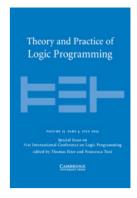
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# Proving correctness of imperative programs by linearizing constrained Horn clauses

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#### Abstract

We present a method for verifying the correctness of imperative programs which is based on the automated transformation of their specifications. Given a program prog, we consider a partial correctness specification of the form  $\{\varphi\}$  prog  $\{\psi\}$ , where the assertions  $\varphi$  and  $\psi$  are predicates defined by a set Spec of possibly recursive Horn clauses with linear arithmetic (LA)constraints in their premise (also called constrained Horn clauses). The verification method consists in constructing a set PC of constrained Horn clauses whose satisfiability implies that  $\{\varphi\}$  prog  $\{\psi\}$  is valid. We highlight some limitations of state-of-the-art constrained Horn clause solving methods, here called LA-solving methods, which prove the satisfiability of the clauses by looking for linear arithmetic interpretations of the predicates. In particular, we prove that there exist some specifications that cannot be proved valid by any of those LA-solving methods. These specifications require the proof of satisfiability of a set PC of constrained Horn clauses that contain nonlinear clauses (that is, clauses with more than one atom in their premise). Then, we present a transformation, called linearization, that converts PC into a set of linear clauses (that is, clauses with at most one atom in their premise). We show that several specifications that could not be proved valid by LA-solving methods, can be proved valid after linearization. We also present a strategy for performing linearization in an automatic way and we report on some experimental results obtained by using a preliminary implementation of our method.

KEYWORDS: Program verification, Partial correctness specifications, Horn clauses, Constraint Logic Programming, Program transformation.

#### 1 Introduction

One of the most established methodologies for specifying and proving the correctness of imperative programs is based on the Floyd-Hoare axiomatic approach (see (Hoare

1969), and also (Apt et al. 2009) for a recent presentation dealing with both sequential and concurrent programs). By following this approach, the *partial correctness* of a program *prog* is formalized by a triple  $\{\varphi\}$  *prog*  $\{\psi\}$ , also called *partial correctness specification*, where the *precondition*  $\varphi$  and the *postcondition*  $\psi$  are assertions in first order logic, meaning that if the input values of *prog* satisfy  $\varphi$  and program execution terminates, then the output values satisfy  $\psi$ .

It is well-known that the problem of checking partial correctness of programs with respect to given preconditions and postconditions is undecidable. In particular, the undecidability of partial correctness is due to the fact that in order to prove in Hoare logic the validity of a triple  $\{\varphi\}$  prog  $\{\psi\}$ , one has to look for suitable auxiliary assertions, the so-called *invariants*, in an infinite space of formulas, and also to cope with the undecidability of logical consequence.

Thus, the best way of addressing the problem of the automatic verification of programs is to design *incomplete* methods, that is, methods based on restrictions of first order logic, which work well in the practical cases of interest. To achieve this goal, some methods proposed in the literature in recent years use *linear arithmetic constraints* as the assertion language and *constrained Horn clauses* as the formalism to express and reason about program correctness (Bjørner et al. 2012; De Angelis et al. 2014a; Grebenshchikov et al. 2012; Jaffar et al. 2012; Peralta et al. 1998; Podelski and Rybalchenko 2007; Rümmer et al. 2013).

Constrained Horn clauses are clauses with at most one atom in their conclusion and a conjunction of atoms and constraints over a given domain in their premise. In this paper we will only consider constrained Horn clauses with linear arithmetic constraints. The use of this formalism has the advantage that logical consequence for linear arithmetic constraints is decidable and, moreover, reasoning within constrained Horn clauses is supported by very effective automated tools, such as Satisfiability Modulo Theories (SMT) solvers (de Moura and Bjørner 2008; Cimatti et al. 2013; Rümmer et al. 2013) and constraint logic programming (CLP) inference systems (Jaffar and Maher 1994). However, current approaches to correctness proofs based on constrained Horn clauses have the disadvantage that they only consider specifications whose preconditions and postconditions are linear arithmetic constraints.

In this paper we overcome this limitation and propose an approach to proving general specifications of the form  $\{\varphi\}$   $prog\{\psi\}$ , where  $\varphi$  and  $\psi$  are predicates defined by a set of possibly recursive constrained Horn clauses (not simply linear arithmetic constraints), and prog is a program written in a C-like imperative language.

First, we indicate how to construct a set PC of constrained Horn clauses (PC stands for partial correctness), starting from: (i) the assertions  $\varphi$  and  $\psi$ , (ii) the program prog, and (iii) the definition of the operational semantics of the language in which prog is written, such that, if PC is satisfiable, then the partial correctness specification  $\{\varphi\}$  prog  $\{\psi\}$  is valid.

Then, we formally show that there are sets PC of constrained Horn clauses encoding partial correctness specifications, whose satisfiability cannot be proved by current methods, here collectively called LA-solving methods (LA stands for

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linear arithmetic). This limitation is due to the fact that LA-solving methods try to prove satisfiability by interpreting the predicates as linear arithmetic constraints.

For these problematic specifications, the set *PC* of constrained Horn clauses contains *nonlinear* clauses, that is, clauses with more than one atom in their premise.

Next, we present a transformation, which we call *linearization*, that converts the set *PC* into a set of *linear* clauses, that is, clauses with at most one atom in their premise. We show that linearization preserves satisfiability and also increases the power of *LA*-solving, in the sense that several specifications that could not be proved valid by *LA*-solving methods, can be proved valid after linearization. Thus, linearization followed by *LA*-solving is strictly more powerful than *LA*-solving alone.

The paper is organized as follows. In Section 2 we show how a class of partial correctness specifications can be translated into constrained Horn clauses. In Section 3 we prove that *LA*-solving methods are inherently incomplete for proving the satisfiability of constrained Horn clauses. In Section 4 we present a strategy for automatically performing the linearization transformation, we prove that it preserves *LA*-solvability, and (in some cases) it is able to transform constrained Horn clauses that are not *LA*-solvable into constrained Horn clauses that are *LA*-solvable. Finally, in Section 5 we report on some preliminary experimental results obtained by using a proof-of-concept implementation of the method.

#### 2 Translating partial correctness into constrained Horn clauses

We consider a C-like imperative programming language with integer variables, assignments, conditionals, while loops, and goto's. An imperative program is a sequence of labeled commands (or commands, for short), and in each program there is a unique halt command that, when executed, causes program termination.

The semantics of our language is defined by a transition relation, denoted  $\Longrightarrow$ , between configurations. Each configuration is a pair  $\langle \ell : c, \delta \rangle$  of a labeled command  $\ell : c$  and an environment  $\delta$ . An environment  $\delta$  is a function that maps every integer variable identifier x to its value v in the integers  $\mathbb{Z}$ . The definition of the relation  $\Longrightarrow$  is similar to that of the 'small step' operational semantics presented in (Reynolds 1998), and is omitted. Given a program prog, we denote by  $\ell_0 : c_0$  its first labeled command.

We assume that all program executions are *deterministic* in the sense that, for every environment  $\delta_0$ , there exists a unique, maximal (possibly infinite) sequence of configurations, called *computation sequence*, of the form:  $\langle \ell_0 : c_0, \delta_0 \rangle \implies \langle \ell_1 : c_1, \delta_1 \rangle \implies \cdots$ . We also assume that every *finite* computation sequence ends in the configuration  $\langle \ell_h : \text{halt}, \delta_n \rangle$ , for some environment  $\delta_n$ . We say that a program *prog terminates* for  $\delta_0$  iff the computation sequence starting from the initial configuration  $\langle \ell_0 : c_0, \delta_0 \rangle$  is finite.

#### 2.1 Specifying program correctness

First we need the following notions about constraints, constraint logic programming, and constrained Horn clauses. For related notions with which the reader is not familiar, he may refer to (Jaffar and Maher 1994; Lloyd 1987).

A constraint is a linear arithmetic equality (=) or inequality (>) over the integers  $\mathbb{Z}$ , or a conjunction or a disjunction of constraints. For example,  $2 \cdot X \geqslant 3 \cdot Y - 4$  is a constraint. We feel free to say 'linear arithmetic constraint', instead of 'constraint'. We denote by  $\mathscr{C}_{LA}$  the set of all constraints. An atom is an atomic formula of the form  $p(t_1, \ldots, t_m)$ , where p is a predicate symbol not in  $\{=, >\}$  and  $t_1, \ldots, t_m$  are terms. Let Atom be the set of all atoms. A definite clause is an implication of the form  $A \leftarrow c$ , G, where in the conclusion (or head) A is an atom, and in the premise (or body) c is a constraint, and c is a (possibly empty) conjunction of atoms. A constrained goal (or simply, a goal) is an implication of the form false c c c c0. A constrained Horn clause (CHC) (or simply, a clause) is either a definite clause or a constrained goal. A constraint logic program (or simply, a CLP program) is a set of definite clauses. A clause over the integers is a clause that has no function symbols except for integer constants, addition, and multiplication by integer constants.

The semantics of a constraint c is defined in terms of the usual interpretation, denoted by LA, over the integers  $\mathbb{Z}$ . We write  $LA \models c$  to denote that c is true in LA. Given a set S of constrained Horn clauses, an LA-interpretation is an interpretation for the language of S that agrees with LA on the language of the constraints. An LA-model of S is an LA-interpretation that makes all clauses of S true. A set of constrained Horn clauses is satisfiable if it has an LA-model. A CLP program P is always satisfiable and has a least LA-model, denoted M(P). We have that a set S of constrained Horn clauses is satisfiable iff  $S = P \cup G$ , where P is a CLP program, G is a set of goals, and  $M(P) \models G$ . Given a first order formula  $\varphi$ , we denote by  $\exists (\varphi)$  its existential closure and by  $\forall (\varphi)$  its universal closure.

Throughout the paper we will consider partial correctness specifications which are particular triples of the form  $\{\varphi\}$  prog  $\{\psi\}$  defined as follows.

#### Definition 1 (Functional Horn Specification)

A partial correctness triple  $\{\varphi\}$  prog  $\{\psi\}$  is said to be a functional Horn specification if the following assumptions hold, where the predicates pre and f are assumed to be defined by a CLP program Spec:

- (1)  $\varphi$  is the formula:  $z_1 = p_1 \wedge ... \wedge z_s = p_s \wedge pre(p_1, ..., p_s)$ , where  $z_1, ..., z_s$  are the variables occurring in prog, and  $p_1, ..., p_s$  are variables (distinct from the  $z_i$ 's), called *parameters* (informally, pre determines the initial values of the  $z_i$ 's);
- (2)  $\psi$  is the atom  $f(p_1, ..., p_s, z_k)$ , where  $z_k$  is a variable in  $\{z_1, ..., z_s\}$  (informally,  $z_k$  is the variable whose final value is the result of the computation of prog);
- (3) f is a relation which is *total on pre* and *functional*, in the sense that the following two properties hold (informally, f is the function computed by prog):
  - $(3.1) M(Spec) \models \forall p_1, \ldots, p_s. pre(p_1, \ldots, p_s) \rightarrow \exists y. f(p_1, \ldots, p_s, y)$

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 $(3.2) M(Spec) \models \forall p_1, \dots, p_s, y_1, y_2, f(p_1, \dots, p_s, y_1) \land f(p_1, \dots, p_s, y_2) \rightarrow y_1 = y_2.$ 

We say that a functional Horn specification  $\{\varphi\}$  prog  $\{\psi\}$  is valid, or prog is partially correct with respect to  $\varphi$  and  $\psi$ , iff for all environments  $\delta_0$  and  $\delta_n$ ,

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if  $M(Spec) \models pre(\delta_0(z_1), ..., \delta_0(z_s))$  holds (in words,  $\delta_0$  satisfies pre) and  $\langle \langle \ell_0 : c_0, \delta_0 \rangle \rangle$   $\Longrightarrow^* \langle \langle \ell_h : halt, \delta_n \rangle \rangle$  holds (in words, prog terminates for  $\delta_0$ ) holds, then  $M(Spec) \models f(\delta_0(z_1), ..., \delta_0(z_s), \delta_n(z_k))$  holds (in words,  $\delta_n$  satisfies the postcondition).

The relation  $r_{prog}$  computed by prog according to the operational semantics of the imperative language, is defined by the CLP program OpSem made out of: (i) the following clause R (where, as usual, variables are denoted by upper-case letters):

- *R*.  $r_{prog}(P_1, ..., P_s, Z_k) \leftarrow initCf(C_0, P_1, ..., P_s)$ ,  $reach(C_0, C_h)$ ,  $finalCf(C_h, Z_k)$  where:
- (i.1)  $initCf(C_0, P_1, ..., P_s)$  represents the initial configuration  $C_0$ , where the variables  $z_1, ..., z_s$  are bound to the values  $P_1, ..., P_s$ , respectively, and  $pre(P_1, ..., P_s)$  holds,
- (i.2)  $reach(C_0, C_h)$  represents the transitive closure  $\Longrightarrow^*$  of the transition relation  $\Longrightarrow$ , which in turn is represented by a predicate  $tr(C_1, C_2)$  that encodes the operational semantics, that is, the *interpreter* of our imperative language, by relating a source configuration  $C_1$  to a target configuration  $C_2$ ,
- (i.3)  $finalCf(C_h, Z_k)$  represents the final configuration  $C_h$ , where the variable  $z_k$  is bound to the value  $Z_k$ ,
- and (ii) the clauses for the predicates  $pre(P_1, ..., P_s)$  and  $tr(C_1, C_2)$ . The clauses for the predicate  $tr(C_1, C_2)$  are defined as indicated in (De Angelis et al. 2014a), and are omitted for reasons of space.

#### Example 1 (Fibonacci Numbers)

Let us consider the following program *fibonacci*, that returns as value of u the n-th Fibonacci number, for any  $n \ge 0$ , having initialized u to 1 and v to 0.

```
[ 0: while (n>0) { t=u; u=u+v; v=t; n=n-1 } fibonacci
h: halt
```

The following is a functional Horn specification of the partial correctness of the program *fibonacci*:

```
\{n=N, N>=0, u=1, v=0, t=0\} fibonacci \{fib(N,u)\} where N is a parameter and fib is defined by the following CLP program:
```

```
      S1. fib(0,1).
      Spec_fibonacci

      S2. fib(1,1).
      Spec_fibonacci
```

S3. fib(N3,F3):- N1>=0, N2=N1+1, N3=N2+1, F3=F1+F2, fib(N1,F1), fib(N2,F2).

For reasons of conciseness, in the above specification (‡) we have slightly deviated from Definition 1. In particular, we did not introduce the predicate symbol *pre*, and in the precondition and postcondition we did not introduce the parameters which have constant values.

The relation r\_fibonacci computed by the program *fibonacci* according to the operational semantics, is defined by the following CLP program:

where: (i) firstCmd(LC) holds for the command with label 0 of the program fibonacci; (ii) env((x,X),E) holds iff in the environment E the variable x is bound to the value of X; (iii) in the initial configuration CO the environment E binds the variables

n, u, v, t to the values N (>=0), 1, 0, and 0, respectively; and (iv) haltCmd(LC) holds for the labeled command h: halt.

#### 2.2 Encoding specifications into constrained Horn clauses

In this section we present the encoding of the validity problem of functional Horn specifications into the satisfiability problem of CHC's.

For reasons of simplicity we assume that in Spec no predicate depends on f (possibly, except for f itself), that is, Spec can be partitioned into two sets of clauses, call them  $F_{def}$  and Aux, where  $F_{def}$  is the set of clauses with head predicate f, and f does not occur in Aux.

Theorem 2.1 (Partial Correctness)

Let  $F_{pcorr}$  be the set of goals derived from  $F_{def}$  as follows: for each clause  $D \in F_{def}$  of the form  $f(X_1, ..., X_s, Y) \leftarrow B$ ,

- (1) every occurrence of f in D (and, in particular, in B) is replaced by  $r_{prog}$ , thereby deriving a clause E of the form:  $r_{prog}(X_1, ..., X_s, Y) \leftarrow \widetilde{B}$ ,
- (2) clause E is replaced by the goal G: false  $\leftarrow Y \neq Z$ ,  $r_{prog}(X_1, ..., X_s, Z)$ ,  $\widetilde{B}$ , where Z is a new variable, and
- (3) goal G is replaced by the following two goals:

```
G_1. false \leftarrow Y > Z, r_{prog}(X_1, ..., X_s, Z), \widetilde{B}

G_2. false \leftarrow Y < Z, r_{prog}(X_1, ..., X_s, Z), \widetilde{B}
```

Let PC be the set  $F_{pcorr} \cup Aux \cup OpSem$  of CHC's. We have that: if PC is satisfiable, then  $\{\varphi\} prog \{\psi\}$  is valid.

The proof of this theorem and of the other facts presented in this paper can be found in the online appendix. In our Fibonacci example (see Example 1) the set  $F_{def}$  of clauses is the entire set  $Spec_{fibonacci}$  and  $Aux = \emptyset$ . According to Points (1)–(3) of Theorem 2.1, from  $Spec_{fibonacci}$  we derive the following six goals:

Thus, in order to prove the validity of the specification (‡) above, since  $Aux = \emptyset$ , it is enough to show that the set  $PC_{fibonacci} = \{G1, ..., G6\} \cup OpSem_{fibonacci}$  of CHC's is satisfiable.

#### 3 A limitation of LA-solving methods

Now we show that there are sets of CHC's that encode partial correctness specifications whose satisfiability cannot be proved by LA-solving methods.

A symbolic interpretation is a function  $\Sigma: Atom \longrightarrow \mathscr{C}_{LA}$  such that, for every  $A \in Atom$  and substitution  $\vartheta$ ,  $\Sigma(A\vartheta) = \Sigma(A)\vartheta$ . Given a set S of CHC's, a symbolic interpretation  $\Sigma$  is an LA-solution of S iff, for every clause  $A_0 \leftarrow c, A_1, \ldots, A_n$  in S, we have that  $LA \models (c \land \Sigma(A_1) \land \ldots \land \Sigma(A_n)) \rightarrow \Sigma(A_0)$ .

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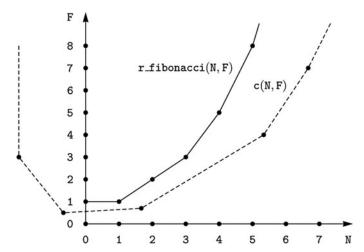


Fig. 1. The relation r\_fibonacci(N,F) and the convex constraint c(N,F).

We say that a set S of CHC's is LA-solvable if there exists an LA-solution of S. Clearly, if a set of CHC's is LA-solvable, then it is satisfiable. The converse does not hold as we now show.

#### Theorem 3.1

There are sets of constrained Horn clauses which are satisfiable and not LA-solvable.

*Proof.* Let  $PC_{fibonacci}$  be the set of clauses that encode the validity of the Fibonacci specification (‡).  $PC_{fibonacci}$  is satisfiable, because r\_fibonacci(N,F) holds iff F is the N-th Fibonacci number, and hence the bodies of G1,..., G6 are false. (This fact will also be proved by the automatic method presented in Section 4.)

Now we prove, by contradiction, that  $PC_{fibonacci}$  is not LA-solvable. Suppose that there exists an LA-solution  $\Sigma$  of  $PC_{fibonacci}$ . Let  $\Sigma(r_fibonacci(N,F))$  be a constraint c(N,F). To keep our proof simple, we assume that c(N,F) is defined by a conjunction of linear arithmetic inequalities (that is, c(N,F) is a convex constraint), but our argument can easily be generalized to any constraint in  $\mathscr{C}_{LA}$ . By the definition of LA-solution, we have that:

 $(P1) LA \not\models \exists (\texttt{N1} \geqslant \texttt{0}, \texttt{N2} = \texttt{N1} + \texttt{1}, \texttt{N3} = \texttt{N2} + \texttt{1}, \texttt{F3} > \texttt{F1} + \texttt{F2}, \texttt{c(N1,F1)}, \texttt{c(N2,F2)}, \texttt{c(N3,F3)})$ 

 $(\textit{P2})\;\textit{M}\left(\textit{OpSem}_{\textit{fibonacci}}\right) \models \forall\; (\texttt{r\_fibonacci}(\texttt{N},\texttt{F}) \rightarrow \texttt{c}(\texttt{N},\texttt{F}))$ 

Property (P1) follows from the fact that, in particular, an LA-solution satisfies goal G5. Property (P2) follows from the fact that an LA-solution satisfies all clauses of  $OpSem_{fibonacci}$  and  $M(OpSem_{fibonacci})$  defines the least r\_fibonacci relation that satisfies those clauses.

From Property (P2) and from the fact that  $r_{\text{fibonacci}}(N, F)$  holds iff F is the N-th Fibonacci number (and hence F is an exponential function of N), it follows that c(N,F) is a conjunction of the form  $c_1(N,F),\ldots,c_k(N,F)$ , where, for  $i=1,\ldots,k$ , with  $k \ge 0$ ,  $c_i(N,F)$  is either (A)  $N > a_i$ , for some integer  $a_i$ , or (B)  $F > a_i \cdot N + b_i$ , for some integers  $a_i$  and  $b_i$ . (No constraints of the form  $F < a_i \cdot N + b_i$  are possible, as shown in Figure 1.)

By replacing c(N1,F1), c(N2,F2), and c(N3,F3) by the corresponding conjunctions of atomic constraints of the forms (A) and (B), and eliminating the occurrences of F1, F2, N2, and N3, from (P1) we get:

 $(P3) LA \not\models \exists (N1 \geqslant 0, F3 > p_1, ..., F3 > p_n)$ 

where, for i = 1,...,n,  $p_i$  is a linear polynomial in the variable N1. Then, the constraint N1 $\geqslant$ 0,F3>p<sub>1</sub>,...,F3>p<sub>n</sub> is satisfiable and Property (P3) is false. Thus, the assumption that  $PC_{fibonacci}$  is LA-solvable is false, and we get the thesis.

#### 4 Increasing the power of LA-solving methods by linearization

A weakness of the LA-solving methods is that they look for LA-solutions constructed from single atoms, and by doing so they may fail to discover that a goal is satisfiable because a conjunction of atoms in its premise is unsatisfiable, in spite of the fact that each of its conjoint atoms is satisfiable. For instance, in our Fibonacci example the premise of goal G5 contains three atoms with predicate r\_fibonacci and our proof of Section 3 shows that, even if the premise of G5 is unsatisfiable, there is no constraint which is an LA-solution of the clauses defining r\_fibonacci that, when substituted for each r\_fibonacci atom, makes that premise false. Thus, the notion of LA-solution shows some weakness when dealing with nonlinear clauses, that is, clauses whose premise contains more than one atom (besides constraints).

In this section we present an automatic transformation of constrained Horn clauses that has the objective of increasing the power of LA-solving methods.

The core of the transformation, called *linearization*, takes a set of possibly nonlinear constrained Horn clauses and transforms it into a set of *linear* clauses, that is, clauses whose premise contains at most one atom (besides constraints). After performing linearization, the *LA*-solving methods are able to exploit the interactions among several atoms, instead of dealing with each atom individually. In particular, an *LA*-solution of the linearized set of clauses will map a *conjunction* of atoms to a constraint. We will show that linearization preserves the existence of *LA*-solutions and, in some cases (including our Fibonacci example), transforms a set of clauses which is not *LA*-solvable into a set of clauses that is *LA*-solvable.

Our transformation technique is made out of the following two steps:

(1) RI: Removal of the interpreter, and (2) LIN: Linearization.

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These steps are performed by using the transformation rules for CLP programs presented in (Etalle and Gabbrielli 1996), that is: *unfolding* (which consists in applying a resolution step and a constraint satisfiability test), *definition* (which introduces a new predicate defined in terms of old predicates), and *folding* (which redefines old predicates in terms of new predicates introduced by the definition rule).

#### 4.1 RI: Removal of the interpreter

This step is a variant of the removal of the interpreter transformation presented in (De Angelis et al. 2014a). In this step a specialized definition for  $r_{prog}$  is derived by transforming the CLP program OpSem, thereby getting a new CLP program  $OpSem_{RI}$  where there are no occurrences of the predicates initCf, finalCf,

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*reach*, and *tr*, which as already mentioned encodes the interpreter of the imperative language in which *prog* is written. (See online appendix for more details.)

By a simple extension of the results presented in (De Angelis et al. 2014a), it can be shown that the RI transformation always terminates, preserves satisfiability, and transforms *OpSem* into a set of linear clauses over the integers. It can also be shown that the removal of the interpreter preserves *LA*-solvability. Thus, we have the following result.

#### Theorem 4.1

Let OpSem be a CLP program constructed starting from any given imperative program prog. Then the RI transformation terminates and derives a CLP program  $OpSem_{RI}$  such that:

- (1)  $OpSem_{RI}$  is a set of linear clauses over the integers;
- (2)  $OpSem \cup Aux \cup F_{pcorr}$  is satisfiable iff  $OpSem_{RI} \cup Aux \cup F_{pcorr}$  is satisfiable;
- (3)  $OpSem \cup Aux \cup F_{pcorr}$  is LA-solvable iff  $OpSem_{RI} \cup Aux \cup F_{pcorr}$  is LA-solvable.

In the Fibonacci example, the input of the RI transformation is *OpSemfibonacci*. The output of the RI transformation consists of the following three clauses:

```
 \begin{split} &\text{E1. r_fibonacci} \, (\text{N,F}) :- \, \, \text{N>=0} \,, \, \text{U=1,V=0,T=0,r(N,U,V,T,N1,F,V1,T1)} \,. \\ &\text{E2. r(N,U,V,T,N,U,V,T)} :- \, \, \text{N=<0} \,. \\ &\text{E3. r(N,U,V,T,N2,U2,V2,T2)} :- \, \, \text{N>=1,N1=N-1,U1=U+V,V1=U,T1=U,r(N1,U1,V1,T1,N2,U2,V2,T2)} \,. \end{split}
```

where r is a new predicate symbol introduced by the RI transformation.

As stated by Theorem 4.1,  $OpSem_{RI}$  is a set of clauses over the integers. Since the clauses of the specification Spec define computable functions from  $\mathbb{Z}^s$  to  $\mathbb{Z}$ , without loss of generality we may assume that also the clauses in  $Aux \cup F_{pcorr}$  are over the integers (Sebelik and Stepánek 1982). From now on we will only deal with clauses over the integers, and we will feel free to omit the qualification 'over the integers'.

#### 4.2 LIN: Linearization

The linearization transformation takes as input the set  $OpSem_{RI} \cup Aux \cup F_{pcorr}$  of constrained Horn clauses and derives a new, equisatisfiable set TransfCls of linear constrained Horn clauses.

In order to perform linearization, we assume that Aux is a set of linear clauses. This assumption, which is not restrictive because any computable function on the integers can be encoded by linear clauses (Sebelik and Stepánek 1982), simplifies the proof of termination of the transformation.

The linearization transformation is described in Figure 2. Its input is constructed by partitioning  $OpSem_{RI} \cup Aux \cup F_{pcorr}$  into a set LCls of linear clauses and a set NLGls of nonlinear goals. LCls consists of Aux,  $OpSem_{RI}$  (which, by Theorem 4.1, is a set of linear clauses), and the subset of linear goals in  $F_{pcorr}$ . NLGls consists of the set of nonlinear goals in  $F_{pcorr}$ .

When applying linearization we use the following transformation rule.

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Unfolding Rule. Let Cls be a set of constrained Horn clauses. Given a clause C of the form  $H \leftarrow c, Ls, A, Rs$ , let us consider the set  $\{K_i \leftarrow c_i, B_i \mid i = 1, ..., m\}$  made

```
Input: (i) A set LCls of linear clauses, and (ii) a set Gls of nonlinear goals.
Output: A set TransfCls of linear clauses.
INITIALIZATION: NLCls := Gls; Defs := \emptyset; TransfCls := LCls;
while there is a clause C in NLCls do
  UNFOLDING: From clause C derive a set U(C) of clauses by unfolding C with respect to
    every atom occurring in its body using LCls;
    Rewrite each clause in U(C) to a clause of the form H \leftarrow c, A_1, \dots, A_k, such that, for
    i = 1, ..., k, A_i is of the form p(X_1, ..., X_m);
  DEFINITION & FOLDING:
    F(C) := U(C);
    for every clause E \in F(C) of the form H \leftarrow c, A_1, ..., A_k do
        if in Defs there is no clause of the form newp(X_1,...,X_t) \leftarrow A_1,...,A_k, where
           \{X_1,\ldots,X_t\} = vars(A_1,\ldots,A_k) \cap vars(H,c)
        then add newp(X_1,...,X_t) \leftarrow A_1,...,A_k to Defs and to NLCls;
         F(C) := (F(C) - \{E\}) \cup \{H \leftarrow c, newp(X_1, ..., X_t)\}
  NLCls := NLCls - \{C\}; TransfCls := TransfCls \cup F(C);
end-while
```

Fig. 2. LIN: The linearization transformation.

out of the (renamed apart) clauses of Cls such that, for i = 1, ..., m, A is unifiable with  $K_i$  via the most general unifier  $\vartheta_i$  and  $(c, c_i) \vartheta_i$  is satisfiable. By unfolding C with respect to A using Cls, we derive the set  $\{(H \leftarrow c, c_i, Ls, B_i, Rs) \vartheta_i \mid i = 1, ..., m\}$  of clauses.

It is easy to see that, since LCls is a set of linear clauses, only a finite number of new predicates can be introduced by any sequence of applications of Definition & Folding, and hence the linearization transformation terminates. Moreover, the use of the unfolding, definition, and folding rules according to the conditions indicated in (Etalle and Gabbrielli 1996), guarantees the equivalence with respect to the least LA-model, and hence the equisatisfiability of  $LCls \cup Gls$  and TransfCls. Thus, we have the following result.

Theorem 4.2 (Termination and Correctness of Linearization)

Let LCls be a set of linear clauses and Gls be a set of nonlinear goals. The linearization transformation terminates for the input set of clauses  $LCls \cup Gls$ , and the output TransfCls is a set of linear clauses. Moreover,  $LCls \cup Gls$  is satisfiable iff TransfCls is satisfiable.

Let us consider again the Fibonacci example. We apply the linearization transformation to the set {E1,E2,E3} of linear clauses, and to the nonlinear goal G5. For brevity, we omit to consider the cases where the goals G1,...,G4,G6 are taken as input to the linearization transformation.

Next, by Definition & Folding, the following clause is added to NLCls and Defs:

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At the end of the first execution of the body of the *while-do* loop we have:  $NLCls = \{C2\}$ ,  $Defs = \{C2\}$ , and  $TransfCls = \{E1,E2,E3,C3\}$ . Now, the linearization transformation continues by processing clause C2. During its execution, linearization introduces two new predicates defined by the following two clauses:

```
C4. new2(N,U,V,F) := r(N,U,V,V,X,F,Y,Z).
```

```
C5. new3(N2,U,V,F2,N1,F1):-r(N1,U,V,V,X1,F1,Y1,Z1),r(N2,U,V,V,X2,F2,Y2,Z2).
```

The transformation terminates when all clauses derived by unfolding can be folded using clauses in Defs, without introducing new predicates. The output of the transformation is a set of linear clauses (listed in the online appendix) which is LA-solvable, as reported on line 4 of Table 1 in the next section.

In general, there is no guarantee that we can automatically transform any given satisfiable set of clauses into an LA-solvable one. In fact, such a transformation cannot be algorithmic because, for constrained Horn clauses, the problem of satisfiability is not semidecidable, while the problem of LA-solvability is semidecidable (indeed, the set of symbolic interpretations is recursively enumerable and the problem of checking whether or not a symbolic interpretation is an LA-solution is decidable). However, the linearization transformation cannot decrease LA-solvability, as the following theorem shows.

Theorem 4.3 (Monotonicity with respect to LA-solvability) Let TransfCls be obtained by applying the linearization transformation to  $LCls \cup Gls$ . If  $LCls \cup Gls$  is LA-solvable, then TransfCls is LA-solvable.

Since there are cases where  $LCls \cup Gls$  is not LA-solvable, while TransfCls is LA-solvable (see the Fibonacci example above and some more examples in the following section), as a consequence of Theorem 4.3 we get that the combination of LA-solving and linearization is strictly more powerful than LA-solving alone.

#### 5 Experimental results

We have implemented our verification method by using the VeriMAP system (De Angelis et al. 2014b). The implemented tool consists of four modules, which we have depicted in Figure 3. The first module, given the imperative program *prog* and its specification *Spec*, generates the set *PC* of constrained Horn clauses (see Theorem 2.1). *PC* is then given as input to the module RI that removes the interpreter. Then, the module LIN performs the linearization transformation. Finally, the resulting linear clauses are passed to the *LA*-solver, consisting of VeriMAP together with an SMT solver, which is either Z3 (de Moura and Bjørner 2008) or MathSAT (Cimatti et al. 2013) or Eldarica (Rümmer et al. 2013).

We performed an experimental evaluation on a set of programs taken from the literature, including some programs from (Felsing et al. 2014) obtained by applying

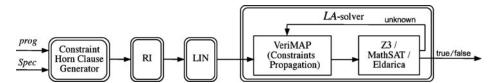


Fig. 3. Our software model checker that uses the linearization module LIN.

strength reduction, a real-world optimization technique<sup>1</sup>. In Table 1 we report the results of our experiments<sup>2</sup>.

One can see that linearization takes very little time compared to the total verification time. Moreover, linearization is necessary for the verification of 14 out of 19 programs (including *fibonacci*), which otherwise cannot be proved correct with respect to their specifications. In the two columns under *LA*-solving-1 we report the results obtained by giving as input to the Z3 and Eldarica solvers the set *PC* generated by the RI module. Under *LA*-solving-1 we do not have a column for MathSAT, because the version of this solver used in our experiments (namely, MSATIC3) cannot deal with nonlinear CHC's, and therefore it cannot be applied before linearization. In the last three columns of Table 1 we report the results obtained by giving as input to VeriMAP (and the solvers Z3, MathSAT, and Eldarica, respectively) the clauses obtained after linearization.

Unsurprisingly, for the verification problems where linearization is not necessary, our technique may deteriorate the performance, although in most of these problems the solving time does not increase much.

#### 6 Conclusions and related work

We have presented a method for proving partial correctness specifications of programs, given as Hoare triples of the form  $\{\varphi\}$   $prog\{\psi\}$ , where the assertions  $\varphi$  and  $\psi$  are predicates defined by a set of *possibly recursive*, definite CLP clauses. Our verification method is based on: Step(1) a translation of a given specification into a set of constrained Horn clauses (that is, a CLP program together with one or more goals), Step(2) an unfold/fold transformation strategy, called linearization, which derives *linear* clauses (that is, clauses with at most one atom in their body), and Step(3) an LA-solver that attempts to prove the satisfiability of constrained Horn clauses by interpreting predicates as linear arithmetic constraints.

We have formally proved that the method which uses linearization is strictly more powerful than the method that applies Step (3) immediately after Step (1). We have also developed a proof-of-concept implementation of our method by using the VeriMAP verification system (De Angelis et al. 2014b) together with various state-of-the-art solvers (namely, Z3 (de Moura and Bjørner 2008), MathSAT (Cimatti et al. 2013), and Eldarica (Rümmer et al. 2013)), and we have shown that our method works on several verification problems. Although these problems refer to

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<sup>&</sup>lt;sup>2</sup> The VeriMAP tool, source code and specifications for the programs are available at: http://map.uniroma2.it/linearization

Table 1. Columns RI and LIN show the times (in seconds) taken for removal of the interpreter and linearization. The two columns under LA-solving-1 show the times taken by Z3 and Eldarica for solving the problems after RI alone. The three columns under LA-solving-2 show the times taken by VeriMAP together with Z3, MathSAT, and Eldarica, after RI and LIN. The timeout TO occurs after 120 seconds.

	Program	RI	LA-solving-1		LIN	LA-solving-2: VeriMAP &		
	1 rogram		Z3	Eldarica	LIIN	Z3	MathSAT	Eldarica
1.	binary_division	0.02	4.16	TO	0.04	17.36	17.87	20.98
2.	fast_multiplication_2	0.02	TO	3.71	0.01	1.07	1.97	7.59
3.	fast_multiplication_3	0.03	TO	4.56	0.02	2.59	2.54	9.31
4.	fibonacci	0.01	TO	TO	0.01	2.00	47.74	6.97
5.	Dijkstra_fusc	0.01	1.02	3.80	0.05	2.14	2.80	10.26
6.	greatest_common_divisor	0.01	TO	TO	0.01	0.89	1.78	0.04
7.	integer_division	0.01	TO	TO	0.01	0.88	1.90	2.86
8.	91-function	0.01	1.27	TO	0.06	117.97	14.24	TO
9.	integer_multiplication	0.02	TO	TO	0.01	0.52	14.76	0.54
10.	remainder	0.01	TO	TO	0.01	0.87	1.70	3.16
11.	sum_first_integers	0.01	TO	TO	0.01	1.79	2.30	6.81
12.	lucas	0.01	TO	TO	0.01	2.04	8.39	9.46
13.	padovan	0.01	TO	TO	0.01	2.24	TO	11.62
14.	perrin	0.01	TO	TO	0.02	2.23	TO	11.89
15.	hanoi	0.01	TO	TO	0.01	1.81	2.07	6.59
16.	digits10	0.01	TO	TO	0.01	4.52	3.10	6.54
17.	digits10-itmd	0.06	TO	TO	0.04	TO	10.26	12.38
18.	digits10-opt	0.08	TO	TO	0.10	TO	TO	15.80
19.	digits10-opt 100	0.01	ТО	ТО	0.02	ТО	58.99	8.98

quite simple specifications, some of them cannot be solved by using the above mentioned solvers alone.

The use of transformation-based methods in the field of program verification has recently gained popularity (see, for instance, (Albert et al. 2007; De Angelis et al. 2014a; Fioravanti et al. 2013; Kafle and Gallagher 2015; Leuschel and Massart 2000; Lisitsa and Nemytykh 2008; Peralta et al. 1998)). However, fully automated methods based on various notions of partial deduction and CLP program specialization cannot achieve the same effect as linearization. Indeed, linearization requires the introduction of new predicates corresponding to conjunctions of old predicates, whereas partial deduction and program specialization can only introduce new predicates that correspond to instances of old predicates. In order to derive linear clauses, one could apply conjunctive partial deduction (De Schreye et al. 1999), which essentially is equivalent to unfold/fold transformation. However, to the best of our knowledge, this application of conjunctive partial deduction to the field of program verification has not been investigated so far.

The use of linear arithmetic constraints for program verification has been first proposed in the field of *abstract interpretation* (Cousot and Cousot 1977), where these constraints are used for approximating the set of states that are reachable during program execution (Cousot and Halbwachs 1978). In the field of logic programming,

abstract interpretation methods work similarly to LA-solving for constrained Horn clauses, because they both look for interpretations of predicates as linear arithmetic constraints that satisfy the program clauses (see, for instance, (Benoy and King 1997)). Thus, abstract interpretation methods suffer from the same theoretical limitations we have pointed out in this paper for LA-solving methods.

One approach that has been followed for overcoming the limitations related to the use of linear arithmetic constraints is to devise methods for generating polynomial invariants and proving specifications with polynomial arithmetic constraints (Rodríguez-Carbonell and Kapur 2007a; Rodríguez-Carbonell and Kapur 2007b). This approach also requires the development of solvers for polynomial constraints, which is a very complex task on its own, as in general the satisfiability of these constraints on the integers is undecidable (Matijasevic 1970). In contrast, the approach presented in this paper has the objective of transforming problems which would require the proof of nonlinear arithmetic assertions into problems which can be solved by using linear arithmetic constraints. We have shown some examples (such as the *fibonacci* program) where we are able to prove specifications whose post-condition is an exponential function.

An interesting issue for future research is to identify general criteria to answer the following question: Given a class  $\mathcal{D}$  of constraints and a class  $\mathcal{H}$  of constrained Horn clauses, does the satisfiability of a finite set of clauses in  $\mathcal{H}$  imply its  $\mathcal{D}$ -solvability? Theorem 3.1 provides a negative answer to this question when  $\mathcal{D}$  is the class of LA constraints and  $\mathcal{H}$  is the class of all constrained Horn clauses.

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