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## SPECIAL ISSUE PAPER

# ResAna: a resource analysis toolset for (real-time) JAVA

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## SUMMARY

For real-time and embedded systems, limiting the consumption of time and memory resources is often an important part of the requirements. Being able to predict bounds on the consumption of such resources during the development process of the code can be of great value. In this paper, we focus mainly on memory-related bounds. Recent research results have advanced the state of the art of resource consumption analysis. In this paper, we present a toolset that makes it possible to apply these research results in practice for (real-time) systems enabling JAVA developers to analyse symbolic loop bounds, symbolic bounds on heap size and both symbolic and numeric bounds on stack size. We describe which theoretical additions were needed in order to achieve this. We give an overview of the capabilities of the RESANA (Radboud University Nijmegen, The Netherlands) toolset that is the result of this effort. The toolset can not only perform generally applicable analyses, but it also contains a part of the analysis that is dedicated to the developers' (real-time) virtual machine, such that the results apply directly to the actual development environment that is used in practice. Copyright © 2013 John Wiley & Sons, Ltd.

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## 1. INTRODUCTION

Both in industry and in academia, there is an increasing interest in more detailed resource analysis bounds than orders of complexity. In correctness verification for industrial critical systems, the focus is often mainly on functional correctness: does the program deliver the right output with the right input. However, for such systems, it is just as important to make sure that bounds for the consumption of time and space are not exceeded. Otherwise, a program may not react within the required time, or it may run out of memory and come to a halt (making it vulnerable to a denial-of-service attack).

Traditionally, the focus has been on performance analysis taking time as resource that is consumed. More recently, several researchers have produced significant results in heap and stack bound analysis. In this paper, we focus on such *memory-related resource analysis*. The symbolic loop-bound analysis part however may be used both for memory and for time analysis.

Many real-time and embedded systems critically depend on operating within a fixed amount of memory. Clearly, for such systems, it can be important to know an upper bound on the consumed memory. For safety critical applications, it can be essential. Programmers may be able to guess a

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bound and to prove it by hand. That activity is quite tedious and error-prone. A tool that in many cases is able to automatically infer bounds and proof them may be very helpful in the software development process. This paper presents such a tool.

For safety-critical applications often domain specific programming languages are used that have strong support for loop bounding or regular programming languages with strict coding conventions. In the recently finished European Union Artemis Critical and High Assurance Requirements Transformed through Engineering Rigour (CHARTER) project, real-time JAVA was considered as possible programming language for safety-critical systems. Reasons for studying real-time JAVA include more possibilities for code reuse, more available tools and more programmers that are highly experienced in the use of the language. The RESANA toolset, which is presented in this paper, is one of the results of the CHARTER project [1–3]. Together, the tools produced by the CHARTER project provide a first step towards the use of general programming languages for safety-critical systems. For full deployment in safety-critical context the CHARTER tool chain should be advanced further. For now, the RESANA toolset can already be used in everyday practice, for example, for inferring and proving memory consumption properties of existing library functions and of non-critical applications for which memory bounds are relevant like applications for mobile devices. Another usage may be the development of prototype applications with verified resource consumption properties. These prototypes can then be transformed to the language that is in actual use for the safety-critical system. The techniques presented in this paper can, in principle, be used for other languages too. Of course, that would require both an adaptation of the front-end of the tool and of the annotation language that is used for expressing the properties.

Even if memory is abundantly available, applications can be hindered significantly when more memory is consumed than expected. Effectively, the system may come to a halt because of excessive swapping. Some denial-of-service attacks are based on this principle. A known upper bound of consumed memory may prevent attacks of that kind.

A variety of different memory analysis techniques have been developed independently not only on the language level but also on the byte code level [4]. Researchers use polynomial interpolation [5], reachability-bound analysis [6], amortization [7], polynomial quasi-interpretation [8] and new language features such as programmer-controlled destruction and copying of data structures [9]. Of course, such analyses are undecidable in general. In practice, however, an increasingly large set of problems can be handled.

This research builds upon earlier resource analysis work developed in the Netherlands Organisation of Scientific Research Amortized Heap Space Usage Analysis project [10]. In this paper, we focus on the JAVA language and on resource consumption properties related to heap and stack usage. Using the scoped memory that is offered by real-time JAVA, one can enforce constant memory bounds and facilitate simple memory management. However, in order to deal with more complex bounds, a more thorough analysis is needed. While our research mainly focuses on real-time JAVA, the techniques and the tool described here are also applicable to regular JAVA programs. The loop-bound analysis provided by the RESANA tool can be of further use both for deriving memory bounds and for deriving time bounds. This article is an extended version of an earlier paper [2]. How this paper extends [2] is described in Section 6.

With the goals of making these results applicable in practice, our heap and stack resource analysis goes beyond orders of complexity. We aim at obtaining bounds that are expressions of relevant variables and parameters. If a resource is consumed quadratically with respect to the value of a parameter  $x$ , then a typical bound could be, for example,  $2x^2 - 4x + 15$ , thus indicating the exact dependency of the bound on the variable. In order to achieve that in practice, we developed a tool, ResAna<sup>‡</sup>, that contains a general process that has two phases.

*Inference* In the inference phase, the RESANA tool analyses the JAVA source of the program in order to propose a possible resource bound for the program. It uses traditional analysis techniques like solving cost relation systems (CRSs) and a novel polynomial interpolation technique. This interpolation-based approach is very powerful. It allows also non-monotonic polynomial bounds

<sup>‡</sup>RESANA is an open source software and can be downloaded from <http://resourceanalysis.cs.ru.nl/resana/>.

to be derived (the developer does not have to indicate the exact dependencies: they are derived). The obtained result is added to the JAVA program via an annotation using the JAVA Modelling Language (JML) specification language [11].

*Verification* Results are achieved by solving cost relations or by interpolating polynomials. Solving cost relations is sound by construction. The use of interpolation is not guaranteed to be sound. Therefore, the results achieved by interpolation must be verified, for example, by the KEY (Karlsruhe Institute of Technology, Germany; Technical University Darmstadt, Germany; Chalmers University of Technology, Sweden) verification tool [12] or the QEPCAD (North Carolina State University, Raleigh NC, USA) algebraic decomposition tool [13]. If the tool is not able to verify them, one can proceed with a new inference phase with other user options, such as, for example, trying a higher degree polynomial.

The RESANA tool supports three kinds of analysis.

*Loop-bound analysis* An expression that gives a symbolic upper bound for the number of times a loop is executed may be derived and verified using the integrated combination [14] of the tools RESANA and KEY.

*Heap bound analysis* An expression for a symbolic upper bound of the consumed heap is derived using RESANA extended with a variant of the external tool COSTA [15]. The COSTA tool (Universidad Politécnica de Madrid, Spain; Universidad Complutense de Madrid, Spain) has been adapted to produce accurate values for OPENJDK (Oracle Corporation Redwood Shores, CA, USA), as well as the real-time JAMAICAVM (aicas GmbH, Karlsruhe, Germany) virtual machine (VM) [16]. Furthermore, the capabilities of the COSTA tool have been enlarged through the internal use of interpolation technology [17].

*Stack bound analysis* An expression for a symbolic upper bound of the space for the stack is derived using RESANA with the enlarged COSTA that provides an upper bound for the depth of recursive calls; this information is used by the VERIFLUX (aicas GmbH, Karlsruhe, Germany) tool [18] to obtain a *numeric* stack bound.

These three kinds of analysis are integrated in a common program development environment through an ECLIPSE plug-in, such that a developer can easily switch between development and verification activities guaranteeing the memory safety of critical real-time software applications.

In Section 2, loop-bound analysis is described. Section 3 presents heap bound analysis and the adjustments that have been made to make it applicable in practice. Analysing stack bounds is discussed in Section 4. User experience with RESANA is described in Section 5. Finally, in Sections 6 and 7, related work is discussed and conclusions are drawn, respectively.

## 2. LOOP-BOUND ANALYSIS

In order to prove the termination of a piece of software or, even harder, to calculate bounds on run-time or usage of resources such as heap space or energy, finding bounds on the number of iterations that the loops can make is a prerequisite. While in some cases, a loop may iterate a fixed number of times, its execution will often depend on program input. Therefore, we consider symbolic loop bounds or *ranking functions*.

A loop ranking function is a function over (some of) the program variables used in the loop, which decreases at each iteration and is bounded by zero. Listing 1 shows a simple while loop. Although  $100 - i$  is a perfectly fine ranking function as well, the most precise one for this loop is  $15 - i$ . This gives the exact number of iterations the loop will make, for arbitrary  $i$  (given that  $i < 15$ , Section 2.6).

```
1 while (i < 15)
2   i++;
```

Listing 1: A simple while loop, with most precise ranking function  $15 - i$ .

In this section, we present a method for the automatic inference of polynomial ranking functions for loops, based on polynomial interpolation. The basic procedure was first presented by Shkaravska *et al.* in [14]. It can infer polynomial ranking functions, whereas other methods are limited to linear

symbolic or concrete bounds. Note that to derive concrete bounds from symbolic bounds, the analysis could be combined with data-flow analysis. To derive concrete upper and lower bounds on the number of iterations of a loop, upper and lower bounds have to be known statically for all the program variables in the symbolic bound.

We introduce polynomial-interpolation-based ranking function inference in Section 2.1. In Section 2.2, a quadratic example is given. The soundness of the method is discussed in Section 2.3. Then, extensions to the basic method are discussed in Sections 2.4 (ranking functions with rational or real coefficients), 2.5 (branching inside the loop body) and 2.6 (disjunctive loop guards). In Section 2.7, a limitation to the extension for disjunctive loop guards and a solution are discussed. Another application of our polynomial interpolation method is discussed in Section 3.1.

### 2.1. Test-based inference of polynomial ranking functions for loops

In [14], Shkaravska *et al.* present a method for the inference of polynomial ranking functions for loops. Only loops in which the guards are conjunctions over arithmetical (in)equalities are considered:

$$\text{guard} := \text{inequality} \mid \text{inequality} \wedge \text{guard}$$

$$\text{inequality} := \text{num}_1 \mathbf{b} \text{num}_2$$

where  $\text{num}_i$  is a numerical program variable or constant, and  $\mathbf{b} := \{<, >, =, \neq, \leq, \geq\}$ .

The method proceeds in the following steps:

1. instrument the loop with a counter
2. run tests on a *well-chosen* set of input values
3. find the polynomial interpolation of the results

Here, well-chosen means that test nodes have to be picked such that there exists a unique interpolating polynomial. This is the reason we can refer to the polynomial interpolation in step 3. Remember that a polynomial  $p(z_1, \dots, z_k)$  of degree  $d$  and dimension  $k$  (the number of variables) has  $N_d^k = \binom{d+k}{k} = \frac{(d+k)!}{d!k!}$  coefficients. This is the number of test nodes that we need. To ensure the existence of a unique interpolation, the test nodes are chosen to lie in the so-called node configuration A (NCA). This condition was first presented in [19]; its application to loop-bound analysis is described in [14]. Besides lying in NCA, test-nodes must also satisfy the guard of the considered loop. An algorithm for node search is presented in [14].

In the current version of RESANA, the ranking function can contain primitive data types, object field access and array access. Note that in theory, the method could also handle loops for which the ranking function depends on, for instance, the height of a tree. However, because this height is not readily available in a program variable, this would require the addition of such a variable expressing the tree height by the programmer.

### 2.2. Quadratic example

Consider the example in Listing 2. The most precise ranking function for this loop is the degree two polynomial  $a \cdot b - c + 1$ .

```

1 while (a > 0 && c <= b && c > 0) {
2   if (c == b) { a--; c = 0; }
3   c++;
4 }
```

Listing 2: A while loop with degree 2 ranking function  $a \cdot b - c + 1$ .

The inference of a ranking function for the loop in Listing 2 is depicted in Figure 1. Firstly, the loop is instrumented with a counter. The user inputs the expected degree two of the polynomial

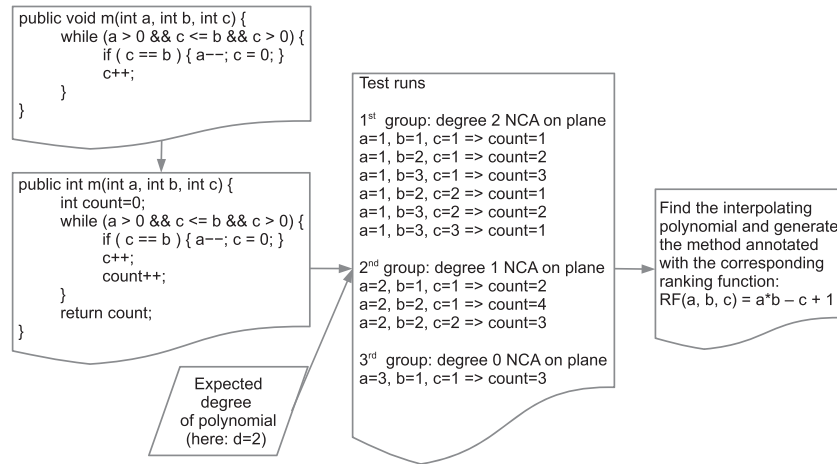


Figure 1. Test-based inference method applied to the example from Listing 2.

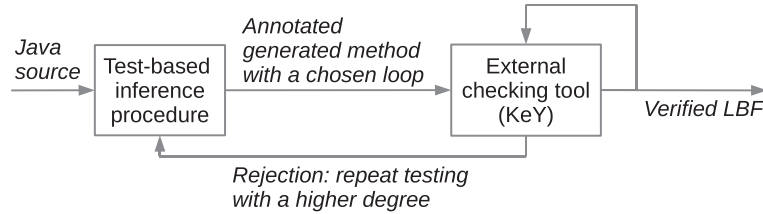


Figure 2. The basic inference procedure from a bird's-eye view: infer-and-check cycle.

ranking function. Because there are three variables, a set of  $N_2^3 = \frac{(2+3)!}{2! \cdot 3!} = 10$  test nodes in NCA is generated. By interpolating the results from test runs using these input values, the most precise quadratic ranking function  $a \cdot b - c + 1$  is found.

### 2.3. Soundness

The presented method infers a *hypothetical* ranking function. It is not sound by itself but requires an external verifier. The JML is used to express the ranking functions [20]. Inferred ranking functions are expressed in JML by defining a `decreases` clause on the loop. This is an expression which must decrease by at least one on each iteration and has a value greater than or equal to zero, refer to the JML reference manual [11]. It therefore forms an upper bound on the number of iterations of the loop. An example is shown in Listing 3.

When the loop condition does not hold, the loop iterates zero times. Therefore, the shown annotation actually expresses the maximum of  $a \cdot b - c + 1$  and 0. In general, a ranking function  $RF(\bar{v})$  for a loop with condition  $b$  can be expressed as follows: `decreases  $b ? RF(\bar{v}) : 0$` . Such JML annotations can be verified by a variety of tools, for instance, KEY [12]. The procedure described here should be used in conjunction with such a prover to provide soundness.

```

1 //@ decreases (a > 0) && (c <= b) && (c > 0) ? a * b - c + 1 : 0;
2 while (a > 0 && c <= b && c > 0) {
3   if (c == b) { a--; c = 0; }
4   c++;
5 }

```

Listing 3: The loop from Listing 2, annotated with its ranking function

Figure 2 depicts a bird's-eye view of the overall procedure. After a ranking function is inferred, the JAVA sources are annotated and sent to the verification tool (KEY). The verifier might be able to



prove correctness of the annotation automatically, manual steps may be needed for complex ranking functions (non-linear, rational coefficients, et cetera) or the user may not be able to construct a proof at all. In the latter case, the user can go back and try the procedure for a higher expected degree of the polynomial ranking function. If an expected degree higher than the actual degree of the polynomial is used, the correct result will still be found. There will however be a performance penalty on the analysis.

#### 2.4. Extension: ranking functions with rational or real coefficients

The ranking functions inferred by the basic method are polynomials with coefficients that are natural, rational or real numbers. However, when a polynomial has rational or real coefficients, its result is not necessarily a natural number, which, of course, any estimate of a number of loop iterations must be. Consider for instance the loop in Listing 4.

```
1 while (start < end) {
2   start += 4;
3 }
```

Listing 4: An example with a loop-bound function that is a polynomial over rational coefficients

The exact number of iterations of this loop is given by  $\lceil \frac{\text{end}-\text{start}}{4} \rceil$ . In other words, when  $\frac{\text{end}-\text{start}}{4}$  does not equate to a natural number, for instance to  $\frac{3}{4}$ , it must be *ceiled*. In general, when the coefficients of an inferred polynomial ranking function  $RF(\bar{v})$  are not natural numbers, ceiling should be added as such:  $\lceil RF(\bar{v}) \rceil$ . Unfortunately, there is no ceiling operator in JML. KEY simply truncates non-integer values after the decimal. We therefore chose to overestimate ceiling by adding one to the KEY truncation:  $\lceil RF(\bar{v}) \rceil \leq RF(\bar{v}) + 1$ .

When choosing test nodes for the loop in Listing 4 naively, for instance, (0,1), (1,2) and (1,3), an incorrect ranking function will be the result (in this case the constant 1). We must take into account that if a variable  $v$  is updated by increasing or decreasing by a constant *step*, the test nodes must lie a step apart. In this example, if we pick test nodes (0,4), (4,8) and (4,12), then the correct ranking function will be found.

#### 2.5. Extension: branching inside the loop body

The basic procedure finds correct ranking functions for most loops containing branching, such as, for example, the one in Listing 2. However, there are cases in which the basic procedure fails because the different paths affect the bound in different ways. Such a case is shown in Listing 5.

```
1 while (i > 0)
2   if (i > 100) i -= 10;
3   else i -= 1;
```

Listing 5: Example where the basic method supplies an incorrect ranking function. Therefore, branch-splitting is applied, yielding the pessimistic, but correct ranking function  $i$ .

To solve this problem, we have invented branch splitting. This procedure finds ranking functions for loops where the if statements, if they exist in a loop body, have the following *worst-case computation path property*:

For each loop body, there is an execution path such that, for any collections of values of the loop variables, if one follows this execution path in every loop iteration, one reaches the worst case, that is, the upper bound on the number of iterations.

This condition is not checked by the loop-bound inference procedure. It is given here to specify the class of loops for which the procedure is successful. Soundness of the result is ensured by verification using KEY.

With branch splitting, we mean that we generate multiple new loops from the original, one for each possible path. We then do the analysis for each of these paths. The ranking function is then the maximum of all the inferred ranking functions. Thanks to the worst-case computation path property, we can easily find the ranking function that always specifies the maximum, by supplying a set of values for the variables (say, all ones) to all the ranking functions. For the example in Listing 5, this yields the ranking function  $i$ .

## 2.6. Extension: piecewise ranking functions for loops with disjunctive guards

In this section, we formally describe an extension to the basic procedure for handling loops with disjunctions in their guards. The set of considered loops is here thus extended to those with, as guard, any propositional logical expression over arithmetical (in)equalities, including disjunctions. We will see that for those loops for which the guard contains disjunctions, the ranking function will become piecewise.

Note that in fact, any ranking function for a well-formed loop is a piecewise one, because there is always the piece where the loop guard does not hold, and the loop iterates zero times. For instance, for the loop in Listing 1, the ranking function is actually

$$\begin{cases} 15 - i & \text{if } (i < 15) \\ 0 & \text{else} \end{cases} \quad (1)$$

This is of course a trivial case. A more involved example of a loop for which a piecewise ranking function can be defined is shown in Listing 6.

```
1 while ((i>0 && i<20) || i>50) {
2   if (i>50) i--;
3   else i++;
4 }
```

Listing 6: While loop with a piecewise ranking function.

Its ranking function is the following:

$$\begin{cases} 20 - i & \text{if } (i > 0) \wedge (i < 20) \\ i - 50 & \text{if } i > 50 \\ 0 & \text{else} \end{cases} \quad (2)$$

We will now formally define a generic method for inferring ranking functions for loops with disjunctive guards. The first step is to transform the guard into disjunctive normal form (DNF) by using the laws of distribution and DeMorgan's theorems. Thereafter, it has the form

$$guard := conj \mid conj \vee guard$$

$$conj := inequality \mid inequality \wedge conj$$

$$inequality := num_1 \mathbf{b} num_2$$

where  $num_i$  is a numerical program variable or constant, and  $\mathbf{b} := \{<, >, =, \neq, \leq, \geq\}$ .

Each conjunction  $c_i$  represents a logical conjunction over numerical (in)equalities. We can now split up the guard by applying the following function:

$$DNFsplit(c_1 \vee \dots \vee c_n) := \left\{ \bigwedge_{c_i \in CP} c_i \wedge \bigwedge_{c_j \in C_{rest}} \neg c_j \mid \begin{array}{l} CP \in \mathcal{P}(\{c_1, \dots, c_n\}) \setminus \emptyset \\ C_{rest} = \{c_1, \dots, c_n\} \setminus CP \end{array} \right\}$$

This transforms the condition  $c_1 \vee \dots \vee c_n$  into a set *Pieces* of  $2^n - 1$  conjunctive conditions. For instance,  $DNFsplit(i > 10 \vee i < 3)$  yields three pieces:  $i > 10 \wedge \neg i < 3$ ,  $i < 3 \wedge \neg i > 10$  and



$i > 10 \wedge i < 3$ . This set may be simplified using a Satisfiability Modulo Theories (SMT) solver. In this case, the negations can be removed from the first two conditions. The third condition is unsatisfiable; thus, it may be removed altogether. We refer to the procedure of transforming a guard into DNF and separating the pieces as *DNF splitting*. The set *Pieces* defines the pieces of the piecewise polynomial ranking function.

After DNF splitting, the basic method can be applied separately for each of the pieces. If  $RF_p$  is the polynomial ranking function inferred for a piece  $p \in \text{Pieces}$ , then this yields the following piecewise ranking function:

$$\begin{cases} RF_{p_1} & \text{if } p_1 \\ \dots & \text{if } \dots \\ RF_{p_m} & \text{if } p_m \\ 0 & \text{else} \end{cases} \quad (3)$$

In this piecewise polynomial ranking function,  $m \leq 2^n - 1$ , because unsatisfiable pieces have been removed.

### 2.7. Condition jumping

In this section, we define a complication that may arise during DNF splitting, which we call condition jumping. We show how to detect its occurrence and how to infer ranking functions even in the presence of condition jumping.

```
1 while ((i>0 && i<20) || i>22) {
2   if (i>22) i--;
3   else i+=4;
4 }
```

Listing 7: While loop with jumping between the disjunctive conditions.

Consider the loop in Listing 7. Naively, one could say that its ranking function is the following:

$$\begin{cases} \lceil (20 - i)/4 \rceil & \text{if } (i > 0) \wedge (i < 20) \\ i - 22 & \text{if } i > 22 \\ 0 & \text{else} \end{cases} \quad (4)$$

But what if  $i$  is 19, 15, or any  $n \in [1, 19]$  with  $n \bmod 4 = 3$ ? Indeed, then, there is a shift from the first condition ( $0 < i < 20$ ) to the second one ( $i > 22$ ). We call this condition jumping. Jumping from the second condition into the first one is not possible in this case.

Because of the presence of condition jumping, regular DNF splitting does not suffice here. The set of nodes from which condition jumping occurs must be considered as a separate piece as follows:

$$\begin{cases} \lceil (20 - i)/4 \rceil + 1 & \text{if } (i > 0) \wedge (i < 20) \wedge i \bmod 4 = 3 \\ \lceil (20 - i)/4 \rceil & \text{if } (i > 0) \wedge (i < 20) \wedge i \bmod 4 \neq 3 \\ i - 22 & \text{if } i > 22 \\ 0 & \text{else} \end{cases} \quad (5)$$

A method to detect condition jumping is described in Section 2.7.1. This method is then applied in an algorithm that detects all nodes for which jumping occurs in Section 2.7.2, in order to infer a correct piecewise ranking function.

**2.7.1. Detection of condition jumping using symbolic execution and Satisfiability Modulo Theories solving.** To detect condition jumping in the example in Listing 7, we first use symbolic execution [21] to construct an update function, which captures the relation between the values of the program variables pre-execution and post-execution of the loop body. We can then use this relation as input to an SMT solver and search for a model for which one part of the loop guard is true pre-execution of the loop body and another part is true post-execution.

*Obtaining an update function*

We will name the pre-execution/post-execution relation for a variable  $v$  the  $next_v$  function. The function  $next_i :: Int \rightarrow Int$  for the loop in Listing 7 can be determined by symbolically executing the loop with value  $\alpha_i$  for  $i$ . This results in the following symbolic post-execution value, which we will name  $\phi_i$ :

$$\phi_i(\alpha_i) = \begin{cases} \alpha_i - 1 & \text{if } \alpha_i > 22 \\ \alpha_i + 4 & \text{if } \neg(\alpha_i > 22) \end{cases} \quad (6)$$

By replacing the  $\alpha$  symbol by  $i$ , this easily translates to the  $next_i$  function we were looking for:

$$next_i(i) = \begin{cases} i - 1 & \text{if } i > 22 \\ i + 4 & \text{if } \neg(i > 22) \end{cases} \quad (7)$$

In general, such an update function can be derived by symbolic execution of the loop body. Start by giving the variables  $v_1 \dots v_n$  symbolic values  $\alpha_1, \dots, \alpha_n$ . After the symbolic execution of the loop body, each variable  $v_i$  will now have a value that is a set of polynomials over the symbols  $\alpha_1, \dots, \alpha_n$  and constants, with associated *path conditions*, which capture branching. Effectively, this is again a piecewise polynomial. The function  $next_{v_i}$  is now obtained by replacing the  $\alpha$ 's by the corresponding program variables in this piecewise polynomial.

*Detecting condition jumping*

The SMT-LIB is a library of SMT background theories and benchmarks [22]. It has a common file format for SMT problems, which can be read by most SMT solvers. An SMT-LIB script to detect jumping in the example from Listing 7 is given in Listing 8. The function  $next_i :: Int \rightarrow Int$  from Equation 7 is defined on line 2. Then, on line 4, we define the condition expressing that jumping occurs for this example, and on line 6, we check satisfiability of this condition.

```
1 (declare-fun i () Int)
2 (define-fun nexti ((x Int)) Int
3   (ite (> x 22) (- x 1) (+ x 4)))
4 (assert (and (and (> i 0) (< i 20))
5   (> (nexti i) 22)))
6 (check-sat)
7 (exit)
```

Listing 8: SMT-LIB script to detect jumping in the code of Listing 7.

Let us now consider the general case. Condition jumping will be detected pairwise for conditions with multiple disjunctions. Here, we thus consider a single condition pair, that is, a loop with guard  $b_1 \vee b_2$ . Here,  $b_1$  and  $b_2$  are conditions over  $CV \subseteq LV \subseteq PV$ , where  $CV$  are the program variables in the condition,  $LV$  are the program variables in the loop and  $PV$  are all program variables.

For each  $v_i \in LV$ , we can define an associated function  $next_{v_i} :: T_{v_1} \rightarrow \dots \rightarrow T_{v_i} \rightarrow \dots \rightarrow T_{v_n} \rightarrow T_{v_i}$ , where  $T_{v_i}$  is the type of  $v_i$  and  $n = |LV|$ , which takes the values of all  $v \in LV$  as the state and computes the value of  $v$  after a single execution of the loop body in that state, by following the procedure described in the previous paragraph. Once these functions have been derived, the question whether jumping from  $b_1$  to  $b_2$  is possible can be answered by any SMT-LIB conforming SMT solver<sup>§</sup> by determining the satisfiability of  $b_1(v_1, \dots, v_n) \wedge b_2(next_{v_1}(LV), \dots, next_{v_n}(LV))$ .

**2.7.2. Generating ranking functions in the presence of condition jumping.** The SMT-LIB script in Listing 8 can be used to find a model for which jumping occurs by adding the expression `(get-value (i))`. A model is an instantiation of the variables for which the formula for which satisfiability is checked holds. In the SMT-LIB script from Listing 8, a model for  $i$  is 19.

<sup>§</sup>For instance, Z3, which can be used online at <http://research.microsoft.com/en-us/um/redmond/projects/z3/>.

Subsequently, by adding the expression `(assert (distinct i 19))`, one can search for models other than  $i = 19$  for which jumping occurs. The answer of the SMT solver is that the combination of propositions in this script is unsatisfiable. Thus,  $i = 19$  is the only possible model. We can now see if there are any models from which the state  $i = 19$  can be reached in a single iteration, by changing line 6 to `(= (next i i) 19))`. In the example, this will be the model  $i = 15$ . Subsequently and similarly, we can search for other nodes that can reach the state  $i = 19$  in a single step or that can reach the state  $i = 15$ . By repeating these steps, we can find the set  $J = \{3, 7, 11, 15, 19\}$ . These are the models from which jumping can occur.

In general, the method described in Section 2.7.1 can be extended to detect all models from which condition jumping can occur, by first finding all models that can jump directly from  $b_1$  to  $b_2$  and then recursively finding models that can reach a model from this first set. This can be done by implementing the following algorithm around an SMT solver. In this algorithm,  $J$  is the set of models of which it is known that condition jumping occurs, and  $Q$  is a queue of models. We assume a function  $next :: M \rightarrow M$  (where  $M$  is the type of a model), which applies to each variable  $v_i$  in a model  $\bar{v}$  its corresponding  $next_{v_i}$  function.

1. Is there a model  $\bar{v}$  for which  $b_1(\bar{v}) \wedge b_2(next(\bar{v})) \wedge \bar{v} \notin J$ ?
  - SAT  $\rightarrow$  Add  $\bar{v}$  to  $J$  and  $Q$ , goto 1.
  - UNSAT  $\rightarrow$  Goto 2.
2. Is  $Q$  empty?
  - Yes  $\rightarrow$  Done.
  - No  $\rightarrow$  Goto 3.
3. For a model  $\bar{q}$  on the queue  $Q$ , is there a model  $\bar{v}$  for which  $b_1(\bar{v}) \wedge next(\bar{v}) = \bar{q} \wedge \bar{v} \notin J$ ?
  - SAT  $\rightarrow$  Add  $\bar{v}$  to  $J$  and  $Q$ , goto 3.
  - UNSAT  $\rightarrow$  Remove  $\bar{q}$  from  $Q$ , goto 2.

After execution,  $J$  contains exactly all nodes for which jumping occurs. Because, here, a queue is used, this algorithm implements a breadth-first search. This can easily be adapted to a depth-first search by using a stack. Because the set of models is finite, the algorithm will always terminate. It may however require  $|J|$  runs of the SMT solver, so one may choose to set an upper bound on the size of  $J$  and abort ('give up') early.

Now that we know  $J$ , we can split condition  $b_1$  into two:  $b_1(\bar{v}) \wedge \bar{v} \in J$  and  $b_1(\bar{v}) \wedge \bar{v} \notin J$ . We can then apply the basic method to each of these disjunctive pieces. This algorithm only detects jumping from one piece into another. It should be applied iteratively over all the pieces, until no more jumping can occur. Note that this approach does not terminate until all condition jumping cases have been found. Because there are loops for which jumping occurs for every value of, for instance, an Integer, it should give up after an upper bound on the number of jumps is reached.

### 3. HEAP-SPACE USAGE ANALYSIS

RESANA's heap consumption analysis is based on the COSTA [15] tool, which provides a generic analysis infrastructure for JAVA byte code. The symbolic upper bound that COSTA generates for a method depends on the logical sizes of the method's arguments, the structures pointed to by the object fields and the costs of the called (library) methods. The (logical) size of an integer is the maximum of the integer and 0, the size of an array is its length and the size of an object is its maximal reference chain. These assumptions constitute the size model in the COSTA terminology.

For instance, let a method allocate  $n$  objects of class  $X$ , where integer  $n$  is a parameter of the method. Then, COSTA generates a symbolic bound of the form  $nat(n) * c(size(X))$ , where  $nat(n)$  is  $\max\{n, 0\}$  (the *logical size* of integer  $n$ ) and  $c(size(X))$  is the memory cost of creating an object of type  $X$ .

COSTA implements different garbage collection models [23]. This functionality is retained in RESANA. Inside JAVA real-time threads, no garbage collection is used, so, in RESANA, a user can

select to ignore garbage collection. For normal JAVA code, one can select to use the garbage collection feature of COSTA, which calculates an upper bound for all possible executions of a program. Firstly, for every method, the amount of memory that can escape the method's scope is deduced. Using this information, peak consumption cost relationships are calculated and solved, which give upper bounds on the amount of memory used, even if using garbage collection.

We have added a number of improvements to the existing COSTA tool. The recurrence solver was improved with interpolation-based height analysis. Secondly, the ability to calculate concrete bounds for a number of JVMs, like OPENJDK and JAMAICAVM, was added. Thirdly, we changed the bounds calculation of arrays, from an under-approximation to an over-approximation. And finally, we added a post-processing step to simplify the expressions, so a programmer can easily interpret the information.

### 3.1. Interpolation-based height analysis for improving a recurrence solver

COSTA's approach to resource analysis is based on the classical method devised by Wegbreit [24], which involves the generation of a recurrence relation capturing the costs of the program being analysed and the computation of a closed form (non-recursive cost expression) that bounds the results of this recurrence relation. In COSTA terminology, recurrence relations are called CRSs. The main feature that distinguishes CRSs from the classical concept of recurrence relations is non-determinism: a CRS defining the costs of a JAVA method may be defined by a set of equations guarded by non-disjoint conditions. As an example, consider the loop in Listing 9.

```
1 while (x <= y) {
2   new Object();
3   if (...) x = x + 1; else y = y - 2;
4 }
```

Listing 9: Example loop.

We assume that the value of the `if` condition cannot be determined at compile time. Its memory costs are described by the following (simplified) CRS:

$$T(x, y) = 0 \quad \{x > y\} \quad (8)$$

$$T(x, y) = c + T(x + 1, y) \quad \{x \leq y\} \quad (9)$$

$$T(x, y) = c + T(x, y - 2) \quad \{x \leq y\} \quad (10)$$

where  $c$  denotes the constant  $c(\text{size}(\text{java.lang.Object}))$ , that is, the memory cost of creating an instance of `Object`. The COSTA system provides the recurrence solver Practical Upper Bounds Solver (PUBS) [4], which computes the following closed form:

$$\text{nat}(y - x + 1) * c(\text{size}(\text{java.lang.Object})) \\ + c(\text{size}(\text{java.lang.Object}))$$

This is an upper bound to the values of  $T(x, y)$  given previously. The resulting closed form corresponds to the worst-case execution of the loop (i.e. when the `if` condition always holds).

An important issue in the search of a closed form of a CRS is to approximate the maximum number of unfoldings that must be undergone in order to reach a base case (height analysis). If we consider the CRS as a function being evaluated in a non-deterministic way, the number of unfoldings is closely related with the concept of ranking functions (Section 2). For instance, in the CRS given previously, we obtain the following unfolding sequence of length  $y - x + 1$ :

$$\underbrace{T(x, y) \rightarrow T(x + 1, y) \rightarrow T(x + 2, y) \rightarrow \dots \rightarrow T(y, y)}_{y-x+1 \text{ unfoldings}}$$

PUBS derives a ranking function for  $T$  by applying Podelski and Rybalchenko's method [25], which is complete for linear ranking functions. Unfortunately, it fails when the number of unfoldings does not depend linearly on the arguments of the CRS, as the following example shows:

$$R(x, y) = c \quad \{x = 0, y = 0\} \quad (11)$$

$$R(x, y) = c + R(x - 1, x - 1) \quad \{x > 0, y = 0\} \quad (12)$$

$$R(x, y) = c + R(x, y - 1) \quad \{x \geq 0, y > 0\} \quad (13)$$

By Equation (13), the variable  $y$  is decreased in every recursive call, until it reaches zero. Then, by Equation (12), it is set to  $x - 1$ , from which it starts decreasing again. The worst-case evaluation of  $R(x, y)$  yields a chain of length  $\frac{1}{2}x^2 + \frac{1}{2}x + y + 1$ , which does not depend linearly on  $(x, y)$ .

We have extended the PUBS system so that it can infer polynomial ranking functions via testing and polynomial interpolation, as has been explained in Section 2. This extension was described in detail in [17]. It is described briefly here, with an additional contribution of verification of the interpolation results. The approach is, essentially, the same: choose a set of points (lying in an NCA) in the domain of the relation defined by the CRS, evaluate the CRS at these points and find the interpolating polynomial. However, the evaluation of a CRS is more involved than the evaluation of a program instrumented with a counter, as it was done in Section 2.1. The main difficulty lies in non-determinism. Assume we want to evaluate  $T(5, 9)$ , where  $T$  is defined as in the CRS shown in Equations (8–10). We can unfold the definition of  $T(5, 9)$  by using Equation (10) until we reach a base case, so we obtain the following sequence:

$$T(5, 9) \rightarrow T(5, 7) \rightarrow T(5, 5)$$

This sequence is of length three, which is not maximal, because we could have evaluated  $T$  by always using Equation (9), so as to obtain a longer sequence:

$$T(5, 9) \rightarrow T(6, 9) \rightarrow T(7, 9) \rightarrow T(8, 9) \rightarrow T(9, 9)$$

As a consequence of this, we would have to examine all the possible evaluations of  $T(5, 9)$  in order to obtain the longest unfolding sequence. However, the number of possible evaluations may be infinite even if the evaluation yields a finite number of results. We have addressed this problem by evaluating the CRS in a bottom-up way (Figure 3 left). We start from the set  $B_1$  of pairs  $(x, y)$  such that the evaluation of  $T(x, y)$  does not fall into a recursive case. The longest obtainable sequence in these cases is of length one. Now, let us define the set  $B_2$  of pairs  $(x, y)$  such that the evaluation of  $T(x, y)$  falls into a recursive case, but the recursive call belongs to  $B_1$ . Thus, we ensure that the evaluation of these pairs does not require more than two unfoldings. By following this procedure, we obtain a sequence of sets  $\{B_i\}$  each of which can be described as a disjoint union of convex polyhedra with the help of quantifier elimination techniques. We use a gradient-based approach for selecting the interpolation nodes from the  $B_i$  sets (Figure 3 right). The algorithm involves the search of *climbing paths* starting at the  $B_1$  set and minimizing the distance between  $B_i$  and  $B_{i+1}$  for each  $i \in \mathbb{N}$ . It is possible that, given a point  $(x, y)$  in a set  $B_i$ , there are several candidates in the next level  $B_{i+1}$  lying at the same distance from  $(x, y)$ . In this case, the climbing path forks, and the next interpolation nodes are searched from all these candidates. The process ends when the interpolating polynomial is uniquely determined.

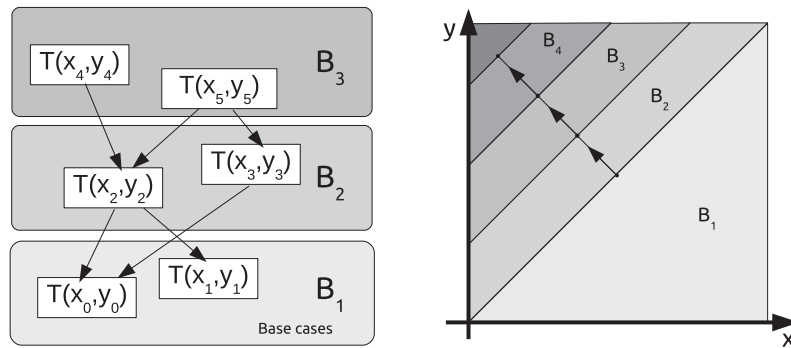


Figure 3. Meaning of the  $B_i$  sets and their representation as convex polyhedra.

Once we have found the interpolating polynomial on the set of test nodes, we have to check whether the resulting bound is correct. This can be done as follows: for each CRS, the system can derive some predicates, whose satisfiability is a sufficient condition guaranteeing that the polynomial is an upper bound to the values of the CRS. These conditions involve inequalities between polynomial expressions, which are decidable in Tarski's theory of real closed fields. For instance, the system would generate the following logical statement for checking that  $y - x + 1$  is an upper bound to  $T(x, y)$ :

$$\begin{aligned} \forall x, y, x', y' : ((x \leq y \wedge x' = x + 1 \wedge y' = y) \vee (x \leq y \wedge x' = x \wedge y' = y - 2)) \\ \implies y - x + 1 \geq 1 + y' - x' + 1 \end{aligned}$$

If these generated predicates hold, then  $y - x + 1$  is indeed an upper bound to  $T(x, y)$ . Our extension to PUBS delegates the task of checking such inequalities to the QEPCAD tool [13]. For instance, in our running example  $T(x, y)$ , the following script is generated<sup>‡</sup>:

```
[ Proving correctness of the bound corresponding to simpleLoop ]
(x,y,x',y')  -- Variables
0           -- Number of free variables in the formula
(A x) (A y) (A x') (A y')
[[[x >= 0 /\ y >= 0 /\ x' >= 0 /\ y' >= 0] /\
  [[((-1) x + 1 y' >= (-2) /\ 1 x + (-1) x' = 0 /\ 1 y + (-1) y' = 2] \/\
    [(-1) x + 1 y' >= 0 /\ 1 x + (-1) x' = (-1) /\ 1 y + (-1) y' = 0]]]]
==> [(-1) x + 1 y + 1 >= 1 + (-1) x' + 1 y' + 1]].
finish
```

Given this script, QEPCAD yields the message An equivalent quantifier-free formula: TRUE, which validates the inferred bound.

### 3.2. Correct array-size analysis

Because of the way memory is handled, an array header will always be included with information about the array. As an array is a regular JAVA object, the array header also includes the normal object header. Almost all architectures impose constraints on the memory allocator, for example, memory allocators on the x86 architecture will allocate memory blocks in multiples of quad word sizes, so in multiples of 16 bytes. Although less bytes are requested, the memory allocator will add padding to an object that cannot be used for other purposes. This array header and padding need to be taken into account, otherwise the bound would be an under-approximation.

For instance, all JAMAICAVM allocations are in (multiple) blocks of 32 bytes, considering the 32-bit version of JAMAICAVM. If multiple blocks are needed, they are stored in a tree structure with the array content stored in the leafs of the tree. The array header is 16 bytes long, so this leaves up to four pointers to the tree structures. In partial trees (in which the number of elements is not  $4 \times 8^n$ ), nodes leading to unused array contents and unused array contents blocks are not stored, for example, 16 pointers (four bytes each) stored will take only three blocks: two for the leafs and one intermediate block pointing to the leafs [16]. An example array structure is shown in Figure 4. COSTA takes into account neither the array header, nor the structure needed to store the contents, nor padding. Only the space needed by the array contents (object references and primitive types) is included in the bound. This results in COSTA producing a bound for `new int[n]` equal to  $n * \text{size}(\text{int})$ , making it indistinguishable from the sequence `new int[1]; new int[n-1];`, so neglecting to account for the extra array header, padding and structure overhead. The (structure) overhead is dependent on the VM used. To deal with these deficiencies, we implemented a special mode in COSTA when generating a concrete bound for arrays in JAMAICAVM, as explained next.

<sup>‡</sup>Variables have been renamed for better readability.



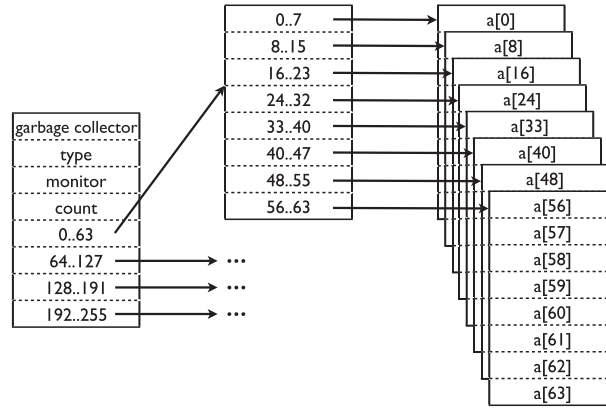


Figure 4. Graphical representation of a JAMAICAVM array of size  $n$ , with  $33 \leq n \leq 255$  and with  $a[i]$  representing the contents of the array. Allocating an array of 63 elements takes 10 blocks.

### 3.3. Virtual-machine specialization by adding type-size information

COSTA has no knowledge of specific JVMs like JAMAICAVM. Our approach is to replace in all the symbolic bounds generated by COSTA the symbolic object sizes by the exact sizes of objects in bytes. The exact sizes are retrieved from the target VM by means of a specially generated program. For JAMAICAVM, this generated program depends on the scoped memory extensions of real-time JAVA. For other JVMs, we use the reflection API in JAVA, which is more general and can be run on any VM which supports the reflection API. We validated this method for OPENJDK, by interfacing directly with the VM by means of a (JAVA Native Interface) plugin.

For generating bounds for arrays allocated in an instance of JAMAICAVM, we adjusted COSTA to include an over-approximation. A simple way of calculating the size of arrays, by means of the small recursive function defined in Equation 14, could not be implemented in COSTA, because of the manner COSTA represents and calculates the bounds internally. This recursive function is valid for data types of 4 bytes<sup>||</sup>, which correspond to the size of pointers used in the tree structure pointing to the leafs, resulting in a cleaner formula.

$$\text{arrayblocks}(n) = \begin{cases} n & \text{if } n \leq 8 \\ \lceil \frac{n}{8} \rceil + \text{arrayblocks}(\lceil \frac{n}{8} \rceil) & \text{otherwise} \end{cases} \quad (14)$$

By transforming the formula to an over-approximation (by replacing  $\lceil \frac{n}{8} \rceil$  with  $\frac{n+7}{8}$ ), we were able to solve this new recurrence equation. The results in a new formula, after integrating adjustments for the start cases, is listed in Equation 15. We have implemented this solution in our version of COSTA, which is included in RESANA, so that analysing arrays now gives a correct over-approximation.

$$\text{arrayblocks}(n) \leq \frac{n+5}{7} + \log_8(n+7) \quad (15)$$

We have a similar formula for arrays in OPENJDK, which uses continuous allocation with a small header by default (an array of  $n$  elements uses  $4n+8$  bytes, on a 32-bit target architecture). For each new JVM, a new specialization for arrays needs to be added in order to correctly generate bounds for code using arrays.

### 3.4. Simplification of bounds

COSTA internally calculates the symbolic bounds without considering the format of the expression. The produced expressions are not necessarily user friendly, for example,

<sup>||</sup>These results are valid for data types with a representation of 4 bytes. Alternate data types (e.g. byte, char, short, double) can be calculated by multiplying the input  $n$  by a factor of  $\frac{1}{4}$ ,  $\frac{1}{2}$ ,  $\frac{1}{2}$ , 2 respectively.



$$\begin{aligned}
& nat(n) * \\
& \quad (nat(n) * (c(size(java.lang.Object, 1)) + \\
& \quad \quad c(size(java.lang.Object, 2)))) + \\
& \quad nat(n) * (c(size(java.lang.Object, 1)) + \\
& \quad \quad c(size(java.lang.Object, 2)))) + \\
& \quad nat(n) * (c(size(java.lang.Object, 1)) + \\
& \quad \quad c(size(java.lang.Object, 2))))
\end{aligned}$$

We implemented a recursive descent parser with reductions of mathematical expressions in order to make the expressions generated by COSTA more user readable. The result of an expression is not altered\*\*, but the formula is reordered and reduced to a more user-friendly expression. The aforementioned expression is transformed into

$$6n^2 * size(java.lang.Object)$$

One can now easily see that the bound is quadratic. This simplification is built into RESANA and applied to all user-visible expressions.

### 3.5. Example

The complexity of calculating Fibonacci numbers is well known. The run-time complexity (in terms of methods calls) of calculating the  $n$ th Fibonacci value using a double recursion is related to the golden ratio  $\varphi = \frac{1+\sqrt{5}}{2}$ , which results in a complexity of  $O(\varphi^n)$  method calls. Standard textbooks on complexity analysis use over-approximation, which results in a complexity of  $O(2^n)$  for the same function. By adding an object allocation to each iteration, the heap consumption should be the same as the run-time complexity. The resulting code is given in Listing 10. Our tool annotates this function with the bound  $(2^n - 1) * size(java.lang.Object)$ , matching the expected bound.

```

1 int fib(int n) {
2     new Object();
3     if (n < 2) return n;
4     return fib(n-1) + fib(n-2);
5 }

```

Listing 10: Adaptation of the double recursive Fibonacci function, allocating an object in each call.

The  $n$ th Fibonacci number can also be calculated by using a single recursion, for which the complexity should be  $O(n)$ . The resulting code, with added object allocations, is listed in Listing 11. This single-recursive function is annotated by our tool with a bound of  $(n + 1) * size(java.lang.Object)$ , also matching the expected complexity bound.

```

1 int fib_helper(int a, int b, int n) {
2     new Object();
3     if (n <= 0) return a;
4     return fib_helper(b, a+b, n-1);
5 }
6 int fib(int n) {
7     return fib_helper(0, 1, n);
8 }

```

Listing 11: Adaptation of the single recursive Fibonacci function, allocating an object in each call.

\*\*Technically, the output is altered a little bit as the allocation order, which only matters internally, is neglected. The allocation order is included in the `size` construct as the second argument. The `nat` function is also omitted for brevity and should always be applied to variables.

#### 4. STACK-SIZE ANALYSIS

The proposed method of stack analysis requires global knowledge of the program, including its data. A *data-flow-based static analyser* VERIFLUX is used to provide this knowledge [18] (<http://www.aicas.com/veriflux.html>).

Analysis of recursive methods is a challenge in static evaluation of stack consumption. To deal with it, VERIFLUX's stack-size analysis relies on recursion-depth annotations. A recursion-depth annotation consists of an expression that evaluates to a natural number that is an upper bound on the number of nested recursive calls. Syntactically, recursion-depth annotations are provided as JML `measured_by` clauses. A `measured_by` expression is a usual symbolic expression like  $a.length - 1$ . VERIFLUX outputs the stack bound in bytes, which is the number computed from the annotations and the input data of the main method. If VERIFLUX discovers recursive methods that do not carry a recursion depth annotation, it uses a default recursion depth, which is a positive natural number or infinity. This number can be configured in the tool's GUI. In case the default recursion depth is configured to be infinity, the stack size analysis will report an infinite stack size for all threads that call recursive methods that do not carry a recursion-depth annotation.

Expressions for `measured_by` annotations are obtained using COSTA, which computes both

1. a symbolic upper bound on the depth of recursion (i.e. a 'ranking function' for recursive calls) for a given method
2. a symbolic upper bound on the number of calls of the method from itself.

The former corresponds to the height of the call tree; the latter represents the number of the nodes in the call tree. For instance, the depth of recursion for a typical implementation of the  $n$ th Fibonacci number calculation belongs to  $O(n)$ , whereas the number of call belongs to  $O(2^n)$ . Both a ranking function and a bound on the number of recursive calls can be used as `measured_by` expressions. The former and the latter coincide if the recursion branching factor  $b < 2$ . The number of calls leads to exponential over-approximation when  $b \geq 2$ .

Initially, COSTA did not output ranking functions, even though they were a part of the tool's internal computations. The tool has been adjusted within the CHARTER project by adding an option that allows ranking functions to be shown.

Consider the method `fib`, computing the  $n$ th Fibonacci number, in Listing 10. As expected, COSTA produces the ranking function  $nat(n - 1)$ . This represents the depth of the recursion tree. It is transformed by RESANA into the annotation `measured_by n-1`. The upper bound on the number of recursive calls that COSTA generates is  $2 * (2^{nat(n-1)} - 1)$ . This corresponds to the total number of nodes in the recursion tree.

A JAVA VM has two stacks: a JAVA stack and a native one. Interpreted code and dynamically generated code execute on the JAVA stack. External C libraries, Just-In-Time compiled (JAVA) code and Java functionality implemented natively execute on the native stack. Both have different stack-usage characteristics. We consider JAVA stack usage while running the VM in interpreted mode. While methods utilizing the native stack cannot be analysed automatically, the user can specify bounds in their JML contracts.

JAVA applications typically call methods from libraries. To obtain good stack-consumption bounds for such applications, one should provide stack-consumption bounds for library methods. In principle, library methods are analysed by CHARTER methodology in the same manner as applications, that is, as the example presented previously. However, analysis of libraries requires additional technical overhead, because of two issues: libraries are large, and library methods call native routines.

##### 4.1. Adjustments for analysis of libraries

Because a call to a library-method typically amounts to long chains of calls to other methods, the corresponding call graph becomes very large. The COSTA analysis is based on call graphs, so obtaining resource bounds in this case becomes unfeasible. Computations take too much time, and/or at the end, one obtains a huge unreadable symbolic expression. Therefore, when performing the stack

analysis on programs with library calls, it is best to begin with analysis of the methods belonging to one strongly connected component (SCC) of the call graph<sup>††</sup>. From our experience, COSTA performs it in reasonable time. After that, methods that call the already analysed ones can be analysed. The annotations of the already analysed methods can now be used as contracts. Eventually, all the library is analysed in a bottom-up manner.

Technically, *native stacks* are needed to cope with methods that are compiled to native machine code (for optimization purposes) and with native methods that are called through the JAVA Native Interface (in order to access services provided by platform-specific native libraries). VERIFLUX does not address StackOverflowErrors due to overflows of native stacks. Because verification of C native methods is beyond the scope of this work, one has to rely on the known information about the behaviour of these methods, that is, corresponding contracts.

```

1 String toString(int i) {
2     if (i == Integer.MIN_VALUE) return "-2147483648";
3     int size = (i < 0) ? stringSize(-i) + 1 : stringSize(i);
4     char[] buf = new char[size];
5     getChars(i, size, buf);
6     return MyString.valueOf(buf, 0, size);
7 }

```

Listing 12: The `toString` method from the `Integer` class in the JAVA standard library.

As an example for both issues, consider the `toString` method, which belongs to the `Integer` class and maps an integer number to a string, shown in Listing 12. Before running COSTA, place this method in the abstracted class `MyInteger`, which contains only `toString` and the methods called from it. Create the abstracted versions of the classes `StringIndexOutOfBoundsException` and `String`, which contain the methods called from `toString`, the ones called from them and so on. COSTA produces a ranking function that symbolically depends on the costs of two native methods: `copyChars` and `cast2string`. If their contracts say that they do not call JAVA methods (which is, indeed, the case for this example), their costs are turned into zeros by RESANA, and the final `measured_by` expression is 0. This result can be approved by an accurate data-flow analysis of the method `toString` by using pen and paper.

#### 4.2. Stack-size analysis by VeriFlux

In this section, we consider the principles on which VERIFLUX its stack analysis is based. VERIFLUX computes an invocation graph, in which nodes correspond to methods and edges represent method invocations. Recursive method calls correspond to cycles in the graph. In order to eliminate cycles, one first computes the SCCs of the invocation graph. Each SCC with more than zero nodes is then replaced by a single node that is annotated by *the sum of the sizes of all stack frames that correspond to nodes (i.e. method invocations) in that SCC, multiplied by the maximal recursion depth over all the nodes (i.e. method invocations) in that SCC*. The recursion depths are computed by evaluating the `measured_by` annotations of invoked methods or using the default recursion depth for methods that do not carry these annotations. All nodes that are not in an SCC with more than zero nodes are simply annotated by the size of the stack frame of the corresponding method invocation.

After merging each SCC, one is left with a directed acyclic graph, where each node is annotated with a positive integer. Let this annotation be called the stack-frame size of the node. To obtain the final result, VERIFLUX adds the stack frame size of the node to the maximum of the (recursively computed) stack sizes of its successor nodes. This can be achieved, for all nodes, in a depth-first traversal of the directed acyclic graph.

<sup>††</sup>Recall that a SCC of a directed graph is a sub-graph in which for any two nodes, *a* and *b*, there is a path from *a* to *b* and vice versa.

From the user perspective, VERIFLUX performs stack analysis in the following way. The tool starts from the main method and evaluates the `measured_by` annotations of all called methods in an abstract environment. Variables (and expressions) in this environment are evaluated to intervals that represent all possible values they may have according to data-flow analysis. For instance, a variable  $n$  is replaced with the interval  $[0, 21]$  if data-flow analysis shows that `fib( $n$ )` will be called on  $n$  from 0 to 21.

The value that VERIFLUX outputs is an upper bound on the used stack in bytes, computed from the symbolic `measured_by` expressions and the input data of the main method. Note that VERIFLUX's computation of the abstract environment is approximate. In the worst case, VERIFLUX may have computed the abstract value 'any' for some of the variables that occur in the `measured_by` expression. Then, the concrete value of the `measured_by` expression evaluates to 'any' as well. If a symbolic `measured_by` expression is not given, then a concrete default bound is involved, given by the user. The correctness of this given numerical upper bound is not checked; VERIFLUX simply uses this value in the analysis. The upper bounds computed by VERIFLUX are not tight, that is, they may be higher than necessary.

Now, proceed with the Fibonacci example. Let it be called from the main method in Listing 13.

```
1 public static void main(String [] args) {
2     fib(21);
3 }
```

Listing 13: Main method calling the `fib` method.

VERIFLUX computes the depth of recursion, which, as expected, is equal to 20. The upper bound on consumed stack space computed by VERIFLUX is 1156 bytes. This consists of 20 stack frames for the `fib` method, which use 56 bytes each, plus 36 bytes of stack space needed to call the method. Calling the same method with  $n = 22$  results in a bound of 1212 bytes. This means that a stack overflow will not occur if 1156 and 1212 bytes of stack space are reserved for the main thread in the first case and in the second case respectively.

To deal with virtual method invocations, VERIFLUX has an option 'resolve opaque calls'. When switched on, it considers all possible implementations or subclasses of a given interface or a superclass. If the analysis cannot resolve which virtual method is actually called, the maximum over the stack sizes of all those methods that are possibly called is used. Conceptually, the invocation graph will then have edges from the caller to all possibly called methods.

## 5. USER EXPERIENCE

We have combined all the CHARTER verification tools in a VIRTUALBOX (Oracle Corporation, Redwood Shores, CA, USA) image for easy installation. This image, the ECLIPSE plugin and the source code can be downloaded from the RESANA website<sup>††</sup>.

The Dutch National Aerospace Laboratory (NLR) has used the VIRTUALBOX image in the development of a safety-critical avionics application. Their experience is described in [3]. They have selected the environment control system on board an aircraft for evaluating the CHARTER tool chain. The environment control system is responsible for air conditioning and air pressurization. The application is written in real-time JAVA and runs on JAMAICAVM.

Before using the CHARTER tools, NLR did not determine any ranking functions for loops or memory-usage bounds, because manually devising them would require a very large effort. Now, thanks to RESANA, these bounds can be inferred relatively quickly, so the programmers now have a better understanding of the workings and hardware requirements of their software. They applied RESANA for loop-bound and heap space analyses. The tool was found to be easy to use. Their industrial user feedback has led to several (small but important) improvements of the RESANA tool.

<sup>††</sup><http://resourceanalysis.cs.ru.nl/resana/>.

Table I. Summary of the cases studied.

	No. of loops	Analysable	Percentage (%)
Hunt <i>et al.</i>	2	2	100
DIANA	4	4	100
CD <sub>x</sub>	38	23	61
Total	44	29	66

DIANA, Distributed, Equipment Independent Environment for Advanced Avionics Applications.

The NLR has used the complete CHARTER tool chain in their evaluation. The use of the tool set resulted in a considerable (89%) reduction of the errors that appeared during the testing phase of the project.

We ourselves have conducted several case studies as well. For loop-bound analysis, three case studies were done. These are all parts of safety-critical JAVA systems, suggested as test cases by the CHARTER partners. The results are shown in Table I. As can be read from the table, we can handle roughly two-thirds of the loops found in the case studies. This means that we can infer a ranking function for these loops using our prototype and prove it using KEY. Almost all of the loops for which no ranking function could be inferred are loops for which the guard depends on a different program thread. An example of this is given in Listing 14. Analysing the temporal behaviour of such loops would require a fundamentally different analysis, which should take into account the code of all threads as well as the scheduling of threads. An example of a loop from the case studies for which a ranking function could be inferred and proved is given in Listing 15.

1. *Collision detector case study.* The first case is the collision detector example from the paper ‘Provably Correct Loops Bounds for Realtime Java Programs’ by Hunt *et al.* [26]. This code stems from a safety-critical avionics application.
2. *DIANA package.* This package is developed in the FP6 project *Distributed, Equipment Independent Environment for Advanced Avionics Applications* (DIANA). The package is described in detail in [27].
3. *CD<sub>x</sub> Collision Detector package.* The CD<sub>x</sub> Collision Detector package is a publicly available real-time JAVA benchmark. It is described in [28].

```

1 synchronized (lock) {
2   while (producedFrames != consumedFrames) {
3     try { lock.wait(); } catch (Exception e) {};
4   }
5 }

```

Listing 14: Example loop from the `immortal.FrameSynchronizer` class in CD<sub>x</sub>. No ranking function can be inferred for this loop, as it depends on another thread.

```

1 for (int i = 0; i < allocateArray.length; i++) {
2   Object o = allocateArray[i];
3   if (o != null) {
4     currentRetention += ((byte[]) o).length;
5   }
6 }

```

Listing 15: Example loop from the `heap.MemoryAllocator` class in CD<sub>x</sub>. RESANA infers the ranking function  $allocateArray.length - i$  for this loop, which can be proved using KEY.

During a course on software analysis, we have asked undergraduate students to perform a series of exercises using RESANA. Students successfully used the tool to infer ranking functions, heap

bounds and stack bounds for various examples. Also, they performed a small case study on the code of Pygmy (a small web server). Again, ranking functions could be generated for roughly two-thirds of the loops. Similar exercises were also given to PhD students at the 2013 IPA<sup>§§</sup> school on Software Engineering and Technology, who found the tool to be very useful.

## 6. RELATED WORK

This article is an extended version of an earlier paper [2]. It was extended on several distinct points. The extensions to the loop-bound inference method discussed in Sections 2.4 (rational or real coefficients), 2.5 (branch-splitting) and 2.6 (piecewise ranking functions) were already described in more primitive form in [14]. Condition jumping and the corresponding extension to the loop-bound inference method, described in Section 2.7, were not previously published. There are also some new contributions with respect to heap analysis. Firstly, verification of ranking functions derived with our experimental method using QEPCAD was implemented within COSTA. This is described in Section 3.1. Furthermore, a specialization of the results for OPENJDK was made (previously, only a specialization for JAMAICAVM was available), Section 3.3. All these extensions are implemented in the current version of RESANA.

The polynomial-interpolation-based technique was successfully applied in the analysis of output-on-input data-structure size relations for functions in a functional language, in [5, 29–32] and [33]. This method can, for instance, be used to determine that if the `append` function gets two lists of lengths  $n$  and  $m$  as input, it will return a list of length  $n + m$ .

### 6.1. Loop-bound analysis

Hunt *et al.* discuss the expression of manually conceived ranking functions in JML, their verification using KEY and the combination with data-flow analysis in [26]. What is ‘missing’ in the method is the automated inference of ranking functions, which RESANA supplies.

In [34], an approach that is similar to ours is taken, in the combination of COSTA with the KEY tool. The results that COSTA gives are output as JML annotations, which may then be verified using KEY.

Various other research results on bounding the number of loop iterations are described in the literature. However, most approaches generate concrete (numerical) bounds [35–37], as opposed to *symbolic* bounds. The methods that are able to infer symbolic loop bounds are limited to either bounds that depend linearly on program variables (the procedure described in this paper infers polynomial bounds) [25] or that are constructed from monotonic subformulae [6, 38].

Several syntactical methods are discussed [39, 40], which will be more efficient for simple cases, but less general. Our procedure can be seen as complementary to those methods. In case a syntactical method is not applicable to a certain loop, our more general method can be used.

To generate algebraic loop invariants, Sharma *et al.* [41] use a procedure that, as our loop-bound inference algorithm, employs interpolation and separated inference and verification phases. They refer to their algorithm as *guess-and-check*, as it employs a non-sound inference phase and a verification phase. In the inference phase, the program is executed on data from unit tests, and results are interpolated. For checking the invariants, they use an SMT solver. The main difference to our work is that they search for so-called algebraic invariants, which are defined as algebraic equalities over program variables, whereas we search for a specific variant (a ranking function) specifying the number of remaining iterations of the loop, the value of which is required to decrease on each iteration. This ranking function implies an algebraic inequality as invariant.

### 6.2. Time performance analysis

There is a number of parallels of our work with time performance analysis. This can be average execution time analysis or, more common, worst-case execution time (WCET) analysis. As already

<sup>§§</sup>Institute for Programming research and Algorithmics: <http://www.win.tue.nl/ipa/>



mentioned, loop-bound inference can be used for time analysis, in particular for WCET analysis. Depending on the cost function associated with each iteration of the loop, one can compute a memory bound or a timing bound. To properly use this for WCET analysis, one has to incorporate extra analysis of, for example, cache behaviour, context switches and so on, to precisely approximate the worst case execution time as is done in [42, 43].

As memory allocators and cache policies are rather slow and unpredictable, the number and the amount of memory allocated have an impact on performance [42]. One has to resort to special means to alleviate these problems [44]. Our heap analysis can also be used to gain insight into the allocations of a program. This can help reduce the number and amount of allocations in a program, which can lead to smaller WCETs.

### 6.3. Heap-space usage analysis

We have taken the COSTA system [15] as our point of reference. The authors have recently improved [45] the precision of PUBS, its recurrence solver, by considering upper and lower bounds to the cost of each loop iteration. In a different direction, COSTA has improved its memory analysis in order to take different models of garbage collection into account [23]. However, the authors claim that this extension does not require any changes to the recurrence solver PUBS. Thus, the techniques presented in Section 3.1 should fit with these extensions.

In the field of functional languages, the work of Hoffmann and Jost [46] is a seminal paper on static inference of memory bounds. A special type inference algorithm generates a set of linear constraints that, if satisfiable, specifies a safe linear bound on the heap consumption. One of the authors extended this type system in [7, 47] in order to infer multivariate polynomial bounds. Surprisingly, the constraints resulting from the new type system are still linear.

### 6.4. Stack-size analysis

In practice, stack usage in JAVA is often measured by instrumenting or transforming the source code so that it counts consumed resources (and computes other relevant information) on the inputs of the original code. To our knowledge, there are two commercial tools that perform JAVA stack analysis: *Coverity Static Analyzer* (Coverity, Inc., San Francisco, CA, USA) and *Klocwork Insight* (Klocwork, Burlington, MA, USA), with its *kwstackoverflow*. Another tool, *GNATStack* (AdaCore, New York, NY, USA), analyses object-oriented applications, automatically determining maximum stack usage on code that uses dynamic dispatching in ADA and C++.

In [48], a static stack-bound analysis for abstract JAVA bytecode is described. The described method considers JAVA bytecode with recovered high-level control structures (conditionals and while loops). The inference process is divided into three key stages: frame-bound inference, abstract-state inference and stack-bound inference. Recall that a frame is a piece of stack reserved for each method invocation. Each stage applies a corresponding set of inference rules. In these rules, the authors use *Presburger (linear) arithmetic formulae* to describe states of programs. It is stated that an implementation is under development.

## 7. CONCLUSION AND FUTURE WORK

To assist in making resource analysis practical, we have introduced new techniques and combined these techniques in our new tool, RESANA. Complex loop, heap and stack bounds can be inferred in an integrated way within the ECLIPSE Integrated Development Environment. Bounds can be inferred that are specific for the underlying VM (shown both for JAMCAVM and OPENJDK).

Obviously, a full resource analysis tool would also need to build in an elaborate time analysis. For now, we will rely on other tools to provide such information. The ability to infer resource bounds contributes to improving the development process of producing real-time safety-critical systems both with respect to ease of development and with respect to improved reliability. The Dutch NLR has successfully used RESANA in the development of a demonstrator safety-critical real-time JAVA avionics application.



### 7.1. Future work

The capabilities of time analysis tools could of course be incorporated in our tool or it could be made easy to switch from our tool to time analysis tools and to exchange information. Another direction of future research could be to include work on other kinds of resources that are consumed, for example, also inferring and proving energy-related properties of JAVA programs might be important. Furthermore, one could define, instead of a single overall memory bound for the complete run-time of a program, a time-dependent memory bound that gives a bound for the consumption on a certain moment in the execution of a program. Such a time-dependent bound is called a *live* memory bound. Together with information on synchronization moments, this opens up the possibility to derive more precise memory bounds by adding upper bounds of processes in the periods between synchronization moments.

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