

# Operational Semantics

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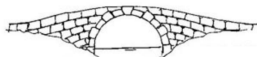
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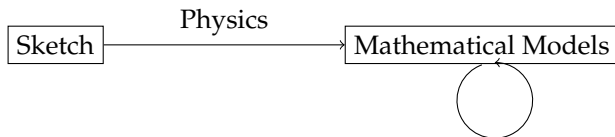
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# A mostly wrong history of bridge building

- 1 **Once upon a time:** bridge-building recipes



- 2 **Nowadays:** Maths and physics to the rescue.



Calculations: does it stand? is it resistant?

- ▶ What is a mathematical representation of a bridge?
- ▶ How do you go from the sketch to the model?
- ▶ How do you check for safety (it stands)?
- ▶ How do you check against attacks (ie. different scenario)?

# Meanwhile, in computer science

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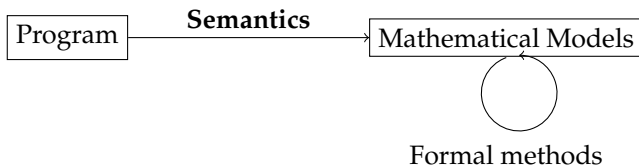
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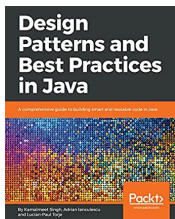


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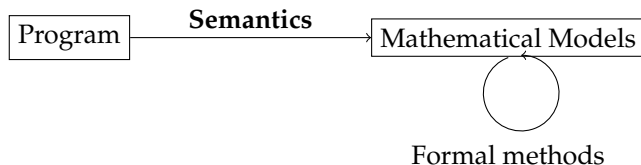


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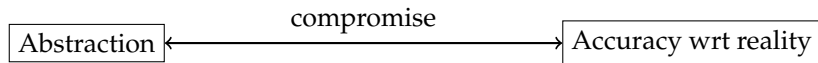


Semantics can make **formal properties** about programs:

“The program  $P$  computes factorial”  $\rightsquigarrow \forall n \in \mathbb{N}, \llbracket P \rrbracket(n) = n!$ .

# The tradeoff of semantics

A model is a mathematical *point of view*: there are **many** models.



**More abstract** Easier to reason with, to prove properties.

**More accurate** Can state more properties.

## Example 1 (Spectre)

Spectre is a recent attack using the branch prediction of processors.

(No current models cannot state the property: “This program is resistant to the Spectre attack”.)

# Static analysis

## Definition 2

A static analysis is an algorithm to check whether a program has a certain property.

Example: does my C program make access to uninitialised variables?

```
int sum(int []array, int len) {  
    int sum;  
    for(int i = 0; i < len; i ++)  
        sum = sum + array[i]; // wrong: access to uninitialised sum  
}
```

# Static analysis and approximation

There is a gap between the algorithm  $\mathcal{A}$  and the mathematical property  $\mathcal{P}$ .

A static analysis  $\mathcal{A}$  is:

- ▶ **Sound** when if  $\mathcal{A}$  says yes on a program  $p$ , then  $\mathcal{P}$  holds on  $p$ .
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## Theorem 3 (Rice)

*If the programming language is Turing-complete, and  $\mathcal{P}$  is non-trivial, then there are no sound and complete algorithm for  $\mathcal{P}$ .*

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↪ In practice: **sound approximation**.

# Illustration of Rice's theorem

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### Proof.

We show that if there were such an algorithm  $\mathcal{A}$  then we could decide whether a given piece of C code  $P$  terminates. This is impossible since C is Turing-complete.

Indeed, we can form the following C program

```
int x; // choose x not occurring in P
// Insert P here
int y = x;
```

This program has an uninitialised access iff  $P$  terminates. □

# This lecture (4h)

An illustration of the static analysis methodology:

- 1 We isolate a subset of  $C$  called *While*: “prototypical imperative language”
- 2 We formulate an algorithm that checks if a given program *may* perform uninitialised accesses
- 3 To show it is *sound*, we need to define mathematically the property of having no uninitialised accesses.  
↪ We give a semantics to *While*
- 4 Using the semantics, we prove our algorithm sound.

# Lecture 1: An introduction to verified static analysis

Detecting uninitialised accesses in imperative programs

# Outline

- 1 **While: An imperative toy language**
- 2 A static analysis
- 3 Operational semantics of *While*
- 4 Natural semantics of *While*
- 5 Proof of the analysis
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# Idealising a language

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In semantics, we start a small set of features and grow over time.

The standard starting point, **imperative programming**:

- ▶ Variables (of type `int`)
- ▶ Assignments of arithmetic expressions (involving variables) to variables
- ▶ Conditionals on boolean expressions derived from variables
- ▶ While statements

We create an **idealised language** that combines these features, *While*.

# The *While* language

$n \in \mathbf{Num}$        $x \in \mathbf{Var}$

integers and variables  
arithmetic expressions

$a \in \mathbf{Aexp}$

$a ::= n \mid x \mid a_1 + a_2 \mid \dots$

$b \in \mathbf{Bexp}$

$b ::= \text{true} \mid \text{false} \mid a_1 = a_2 \mid a_1 > a_2$   
 $\mid \text{not } b \mid b_1 \text{ and } b_2 \mid \dots$

boolean expressions

$c \in \mathbf{Cmd}$

$c ::= x := a \mid \text{skip} \mid c_1 ; c_2$   
 $\mid \text{if } b \text{ then } c_1 \text{ else } c_2 \mid \text{while } b \text{ do } c$

commands (i.e. programs)

This definition is called a **BNF grammar**:

- ▶ Different syntactic categories
- ▶ Certain basic categories are assumed: numbers, variables.
- ▶ Valid programs are described by **abstract syntax trees** (ASTs);

## Example 5 (Factorial in *While*)

```
result:=1; while n>1 do (result := n * result; n := n -1).
```

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# Overview of the algorithm

Our algorithm is a very simple case of **liveness analysis**.

- ▶ We say that a variable is **safe** when it has been initialised in the past.
- ▶ We build a *partial* function  $\mathcal{S} : \mathbf{Cmd} \times \mathcal{P}(\mathbf{Var}) \rightarrow \mathcal{P}(\mathbf{Var})$

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  - ▶ If  $\mathcal{S}(c, X)$  is undefined:  $c$  makes uninitialised accesses outside  $X$
  - ▶ If  $\mathcal{S}(c, X) = Y$ : assuming variables in  $X$  are initialised, all accesses in  $c$  are initialised, and at the end variables in  $Y$  are initialised.

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  - ▶ If  $\mathcal{S}(c, X) = Y$ : assuming variables in  $X$  are initialised, all accesses in  $c$  are initialised, and at the end variables in  $Y$  are initialised.
- ▶ This partial function is defined **by induction on  $c$** .
- ▶ We use notations:

$$\begin{aligned} \{X\}c\{Y\} & \text{ means } \mathcal{S}(c, X) = Y \\ \{X\}c\{\perp\} & \text{ means } \mathcal{S}(c, X) \text{ undef.} \end{aligned}$$

$$\begin{aligned} \text{var} & : (\mathbf{Bexp} \cup \mathbf{Aexp}) \rightarrow \mathcal{P}(\mathbf{Var}) \\ \text{var}(x) & := \{x\} \\ \text{var}(n) & := \emptyset \\ \text{var}(e_1 + e_2) & := \text{var}(e_1) \cup \text{var}(e_2) \end{aligned}$$

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$$\mathcal{S}(\text{if } b \text{ then } c_1 \text{ else } c_2, X) := \begin{cases} Y_1 \cap Y_2 & \text{var}(b) \subseteq X \\ \text{undef} & \wedge \{X\}c_1\{Y_1\} \wedge \{X\}c_2\{Y_2\} \\ & \text{otherwise} \end{cases}$$

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 $\rightsquigarrow$  How to formalise the property of having no uninitialised access?

For this, we need to define the semantics of *While*, i.e. how programs are executed.

# Outline

- 1 *While*: An imperative toy language
- 2 A static analysis
- 3 Operational semantics of *While*
  - Semantics of expressions
  - Transition relation
  - Overview
  - Small-step transition relation, inductively
- 4 Natural semantics of *While*
- 5 Proof of the analysis
- 6 Extensions of *While*

## Different semantics of *While*

There are several ways of expressing the mathematical behaviour of a program, say `fact := (result := 1; while( $n > 0$ ) do result :=  $n * result$ ; n--)`.

Informally:

- 1 fact always terminates
- 2 If  $n$  is equal to  $k \in \mathbb{N}$  before the execution, at the end `result =  $k!$`

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Different families of models based on **memory states**  $\sigma \in \mathbf{Var} \rightarrow \mathbb{Z}$ :

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# Operational semantics: References

## References

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- ▶ G. Kahn, *Natural Semantics*, In Proc. of the Symposium on Theoretical Aspects of Computer Science, LNCS 247, pp. 22–39, Springer-Verlag, 1987.

# Interpretation of values

Define the sets and functions used to describe the meaning of expressions.

- ▶ Values : integers and booleans

$$\mathbb{Z} \quad \mathbb{B} = \{\mathbf{tt}, \mathbf{ff}\}$$

- ▶ Interpretation function for constants

$$\mathcal{N} \in \mathbf{Num} \rightarrow \mathbb{Z}$$

- ▶ A memory state or environment,  $\sigma$  maps variables to values

$$\sigma \in \mathbf{State} = \mathbf{Var} \rightarrow \mathbb{Z}$$

Reading the value of variable  $x$  in  $\sigma$

$$\sigma(x)$$

Updating  $\sigma$  by setting a new value  $v$  for  $x$

$$\sigma' = \sigma[x \mapsto v]$$

- ▶ Semantics of expressions

$$\mathcal{A} \in \mathbf{Aexp} \rightarrow \mathbf{State} \rightarrow \mathbb{Z}$$

$$\mathcal{B} \in \mathbf{Bexp} \rightarrow \mathbf{State} \rightarrow \mathbb{B}$$

Expressions denote functions from states to integer values.

Notation:  $\mathcal{A}(a)(\sigma)$  traditionally written  $\mathcal{A}[[a]]\sigma$ .

# Arithmetic expressions

*Remember:* The set of arithmetic expressions is defined **inductively**

$$a \in \mathbf{Aexp} ::= n \mid x \mid a_1 + a_2 \mid \dots$$

$\mathcal{A}[\![\cdot]\!]$  is defined by induction on the definition of  $\mathbf{Aexp}$ , following the structure of expressions.

$$\begin{aligned} \mathcal{A} \in \mathbf{Aexp} &\rightarrow \mathbf{State} \rightarrow \mathbb{Z} \\ \mathcal{A}[\![n]\!] \sigma &= \mathcal{N}[\![n]\!] \\ \mathcal{A}[\![x]\!] \sigma &= \sigma(x) \\ \mathcal{A}[\![a_1 + a_2]\!] \sigma &= \mathcal{A}[\![a_1]\!] \sigma + \mathcal{A}[\![a_2]\!] \sigma \end{aligned}$$

Note:  $+$  is the syntactic operator,  $+$  is the sum operator defined on integers.

The semantics is **compositional**: *the meaning of a syntactic construction is defined from the meaning of its constituent parts.*

# Boolean expressions

Similarly, define  $\mathcal{B}[\cdot]\sigma$  by induction on the definition of **Bexp**.

$$\begin{aligned}
 \mathcal{B} \in \mathbf{Bexp} &\rightarrow \mathbf{State} \rightarrow \mathbb{B} \\
 \mathcal{B}[\mathbf{true}]\sigma &= \mathbf{tt} \\
 \mathcal{B}[\mathbf{false}]\sigma &= \mathbf{ff} \\
 \mathcal{B}[a_1 = a_2]\sigma &= \mathcal{A}[a_1]\sigma = \mathcal{A}[a_2]\sigma \\
 \mathcal{B}[a_1 < a_2]\sigma &= \mathcal{A}[a_1]\sigma < \mathcal{A}[a_2]\sigma \\
 \mathcal{B}[\mathbf{not } b]\sigma &= \neg(\mathcal{B}[b]\sigma) \\
 \mathcal{B}[b_1 \mathbf{and } b_2]\sigma &= \mathcal{B}[b_1]\sigma \wedge \mathcal{B}[b_2]\sigma
 \end{aligned}$$

where  $\neg, \wedge, =$  are operators defined on booleans and integers.

## Proof technique

The set of arithmetic expressions **Aexp** is defined **inductively**

$$a ::= n \mid x \mid a_1 + a_2 \mid \dots$$


### Structural induction

To prove a property  $\mathcal{P}$  of all arithmetic expressions:

- 1 Base cases: show the property for each atomic expression
- 2 Inductive cases : show the property for each composite expression, **under the hypothesis** that it holds on its constituent parts.

Formally, the induction principle for arithmetic expressions is :

$$\left. \begin{array}{l} \forall n \in \mathbf{Num}, \mathcal{P}(n) \\ \wedge \quad \forall x \in \mathbf{Var}, \mathcal{P}(x) \\ \wedge \quad \forall a_1, a_2 \in \mathbf{Aexp}, \mathcal{P}(a_1) \wedge \mathcal{P}(a_2) \Rightarrow \mathcal{P}(a_1 + a_2) \end{array} \right\} \Rightarrow \forall a \in \mathbf{Aexp}, \mathcal{P}(a)$$

Vocabulary: the above  $\mathcal{P}(a_1)$  and  $\mathcal{P}(a_2)$  are called the **induction hypotheses**. 



# Exercises

## Exercise 3.1

Let  $\sigma \in \mathbf{State}$  and  $x \in \mathbf{Var}$  such that  $\sigma(x) = 3$ . Show that  $\mathcal{B}[\mathbf{not}(x = 1)]\sigma = \mathbf{tt}$ .

## Exercise 3.2

We extend the language **Aexp** with the unary minus operator and the construction  $-a$ . Extend the semantic function  $\mathcal{A}$  to give a compositional semantics for this construction.

## Exercise 3.3

We extend the language **Bexp** with the construction  $b_1 \mathbf{or} b_2$ .

- ▶ Extend the semantic function  $\mathcal{B}$  to give a compositional semantics for this construction.
- ▶ Prove that for all  $\bar{b}$  belonging to the extended language there exists a  $b$  belonging to the original language such that:

$$\mathcal{B}[b] = \mathcal{B}[\bar{b}]$$

# Operational semantics: Transition systems

Describe how the execution of *While* programs is done, operationally.

The operational semantics of a language is defined by an abstract machine, formalised as a **transition system**.

## Transition system

A transition system is a triple  $(\Gamma, T, \rightsquigarrow)$  where

- ▶  $\Gamma$  is a set of **configurations** (states of the machine)
- ▶  $T \subseteq \Gamma$  is a set of **final** configurations
- ▶  $\rightsquigarrow \subseteq \Gamma \times \Gamma$  is a **transition relation**

Two main styles of definitions for the transition relation:

- ▶ **Small-step semantics**      *Structural Operational Semantics* (SOS)  
Relation  $\rightarrow$  describes all intermediate, individual steps
- ▶ **Big-step semantics**      *Natural semantics* (NS)  
Relation  $\Downarrow$  describes how to obtain the final result of computation

# Transition systems: some definitions

## Transition system

A transition system is a triple  $(\Gamma, T, \rightsquigarrow)$  where

- ▶  $\Gamma$  is a set of **configurations**
- ▶  $T \subseteq \Gamma$  is a set of **final** configurations
- ▶  $\rightsquigarrow \subseteq \Gamma \times \Gamma$  is a **transition relation**

A transition system  $(\Gamma, T, \rightsquigarrow)$  is said

- ▶ **deterministic** when relation  $\rightsquigarrow$  is functional

$$\gamma \rightsquigarrow \gamma_1 \text{ and } \gamma \rightsquigarrow \gamma_2 \text{ implies } \gamma_1 = \gamma_2$$

- ▶ **non-blocking** when relation  $\rightsquigarrow$  is total on  $\Gamma \setminus T$

for all  $\gamma \in \Gamma \setminus T$ , there exists  $\gamma'$  such that  $\gamma \rightsquigarrow \gamma'$

The notion of program **execution** will be defined on top of  $\rightsquigarrow$ .

## Transition systems for *While*: configurations

To run a *While* program, we need a command  $c \in \mathbf{Cmd}$ , and a state  $\sigma \in \mathbf{State}$ .

For *While*, configurations are defined:

- ▶  $\Gamma = \{(c, \sigma) \mid c \in \mathbf{Cmd}, \sigma \in \mathbf{State}\} \cup \mathbf{State}$
- ▶ Final configurations :  $T = \mathbf{State}$

So, either :

- ▶  $(c, \sigma) \rightsquigarrow (c', \sigma')$   
execution of  $c$  has not terminated, and  $(c', \sigma')$  is left to execute
- ▶ or  $(c, \sigma) \rightsquigarrow \sigma'$   
execution of  $c$  has terminated in the final configuration  $\sigma'$

Next slides: define two transition relations, following the structure of *While* commands

# Small-step transition relation

$$\begin{aligned} \mathbf{Cmd} \ni c ::= & x := a \mid \mathbf{skip} \mid c_1 ; c_2 \\ & \mid \mathbf{if } b \mathbf{ then } c_1 \mathbf{ else } c_2 \mid \mathbf{while } b \mathbf{ do } c \end{aligned}$$

Easy for atomic commands:

- ▶ Executing `skip` terminates in 1 step and doesn't modify the state.  
For all possible  $\sigma$ , we have  $(\mathbf{skip}, \sigma) \rightarrow \sigma$
- ▶ Executing an assignment terminates in 1 step, and updates the state.  
For all possible  $\sigma, x$ , and  $a$ , we have  $(x := a, \sigma) \rightarrow \sigma[x \mapsto \mathcal{A}[[a]]\sigma]$

For compound commands, like sequences ?

$$(c_1 ; c_2, \sigma) \rightarrow ???$$

Intuitively, we have to first execute  $c_1$  in small-step.

- ▶ The transition relation needs to be defined inductively!

## Small-step transition relation, inductively

Inductively defined relations are usually formalised by a **rule system**.

A rule is of the form :

$$\text{RULENAME} \quad \text{if } \dots (\text{side conditions}) \frac{\text{premise}_1 \quad \dots \quad \text{premise}_n}{\text{conclusion}}$$

where  $\text{premise}_i$  and  $\text{conclusion}$  are elements of the relation being defined.<sup>1</sup>

It reads: "If  $\text{premise}_1$  and  $\dots$   $\text{premise}_n$ , and if side conditions are satisfied, then  $\text{conclusion}$ ". Premises must be, in turn, justified by rules.

- ▶ the conclusion holds whenever there is a **finite derivation tree** whose leaves are axioms of the system.

For the transition relation  $\rightsquigarrow$ , rules are of the form:

$$\text{RULENAME} \quad \text{if } \dots (\text{side conditions}) \frac{\gamma_0 \rightsquigarrow \gamma'_0 \quad \dots \quad \gamma_i \rightsquigarrow \gamma'_i}{\gamma_j \rightsquigarrow \gamma'_j}$$

<sup>1</sup>A rule with no premise is called an axiom.

# Structural operational semantics (SOS)

Rule system defining the small-step transition relation.

Precisely: these are rule **schemas**, to be instantiated on particular commands and states.

$$\text{ASSIG} \frac{}{(x := a, \sigma) \rightarrow \sigma[x \mapsto \mathcal{A}[[a]]\sigma]}$$

$$\text{SKIP} \frac{}{(\text{skip}, \sigma) \rightarrow \sigma}$$

$$\text{SEQ1} \frac{(c_1, \sigma) \rightarrow \sigma'}{(c_1 ; c_2, \sigma) \rightarrow (c_2, \sigma')}$$

$$\text{SEQ2} \frac{(c_1, \sigma) \rightarrow (c'_1, \sigma')}{(c_1 ; c_2, \sigma) \rightarrow (c'_1 ; c_2, \sigma')}$$

$$\text{IFT} \quad \text{if } \mathcal{B} \llbracket b \rrbracket \sigma = \mathbf{tt} \frac{}{(\text{if } b \text{ then } c_1 \text{ else } c_2, \sigma) \rightarrow (c_1, \sigma)}$$

$$\text{IFE} \quad \text{if } \mathcal{B} \llbracket b \rrbracket \sigma = \mathbf{ff} \frac{}{(\text{if } b \text{ then } c_1 \text{ else } c_2, \sigma) \rightarrow (c_2, \sigma)}$$

$$\text{WHI} \frac{}{(\text{while } b \text{ do } c, \sigma) \rightarrow (\text{if } b \text{ then } (c ; \text{while } b \text{ do } c) \text{ else skip}, \sigma)}$$

# Small-step executions and semantics

A small-step **execution** of a *While* command is a sequence of configurations

$$\gamma_0, \dots, \gamma_p, \dots \text{ such that, for each } i, \gamma_i \rightarrow \gamma_{i+1}$$

We write :

- $\rightarrow^*$  Reflexive and transitive closure of  $\rightarrow$  : finite number of transitions
- $\rightarrow^+$  Transitive closure of  $\rightarrow$  : finite, non-zero number of transitions
- $\rightarrow^i$  Exactly  $i$  transitions

Execution of  $(c, \sigma)$  is said

- ▶ to **terminate** iff there exists  $\sigma'$  such that  $(c, \sigma) \rightarrow^* \sigma'$
- ▶ to **loop** iff there exists an infinite transition sequence starting from  $(c, \sigma)$



# Exercises

## Exercise 3.4 (In class)

Show that for all  $\sigma$  with  $\sigma(n) \geq 1$ :

$$(P, \sigma) \rightarrow^* \sigma'$$

with  $\sigma'(\mathbf{result}) = \sigma(n)!$  where  $P$  is the factorial program.

## Exercise 3.5 (At home)

Give an SOS to the arithmetic expressions (**Aexp**) of the *While* language. Is your corresponding transition system deterministic? Explain why.

# Proving our static analysis correct

We want to show:

## Theorem 6

*If our algorithm says yes, then the program does not access uninitialised references.*

### How to formalise:

- 1 “If our algorithm says yes”
- 2 “The program does not access uninitialised references.”

# Proving our static analysis correct

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## Theorem 6

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- 1 “If our algorithm says yes”

$$\mathcal{S}(P, \emptyset) = Y$$

- 2 “The program does not access uninitialised references.”

# Proving our static analysis correct

We want to show:

## Theorem 6

*If our algorithm says yes, then the program does not access uninitialised references.*

**How to formalise:**

- 1 “If our algorithm says yes”

$$\mathcal{S}(P, \emptyset) = Y$$

- 2 “The program does not access uninitialised references.”

$$(P, \sigma_1) \rightarrow^* \sigma'_1 \wedge (P, \sigma_2) \rightarrow^* \sigma'_2 \quad \Rightarrow \quad \sigma'_1|_Y = \sigma'_2|_Y$$

*The final memory state does not depend on the input state.*

# Proving our static analysis correct

We want to show:

## Theorem 6

*If our algorithm says yes, then the program does not access uninitialised references.*

**How to formalise:**

- ① “If our algorithm says yes”

$$\mathcal{S}(P, \emptyset) = Y$$

- ② “The program does not access uninitialised references.”

$$(P, \sigma_1) \rightarrow^* \sigma'_1 \wedge (P, \sigma_2) \rightarrow^* \sigma'_2 \quad \Rightarrow \quad \sigma'_1|_Y = \sigma'_2|_Y$$

*The final memory state does not depend on the input state.*

↪ Problem: reasoning on  $\rightarrow^*$  is tedious. Define the final state directly?

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- 1 *While*: An imperative toy language
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# Forgetting the intermediate steps

Our semantics allows to view commands as state transformers:

## Definition 7

Command  $c$  turns state  $\sigma$  into state  $\sigma'$  when  $(c, \sigma) \rightarrow^* \sigma'$ .

We write  $\langle c, \sigma \rangle \Downarrow \sigma'$ .

Can we define the relation  $\langle c, \sigma \rangle \Downarrow \sigma'$  directly (by induction)?

↪ Yes: it is called **natural semantics**.



# Natural (or big-step) semantics (NS)

Rule system defining the big-step transition relation.

Focuses on final state reached: no elementary computation step described. So, the transition relation is such that  $\Downarrow \subseteq (\mathbf{Cmd} \times \mathbf{State}) \times \mathbf{State} \subseteq \Gamma \times T$

$$\text{ASSIG} \frac{}{(x := a, \sigma) \Downarrow \sigma[x \mapsto \mathcal{A} \llbracket a \rrbracket \sigma]}$$

$$\text{SKIP} \frac{}{(\text{skip}, \sigma) \Downarrow \sigma}$$

$$\text{SEQ} \frac{(S_1, \sigma) \Downarrow \sigma' \quad (S_2, \sigma') \Downarrow \sigma''}{(S_1 ; S_2, \sigma) \Downarrow \sigma''}$$

$$\text{IFT} \quad \text{if } \mathcal{B} \llbracket b \rrbracket \sigma = \mathbf{tt} \frac{(S_1, \sigma) \Downarrow \sigma'}{(\text{if } b \text{ then } S_1 \text{ else } S_2, \sigma) \Downarrow \sigma'}$$

$$\text{IFE} \quad \text{if } \mathcal{B} \llbracket b \rrbracket \sigma = \mathbf{ff} \frac{(S_2, \sigma) \Downarrow \sigma'}{(\text{if } b \text{ then } S_1 \text{ else } S_2, \sigma) \Downarrow \sigma'}$$

$$\text{WHI1} \quad \text{if } \mathcal{B} \llbracket b \rrbracket \sigma = \mathbf{tt} \frac{(S, \sigma) \Downarrow \sigma' \quad (\text{while } b \text{ do } S, \sigma') \Downarrow \sigma''}{(\text{while } b \text{ do } S, \sigma) \Downarrow \sigma''}$$

$$\text{WHI2} \quad \text{if } \mathcal{B} \llbracket b \rrbracket \sigma = \mathbf{ff} \frac{}{(\text{while } b \text{ do } S, \sigma) \Downarrow \sigma}$$

# Big-step executions and semantics

A big-step execution of a *While* command is simply a **derivable**  $(c, \sigma) \Downarrow \sigma'$

Execution of  $(c, \sigma)$  is said

- ▶ to **terminate** iff there exists  $\sigma'$  such that  $(c, \sigma) \Downarrow \sigma'$
- ▶ to **loop/block** iff there is no state  $\sigma'$  such that  $(c, \sigma) \Downarrow \sigma'$

Semantics of commands: partial function  $S_{nat} \in \mathbf{Cmd} \rightarrow \mathbf{State} \hookrightarrow \mathbf{State}$

$$S_{nat} \llbracket c \rrbracket \sigma = \sigma' \quad \text{if } (c, \sigma) \Downarrow \sigma'$$

Commands  $c_1$  and  $c_2$  are **semantically equivalent** iff

$$\forall \sigma, \sigma'. (c_1, \sigma) \Downarrow \sigma' \Leftrightarrow (c_2, \sigma) \Downarrow \sigma'$$

# Exercises

## Exercise 4.1

*Show that the NS semantics of the factorial program gives the expected behaviour.*

## Exercise 4.2 (At home)

*The While language is extended with the construction `repeat S until b`. Extend the NS accordingly.*

# Proof technique associated with NS

## Induction principle for derivation trees

$$\frac{\frac{\vdots}{P_1} \quad \overline{P_2}}{P}$$

- ① Prove the property for the the axioms of the rule system
- ② For each rule, prove the property for the conclusion of the rule, **under the hypothesis** that the property holds for each of the premises, and that side conditions are satisfied.

Intuition: the property is proved:

- ▶ to hold for the leaves of the tree,
- ▶ and to propagate to any possible derivable conclusion.

## Exercises

### Exercise 4.3 (At home)

*Prove that the NS of While is deterministic.*

### Exercise 4.4 (At home)

*Prove that  $c_1 ; (c_2 ; c_3)$  and  $(c_1 ; c_2) ; c_3$  are semantically equivalent.  
Hint: induction is not necessary here.*

### Exercise 4.5 (At home ☆)

*Prove that*

`while b do c`

*and*

`if b then (c ; while b do c) else skip`

*are semantically equivalent.*

*Hint: induction is not necessary here.*

# An equivalence of two semantics

## Theorem

*For all  $c$  and all  $\sigma$ , we have  $\langle c, \sigma \rangle \rightarrow^* \sigma'$  iff  $\langle c, \sigma \rangle \Downarrow \sigma'$ .*

The theorem is a direct consequence of the following two lemmas:

## Lemma 8

*For all command  $c$  and states  $\sigma, \sigma'$*

$$(c, \sigma) \Downarrow \sigma' \Rightarrow (c, \sigma) \rightarrow^* \sigma'$$

## Lemma 9

*For all command  $c$  and states  $\sigma, \sigma'$*

$$(c, \sigma) \rightarrow^k \sigma' \Rightarrow (c, \sigma) \Downarrow \sigma'$$

# Proof of Lemma 8

**Goal:** for all command  $c$  and states  $\sigma, \sigma'$   $(c, \sigma) \Downarrow \sigma' \Rightarrow (c, \sigma) \rightarrow^* \sigma'$ .

By induction on the derivation tree of  $(S, \sigma) \Downarrow \sigma'$ .

**Case**  $(x := a, \sigma) \Downarrow \sigma[x \mapsto \mathcal{A}[[a]]\sigma]$

Immediate from the SOS axiom  $(x := a, \sigma) \rightarrow \sigma[x \mapsto \mathcal{A}[[a]]\sigma]$

**Case**

$$\frac{(S_1, \sigma) \Downarrow \sigma' \quad (S_2, \sigma') \Downarrow \sigma''}{(S_1 ; S_2, \sigma) \Downarrow \sigma''}$$

Thus

$(S_1, \sigma) \rightarrow^* \sigma'$  and  $(S_2, \sigma') \rightarrow^* \sigma''$  (by induction hypothesis)

$(S_1 ; S_2, \sigma) \rightarrow^* (S_2, \sigma')$

$(S_1 ; S_2, \sigma) \rightarrow^* \sigma''$  (by composition of transition sequences)

# Proof of Lemma 8

Case

$$\text{WHI1} \quad b/c \mathcal{B} \llbracket b \rrbracket \sigma = \text{tt} \frac{(S, \sigma) \Downarrow \sigma' \quad (\text{while } b \text{ do } S, \sigma') \Downarrow \sigma''}{(\text{while } b \text{ do } S, \sigma) \Downarrow \sigma''}$$

The induction hypothesis gives us that

$$(S, \sigma) \rightarrow^* \sigma' \quad \text{and} \quad (\text{while } b \text{ do } S, \sigma') \rightarrow^* \sigma''$$

According to the SOS, we have the following derivation:

$$\begin{aligned} (\text{while } b \text{ do } S, \sigma) &\rightarrow (\text{if } b \text{ then } (S ; \text{while } b \text{ do } S) \text{ else skip}, \sigma) \\ &\rightarrow (S ; \text{while } b \text{ do } S, \sigma) \end{aligned}$$

Composing the transition sequences, we obtain

$$(\text{while } b \text{ do } S, \sigma) \rightarrow^* \sigma''$$

Other cases same idea (exercise)



# Proof of Lemma 9

**Goal:** for all  $S, \sigma, k, \sigma', (S, \sigma) \rightarrow^k \sigma' \Rightarrow (S, \sigma) \Downarrow \sigma'$ .

Proceed by induction on the length of the transition sequence of  $(S, \sigma) \rightarrow^k \sigma'$ :

- ▶ If  $k = 0$  then  $(S, \sigma)$  and  $\sigma'$  should be identical. Vacuously holds.
- ▶ Otherwise, suppose the lemma holds for all  $k \leq k_0$  and prove it for a sequence of length  $k_0 + 1$ .

We proceed by case analysis on the command  $S$  :

**Case**  $x := a$ . This command reduces in one step to a final state (so  $k_0 = 0$ ) by SOS axiom ASSIG. Result then follows from NS axiom ASSIG.

## Proof of Lemma 9

Case  $(S_1 ; S_2, \sigma) \rightarrow^{k_0+1} \sigma''$

There exists  $k_1$  and  $k_2$  such that

$$(S_1, \sigma) \rightarrow^{k_1} \sigma' \quad \text{and} \quad (S_2, \sigma') \rightarrow^{k_2} \sigma'' \quad \text{with} \quad k_1 + k_2 = k_0 + 1$$

By induction hypothesis,

$$(S_1, \sigma) \Downarrow \sigma' \quad \text{and} \quad (S_2, \sigma') \Downarrow \sigma''$$

By the NS rule SEQ, we conclude that  $(S_1 ; S_2, \sigma) \Downarrow \sigma''$ .

Case  $(\text{while } b \text{ do } S, \sigma)$

$$\rightarrow (\text{if } b \text{ then } (S ; \text{while } b \text{ do } S) \text{ else skip}, \sigma) \rightarrow^{k_0} \sigma''$$

From the induction hypothesis, we get

$$(\text{if } b \text{ then } (S ; \text{while } b \text{ do } S) \text{ else skip}, \sigma) \Downarrow \sigma''$$

In Exercise 4.5, we proved this command semantically equivalent to  $\text{while } b \text{ do } S$ , hence  $(\text{while } b \text{ do } S, \sigma) \Downarrow \sigma''$ .

Other cases same technique

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## Theorem 10

Consider a program  $P$  with  $\{\emptyset\}P\{X\}$ . For any states  $\sigma_1, \sigma'_1, \sigma_2, \sigma'_2$ , if:

$$\langle P, \sigma_1 \rangle \Downarrow \sigma'_1 \quad \langle P, \sigma_2 \rangle \Downarrow \sigma'_2$$

then

$$\sigma'_2|_Y = \sigma'_1|_Y$$

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$$\sigma'_2|_Y = \sigma'_1|_Y$$

## Proof.

By induction on  $P$ .

## Theorem 10

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then

$$\sigma'_2|_Y = \sigma'_1|_Y$$

## Proof.

By induction on  $P$ .

- ▶ When  $P = (x := e)$ . By definition of  $\mathcal{S}$ , we know that  $e$  must be constant and  $Y = X \cup \{x\}$ . Since  $e$  is a constant,  $\llbracket e \rrbracket(\sigma_1) = \llbracket e \rrbracket(\sigma_2) = n$  and we have  $\sigma'_1(x) = \sigma'_2(x) = n$  as desired.
- ▶  $P = P_1; P_2$ . By assumption  $\{\emptyset\}P_1\{X_0\}$  and  $\{X_0\}P_2\{X\}$ . How to apply induction hypothesis to  $P_2$ ?

## Theorem 10

Consider a program  $P$  with  $\{\emptyset\}P\{X\}$ . For any states  $\sigma_1, \sigma'_1, \sigma_2, \sigma'_2$ , if:

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- ▶  $P = P_1; P_2$ . By assumption  $\{\emptyset\}P_1\{X_0\}$  and  $\{X_0\}P_2\{X\}$ . How to apply induction hypothesis to  $P_2$ ?

Solution: we need to **strengthen the induction hypothesis**. □

## Proof of the analysis: (2)

We need a statement that matches the definition of  $\mathcal{S}$ .



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We need a statement that matches the definition of  $\mathcal{S}$ .

### Theorem 11

Consider a program  $P$  with  $\{X\}P\{Y\}$ . For any states  $\sigma_1, \sigma'_1, \sigma_2, \sigma'_2$  with  $\sigma_1|_X = \sigma_2|_X$ ,  
if:

$$\langle P, \sigma_1 \rangle \Downarrow \sigma'_1 \quad \langle P, \sigma_2 \rangle \Downarrow \sigma'_2$$

then

$$\sigma'_1|_Y = \sigma'_2|_Y$$

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## Extension of *While* (1) : termination operator

We extend the *While* language with the command `abort` .

Informal description: *the command halts execution of the program.*

One way of modeling `abort` : semantic rules stay unchanged and the configurations of form  $(\text{abort}, \sigma)$  are blocking.

- ▶ SOS: `abort` is different from `skip` and from `while true do skip` .
- ▶ NS: `abort` is different from `skip` but equivalent to `while true do skip` .

One solution that allows the NS to distinguish between termination by `abort` and non-termination: introduce special state  $\sigma_{\text{abort}}$  and

$$(\text{abort}, \sigma) \Downarrow \sigma_{\text{abort}}$$

**But:** must modify all other rules to take  $\sigma_{\text{abort}}$  into account!

## Extensions to *While* (2) : non-deterministic choice

Extend *While* with the non-deterministic choice operator  $c_1 \sqcap c_2$ .

Informal description: *choose non-deterministically to execute one of  $c_1$  and  $c_2$ .*

The language now becomes non-deterministic.

► Formalisation as an SOS

$$\text{CH1} \frac{}{(c_1 \sqcap c_2, \sigma) \rightarrow (c_1, \sigma)}$$

$$\text{CH2} \frac{}{(c_1 \sqcap c_2, \sigma) \rightarrow (c_2, \sigma)}$$

► Formalisation as a NS

$$\text{CH1} \frac{(c_1, \sigma) \Downarrow \sigma'}{(c_1 \sqcap c_2, \sigma) \Downarrow \sigma'}$$

$$\text{CH2} \frac{(c_2, \sigma) \Downarrow \sigma'}{(c_1 \sqcap c_2, \sigma) \Downarrow \sigma'}$$

SOS can choose an expression that loops, while NS will always choose to eliminate non-termination.

Ex:  $(x := 1) \sqcap (\text{while true do skip})$

## Extension of *While* (3) : concurrency

Add a parallel composition to commands:

$$c ::= \dots \mid (c_1 \parallel c_2).$$

How can we extend the SOS semantics? The natural semantics?