

Practical Deductive Verification of OCaml Programs^{*}



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Abstract. In this paper, we provide a comprehensive, hands-on tutorial on how to apply deductive verification to programs written in OCaml. In particular, we show how one can use the **GOSPEL** specification language and the **Cameleer** tool to conduct mostly-automated verification on OCaml code. In our presentation, we focus on two main classes of programs: first, purely functional programs with no mutable state; then on imperative programs, where one can mix mutable state with subtle control-flow primitives, such as locally-defined exceptions.

Keywords: Deductive Software Verification · OCaml · Cameleer · GOSPEL

1 Introduction

Deductive software verification [11] is a subject within the larger field of formal methods [23]. One can define deductive software verification as the process of expressing the correctness of a program as a mathematical statement, then proving it. However, such a definition does not properly highlight the connection between the three main components in deductive verification: the *logical specification*, which mathematically captures *what* one wishes to compute; the *code*, which stands for *how* one materializes ideas as a piece of software; and, finally, a formal proof of *why* the code adheres to the given specification. This last component can be realized via a so-called *Verification Conditions Generator*, a mechanical tool that takes as input the code and the specification, producing the aforementioned correctness statement.

In this tutorial paper, we focus on the deductive verification of programs developed in the OCaml language. We use the **Cameleer** [27] tool to verify, in a mostly-automated fashion, that an OCaml program adheres to its specification. One key aspect of our presentation is the use of **GOSPEL** [8], the *Generic OCaml SPECification Language*. This is a tool-agnostic language, which serves as a

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common ground for the different OCaml verification tools and techniques. One important feature of GOSPEL is that specifications are written in a subset of the OCaml language, plus quantifiers, making the adoption of formal methods even more appealing for the working OCaml programmer.

Throughout this tutorial, we harmoniously combine an algorithmic discovery journey with the art of deductive software verification. We believe verification tools and techniques are better presented through the lens of classical data structures and algorithms. We believe this hands-on, example-oriented approach is a more efficient and convincing way to justify the interest in using verification tools. In order to follow this tutorial, we only assume the reader to possess basic knowledge of functional programming (not necessarily in OCaml) and some knowledge of deductive verification, at least to the level of understanding function contracts, loop invariants, and proofs by induction.

This paper is organized as follows. Sec. 2 provides an overview of the GOSPEL language. Sec. 3 introduces the Cameleer tool, mainly using two examples of verified OCaml programs, the first being a pure implementation, the other featuring mutability. In Sec. 4, we take a more in-depth dive into the verification of functional programs. Sec. 5 extends our class of verified programs, incorporating some imperative traits of the OCaml language. We terminate with some related work (Sec. 6) and closing remarks and future perspectives (Sec. 7). All the software and proofs used in this paper are publicly available in a companion artifact [28], which also complements this paper with other case studies verified in Cameleer.

2 A Primer on GOSPEL

GOSPEL is a behavioral specification language for OCaml code. It is a contract-based, statically typed language, with a formal semantics defined by means of translation into Separation Logic [6, 29]. The term *Generic* comes from the fact that GOSPEL is not tied to any particular tool or analysis technique. In fact, nowadays, one can use GOSPEL to attach specifications to OCaml that are then analyzed using *runtime assertion checking* techniques [13], or formally verified using deductive verification tools [7, 27]. GOSPEL is inspired by other behavioral specification languages [15], such as JML [19] or Eiffel [22]. However, both JML and Eiffel require the specification to always be executable. This is not the case in GOSPEL. In this tutorial paper, we focus on the use of GOSPEL for deductive verification.

When compared to other specification languages based on Separation Logic, *e.g.*, VeriFast [17], Viper [24], or Gillian [21], GOSPEL takes a different design choice: permission and separation conditions are implicitly associated with function arguments, which greatly improves conciseness over Separation Logic. We argue this is an important argument in favor of GOSPEL adoption by regular OCaml programmers, who are not necessarily proof experts. We believe it is of crucial importance to develop the languages and tools that bring practitioners into formal methods.

```

type 'a t
(*@ mutable model view: 'a list *)

val create : unit -> 'a t
(*@ s = create ()
    ensures s.view = [] *)

val is_empty : 'a t -> bool
(*@ b = is_empty s
    ensures b <-> s.view = [] *)

val push : 'a -> 'a t -> unit
(*@ push x s
    modifies s.view
    ensures s.view = x :: old s.view *)

val pop : 'a t -> 'a
(*@ v = pop s
    requires s.view <> []
    modifies s.view
    ensures v :: s.view = old s.view *)

```

Fig. 1: GOSPEL-annotated Stack Interface.

GOSPEL was initially designed as an interface behavioral specification language. The interface shown in Figure 1 exemplifies the use of GOSPEL to specify an OCaml interface for a *polymorphic stack* data structure, independent of the underlying implementation (it could be, *e.g.*, a linked-list, a ring buffer, etc.). GOSPEL specification is given within comments of the form `(*@ ... *)`. We start by specifying that type `t` of stacks is described, at the logical level, via a *model field* named `view`. This field is of type `'a list` (here, we use OCaml's immutable lists) and describes the sequence of elements contained in the data structure. There is, however, one important aspect about the use of `view`: it is declared as a **mutable** field, which means one should expect in-place modifications to the stack. In other words, `t` represents an imperative data structure.

When it comes to attaching specification to functions, the first line in the GOSPEL comments names function arguments and its return value. To describe the behavior of a function, we mainly use three clauses: **requires**, to introduce a precondition; **ensures**, to introduce a postcondition; and **modifies**, which enumerates all the mutable fields changed during the call to a function. For instance, functions `create` and `is_empty` are simply annotated with postconditions stating, respectively, that a fresh stack is created with no elements and, conversely, a stack is empty if it does not contain any element. Finally, functions `push`, `pop`, and `transfer` modify the contents of a stack via side-effects. The former inserts a new element to the top of the `view` model; the latter removes the top element, assuming as a precondition that the stack is not empty. The term `old s.view`

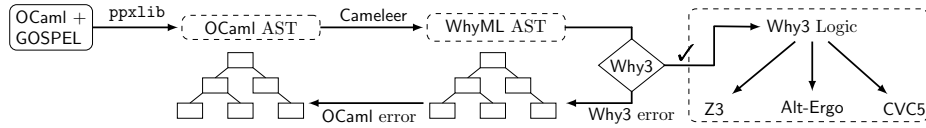


Fig. 2: Cameleer Architecture and verification pipeline, taken from [27].

represents the pre-state of model `view`, *i.e.*, the value of this field at the moment the function is called.

Throughout this tutorial, we will use and discover `GOSPEL` features via `OCaml` examples formally verified using the `Cameleer` tool. However, we are not able to cover here all the relevant aspects of the language in full detail. For a more in-depth presentation of `GOSPEL`, we refer the reader to the original paper [8] and the user manual¹.

3 The Cameleer Verification Tool

Up until recently, programmers would face a difficult choice if they wished to produce verified `OCaml` code: either conduct automated proof, but entirely re-implement their code-bases in a proof-aware language, and then rely on code extraction; or verify actual `OCaml` code, but using an interactive proof assistant, with the burden of manual proofs. `Cameleer` offers a compromise between the two approaches: it is a tool for the deductive verification of `OCaml`-written programs, with a clear focus on proof automation. It aims to provide an easy to use framework for the specification and verification of `OCaml` code.

Fig. 2 presents the verification pipeline of the tool. It takes as input an `OCaml` implementation file, annotated using `GOSPEL`, and translates it into an equivalent `WhyML` program, the programming and specification language of the `Why3` framework [14]. `Why3` is a tool-set for the deductive verification of software, oriented towards automated proof. A distinctive feature of `Why3` is that it can interface with different off-the-shelf SMT solvers, which greatly increases proof automation.

With `Cameleer`, we put forward the vision of the *specifying programmer*: those who write the code, should also be able to specify it. But, we want to push this vision even further: those who write the code, should be able to specify it *and formally verify it*. Leveraging on the proof automation and tool-set offered by `Why3`, we believe `Cameleer` is a good candidate to fill this need in the working `OCaml` programmers community.

In this section, we introduce `Cameleer` via two examples of mechanically verified algorithms implemented in `OCaml` and specified in `GOSPEL`. The first one is a traditional merge operation over sorted lists. The second one is a linear-search operation on arrays, hence an imperative implementation, featuring some interesting constructions from the `OCaml` language. The two examples have a

¹ <https://ocaml-gospel.github.io/gospel/>

```

module type PRE_ORD = sig
  type t

  (*@ predicate le (x : t) (y : t) *)

  (*@ axiom reflexive : forall x. le x x *)
  (*@ axiom total      : forall x y. le x y \/ le y x *)
  (*@ axiom transitive: forall x y z. le x y -> le y z -> le x z *)

  val leq : t -> t -> bool
  (*@ b = leq x y
     ensures b <-> le x y *)
end

```

Fig. 3: Type Equipped With a Total Preorder Relation.

common point: both are written using functors, showing how Cameleer proofs can scale up to the level of modular algorithms and data structures.

3.1 A Simple Functional Program – the Merge Routine

Modular Definitions, Using Functors. The OCaml module system, in particular *functors*, offers flexible mechanisms to derive implementations that are agnostic to the actual representation of manipulated data types. Functors stand for modules that take other modules as parameters, similar to Scala traits. As an introductory example on the use of functors, consider the following implementation of a `max` function within functor `Max`:

```

module Max (E : PRE_ORD) = struct
  let max x y =
    if E.leq x y then y
    else x
end

```

The signature type `PRE_ORD` is given in Fig. 3. It introduces a type `t` together with a function `leq`, which establishes a total preorder on values of type `t`. The GOSPEL specification in this module type introduces a predicate `le`, which we assume it respects the three laws of a preorder: *reflexivity*, *totality*, and *transitivity*. Such laws are encoded as *axioms*, which stand for logical assumptions upon which one relies without actually providing them correct. Finally, the post-condition of program function `leq` states this is a decidable implementation of predicate `le`.

For the above implementation of `max`, we use the `leq` function provided in the functor argument `E`, to check whether function argument `x` is less or equal to `y`. This comparison is made with respect to the preorder relation induced by `E`. We

can provide this implementation with suitable GOSPEL specification. This is as follows²:

```

let max x y = ...
(*@ r = max x y
   ensures E.le x r /\ E.le y r
   ensures r = x \/ r = y

```

The first clause in the postcondition states that both x and y must be smaller than or equal to the returned value r , with respect to the preorder induced by predicate $E.le$. The second clause states that r must be either equal x or y , where $(=)$ stands for polymorphic, potentially undecidable, logical equality.

OCaml Implementation. The *merge sort* algorithm gets its name from its main step: merging the elements of two sorted lists, producing a third sorted list. Here, our goal is to provide a `merge` implementation *independently* of the type of list elements. To do so, we introduce the following functor `Merge`:

```

module Merge (E : PRE_ORD) = struct
  type elt = E.t

  let rec merge_aux acc l1 l2 =
    match (l1, l2) with
    | [], l | l, [] -> List.rev_append acc l
    | x :: xs, y :: ys ->
        if E.leq x y then merge_aux (x :: acc) xs l2
        else merge_aux (y :: acc) l1 ys

  let merge l1 l2 = merge_aux [] l1 l2
end

```

The above `merge` definition is an efficient implementation of a merge routine, since it makes use of the tail-recursive, auxiliary function `merge_aux`. This function merges lists `l1` and `l2` into the accumulator `acc`. Since every new element is inserted to the head of `acc`, then in the base cases one must first reverse it and then concatenate the result with `l`, the suffix list of elements (either from `l1` or `l2`) that remains to be enumerated. The OCaml standard library function `rev_append` efficiently implements this “reverse then concatenate” process. Finally, the main `merge` function calls `merge_aux` with the empty list as the initial value for the accumulator.

GOSPEL Specification. Let us now describe the specification of the `merge_aux` and `merge` functions. In order to specify that `merge` always returns a sorted list, we must first introduce what it means for a list to be sorted. We introduce the following GOSPEL predicate:

² In Cameleer, function specification is introduced after function definition.

```

(*@ predicate rec sorted_list (l : elt list) =
  match l with
  | [] | _ :: [] -> true
  | x :: y :: r -> E.le x y && sorted_list (y :: r) *)
(*@ variant l *)

```

The empty or singleton lists of integers are always sorted. If the list has at least two elements, then the first must be less than or equal to the second one and the suffix list $y :: r$ must also be a sorted list. Since `sorted_list` is to be used within specifications, it must be a total (*i.e.*, terminating) function. We supply the variant `l`, which represents a *termination measure* for every recursive call to the `sorted_list` predicate. A variant represents a quantity that always strictly decreases at every recursive call. In this case, we state that the argument of every recursive call is structurally smaller than the value of `l` at the entry point.

Note that the elements of the argument `l` are of type `integer`, the GOSPEL type for mathematical integers. When applying this function to a list of values of OCaml `int` type (63-bit machine integers), the GOSPEL and Cameleer tool-chains will apply a conversion mechanism from machine integers into their equivalent mathematical representation.

Using `sorted_list` predicate, we attach the following GOSPEL specification to the `merge_aux` function:

```

let rec merge_aux acc l1 l2 = ...
(*@ r = merge_aux acc l1 l2
  requires sorted_list (List.rev acc)
  requires sorted_list l1 && sorted_list l2
  requires forall x y.
    List.mem x acc -> List.mem y l1 -> E.le x y
  requires forall x y.
    List.mem x acc -> List.mem y l2 -> E.le x y
  ensures sorted_list r
  variant l1, l2 *)

```

The precondition reads as follows: the `acc` list is sorted in reverse order, while `l1` and `l2` are sorted in natural order; every element from `acc` must be less or equal to any element from either `l1` or `l2`. Finally, the postcondition simply asserts the returned list `r` is sorted and we prove termination using the lexicographic order on the pair `l1, l2`. In other words, if in a recursive call `l1` structurally decreases, then the whole variant decreases; otherwise, when `l1` does not decrease, then it must be the case that `l2` decreases. Cameleer ships with a subset of the OCaml standard library specified using GOSPEL, hence one is able to use and reason about functions such as `List.mem` or `List.rev`.

Finally, the specification of `merge` is as follows:

```

let merge l1 l2 = merge_aux [] l1 l2
(*@ r = merge l1 l2
  requires sorted_list l1 && sorted_list l2
  ensures sorted_list r *)

```

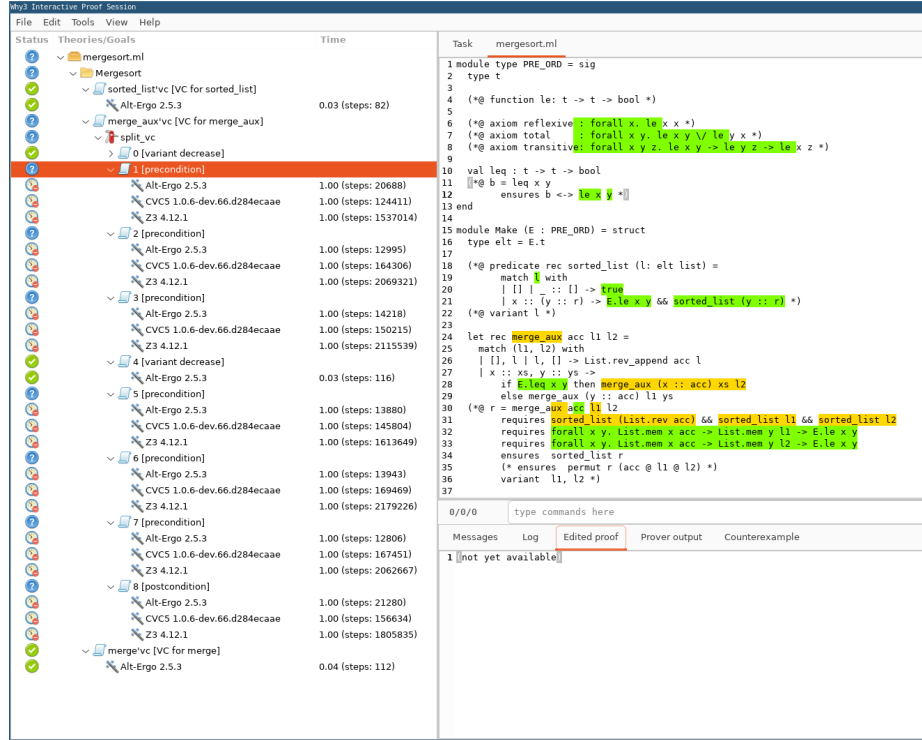


Fig. 4: Why3 Proof Session for the Merge Sort Routine.

If both 11 and 12 are sorted lists, then the call `merge 11 12` always produces a sorted list.

Cameleer Proof. Assuming the OCaml implementation and GOSPEL specification of the merge routine are contained in file `merge.ml`, one can start the verification process by typing the command `cameleer merge.ml`. This launches the interactive Why3 graphical user interface [10], as depicted in Fig. 4. On left-hand side, the Why3 IDE features a node for the generated verification conditions (VCs) of each top-level definition, together with any proof attempt on such VCs. Calling a SMT solver to prove a generated VC can be done by right-clicking a node and selecting the desired solver. A green button on the left of a node means that a solver was able to discharge the corresponding VC. This is the case of the `sorted_list` predicate and the `merge` function, for which Alt-Ergo is able to prove that both adhere to their specification, in less than a second. The proof time is shown on the right of the solver name, together with the number of conducted proof steps. One can also apply proof transformations on nodes, for instance to split a larger VC into its conjunctive clauses. This is done for the `merge_aux` definition. After split, one can focus on a specific part of the

verification, such as proving a precondition, variant decrease, or postcondition. Moreover, each of these individual formulae is smaller and less involved than the original VC, hence more likely to be automatically discharged by an SMT solver.

On the right-hand side of the Why3 IDE, one can inspect the code under verification. On one hand, the green labels stand for the assumptions (flow of the execution and parts of the specification) made at some point of the verification process. On the other hand, the yellow labels mark what one is actually trying to verify. In this case, we are trying to discharge the first precondition of the `merge_aux` function, at the recursive call `merge_aux (x :: acc) xs 12`. We shall explain the **Task** tab in Sec. 3.2.

As shown in Fig. 4, we fail to prove that function `merge_aux` adheres to its GOSPEL specification. We are not able to verify every individual VC for this function, after split. The three used solvers, Alt-Ergo, CVC5, and Z3, all time-out after 1 second for every condition except that the supplied variant measure decreases. One could attempt to provide more time to each solver, to allow these tools to conduct more proof steps, hopefully leading to more VCs being discharged. However, in this case, we are actually missing some *auxiliary lemmas* about the `sorted_list` predicate. A lemma in GOSPEL represents a property that, once stated, can be explored by SMTs to discharge other VCs. However, contrarily to axioms, lemmas are not assumed: these must be proved correct at definition time.

To close the verification of the `merge_aux` function, we need two auxiliary lemmas: first, one that states we can insert a new value `x` as the head of a sorted list `l` if and only if `x` is less than or equal to every element in `l`. We introduce such a lemma in GOSPEL as follows:

```
(*@ lemma sorted_mem: forall x l.
  (forall y. List.mem y l -> E.le x y) /\ sorted_list l <->
  sorted_list (x :: l) *)
```

Second, the concatenation `l1 @ l2` of sorted lists `l1` and `l2` is a sorted list if and only if all the elements in `l1` are less or equal than all the elements of `l2`. We provide the following GOSPEL lemma:

```
(*@ lemma sorted_append: forall l1 l2.
  (sorted_list l1 && sorted_list l2 &&
   (forall x y. List.mem x l1 -> List.mem y l2 -> E.le x y))
  <-> sorted_list (l1 ++ l2) *)
```

Using the given lemmas, the correctness proof for `merge_aux` now succeeds. Alt-Ergo is able to explore these auxiliary definitions to discharge all the remaining VCs. As for the proofs of the lemmas themselves, both require proofs by induction. We can conduct such proofs inside the Why3 IDE, using a dedicated transformation for induction over algebraic types (in this case lists). For a more complete presentation on how to use the Why3 IDE, including on how to apply different interactive proof transformations, we refer the reader to the framework user's manual [2].

```

module type EQUAL = sig
  type t

  val eq : t -> t -> bool
  (*@ b = eq x y
    ensures b <-> x = y *)
end

```

Fig. 5: Type Equipped With an Equality Relation.

3.2 Searching an Element Within an Array

OCaml Implementation. We now make a shift from the purely functional world to present some OCaml imperative features, and showcase how one can use Cameleer to reason about such features. Consider the following modular implementation of a function that performs a linear search in an array:

```

module Find (E : EQUAL) = struct
  let find x a =
    let exception Found of int in
    try
      for i = 0 to Array.length a - 1 do
        if E.eq a.(i) x then raise (Found i)
      done;
      raise Not_found
    with Found i -> i
  end
end

```

Fig. 5 presents the definition of the signature type `EQUAL`. It declares a function `eq` that decides whether two values of type `t` are *logically equal*. This is exactly what is stated in the postcondition clause.

The definition of the `find` function presents some interesting OCaml imperative traits. On one hand, the use of a `for` loop to scan the array `a`; on the other hand, the declaration and use of the *local exception* `Found`. The latter is used to signal that the search succeeded, carrying the index of `x` within `a`. The use of local exceptions in OCaml is a convenient way to simulate the behavior of a `return` statement, commonly found in other languages. In fact, the whole loop is surrounded with a `try..with` block that ensures exception `Found` is always caught. Finally, to signal that `x` does not occur in `a`, we use the `Not_found` exception from the OCaml standard library. It is worth noting that we purposely let such an exception escape the scope of `find`.

Cameleer Proof. In order to prove the correctness of function `find`, one must supply a *loop invariant*. This is done in Cameleer as follows:

```

for i = 0 to Array.length a - 1 do
  (*@ invariant forall j. 0 <= j < i -> a.(j) <> x *)

```

This invariant simply asserts that while in the loop, we know for sure x does not occur in the prefix of a that we have already scanned. The infix operator ($<>$) stands for logical inequality. As for the equality operator, ($=$), inequality is expressed using the same syntax in OCaml and in GOSPEL and both are built-in symbols of the GOSPEL language. We recall that, except for quantifiers and logical connectives, GOSPEL terms are written in a subset of the OCaml language.

Now, we focus on providing a specification contract for function `find`. But first, it is crucial to distinguish the possible outcome behaviors of this function. On one hand, it returns normally whenever exception `Found` is raised; on the other hand, it raises the `Not_found` exception to abort execution. For the former, we shall establish a *regular postcondition*. For the latter, we shall introduce what is called an *exceptional postcondition*. We attach the following GOSPEL annotations to `find`:

```
let find x a =
  ...
  (*@ i = find x a
    ensures a.(i) = x
    raises Not_found -> forall i. 0 <= i < Array.length a ->
      a.(i) <> x *)
```

The `ensures` clause is checked when `find` indeed returns an integer i , representing the (first) index of x in a . The `raises` clause states the logical property that holds when `Not_found` is raised. This stands for the case when we have scanned all the array a , finding no occurrence of x . We restrict the range of values that the universally quantified variable i can take, since GOSPEL establishes that undefined array indices are arbitrary values, not necessarily different from x .

For this program, Cameleer generates 6 VCs, after splitting the formula generated for the `find` function. All are immediately discharged by Alt-Ergo.

Providing an Incorrect Loop Invariant. Let us take a step back in the verification process of the `find` implementation. Imagine a scenario where one would have, incorrectly, supplied the following loop invariant:

```
for i = 0 to Array.length a - 1 do
  (*@ invariant forall j. 0 <= j <= i -> a.(j) <> x *)
```

The only difference, when compared with the previously presented invariant, is that now the value of the universally quantified variable j can be equal to i , the loop index. Fig. 6 shows that by feeding the new invariant to the Cameleer-Why3 pipeline, one is still able to prove the postcondition of `find` holds, but not the *invariant initialization* (i.e., the invariant holds before the first iteration), neither *invariant preservation* (i.e., assuming the invariant holds before an arbitrary iteration, it still holds after that iterations completes). To debug a failed proof attempt, the Why3 IDE allows the user to inspect the *task* [3], a representation of the formula that is sent to solvers. Under tab **Task**, such formula is displayed

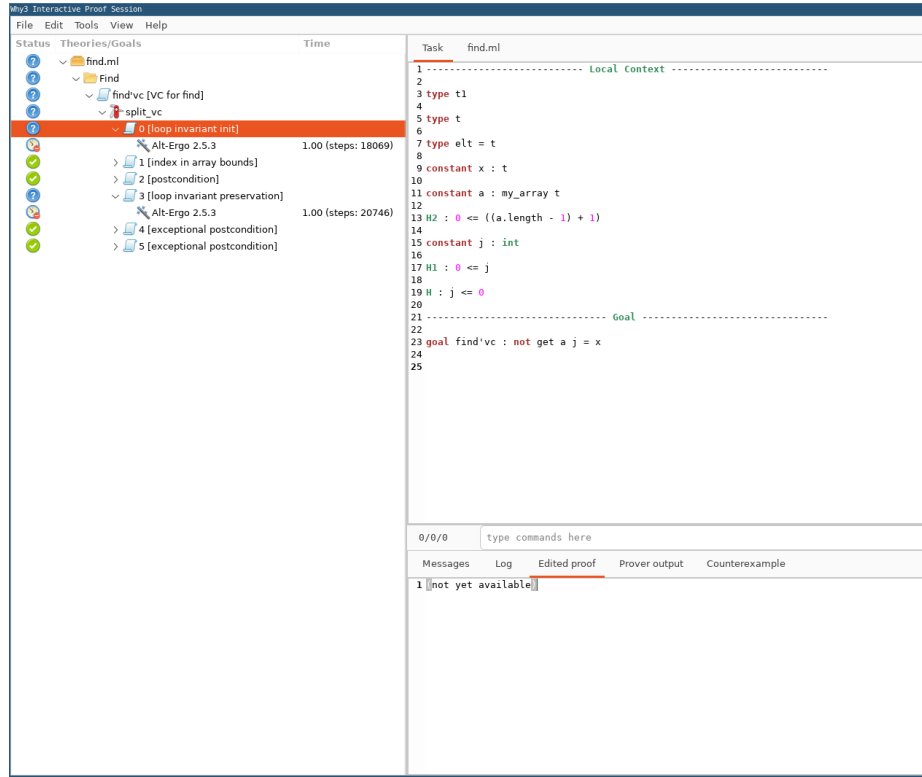


Fig. 6: Proof Task for an Incorrect Loop Invariant Initialization.

as a **goal** (*i.e.*, what one is actually trying to prove) and the proof context (*i.e.*, the hypotheses) above the dashed line.

Fig. 6 depicts the task for the loop invariant initialization. After reading the task, we can conclude that hypotheses H1 and H2 imply that j is equal to 0. Hence, we are trying to prove a goal that asserts the actual first element in the array a is not x . There is nothing in our proof context that allows us to prove such a statement. This is an indication that either our context is not enough to discharge the goal (*e.g.*, the specification is incomplete), or rather there is an actual bug in the specification or implementation. In this case, however, we already know the answer: changing the loop invariant to $j < i$ would generate a task, for loop invariant initialization, with hypotheses $0 \leq j$ and $j < 0$, hence the goal would hold vacuously. It is worth noting that tasks are written in the logical fragment of the WhyML language. This is the only point in the verification process that a Cameleer user must read a formula that is not written in GOSPEL. However, since GOSPEL and WhyML are syntactically very similar, we believe someone familiar with GOSPEL is able to read and understand a Why3 task.

4 Purely Functional Programming

We define *purely functional programming* as the approach to write a program where no mutable state is involved. Such a program is normally a collection of (recursive) functions that are composed with each other to perform some computation. The program also only employs data structures that do not require any memory manipulation, such as lists or trees. This style of programming is at the very essence of the OCaml language.

In this section, we use the **Cameleer** tool to conduct formal verification of a purely functional program that operates on trees. We present the OCaml implementation of such a program, annotated with suitable GOSPEL specifications. We interleave the presentation of code listings with explanations of the given implementation and specification. Hence, to ease readability, the example chunks that belong together are given running line numbers.

4.1 Same Fringe – Comparing Two Binary Trees

Let us consider the following, very classic, programming challenge:

Write a function that, given two binary trees, decides whether the two trees present the same sequence of elements when traversed inorder.

This is known as the *same fringe* problem. One possible solution to this problem is as follows:

1. perform an inorder traversal on both trees, building the list of elements enumerated during such traversals;
2. compare, recursively, whether the two lists contain the same elements.

This is, however, a very naive approach, since it always builds the auxiliary lists for all the elements of both trees. Imagine the following scenario:



The two trees differ in the leftmost element, as we have *x* for the left-hand side tree, and *y* for the right-hand side tree. Following the solution proposed above, we would unnecessarily build two (huge) sequences. Note, however, that this implementation is easier to check for correctness than more efficient ones. Hence, this list-based approach can be used as a good specification for the solution we describe in the remaining of the section.

We propose to explore an approach that allows one to enumerate the elements of each tree, step-by-step. In such a way, we can stop as soon as two distinct elements are enumerated. If we complete the iteration process on both trees, then it must be the case the trees contain the same elements. This algorithm is implemented in OCaml and specified using GOSPEL as follows. First, we use the EQUAL signature from Fig. 5 to build a functor that implements *same fringe*. We start by defining the type of binary trees with elements of type $E.t$, as follows:

```
1  module Make (E : EQUAL) = struct
2      type tree = Empty | Node of tree * E.t * tree
```

A tree is either `Empty` or a `Node` formed of two sub-trees and a root of type $E.t$.

Now, we define a logical function that implements an inorder traversal on a binary tree, returning the list of enumerated elements:

```
3      (*@ function elements (t : tree) : E.t list =
4          match t with
5              | Empty -> []
6              | Node (l, x, r) -> (elements l) @ (x :: elements r) *)
```

The traversal is implemented by: (i) traversing the whole left sub-tree; (ii) concatenating the resulting sequence of elements (the `@` operator represents list concatenation in OCaml) to x (the root) and the sequence of elements issued from the right sub-tree traversal. This is exactly the naive approach previously described. We shall only use the function `elements` for specification purposes.

In order to implement the step-by-step enumeration of elements in a tree, we use an explicit data representation of the call stack of the program that would construct the inorder list, so we can interrupt the traversal as soon as required. Such a representation is inspired by the *zipper* [16] structure. A zipper can be used as an efficient cursor into data structures, allowing one to arbitrarily traverse the structure, as well as to perform efficient local modifications (*e.g.*, insertions or deletions) without the overhead of rebuilding the whole structure for each modification. In the case of the *same fringe* problem, we always traverse a tree towards its leftmost element, without performing any modifications to the structure. Hence, we specialize the zipper data type as follows:

```
7      type zipper = (E.t * tree) list
```

A value of type `zipper` is a list, where each element is a pair composed of a tree element and the corresponding right sub-tree. We build such a list bottom-up, which represents the left spine of the tree that is still to be traversed. Together with the `zipper` data type, we introduce the following logical function to convert from a zipper to a list:

```
8      (*@ function enum_elements (e : zipper) : E.t list =
9          match e with
10             | [] -> []
11             | (x, r) :: e -> x :: (elements r @ enum_elements e) *)
```

From a specification point of view, we have everything we need to tackle our verified implementation of the *same fringe* problem. We start by defining how to create a zipper from a tree. This is done as follows:

```

12   let rec mk_zipper (t : tree) (e : zipper) =
13     match t with
14     | Empty -> e
15     | Node (l, x, r) -> mk_zipper l ((x, r) :: e)
16   (*@ r = mk_zipper t e
17     variant t
18     ensures enum_elements r = elements t @ enum_elements e *)

```

The specification of `mk_zipper` states that this is a terminating function, with argument `t` structurally decreasing at each recursive call. The functional behavior of this function is captured in the postcondition, where we state the sequence of elements of the resulting zipper is the same as the inorder sequence of elements from tree `t`, plus the elements of the accumulator `e`.

We now provide the actual, step-by-step, iteration on two zippers, as follows:

```

19   let rec eq_zipper (e1 : zipper) (e2 : zipper) =
20     match (e1, e2) with
21     | [], [] -> true
22     | (x1, r1) :: e1, (x2, r2) :: e2 -> E.eq x1 x2 &&
23       eq_zipper (mk_zipper r1 e1) (mk_zipper r2 e2)
24     | _ -> false
25   (*@ b = eq_num e1 e2
26     variant List.length (enum_elements e1)
27     ensures b <-> enum_elements e1 = enum_elements e2 *)

```

This implementation distinguishes three cases:

1. If both zippers are empty, then we are sure to have enumerated the same sequence of elements.
2. If both zippers still have elements, then the next elements in the enumeration are the heads of both lists. We compare these and proceed recursively, only if the `E.eq x1 x2` comparison holds.
3. Otherwise, if one of the zipper terminates before the other, then we are sure the enumerated sequences differ.

Very simply put, the postcondition of `eq_zipper` states that this function logically decides whether two zippers enumerate the same sequence of elements.

Finally, we provide the definition of the `same_fringe` function, which decides whether two binary trees present the same elements. This is as simple as

```

28   let same_fringe (t1 : tree) (t2 : tree) =
29     eq_zipper (mk_zipper t1 []) (mk_zipper t2 [])
30   (*@ b = same_fringe t1 t2
31     ensures b <-> elements t1 = elements t2 *)
32
33   end

```

From the postcondition of `eq_zipper` one can deduce that `same_fringe` will return the Boolean `true` if and only if the two zippers passed as arguments represent the same sequence of elements. Since we use the empty list as the initial accumulator value for the creation of both zippers, then the postcondition of `mk_zipper` states the created zippers enumerate the exact same sequence of elements as those of trees `t1` and `t2`, respectively. Hence, the postcondition of `eq_zipper` always holds.

Feeding our *same fringe* implementation to `Cameleer` generates 11 VCs, after splitting each top-level definition. These are discharged in roughly 1 second using a combination of the `Alt-Ergo`, `Z3`, and `CVC5` SMT solvers. For reference, the complete OCaml implementation and `GOSPEL` specification for *same fringe* is given in Appendix A.

4.2 Summary

In this section, we used the *same fringe* example to motivate and showcase the use of `Cameleer` for the deductive verification of purely functional algorithms. Such functional implementations are closer to mathematical definitions, hence are normally easier to reason about. Other than the example presented in this section, `Cameleer` has been successfully used to prove the correctness of real-world functional OCaml data structures. We highlight the `Set` module from the OCaml standard library, and the Leftist Heap implementation issued from the widely used `ocaml-containers` library³. Even if not presented in the body of this document, all such case studies are included in the companion artifact.

5 Imperative Programs

One important aspect of the OCaml language is the fact that it is a multi-paradigm language, combining functional with imperative and object-oriented programming. In this section, we use `Cameleer` to conduct the formal verification of an OCaml program that implements an historical algorithm using imperative features, namely loops, mutable references, and exceptions. As in Sec. 4, the main example code listings are presented using running line numbers.

5.1 Boyer-Moore MJRTY Algorithm

Let us, once again, use an algorithmic problem as the vehicle to showcase how to specify an OCaml program using `GOSPEL`, and how to prove it in `Cameleer`. Consider the following challenge:

Write a function that, given an array of votes, determines the candidate with the absolute majority, if any.

The more direct solution would take the following steps:

³ <https://github.com/c-cube/ocaml-containers>

1. For a total of N candidates, we first allocate an array of integer values of length N that serves as an histogram.
2. We do a first pass over the array of votes, summing up in the histogram the number of votes for each candidate.
3. Finally, we iterate over the histogram to check if any of the candidates achieves majority.

This approach could certainly be implemented in OCaml and proved correct in Cameleer. It runs in $\mathcal{O}(M + N)$ time (build the histogram, then iterate over it), where M is the number of votes. However, this approach allocates an extra memory space of N cells, *i.e.*, the histogram. Here, we adopt a different solution, due to R. Boyer and J. Moore [4]. Such a solution uses at most $2M$ comparisons and constant extra space (other than the array of votes itself).

First, we build a functor parameterized with module type EQUAL from Fig. 5, so that we are able to compare candidates:

```

1  module Mjrty (E : EQUAL) = struct
2      type candidate = E.t
3
4      let mjrty a =
5          let exception Found of candidate in

```

We begin by declaring local exception `Found`, which we use to terminate the search and signal if some candidates reaches majority. We now introduce the only extra auxiliary references we need:

```

6      let n = Array.length a in
7      let cand = ref a.(0) in
8      let k = ref 0 in

```

The use of references `cand` and `k` is the actual core of the Boyer-Moore's method.

We do a first traversal on the array of votes, updating `cand` and `k` accordingly:

```

9      try
10         for i = 0 to n - 1 do
11             if !k = 0 then begin
12                 cand := a.(i);
13                 k := 1 end
14             else if E.eq !cand a.(i) then incr k
15             else decr k
16         done;

```

Very briefly, the loop body does the following:

- If the value stored in `k` is zero, then we change the candidate stored in `cand` to the i -th element of `a` and update `k` to one (lines 11 to 13);
- If the i -th candidate in `a` is equal to the value stored in `cand`, then we increment reference `k` (line 14);
- Otherwise, we decrement `k` (line 15).

So now, a crucial question arises: what are the invariants for this loop that allow verification to succeed? One crucial part of the process is to reason about “the number of votes for a certain candidate in a slice of the array”. To be able to express such notion in the specification, we declare the following GOSPEL function:

```
(*@ function numof_eq (a : 'a array) (v : 'a) (l u: integer) :
    integer *)
```

This function represents the number of elements from `a`, within range `[l;u)`, that are equal to value `v`. For now, we focus on using `numof_eq` to establish the loop invariants. Later in this section, we provide a proper definition for this function.

Let us conduct a step-by-step analysis on how references `cand` and `k` are used together within the loop, as to derive the loop invariants. In fact, the invariants we present here are already given in Boyer and Moore’s original work [4], and we adapt those into GOSPEL:

1. The number of votes for candidate `cand`, within the array prefix already scanned, is at least `k`. We write this down in GOSPEL as follows:

```
(*@ invariant 0 <= !k <= numof_eq a !cand 0 i
```

This invariant is maintained by the case analysis implemented from line 11 to 15 in the code snippet above: we update the value of `cand` whenever `!k` reaches zero, hence `!k` never stores a negative number; we update the value stored in `k`, without changing the candidate, hence `k` is kept as a lower bound for the actual number of occurrences of `!cand` in the scanned part of the array. In other words, we are sure we only decrement `k` after a sufficient number of increments occurred (except if we decrement after reference `cand` is updated, but in this case `k` is update to one, hence an implicit increment has also occurred).

2. The actual number of votes for `cand` minus the value of `k` cannot exceed $(i - !k)/2$:

```
invariant 2 * (numof_eq a !cand 0 i - !k) <= i - !k
```

Instead of a division, we write such an invariant using an equivalent multiplication. The reason is somehow low-level and tied to the upcoming verification effort: SMT solvers are known to handle multiplication better than division.

3. For every candidate `c` other than `cand`, the number of votes for `c`, within the scanned prefix of the array, cannot exceed $(i - !k)/2$:

```
invariant forall c. c <> !cand ->
    2 * numof_eq a c 0 i <= i - !k *)
```

This invariant implies that no other candidate, other than the one stored in `cand`, can have the majority of votes in the slice of the array already processed by the algorithm. Once again, we use a multiplication by two to avoid the division.

The last invariant actually allows one to deduce a crucial property: after scanning all the array, `cand` is the only candidate that can effectively reach majority.

After the loop, we immediately check whether we are in position to provide a final answer:

```

17         if !k = 0 then raise Not_found;
18         if 2 * !k > n then raise (Found !cand);

```

If `k` stores zero, we are sure no candidate has reached majority. We use the OCaml standard library `Not_found` exception to signal such behavior. If the value stored in `k` is more than half of `n`, the size of the array, we are sure `cand` has reached majority. We use locally-defined exception `Found` to signal this behavior. If none of the above conditions is met, then we cannot give yet a definitive answer; we need an extra traversal over the array to check whether `cand` has the majority.

The final step of the implementation is a simple loop that counts the actual number of votes for `cand`. If, at some point in the traversal, the accumulated votes for `cand` are greater than half of `n`, we terminate signaling the majority of this candidate. We can then reuse reference `k` for the purpose of counting votes:

```

19         k := 0;
20         for i = 0 to n - 1 do
21             (*@ invariant !k = numof_eq a !cand 0 i && 2 * !k <= n *)
22             if E.eq a.(i) !cand then begin
23                 incr k;
24                 if 2 * !k > n then raise (Found !cand) end
25             done;
26             raise Not_found
27         with Found c -> c

```

This loop invariant states that reference `k` stores the actual number of occurrences of `cand` and that, if we keep iterating, then it must be the case that the `k` does not yet represent the majority of votes. If we reach past the loop, then `cand` does not have the majority, neither does any other candidate. Once again, we use `Not_found` to signal such an outcome.

The final piece in our verified OCaml implementation of the Boyer-Moore algorithm is the actual specification for function `mjrty`. This is as follows:

```

28         (*@ c = mjrty a
29             requires 1 <= Array.length a
30             ensures 2 * numof_eq a c 0 (Array.length a) >
31                     Array.length a
32             raises   Not_found -> forall x.
33                     2 * numof_eq a x 0 (Array.length a) <=
34                     Array.length a *)
35         end

```

As a precondition, we assume that the input array has at least one element. For the regular postcondition, *i.e.*, the one reached by catching exception `Found`, we prove that the returned candidate indeed has the absolute majority of votes. Finally, in the exceptional postcondition (*i.e.*, the one reached by raising exception `Not_found`), we prove that no candidate has enough votes to reach majority.

Definition of numof_eq Function. To conclude our proof of `mjrty` implementation, we must provide an actual definition for function `numof_eq`. We do so by means of an auxiliary function `numof`. This is defined, in GOSPEL, as follows:

```
(*@ function rec numof (p : integer -> bool) (a b : integer) :
    integer
  = if b <= a then 0 else
      if p (b - 1) then 1 + numof p a (b - 1)
      else          numof p a (b - 1) *)
(*@ variant b - a *)
```

The call `numof p a b` returns the number of integer values, within a certain range $[a; b)$, that satisfy a given predicate `p`. We attach the variant `b - a` to the above definition, which allows us to prove this is a total function.

To define `numof_eq`, we specialize `numof` for arrays and an equality predicate:

```
(*@ function numof_eq (a : 'a array) (v : 'a) (l u : integer) :
    integer
  = numof (fun j -> a.(j) = v) l u *)
```

The use of the higher-order function `numof` leads to a concise and elegant definition for `numof_eq`. This is in an interesting application of functional programming concepts to derive sound, expressive, and yet intuitive specifications even in the presence of mutable data structures.

The right-to-left definition of `numof` is useful when it comes to proving the preservation of loop invariants where one is scanning an array from left to right. At the beginning of the i -th iteration, one assumes that `numof p 0 i` represents the number of elements, in the slice $[0; i)$ of some array, that respect predicate `p`. At the end of the iteration, we must re-establish the invariant for the range $[0; i + 1)$, *i.e.*, `numof p 0 (i + 1)`. If the i -th element respects predicate `p`, then we take the `then` branch in the definition of `numof`; otherwise, we take the `else` branch. In either cases, the invariant is re-established simply following the definition of `numof`, since the recursive call `numof p 0 i` is exactly what we assumed at the beginning of the iteration. This applies to the proof of invariant preservation for the loops in the `mjrty` function, where `numof_eq a !cand 0 i` is mapped into a call to `numof (fun j -> a.(j) = !cand) 0 i`.

Finally, we provide auxiliary lemmas about the behavior of the `numof` function that allows us to close the proof of the MJRTY algorithm. First, we establish the lower and upper bound for the result of `numof`. A call `numof a b p`, for any given integer values `a` and `b` and a predicate `p`, always returns a non-negative value and cannot exceed `b - a`. This is captured by the following lemma:

```
(*@ lemma numof_bounds :
    forall p : (integer -> bool), a b : integer.
    a < b -> 0 <= numof p a b <= b - a *)
```

This lemma is proved interactively by induction on `b`, starting from `a`.

The next lemma states that a call to `numof p a c` can be written as the sum of calling `numof` in the range `[a;b[` and calling `numof` in the range `[b;c[`, provided that $a \leq b \leq c$. This is expressed as follows:

```
(*@ lemma numof_append:
  forall p: (integer -> bool), a b c: integer.
  a <= b <= c -> numof p a c = numof p a b + numof p b c *)
```

This lemma is proved by induction on `c`, starting from `a`.

The last two lemmas capture what happens in a single computation step of a call `numof p l u`, when $l < u$. On one hand, if value `l` respects predicate `p`, then we add 1 to the result of the recursive call `numof p (l + 1) b`:

```
(*@ lemma numof_left_add :
  forall p : (integer -> bool), l u : integer.
  l < u -> p l -> numof p l u = 1 + numof p (l + 1) u *)
```

On the other hand, if `l` does not respect `p`, then `numof p a b` is simply the result of the recursive call:

```
(*@ lemma numof_left_no_add:
  forall p : (integer -> bool), l u : integer.
  l < u -> not p l -> numof p l u = numof p (l + 1) u *)
```

One can also think of these lemmas as establishing the equivalence between either counting the number of elements that satisfy a given predicate from left-to-right, or from right-to-left. Both lemmas are proved by instantiating lemma `numof_append`, where `a` is instantiated with `l`, `b` with `l + 1`, and `c` with `u`.

The Cameleer-Why3 pipeline generates a total of 25 VCs for function `mjrty`. These are discharged using a combination of the Alt-Ergo, Z3, and CVC5 solvers. The proof of the auxiliary lemmas is also carried in the Why3 IDE, using dedicated transformations for induction over integer numbers and instantiating other lemmas. For reference, the complete OCaml implementation, GOSPEL specification, and auxiliary definitions for the MJRTY algorithm is given in Appendix B.

5.2 Summary

In this section, we showed how to use the imperative traits of OCaml to write elegant and efficient code. Moreover, with Cameleer, we are still able to prove the correctness of such implementations. The gallery of Cameleer verified programs includes several examples of verified imperative implementations. From those, we highlight the verification of a `Union Find` data structure, encoded in an array of integer values. An important feature of this case study is the use of the *decentralized invariants* technique [12] to achieve a fully-automated proof.

6 Related Work

Deductive software verification is now a mature discipline that is taught, worldwide, in the vast majority of Computer Science curricula. However, a large corpus

of pedagogical, practical, hands-on oriented bibliography is still missing. One can cite the recent book on Dafny [20] as valuable contribution to fill this gap. On the other end of the spectrum of verification tools, the book by Nipkow *et al.* [26] and the Software Foundations volumes 3 [1] and 6 [9] provide comprehensive collections of data structures and algorithms formally verified in proof assistants. The first is completely developed in *Isabelle*, the other two in *Coq*.

When it comes to deductive verification of programs written in functional languages, one can cite frameworks like *Iris* [18] and Hoare Type Theory [25]. These are built on *Coq*, on top of very rich reasoning logics based on Separation Logic. These can scale up to the verification of complex imperative and concurrent programs. However, proofs in such frameworks are conducted manually, requiring a high degree of human interaction and proof expertise. In the particular case of verification of *OCaml* programs, the *CFML* [5] tool takes as input an *OCaml* program and translates it into a *Coq* term that captures the semantics of the program. The proof is then conducted using Separation Logic. *CFML* proofs are laborious and, in particular when compared with *Cameleer*, require extensive human interaction.

7 Conclusions and Future Perspectives

In this tutorial paper, we presented the deductive verification of different *OCaml* programs, ranging from purely functional implementations to code combining imperative features, such as mutable state and local exceptions. We use the *Cameleer* tool to conduct our practical experiments. This tool takes as input an actual *OCaml* implementation and translates it into an equivalent *WhyML* program, the language of the *Why3* verification framework. *Cameleer* avoids the need to re-write entire *OCaml* code bases, just for sake of verification, as it would be the case with a direct use of *Why3*: one would have first to write a *WhyML* implementation and specification, then rely on an extraction mechanism to get an executable equivalent *OCaml* program. On the other hand, *Cameleer* is conceived with a clear focus towards proof automation, improving on the experience of entirely conducting manual proofs in an interactive proof assistant.

Throughout the paper, we use *GOSPEL* to attach formal specification to *OCaml* programs. Our experience suggests that this language is a good compromise when it comes to conciseness and readability of specifications, without sacrificing rigor. This is a major argument to bring even more *OCaml* programmers to adopt formal methods techniques in their daily routines. Finally, *GOSPEL* can be used not only for deductive verification but also for dynamically analyze *OCaml* code. As future work, it would be interesting to collaboratively use static and dynamic analysis techniques to tackle the verification of different parts of a big piece of *OCaml* software, resorting to *GOSPEL* as the aggregation entity.

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A Same Fringe Implementation

```
module type EQUAL = sig
  type t

  val eq : t -> t -> bool
  (*@ b = eq x y
    ensures b <-> x = y *)
end

module Make (E : EQUAL) = struct
  type tree = Empty | Node of tree * E.t * tree

  (*@ function elements (t : tree) : E.t list =
    match t with
    | Empty -> []
    | Node l x r -> (elements l) @ (x :: elements r) *)

  type zipper = (E.t * tree) list

  (*@ function enum_elements (e : zipper) : E.t list =
    match e with
    | [] -> []
    | (x, r) :: e -> x :: (elements r @ enum_elements e) *)

  let rec mk_zipper (t : tree) (e : zipper) =
    match t with
    | Empty -> e
    | Node (l, x, r) -> mk_zipper l ((x, r) :: e)
  (*@ r = mk_zipper t e
    variant t
    ensures enum_elements r = elements t @ enum_elements e *)

  let rec eq_zipper(e1 : zipper) (e2 : zipper) =
    match (e1, e2) with
    | [], [] -> true
    | (x1, r1) :: e1, (x2, r2) :: e2 ->
      E.eq x1 x2 && eq_zipper (mk_zipper r1 e1) (mk_zipper r2 e2)
    | _ -> false
  (*@ b = eq_num e1 e2
    variant List.length (enum_elements e1)
    ensures b <-> enum_elements e1 = enum_elements e2 *)

  let same_fringe (t1 : tree) (t2 : tree) =
    eq_zipper (mk_zipper t1 []) (mk_zipper t2 [])
```

```

    (*@ b = same_fringe t1 t2
       ensures b <-> elements t1 = elements t2 *)
end

```

B Boyer and Moore MJRTY Algorithm

```

(*@ function rec numof (p: integer -> bool) (a b: integer) :
   integer
   = if b <= a then 0 else
       if p (b - 1) then 1 + numof p a (b - 1)
       else numof p a (b - 1) *)
(*@ variant b - a *)

(*@ lemma numof_bounds :
   forall p : (integer -> bool), a b : integer.
   a < b -> 0 <= numof p a b <= b - a *)

(*@ lemma numof_append:
   forall p: (integer -> bool), a b c: integer.
   a <= b <= c -> numof p a c = numof p a b + numof p b c *)

(*@ lemma numof_left_add :
   forall p : (integer -> bool), l u : integer.
   l < u -> p l -> numof p l u = 1 + numof p (l + 1) u *)

(*@ lemma numof_left_no_add:
   forall p : (integer -> bool), l u : integer.
   l < u -> not p l -> numof p l u = numof p (l + 1) u *)

(*@ function numof_eq (a: 'a array) (v: 'a) (l u: integer) :
   integer
   = numof (fun j -> a.(j) = v) l u *)

module type EQUAL = sig
  type t

  val eq : t -> t -> bool
  (*@ b = eq x y
     ensures b <-> x = y *)
end

module Mjrty (E : EQUAL) = struct
  type candidate = E.t

  let mjrty a =
    let exception Found of candidate in

```

```

let n = Array.length a in
let cand = ref a.(0) in
let k = ref 0 in
try
  for i = 0 to n - 1 do
    (*@ invariant 0 <= !k <= numof_eq a !cand 0 i
       invariant 2 * (numof_eq a !cand 0 i - !k) <= i - !k
       invariant forall c. c <> !cand ->
          2 * numof_eq a c 0 i <= i - !k *)
    if !k = 0 then begin
      cand := a.(i);
      k := 1 end
    else if E.eq !cand a.(i) then incr k
    else decr k
  done;
  if !k = 0 then raise Not_found;
  if 2 * !k > n then raise (Found !cand);
  k := 0;
  for i = 0 to n - 1 do
    (*@ invariant !k = numof_eq a !cand 0 i /\ 2 * !k <= n *)
    if E.eq a.(i) !cand then begin
      incr k;
      if 2 * !k > n then raise (Found !cand) end
    end;
  done;
  raise Not_found
with Found c -> c
(*@ c = mjrty a
   requires 1 <= Array.length a
   ensures 2 * numof_eq a c 0 (Array.length a) > Array.
length a
   raises Not_found ->
      forall x. 2 * numof_eq a x 0 (Array.length a)
        <= Array.length a *)
end

```