

Soundness and Completeness of Hoare Logic (Based on [Apt, de Boer, and Olderog 2009])

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Soundness and Completeness of Hoare Logic

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Overview



- Given an adequate semantics for the programming language under consideration, the validity of a Hoare triple {p} S {q} can be precisely defined.
- A Hoare Logic for a programming language is sound if *every* Hoare triple proven by the logic is valid.
- A Hoare Logic for a programming language is complete if every valid Hoare triple can be proven by the logic.
- We shall develop these results for a very simple deterministic programming language.

A Simple Programming Language



We will consider a Hoare Logic for the following simple (deterministic) programming language:

$$S ::= skip$$

$$| u := t$$

$$| S_1; S_2$$

$$| if B then S_1 else S_2 fi$$

$$| while B do S od$$

Note: here t is an expression (first-order term) of the same type as variable u; B is a boolean expression.

We consider only programs that are free of syntactical or typing errors.

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Proof Rules of Hoare Logic



$\{q[t/u]\}\ u := t\ \{q\}$	(Assignment)
${p} skip {p}$	(Skip)
$\frac{\{p\} \ S_1 \ \{q\} \qquad \{q\} \ S_2 \ \{r\}}{\{p\} \ S_1; \ S_2 \ \{r\}}$	(Sequence)
$\frac{\{p \land B\} S_1 \{q\} \qquad \{p \land \neg B\} S_2 \{q\}}{\{p\} \text{ if } B \text{ then } S_1 \text{ else } S_2 \text{ fi } \{q\}}$	(Conditional)

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Proof Rules of Hoare Logic (cont.)



$$\frac{\{p \land B\} S \{p\}}{\{p\} \text{ while } B \text{ do } S \text{ od } \{p \land \neg B\}}$$
(While)
$$\frac{p \rightarrow p' \quad \{p'\} S \{q'\} \quad q' \rightarrow q}{\{p\} S \{q\}}$$
(Consequence)

We will refer to this proof system as System PD.

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Operational Semantics



- A program/statement with a start state is seen as an abstract machine.
- (1) The part of program that remains to be executed and (2) the current state constitute the configuration of the abstract machine.
- By executing the program step by step, the machine transforms from one configuration to another.
- I transition relation naturally arises between configurations.
- The (input/output) semantics *M*[S] of a program *S* can then be defined with the help of the above transition relation.

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Operational Semantics (cont.)



- At a high level, a configuration is a pair $\langle S, \sigma \rangle$ where S is a program and σ is a "proper" state (which essentially is a value assignment).
- 😚 A transition

$$\langle S, \sigma \rangle \to \langle R, \tau \rangle$$

means "executing S one step in state σ leads to state τ with R as the remainder of S to be executed."

- Let E denote the empty program. When the remainder R equals E, it means that S has terminated.
- The transition relation \rightarrow can be defined inductively (in the form of axioms and rules) over the structure of a program.

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Semantics of the Simple Language



To give an operational semantics of the simple language, we postulate the following transition axioms and rules:

1.
$$\langle \mathsf{skip}, \sigma \rangle \to \langle E, \sigma \rangle$$

2. $\langle u := t, \sigma \rangle \to \langle E, \sigma[u := \sigma(t)] \rangle$
3. $\frac{\langle S_1, \sigma \rangle \to \langle S_2, \tau \rangle}{\langle S_1; S, \sigma \rangle \to \langle S_2; S, \tau \rangle}$
4. $\langle \mathsf{if} B \mathsf{then} S_1 \mathsf{else} S_2 \mathsf{fi}, \sigma \rangle \to \langle S_1, \sigma \rangle, \mathsf{when} \sigma \models B$
5. $\langle \mathsf{if} B \mathsf{then} S_1 \mathsf{else} S_2 \mathsf{fi}, \sigma \rangle \to \langle S_2, \sigma \rangle, \mathsf{when} \sigma \models \neg B$
6. $\langle \mathsf{while} B \mathsf{do} S \mathsf{od}, \sigma \rangle \to \langle S; \mathsf{while} B \mathsf{do} S \mathsf{od}, \sigma \rangle, \mathsf{when} \sigma \models B$
7. $\langle \mathsf{while} B \mathsf{do} S \mathsf{od}, \sigma \rangle \to \langle E, \sigma \rangle, \mathsf{when} \sigma \models \neg B$

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Transition Systems



- The preceding set of transition axioms and rules can be seen as a formal proof system, called a transition system.
- A transition $\langle S, \sigma \rangle \rightarrow \langle R, \tau \rangle$ is possible if it can be deduced in the transition system.
- This semantic is "high level", as assignments and evaluations of Boolean expressions are done in one step.

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Transition Sequences and Computations



• A *transition sequence of* S *starting in* σ is a finite or infinite sequence of configurations

$$\langle S_0, \sigma_0 \rangle (= \langle S, \sigma \rangle) \rightarrow \langle S_1, \sigma_1 \rangle \rightarrow \cdots \rightarrow \langle S_i, \sigma_i \rangle \rightarrow \cdots$$

- A computation of S starting in σ is a transition sequence of S starting in σ that cannot be extended.
- A computation of S terminates in τ if it is finite and its last configuration is (E, τ).
- A computation of *S diverges* if it is infinite.

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An Example



📀 Consider the following program

 $S \equiv a[0] := 1; a[1] := 0;$ while $a[x] \neq 0$ do x := x + 1 od

Solution be a state in which x is 0.

- Solution Equation $\sigma[a[0] := 1][a[1] := 0].$
- igstarrow The following is the computation of S starting in σ :

$$\begin{array}{l} \langle S, \sigma \rangle \\ \rightarrow \quad \langle a[1] := 0; \text{ while } a[x] \neq 0 \text{ do } x := x + 1 \text{ od}, \sigma[a[0] := 1] \rangle \\ \rightarrow \quad \langle \text{while } a[x] \neq 0 \text{ do } x := x + 1 \text{ od}, \sigma' \rangle \\ \rightarrow \quad \langle x := x + 1; \text{ while } a[x] \neq 0 \text{ do } x := x + 1 \text{ od}, \sigma' \rangle \\ \rightarrow \quad \langle \text{while } a[x] \neq 0 \text{ do } x := x + 1 \text{ od}, \sigma'[x := 1] \rangle \\ \rightarrow \quad \langle E, \sigma'[x := 1] \rangle \end{array}$$

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Finite Transition Sequences



- For partial correctness of sequential programs, we will need only to talk about finite transition sequences.
- To that end, we take the reflexive transitive closure \rightarrow^* of \rightarrow .
- \bigcirc So, $\langle {m S}, \sigma
 angle
 ightarrow^* \langle {m R}, au
 angle$ holds when

1.
$$\langle R, \tau \rangle = \langle S, \sigma \rangle$$
 or

2. $\langle S_0, \sigma_0 \rangle (= \langle S, \sigma \rangle) \rightarrow \langle S_1, \sigma_1 \rangle \rightarrow \cdots \rightarrow \langle S_n, \sigma_n \rangle (= \langle R, \tau \rangle)$ is a finite transition sequence.

Input/Output Semantics



- $\ref{eq: 1.1}$ be the set of all proper states.
- The partial correctness semantics is a mapping *M*[[S]] : Σ → *P*(Σ)

with
$$\mathcal{M}[S](\sigma) = \{\tau \mid \langle S, \sigma \rangle \rightarrow^* \langle E, \tau \rangle \}.$$

Extensions of *M*[S]

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Validity of a Hoare Triple



- Let [p] denote $\{\sigma \in \Sigma \mid \sigma \models p\}$, i.e., the set of states where p holds.
- The Hoare triple $\{p\} S \{q\}$ is valid in the sense of partial correctness, written $\models \{p\} S \{q\}$, if

 $\mathcal{M}[S]([p]) \subset [q].$

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About the While Loop



• Let Ω be a program such that $\mathcal{M}[\![\Omega]\!](\sigma) = \emptyset$, for any σ .

Define the following sequence of deterministic programs:

```
(while B do S od)<sup>0</sup> = \Omega
(while B do S od)<sup>k+1</sup> = if B then S; (while B do S od)<sup>k</sup>
else skip fi
```

For example, (while *B* do *S* od)²

=	if B then S;	(while B do S od) ¹
	else skip fi	
=	if B then S;	if B then S; (while B do S od) ⁰
		else skip fi
	else skip fi	
=	if B then S;	if B then $S; \Omega$
		else skip fi
	else skip fi	
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Lemmas for $\mathcal{M}[\![S]\!]$



- 1. $\mathcal{M}[\![S]\!]$ is monotonic, i.e., $X \subseteq Y \subseteq \Sigma \cup \{\bot\}$ implies $\mathcal{M}[\![S]\!](X) \subseteq \mathcal{M}[\![S]\!](Y)$. 2. $\mathcal{M}[\![S_1; S_2]\!](X) = \mathcal{M}[\![S_2]\!](\mathcal{M}[\![S_1]\!](X))$.
- 3. $\mathcal{M}[[(S_1; S_2); S_3]](X) = \mathcal{M}[[S_1; (S_2; S_3)]](X).$
- 4. $\mathcal{M}[\![\mathbf{if} \ B \ \mathbf{then} \ S_1 \ \mathbf{else} \ S_2 \ \mathbf{fi}]\!](X) = \mathcal{M}[\![S_1]\!](X \cap [\![B]\!]) \cup \mathcal{M}[\![S_2]\!](X \cap [\![\neg B]\!]).$
- 5. $\mathcal{M}[\![\text{while } B \text{ do } S \text{ od}]\!] = \bigcup_{k=0}^{\infty} \mathcal{M}[\![(\text{while } B \text{ do } S \text{ od})^k]\!].$

Soundness



Theorem (Soundness): The proof system *PD* is sound for partial correctness of programs in the simple programming language, i.e.,

 $\vdash_{PD} \{p\} S \{q\} \text{ implies } \models \{p\} S \{q\}.$

The proof is by induction, i.e., by proving that (1) the Hoare triples in all axioms of PD are valid and (2) all proof rules of PD are sound.

Note: a proof rule is sound if the validity of the Hoare triples in the premises implies the validity of the Hoare triple in the conclusion.



😚 skip:
$$\mathcal{M}[\![skip]\!]([\![p]\!]) \subseteq [\![p]\!]$$

$$\mathcal{M}\llbracket \mathbf{skip} \rrbracket(\llbracket p \rrbracket) = \bigcup_{\sigma \in \llbracket p \rrbracket} \{\tau \mid \langle \mathbf{skip}, \sigma \rangle \to^* \langle E, \tau \rangle \}$$
$$= \bigcup_{\sigma \in \llbracket p \rrbracket} \{\sigma\} = \llbracket p \rrbracket \subseteq \llbracket p \rrbracket.$$

Assignment: $\mathcal{M}[\![u] := t]\!]([\![p[t/u]]\!]) \subseteq [\![p]\!]$

It can be shown that (1) $\sigma(s[t/u]) = \sigma[u := \sigma(t)](s)$ and (2) $\sigma \models p[t/u]$ iff $\sigma[u := \sigma(t)] \models p$.

Let
$$\sigma \in \llbracket p[t/u] \rrbracket$$
.
From the transition axiom for assignment,
 $\mathcal{M}\llbracket u := t \rrbracket (\sigma) = \{ \sigma[u := \sigma(t)] \}.$
Since $\sigma \models p[t/u]$ iff $\sigma[u := \sigma(t)] \models p$, we have
 $\mathcal{M}\llbracket u := t \rrbracket (\sigma) \subseteq \llbracket p \rrbracket$ and hence $\mathcal{M}\llbracket u := t \rrbracket (\llbracket p[t/u] \rrbracket) \subseteq \llbracket p \rrbracket.$

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• Composition: $\mathcal{M}[\![S_1]\!]([\![p]\!]) \subseteq [\![r]\!]$ and $\mathcal{M}[\![S_2]\!]([\![r]\!]) \subseteq [\![q]\!]$ imply $\mathcal{M}[\![S_1; S_2]\!]([\![p]\!]) \subseteq [\![q]\!]$.

From the monotonicity of $\mathcal{M}[\![S_2]\!]$, $\mathcal{M}[\![S_2]\!](\mathcal{M}[\![S_1]\!]([\![p]\!])) \subseteq \mathcal{M}[\![S_2]\!]([\![r]\!]) \subseteq [\![q]\!]$.

By an earlier lemma, $\mathcal{M}\llbracket S_2 \rrbracket (\mathcal{M}\llbracket S_1 \rrbracket (\llbracket p \rrbracket)) = \mathcal{M}\llbracket S_1; S_2 \rrbracket (\llbracket p \rrbracket).$

Conditional: $\mathcal{M}[S_1]([p \land B]) \subseteq [q]$ and $\mathcal{M}[S_2]([p \land \neg B]) \subseteq [q]$ imply $\mathcal{M}[if B \text{ then } S_1 \text{ else } S_2 \text{ fi}]([p]) \subseteq [q].$

This follows from an earlier lemma, $\mathcal{M}[\![\mathbf{if} \ B \ \mathbf{then} \ S_1 \ \mathbf{else} \ S_2 \ \mathbf{fi}]\!](X) =$ $\mathcal{M}[\![S_1]\!](X \cap [\![B]\!]) \cup \mathcal{M}[\![S_2]\!](X \cap [\![\neg B]\!]).$

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• While: $\mathcal{M}[S]([p \land B]) \subseteq [p]$ implies \mathcal{M} [while *B* do *S* od]([*p*]) \subseteq [*p* $\land \neg B$].

From Lemma 5 for $\mathcal{M}[\cdot]$, it boils down to show that $[]_{\mu=0}^{\infty} \mathcal{M}\llbracket (\text{while } B \text{ do } S \text{ od})^{k} \rrbracket (\llbracket p \rrbracket) \subseteq \llbracket p \land \neg B \rrbracket.$

We prove by induction that, for all k > 0,

 \mathcal{M} [(while *B* do *S* od)^{*k*}]([*p*]) \subset [*p* $\land \neg B$].

The base case k = 0 is clear.

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 \mathcal{M} [(while B do S od)^{k+1}]([p]) = { definition of (while B do S od)^{k+1} } \mathcal{M} [if B then S; (while B do S od)^k else skip fi]([p]) = { Lemma 4 for $\mathcal{M}[\![\cdot]\!]$ } $\mathcal{M}[S; (\text{while } B \text{ do } S \text{ od})^k]([p \land B]) \cup \mathcal{M}[\text{skip}]([p \land \neg B])$ = { Lemma 2 for $\mathcal{M}[\cdot]$ and semantics of **skip** } \mathcal{M} [(while B do S od)^k](\mathcal{M} [S][$p \land B$]) \cup [$p \land \neg B$] \subseteq { the premise and monotonicity of $\mathcal{M}[\cdot]$ } \mathcal{M} [(while *B* do *S* od)^{*k*}]([*p*]) \cup [*p* $\wedge \neg B$] \subseteq { induction hypothesis } $[p \land \neg B] (\cup [p \land \neg B])$

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• Consequence: $p \to p'$, $\mathcal{M}[S]([p']) \subseteq [q']$, and $q' \to q$ imply $\mathcal{M}[S]([p]) \subseteq [q]$.

First of all, $\llbracket p \rrbracket \subseteq \llbracket p' \rrbracket$ and $\llbracket q' \rrbracket \subseteq \llbracket q \rrbracket$.

From the monotonicity of $\mathcal{M}[\![S]\!]$, $\mathcal{M}[\![S]\!]([\![p]\!]) \subseteq \mathcal{M}[\![S]\!]([\![p']\!]) \subseteq [\![q']\!] \subseteq [\![q]\!]$.

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About Completeness



- Assertions that we use for a programming language often involve numbers/integers.
- According to Gödel's First Incompleteness Theorem, there is no complete proof system (that is consistent/sound) for the first-order theory of arithmetic.
- We therefore assume that all true assertions are given (as axioms).
- The completeness of Hoare Logic then is actually relative to the truth of all assertions.

Weakest Liberal Precondition



Set S be a program in the simple programming language.
 For a set Φ of states, we define

 $wlp(S,\Phi) = \{ \sigma \mid \mathcal{M}\llbracket S \rrbracket(\sigma) \subseteq \Phi \}.$

- wlp(S, Φ) is called the weakest liberal precondition of S with respect to Φ.
- Informally, $wlp(S, \Phi)$ is the set of all states σ such that whenever S is activated in σ and properly terminates, the output state is in Φ .

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Definability of $wlp(S, \Phi)$



- An assertion p defines a set Φ of states if $\llbracket p \rrbracket = \Phi$.
- Assuming that the assertion language includes addition and multiplication of natural numbers, there is an assertion p defining wlp(S, [[q]]), i.e., with [[p]] = wlp(S, [[q]]).
- Proof of the above statement requires a technique called Gödelization and will not be given here.
- We will write wlp(S, q) to denote the assertion p such that
 [[p]] = wlp(S, [[q]]).

Lemmas for wlp



- 1. $wlp(skip, q) \leftrightarrow q$.
- 2. $wlp(u := t, q) \leftrightarrow q[t/u].$
- 3. $wlp(S_1; S_2, q) \leftrightarrow wlp(S_1, wlp(S_2, q)).$
- 4. $wlp(\text{if } B \text{ then } S_1 \text{ else } S_2 \text{ fi}, q) \leftrightarrow (B \wedge wlp(S_1, q)) \vee (\neg B \wedge wlp(S_2, q)).$
- 5. $wlp(while B \text{ do } S_1 \text{ od}, q) \land B \rightarrow wlp(S_1, wlp(while B \text{ do } S_1 \text{ od}, q)).$
- 6. wlp(while B do S_1 od, q) $\land \neg B \rightarrow q$.
- 7. $\models \{p\} S \{q\} \text{ (i.e., } \mathcal{M}\llbracket S \rrbracket(\llbracket p \rrbracket) \subseteq \llbracket q \rrbracket) \text{ iff } p \to wlp(S,q).$

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Completeness



Theorem (Completeness): The proof system *PD* is complete for partial correctness of programs in the simple programming language, i.e.,

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\models \{p\} S \{q\} \text{ implies } \vdash_{PD} \{p\} S \{q\}.
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- We first prove a special case of the theorem: for all S and q, $\models \{wlp(S,q)\} S \{q\} \text{ implies } \vdash_{PD} \{wlp(S,q)\} S \{q\}.$
- As $\models \{wlp(S,q)\} S \{q\}$ (i.e., $\mathcal{M}[S]([wlp(S,q)]) \subseteq [[q]]$) always holds, the case simplifies to $\vdash_{PD} \{wlp(S,q)\} S \{q\}$, for all S and q.
- 📀 This is done by induction.
- 😚 The base cases (**skip** and assignment) are trivial.

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• Conditional: $S \equiv if B$ then S_1 else S_2 fi.

To prove $\vdash_{PD} \{wlp(S,q)\} S \{q\}$ via the conditional rule, we need (1) $\vdash_{PD} \{wlp(S,q) \land B\} S_1 \{q\}$ and (2) $\vdash_{PD} \{wlp(S,q) \land \neg B\} S_2 \{q\}.$

From the induction hypothesis, we have (3) $\vdash_{PD} \{wlp(S_1, q)\} S_1 \{q\}$ and (4) $\vdash_{PD} \{wlp(S_2, q)\} S_2 \{q\}.$

Applying the consequence rule, we are done if (5) $wlp(S,q) \land B \rightarrow wlp(S_1,q)$ and (6) $wlp(S,q) \land \neg B \rightarrow wlp(S_2,q)$.

(5) and (6) follows from Lemma 4 for *wlp*.

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A proof of (5) $wlp(S,q) \land B \rightarrow wlp(S_1,q)$:

$$wlp(S,q) \land B$$

$$\leftrightarrow \{ \text{ definition of } S \}$$

$$wlp(\text{if } B \text{ then } S_1 \text{ else } S_2 \text{ fi}, q) \land B$$

$$\leftrightarrow \{ \text{ Lemma 4 for } wlp \}$$

$$((B \land wlp(S_1, q)) \lor (\neg B \land wlp(S_2, q))) \land B$$

$$\leftrightarrow \{ \text{ distribute } \land \text{ over } \lor \}$$

$$((B \land wlp(S_1, q)) \land B) \lor ((\neg B \land wlp(S_2, q)) \land B)$$

$$\leftrightarrow \{ \text{ commutitivity of } \land, B \land B \leftrightarrow B, \text{ and } \neg B \land B \leftrightarrow false \}$$

$$(B \land wlp(S_1, q)) \lor false$$

$$\leftrightarrow \{ A \lor false \leftrightarrow A \}$$

$$B \land wlp(S_1, q)$$

$$\rightarrow \{ B \land A \rightarrow A \}$$

$$wlp(S_1, q)$$

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• While: $S \equiv$ while B do S_1 od.

To prove $\vdash_{PD} \{ w | p(S, q) \} S \{ q \}$, we apply Lemma 6 for $w | p \in Q$ and the consequence rule to reduce the goal to $\vdash_{PD} \{ wlp(S,q) \} S \{ wlp(S,q) \land \neg B \}.$

Using the while rule, the goal is further reduced to $\vdash_{PD} \{ wlp(S, q) \land B \} S_1 \{ wlp(S, q) \}.$

From Lemma 5 for *wlp* and the consequence rule, we need $\vdash_{PD} \{ wlp(S_1, wlp(S, q)) \} S_1 \{ wlp(S, q) \}.$

This follows from the induction hypothesis, which states that $\vdash_{PD} \{ w | p(S_1, q') \} S_1 \{ q' \}, \text{ for all } q'.$

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- Solution Now suppose $\models \{p\} S \{q\}$.
- From Lemma 7 for wlp, $p \rightarrow wlp(S, q)$.
- From ⊢_{PD} {wlp(S, q)} S {q} and the consequence rule, ⊢_{PD} {p} S {q}.

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References



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