### Automating Induction for Solving Horn Clauses

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### Program Verification via Horn Constraint Solving

Verification Problems of Programs in Various Paradigms (e.g., functional [U.+ '08, '09, Rondon+ '08, ...], procedural [Grebenshchikov+ '12, Gurfinkel+ '15], object-oriented [Kahsai+ '16], multi-threaded [Gupta+ '11], constraint logic) with Advanced Language Features (e.g., algebraic data structures, linked data structures, exceptions, higher-order functions) with Side-Effects (e.g., non-termination, non-determinism, concurrency, assertions, destructive updates)



#### Horn Constraint Solving Problems

## Overall Flow of Horn Constraint based Program Verification

P(x, 0, 0) $P(x, y, x + r)$	$\begin{aligned} P(x,0,0) \\ P(x,y,x+r) &\Leftarrow P(x,y-1,r) \land y \neq 0 \end{aligned}$				
(* OCaml *) let rec mult x if y = 0 then 0 else x + mult x (y - 1) $r \ge 0 \Leftarrow P(x, x)$	$y,r) \land x \ge 0 \land y \ge 0$ int s = 0; while(y != 0){				
{- Haskell -} mult :: Int -> Int -> Int mult x 0 = 0 mult x y = x + mult x (y - 1)	$P(x, y, r) \equiv r = x \times$ return s; }				



- Enable verification of *relational specifications* across programs in various paradigms
- Support constraints over any background theories (if the backend SMT solver does)

### **Relational Specifications**

- Specifications that involve multiple function calls
  - Equivalence
  - Invertibility
  - Non-interference
  - Associativity
  - Commutativity
  - Distributivity
  - Monotonicity
  - Idempotency
  - ..

## Overall Flow of Horn Constraint based Program Verification



Example: (Functional) Program and Relational Specification

(\* recursive function to compute "x × y" \*)
let rec mult x y =
 if y = 0 then 0 else x + mult x (y - 1)

(\* tail recursive function to compute "x × y + a" \*)
let rec mult\_acc x y a =
 if y = 0 then a else mult\_acc x (y - 1) (a + x)

(\* functional equivalence of mult and mult\_acc \*) let main x y a = assert (mult x y + a = mult\_acc x y a)

# Overall Flow of Horn Constraint based Program Verification



#### Horn Constraint Generation [U.+ '09]



# Overall Flow of Horn Constraint based Program Verification



#### Horn Constraint Solving

- Check the existence of a solution for predicate variables satisfying all the Horn constraints
  - If a solution exists, the original program is guaranteed to satisfy the specification



Previous Methods for Solving Horn Clause Constraints [U.+ '08,'09, Rondon+ '08, Gupta+ '11, Hoder+ '11,'12, McMillan+ '13, Rümmer+ '13, ...]

#### Find a solution expressible in QF-LIA (or QF-LRA)

$$\begin{aligned} P(x,0,0) \\ P(x,y,x+r) &\Leftarrow P(x,y-1,r) \land y \neq 0 \\ r \geq 0 &\Leftarrow P(x,y,r) \land x \geq 0 \land y \geq 0 \end{aligned}$$

Solution 1:  $P(x, y, r) \equiv x \ge 0 \land y \ge 0 \Rightarrow r \ge 0$ 

Solution 2:  $P(x, y, r) \equiv r = x \times y$ 

OF-NIA



### Our Constraint Solving Method



### Reduction from Constraint Solving to Inductive Theorem Proving

 $P(x,0,0) \quad P(x,y,x+r) \leftarrow P(x,y-1,r) \land y \neq 0$   $Q(x,0,a,a) \quad Q(x,y,a,r) \leftarrow Q(x,y-1,a+x,r) \land y \neq 0$  $s_1 + a = s_2 \leftarrow P(x,y,s_1) \land Q(x,y,a,s_2)$ 



Prove this by induction on derivation of  $P(x, y, s_1),$  $Q(x, y, s_2)$ 

s dy	$\vdash u = 0 \land r = 0$	$P(x, y = 1, r = r) \vdash y \neq 0$
non	$\frac{\mid y = 0 \land t = 0}{=}$	$\frac{I(x, y-1, t-x) \qquad \vdash y \neq 0}{\Box(x, y-1, t-x)}$
n of	P(x,y,r)	P(x,y,r)
; <sub>1</sub> ),	$\models y = 0 \land a = r$	$Q(x, y - 1, a + x, r)  \models y \neq 0$
(2)	Q(x,y,a,r)	Q(x,y,a,r)

 $\forall x, y, s_1, a, s_2. P(x, y, s_1) \land Q(x, y, a, s_2) \Rightarrow s_1 + a = s_2$ 

Principle of Induction on Derivation

$$\forall D. \ \psi(D) \quad \text{if and only if} \\ \forall D. \left( \forall D'. D' \prec D \Rightarrow \psi(D') \right) \Rightarrow \psi(D)$$

where  $D' \prec D$  represents that D' is a strict sub-derivation of D



#### Horn Constraint Solving:

$$P(x, 0, 0)$$

$$P(x, y, x + r) \Leftarrow P(x, y - 1, r) \land y \neq 0$$

$$Q(x, 0, a, a)$$

$$Q(x, y, a, r) \Leftarrow Q(x, y - 1, a + x, r) \land y \neq 0$$

$$s_1 + a = s_2 \Leftarrow P(x, y, s_1) \land Q(x, y, a, s_2)$$
Induction hypotheses and lemmas
$$0; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2$$

$$= y = 0 \land Premises, y - 1, r - x) \models y \neq 0$$

$$P(x, y, r) \qquad P(x, y, r)$$

$$= y = 0 \land a = r$$

$$Q(x, y, a, r) \qquad Q(x, y - 1, a + x, r) \models y \neq 0$$

$$\begin{array}{l} \left[ \begin{array}{c} = y = 0 \wedge r = 0 \\ P(x,y,r) \\ = y = 0 \wedge a = r \\ Q(x,y,a,r) \end{array} \right] \begin{array}{l} \left[ \begin{array}{c} P(x,y-1,r-x) & \models y \neq 0 \\ P(x,y,r) \\ Q(x,y,a,r) \end{array} \right] \\ \left[ \begin{array}{c} Q(x,y,a,r) \\ Q(x,y,a,r) \\ \end{array} \right] \\ \left[ \begin{array}{c} Q(x,y,a,r) \\ Q(x,y,a,r) \\ \end{array} \right] \\ \left[ \begin{array}{c} Q(x,y,a,r) \\ Q(x,y,a,r) \\ \end{array} \right] \\ \left[ \begin{array}{c} Add \text{ an induction hypothesis} \\ \varphi x', y', s_1', a', s_2'. D\left(P(x',y',s_1')\right) < D\left(P(x,y,s_1)\right) \wedge \\ P(x',y',s_1') \wedge Q(x',y',a',s_2') \Rightarrow s_1' + a' = s_2' \\ \end{array} \right] \\ \left[ \begin{array}{c} \varphi x', y', s_1 \\ \varphi z', y', s_1' \\ \varphi z', y', z', z', z' \\ \varphi z', y', z', z' \\ \varphi z', y', z', z', z' \\ \varphi z', y', z', z' \\ \varphi z', z', z', z' \\ \varphi z', z', z' \\ \varphi z', z', z' \\ \varphi z', z' \\ \varphi z', z' \\ \varphi z', z', z' \\ \varphi z', z' \\ \varphi z', z', z' \\ \varphi z', z' \\$$

$$\begin{array}{c} \displaystyle \begin{gathered} \displaystyle \models y = 0 \wedge r = 0 \\ \hline P(x,y,r) \end{matrix} \\ \displaystyle \quad \displaystyle \models y = 0 \wedge a = r \\ \hline Q(x,y,a,r) \end{matrix} \qquad \begin{array}{c} \displaystyle P(x,y-1,r-x) & \displaystyle \models y \neq 0 \\ \hline P(x,y,r) \end{matrix} \\ \displaystyle \begin{array}{c} \displaystyle Q(x,y,a,r) \end{matrix} \\ \displaystyle \begin{array}{c} \displaystyle P(x,y-1,a+x,r) & \displaystyle \models y \neq 0 \\ \hline Q(x,y,a,r) \end{matrix} \end{array} \end{array}$$

$$\gamma; \cdots, y = 0 \land s_1 = 0 \vdash \cdots$$
  
 $\emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2$ 

$$\begin{array}{c} \displaystyle \begin{gathered} \displaystyle \models y = 0 \wedge r = 0 \\ \displaystyle P(x,y,r) \end{matrix} & \displaystyle \vdash y = 0 \\ \displaystyle \hline P(x,y,r) \end{matrix} & \displaystyle \begin{gathered} \displaystyle P(x,y-1,r-x) & \displaystyle \models y \neq 0 \\ \displaystyle P(x,y,r) \end{matrix} \\ \hline \displaystyle P(x,y,r) & \displaystyle \hline P(x,y,r) \end{matrix} & \displaystyle \hline P(x,y,r) \end{matrix} & \displaystyle \cr P(x,y,r) & \displaystyle \vdash y \neq 0 \\ \displaystyle Q(x,y,a,r) & \displaystyle \hline Q(x,y,a,r) \end{matrix} \end{array}$$

Case analysis on the last rule used  
Unfold  

$$\gamma; \dots, \wedge y = 0 \land a = s_2 \vdash \dots$$
  $\gamma; \dots, Q(x, y - 1, a + x, s_2), \dots \land y \neq 0 \vdash \dots$   
 $\gamma; P(x, y, s_1), Q(x, y, a, s_2), y = 0 \land s_1 = 0 \vdash s_1 + a = s_2$   
 $\emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2$ 

$$\begin{array}{c} \displaystyle \begin{gathered} \displaystyle \models y = 0 \wedge r = 0 \\ \displaystyle P(x,y,r) \end{matrix} \\ \displaystyle \hline P(x,y,r) \end{matrix} \\ \displaystyle \hline P(x,y,r) \end{matrix} \\ \displaystyle \hline P(x,y,r) \end{matrix} \\ \displaystyle P(x,y,r) \end{matrix} \\ \displaystyle \hline P(x,y,r) \end{matrix} \\ \displaystyle P(x,y,r) \end{matrix}$$

$$egin{aligned} &\gamma;\cdots,\cdots\wedge y=0\wedge a=s_2dash \ \cdots \end{pmatrix} \ &\gamma;P(x,y,s_1),Q(x,y,a,s_2),y=0\wedge s_1=0dash s_1+a=s_2 \ &\emptyset;P(x,y,s_1),Q(x,y,a,s_2)dash s_1+a=s_2 \end{aligned}$$

$$\begin{array}{|c|c|c|} \hline \models y = 0 \land r = 0 \\ \hline P(x, y, r) \\ \hline p(x, y, r) \\ \hline Q(x, y, a, r) \end{array} \begin{array}{|c|} \hline P(x, y - 1, r - x) & \models y \neq 0 \\ \hline P(x, y, r) \\ \hline Q(x, y, a, r) & \downarrow y \neq 0 \\ \hline Q(x, y, a, r) \end{array} \end{array}$$

$$\begin{tabular}{|c|c|c|} \hline \mbox{Validity checking} \\ \hline \mbox{Valid} & \models y = 0 \land s_1 = 0 \land a = s_2 \Rightarrow s_1 + a = s_2 \\ \hline \gamma; \cdots, y = 0 \land s_1 = 0 \land a = s_2 \vdash s_1 + a = s_2 \\ \hline \gamma; P(x, y, s_1), Q(x, y, a, s_2), y = 0 \land s_1 = 0 \vdash s_1 + a = s_2 \\ \hline \emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2 \\ \hline \end{tabular}$$

$$\begin{array}{c} \displaystyle \begin{gathered} \frac{\models y = 0 \land r = 0}{P(x, y, r)} \\ \displaystyle \frac{\models y = 0 \land a = r}{Q(x, y, a, r)} \end{array} \begin{array}{c} \displaystyle \frac{P(x, y - 1, r - x) \quad \models y \neq 0}{P(x, y, r)} \\ \displaystyle \frac{Q(x, y, a, r)}{Q(x, y, a, r)} \end{array}$$

$$\gamma; \cdots, Q(x, y - 1, a + x, s_2), \cdots \land y \neq 0 \vdash \cdots$$
  
 $\gamma; P(x, y, s_1), Q(x, y, a, s_2), y = 0 \land s_1 = 0 \vdash s_1 + a = s_2$   
 $\emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2$ 

$$\begin{array}{c} \displaystyle \begin{gathered} = y = 0 \wedge r = 0 \\ \hline P(x, y, r) \end{matrix} \\ \displaystyle \models y = 0 \wedge a = r \\ \hline Q(x, y, a, r) \end{matrix} \qquad \begin{array}{c} \displaystyle P(x, y - 1, r - x) & \models y \neq 0 \\ \hline P(x, y, r) \end{matrix} \\ \hline Q(x, y, a, r) & \hline Q(x, y, a, r) \end{matrix} \\ \end{array}$$

$$\begin{array}{l} \label{eq:Valid} \hline \forall y = 0 \land s_1 = 0 \land y \neq 0 \Rightarrow s_1 + a = s_2 \\ \hline \gamma; \cdots, Q(x, y - 1, a + x, s_2), y = 0 \land s_1 = 0 \land y \neq 0 \vdash s_1 + a = s_2 \\ \hline \gamma; P(x, y, s_1), Q(x, y, a, s_2), y = 0 \land s_1 = 0 \vdash s_1 + a = s_2 \\ \hline \emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2 \end{array}$$

$$\frac{\models y = 0 \land r = 0}{P(x, y, r)} \qquad \begin{array}{c} P(x, y - 1, r - x) & \models y \neq 0 \\ \hline P(x, y, r) \\ \hline Q(x, y, a, r) \end{array} \qquad \begin{array}{c} Q(x, y, a, r) & \hline Q(x, y, a, r) \end{array}$$

$$\gamma; \cdots, \underline{P(x, y - 1, s_1 - x)}, y \neq 0 \vdash \cdots$$

$$\emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2$$



$$\begin{array}{l} \displaystyle \begin{array}{l} \displaystyle \models y = 0 \wedge r = 0 \\ \displaystyle P(x,y,r) \end{array} \\ \displaystyle \begin{array}{l} \displaystyle \begin{array}{l} \displaystyle P(x,y-1,r-x) & \displaystyle \models y \neq 0 \\ \displaystyle P(x,y,r) \end{array} \\ \displaystyle \begin{array}{l} \displaystyle P(x,y-1,a+x,r) \end{array} \\ \displaystyle \begin{array}{l} \displaystyle P(x,y,a,r) \end{array} \end{array} \end{array}$$

$$\overbrace{\gamma; \cdots, \cdots \land y = 0 \land a = s_2 \vdash \cdots}^{\gamma; \cdots, \cdots \land y = 0 \land a = s_2 \vdash \cdots}$$
$$\underbrace{\gamma; P(x, y, s_1), Q(x, y, a, s_2), P(x, y - 1, s_1 - x), y \neq 0 \vdash s_1 + a = s_2}_{\emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2}$$

Valid
$$\models y \neq 0 \land y = 0 \land a = s_2 \Rightarrow s_1 + a = s_2$$
 $\gamma; \cdots, y \neq 0 \land y = 0 \land a = s_2 \vdash s_1 + a = s_2$  $\gamma; P(x, y, s_1), Q(x, y, a, s_2), P(x, y - 1, s_1 - x), y \neq 0 \vdash s_1 + a = s_2$  $\emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2$ 

$$\frac{\models y = 0 \land r = 0}{P(x, y, r)} \qquad \frac{P(x, y - 1, r - x) \models y \neq 0}{P(x, y, r)}$$
$$\frac{\models y = 0 \land a = r}{Q(x, y, a, r)} \qquad \frac{Q(x, y - 1, a + x, r) \models y \neq 0}{Q(x, y, a, r)}$$

$$\gamma; \dots, Q(x, y - 1, a + x, s_2), \dots \land y \neq 0 \vdash \dots$$
  
 $\gamma; P(x, y, s_1), Q(x, y, a, s_2), P(x, y - 1, s_1 - x), y \neq 0 \vdash s_1 + a = s_2$   
 $\emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2$ 

$$\frac{\models y = 0 \land r = 0}{P(x, y, r)} \qquad \frac{P(x, y - 1, r - x) \models y \neq 0}{P(x, y, r)}$$
$$\frac{\models y = 0 \land a = r}{Q(x, y, a, r)} \qquad \frac{Q(x, y - 1, a + x, r) \models y \neq 0}{Q(x, y, a, r)}$$

Valid

 
$$\models y \neq 0 \land (s_1 - x) + (a + x) = s_2 \Rightarrow s_1 + a = s_2$$
 $\gamma; \dots, y \neq 0 \land (s_1 - x) + (a + x) = s_2 \vdash s_1 + a = s_2$ 
 $\gamma; \dots, P(x, y - 1, s_1 - x), Q(x, y - 1, a + x, s_2), y \neq 0 \vdash s_1 + a = s_2$ 
 $\gamma; P(x, y, s_1), Q(x, y, a, s_2), P(x, y - 1, s_1 - x), y \neq 0 \vdash s_1 + a = s_2$ 
 $\emptyset; P(x, y, s_1), Q(x, y, a, s_2) \vdash s_1 + a = s_2$ 

 QEED

Properties of Inductive Proof System for Horn Constraint Solving

- Soundness: If the goal is proved, the original Horn constraints have a solution (which may not be expressible in the underlying logic)
- Relative Completeness: If the original constraints have a solution expressible in the underlying logic, the goal is provable

#### Automating Induction

- Use the following rule application strategy:
  - Repeatedly apply INDHYP until no new premises are added
  - Apply VALID whenever a new premise is added
  - Select some  $P(\tilde{t})$  and apply INDUCT and UNFOLD
- Close a proof branch by using:
  - SMT solvers: provide efficient and powerful reasoning about data structures (e.g., integers, reals, algebraic data structures) but predicates are abstracted as uninterpreted functions
  - Horn constraint solvers: provide bit costly but powerful reasoning about **inductive predicates**

### Prototype Constraint Solver



- Use Z3 and µZ PDR engine respectively as the backend SMT and Horn constraint solvers
- Integrated with a refinement type based verification tool RCaml for the OCaml functional language
- Can exploit lemmas which are:
  - User-supplied,
  - Heuristically obtained from the given constraints, or
  - Automatically generated by an abstract interpreter
- Can generate a counterexample (if any)

### Experiments on IsaPlanner Benchmark Set

 85 (mostly) relational verification problems of total functions on inductively defined data structures

Inductive Theorem Prover	<b>#Successfully Proved</b>			
RCaml	68			
Zeno	82 [Sonnex+'12]			
HipSpec Support automatic	80 [Claessen+ '13]			
CVC4 goal generalization	80 [Reynolds+ '15]			
ACL2s	74 (according to [Sonnex+'12])			
IsaPlanner	47 (according to [Sonnex+'12])			
Dafny	45 (according to [Sonnex+'12])			

Experiments on Benchmark Programs with Advanced Language Features & Side-Effects

- 30 (mostly) relational verification problems for:
  - Complex integer functions: Ackermann, McCarthy91
  - Nonlinear real functions: dyn\_sys
  - Higher-order functions: fold\_left, fold\_right, repeat, find, ...
  - Exceptions: find
  - Non-terminating functions: mult, sum, ...
  - Non-deterministic functions: randpos
  - Imperative procedures: mult\_Ccode

ID	specification	kind	features	result	time (sec.)
1	$\texttt{mult} \ x \ y + a = \texttt{mult\_acc} \ x \ y \ a$	equiv	Р	1	0.378
2	$\texttt{mult} \ x \ y = \texttt{mult\_acc} \ x \ y \ 0$	equiv	Р	. ∕†	0.803
3	$\texttt{mult} (1+x) \ y = y + \texttt{mult} \ x \ y$	equiv	Р	1	0.403
4	$y \ge 0 \Rightarrow \texttt{mult} \ x \ (1+y) = x + \texttt{mult} \ x \ y$	equiv	Р	1	0.426
5	$\texttt{mult } x \ y = \texttt{mult } y \ x$	$\operatorname{comm}$	Р	<b>√</b> ‡	0.389
6	mult (x + y) z = mult x z + mult y z	dist	Р	1	1.964
7	$\texttt{mult } x \ (y+z) = \texttt{mult} \ x \ y + \texttt{mult} \ x \ z$	dist	Р	1	4.360
8	$\texttt{mult} (\texttt{mult} \ x \ y) \ z = \texttt{mult} \ x (\texttt{mult} \ y \ z)$	assoc	Р	×	n/a
9	$0 \le x_1 \le x_2 \land 0 \le y_1 \le y_2 \Rightarrow \texttt{mult } x_1 \ y_1 \le \texttt{mult } x_2 \ y_2$	mono	Р	-	0.416
10	$\operatorname{sum} x + a = \operatorname{sum\_acc} x a$	equiv		1	0.576
11	$\operatorname{sum} x = x + \operatorname{sum} (x - 1)$	equiv		1	0.452
12	$x \leq y \Rightarrow \operatorname{sum} x \leq \operatorname{sum} y$	mono		1	0.593

- 28 (2 required lemmas) successfully proved by RCaml
- 3 proved by Horn constraint solver µZ PDR
- 2 proved by inductive theorem prover **CVC4** (if inductive predicates are encoded using uninterpreted functions)

24	noninter $h_1$ $l_1$ $l_2$ $l_3$ = noninter $h_2$ $l_1$ $l_2$ $l_3$	$\operatorname{nonint}$	Р	~	1.203
25	try find_opt $p \ l = $ Some (find $p \ l$ ) with				
	$\texttt{Not\_Found} \to \texttt{find\_opt} \ p \ l = \texttt{None}$	equiv	H, E	✓	1.065
26	try mem (find ((=) $x$ ) $l$ ) $l$ with Not_Found $\rightarrow \neg$ (mem $x \ l$ )	equiv	H, E	<	1.056
27	$\texttt{sum\_list} \ l = \texttt{fold\_left} \ (+) \ 0 \ l$	equiv	Η	<	6.148
28	$sum\_list l = fold\_right (+) l 0$	equiv	Η	<	0.508
29	sum_fun randpos $n > 0$	equiv	$_{\mathrm{H,D}}$	~	0.319
30	$\texttt{mult} \ x \ y = \texttt{mult\_Ccode}(x, y)$	equiv	Р, С	✓	0.303

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<sup>†</sup> A lemma  $P_{\text{mult\_acc}}(x, y, a, r) \Rightarrow P_{\text{mult\_acc}}(x, y, a - x, r - x)$  is used <sup>†</sup> A lemma  $P_{\text{mult}}(x, y, r) \Rightarrow P_{\text{mult}}(x - 1, y, r - y)$  is used Used a machine with Intel(R) Xeon(R) CPU (2.50 GHz, 16 GB of memory).

#### Conclusion

- Proposed an automated verification method combining Horn constraint solving and inductive theorem proving
  - Enable relational verification across programs in various paradigms with advanced language features and side-effects
  - Support constraints over any background theories (if the backend SMT solver does)
- Future and ongoing work:
  - Automatic lemma discovery and goal generalization
  - Relational program synthesis
  - Coinduction