functions and their verified specifications. These specifications are modular: they can be used to verify more complex data structures. As an evidence of this, lists [26] and arrays [27] have been successfully used in verification efforts based on Zoo.

4.4 Physical equality

In Zoo, a value is either a bool, an integer, a memory location, a function or an immutable block. To deal with physical equality in the semantics, we have to specify what guarantees we get when 1) physical comparison returns true and 2) when it returns false.

We assume that the program is semantically well typed, if not syntactically well typed, in the sense that compared values are loosely compatible: a boolean may be compared with another boolean or a location, an integer may be compared with another integer or a location, an immutable block may be compared with another immutable block or a location.

This means we never physically compare, e.g., a boolean and an integer, an integer and an immutable block. If we wanted to allow it, we would have to extend the semantics of physical comparison to account for conflicts in the memory representation of values.

For booleans, integers and memory locations, the semantics of physical equality is plain equality. Let us consider the case of abstract values (functions and immutable blocks).

If physical comparison returns true, the semantics of OCaml tells us that these values are structurally equal. This is very weak because structural equality for memory locations is not plain equality. In fact, assuming only that, the stack of Section 1 and many other concurrent algorithms relying on physical equality would be incorrect. Indeed, for e.g. a stack of references ('a ref), a successful Atomic.compare_and_set in push or pop would not be guaranteed to have seen the exact same list of references; the expected specification of Section 3 would not work. What we want and what we assume in our semantics is plain equality. Hopefully, this should be correct in practice, as we know physical equality is implemented as plain comparison.

If physical comparison returns false, the semantics of OCAML tells us essentially nothing: two immutable blocks may have distinct identities but same content. However, given this semantics, we cannot verify the Rcfd example of Section 1. To see why, consider the first Atomic.compare_and_set in the close function. If it fails, we expect to see a Closing state because we know there is only one Open state ever created, but we cannot prove it. To address it, we take another step back from OCAML's semantics by introducing the Reveal construct. When applied to an immutable memory block, Reveal yields the same block annotated with a logical identifier that can be interpreted as its abstract identity. The meaning of this identifier is: if physical comparison of two identified blocks returns false, the two identifiers are necessarily distinct. The underling assumption that we make here—which is hopefully also correct in the current implementation of OCAML—is that the compiler may introduce sharing but not unsharing.

The introduction of Reveal can be performed automatically by ocaml2zoo provided the user annotates the data constructor (e.g. Open) with the attribute [@zoo.reveal]. For Rcfd.make, it generates:

```
Definition rcfd_make : val :=
  fun: "fd" => { #0, Reveal 'Open( "fd" ) }.
```

Given this semantics and having revealed the <code>Open</code> block, we can verify the <code>close</code> function. Indeed, if the first <code>Atomic.compare_and_set</code> fails, we now know that the identifiers of the two blocks, if any, are distinct. As there is only one <code>Open</code> block whose identifier does not change, it cannot be the case that the current state is <code>Open</code>, hence it is <code>Closing</code> and we can conclude.

4.5 Concurrent primitives

Zoo supports concurrent primitives both on atomic references (from Atomic) and atomic record fields (from $Atomic.Loc^8$) according to the table below. The OCAML expressions listed in the left-hand column translate into the Zoo expressions in the right-hand column. Notice that an atomic location [%atomic.loc e.f] (of type _ Atomic.Loc.t) translates directly into e.[f].

⁸The Atomic.Loc module is part of the PR that implements atomic record fields.

OCAML	Zoo
Atomic.get e	<u>!</u> e
Atomic.set e_1 e_2	$e_1 \leftarrow e_2$
Atomic.exchange e_1 e_2	$\texttt{Xchg}\ e_1 . \texttt{[contents]}\ e_2$
${\tt Atomic.compare_and_set} \enskip e_1 \enskip e_2 \enskip e_3$	CAS e_1 . [contents] $e_2 \ e_3$
${\tt Atomic.fetch_and_add} \enskip e_1 \enskip e_2$	FAA e_1 . [contents] e_2
${\tt Atomic.Loc.exchange} ~~ [\texttt{\%atomic.loc}~~ e_1.f] ~~ e_2$	$\texttt{Xchg}\ e_1\mathinner.[f]\ e_2$
${\tt Atomic.Loc.compare_and_set} \ \ [\texttt{\%atomic.loc} \ \ e_1.f] \ \ e_2 \ \ e_3$	$\mathtt{CAS}\ e_1. \llbracket f \rrbracket\ e_2\ e_3$
${\tt Atomic.Loc.fetch_and_add} \ \ [\texttt{\%atomic.loc} \ \ e_1.f] \ \ e_2$	FAA e_1 . [f] e_2

One important aspect of this translation is that atomic accesses (Atomic.get and Atomic.set) correspond to plain loads and stores. This is because we are working in a sequentially consistent memory model: there is no difference between atomic and non-atomic memory locations.

4.6 Prophecy variables

Lockfree algorithms exhibit complex behaviors. To tackle them, IRIS provides powerful mechanisms such as *prophecy variables* [14]. Essentially, prophecy variables can be used to predict the future of the program execution and reason about it. They are key to handle *future-dependent linearization points*: linearization points that may or may not occur at a given location in the code depending on a future observation.

ZOO supports prophecy variables through the Proph and Resolve expressions—as in HEAPLANG, the canonical IRIS language. In OCAML, these expressions correspond to Zoo.proph and Zoo.resolve, that are recognized by ocaml2zoo.

5 Conclusion and future work

The development of Zoo is still ongoing. While it is not yet available on opam, it can be installed and used in other CoQ projects. We provide a minimal example demonstrating its use.

Zoo supports a limited fragment of OCAML that is sufficient for most of our needs. Its main weakness so far is its memory model, which is sequentially consistent as opposed to the relaxed OCAML 5 memory model. It also lacks exceptions and algebraic effects, that we plan to introduce in the future.

Another interesting direction would be to combine Zoo with semi-automated techniques. Similarly to Why3, the simple parts of the verification effort would be done in a semi-automated way, while the most difficult parts would be conducted in Coo.

Acknowledgments

We thank Gabriel Scherer and the anonymous reviewers for their feedback, Vesa Karvonen and Carine Morel for their work on the SATURN [32] library and the discussions it enabled, Thomas Leonard for suggesting verifying the Rcfd module from the Eio [33] library, Vincent Laviron and Oliver Nicole for their review of the "Atomic record fields" pull request to the OCAML compiler.