

# Soundness and Completeness of Hoare Logic

(Based on [Apt and Olderog 1997])

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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:

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.

### **Proof Rules of Hoare Logic**



# **Proof Rules of Hoare Logic (cont.)**



$$\frac{\{p \land B\} \ S \ \{p\}}{\{p\} \ \text{while } B \ \text{do} \ S \ \text{od} \ \{p \land \neg B\}}$$

$$\frac{p \rightarrow p' \qquad \{p'\} \ S \ \{q'\} \qquad q' \rightarrow q}{\{p\} \ S \ \{q\}}$$
(Consequence)

We will refer to this proof system as System PD.

#### **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.
- A transition relation naturally arises between configurations.
- The (input/output) semantics  $\mathcal{M}[S]$  of a program S can then be defined with the help of the above transition relation.

# **Operational Semantics (cont.)**



- $\odot$  At a high level, a configuration is a pair  $\langle S, \sigma \rangle$  where S is a program and  $\sigma$  is a "proper" state.
- A transition

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

means "executing S one step in state  $\sigma$  leads to state  $\tau$  with R as the remainder of S to be executed."

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

# **Semantics of the Simple Language**



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

- 1.  $\langle \mathsf{skip}, \sigma \rangle \rightarrow \langle E, \sigma \rangle$
- 2.  $\langle u := t, \sigma \rangle \rightarrow \langle E, \sigma[u := \sigma(t)] \rangle$
- 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.  $\langle \mathbf{if} \ B \ \mathbf{then} \ S_1 \ \mathbf{else} \ S_2 \ \mathbf{fi}, \sigma \rangle \to \langle S_1, \sigma \rangle$ , when  $\sigma \models B$
- 5. (if *B* then  $S_1$  else  $S_2$  fi,  $\sigma$ )  $\rightarrow$  ( $S_2$ ,  $\sigma$ ), when  $\sigma \models \neg B$
- 6.  $\langle$  while B do S od,  $\sigma \rangle \rightarrow \langle S$ ; while B do S od,  $\sigma \rangle$ , when  $\sigma \models B$
- 7. (while *B* do *S* od,  $\sigma$ )  $\rightarrow$  (*E*,  $\sigma$ ), when  $\sigma \models \neg B$

#### **Transition Systems**



- The preceding set of transition axioms and rules can be seen as a formal proof system, called a transition system.
- A transition  $\langle S, \sigma \rangle \to \langle R, \tau \rangle$  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.

# **Transition Sequences and Computations**



 $\bullet$  A transition sequence of S starting in  $\sigma$  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  $\sigma$  is a transition sequence of S starting in  $\sigma$  that cannot be extended.
- A computation of *S* terminates in  $\tau$  if it is finite and its last configuration is  $\langle E, \tau \rangle$ .
- A computation of S diverges if it is infinite.

#### An Example



Consider the following program

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

- **l** Let  $\sigma$  be a state in which x is 0.
- Let  $\sigma'$  stand for  $\sigma[a[0] := 1][a[1] := 0]$ .
- lacktriangle The following is the computation of S starting in  $\sigma$ :

#### **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  $\rightarrow$ .
- So,  $\langle S, \sigma \rangle \to^* \langle R, \tau \rangle$  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**



- $\bigcirc$  Let  $\Sigma$  be the set of all "proper" states.
- The partial correctness semantics is a mapping

$$\mathcal{M}\llbracket S \rrbracket : \Sigma \to \mathcal{P}(\Sigma)$$

with

$$\mathcal{M}\llbracket S \rrbracket(\sigma) = \{\tau \mid \langle S, \sigma \rangle \to^* \langle E, \tau \rangle \}.$$

- $\P$  Extensions of  $\mathcal{M}[\![S]\!]$ 

  - \* For  $X \subseteq \Sigma \cup \{\bot\}$ ,  $\mathcal{M}[\![S]\!](X) = \bigcup_{\sigma \in X} \mathcal{M}[\![S]\!](\sigma)$ .

#### Validity of a Hoare Triple



- **②** Let  $\llbracket p \rrbracket$  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

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

#### **About the While Loop**



- **③** Let  $\Omega$  be a program such that  $\mathcal{M}[\![\Omega]\!](\sigma) = \emptyset$ , for any  $\sigma$ .
- 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)<sup>2</sup>
  - = if B then S; (while B do S od)<sup>1</sup> else skip fi
  - = if B then S; if B then S; (while B do S od)<sup>0</sup> else skip fi
    - else skip fi
  - = if B then S; if B then S;  $\Omega$  else skip fi

else skip fi



# 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.  $\mathcal{M}[\![$ while B do S od $\![\!] = \bigcup_{k=0}^{\infty} \mathcal{M}[\![$ (while B do S od) $\![\!]$ .

#### **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.



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

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

 $igcolon{}{igle {igle {}}}$  Assignment:  $\mathcal{M} \llbracket u := t 
rbracket (\llbracket p \llbracket t/u 
rbracket 
rbracket) \subseteq \llbracket p 
rbracket$ 

It can be shown that (1)  $\sigma(s[u:=t]) = \sigma[u:=\sigma(t)](s)$  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  $\mathcal{M}\llbracket u := t \rrbracket(\llbracket p \llbracket t/u \rrbracket) \rrbracket) \subseteq \llbracket p \rrbracket$ .





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,  $\mathcal{M}[S_2](\mathcal{M}[S_1]([p])) = \mathcal{M}[S_1; S_2]([p]).$ 

**⋄** 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,  $\mathcal{M}[\![\mathbf{if}\ B\ \mathbf{then}\ S_1\ \mathbf{else}\ S_2\ \mathbf{fi}]\!](X) = \mathcal{M}[\![S_1]\!](X \cap [\![B]\!]) \cup \mathcal{M}[\![S_2]\!](X \cap [\![\neg B]\!]).$ 



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

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

We prove by induction that, for all  $k \ge 0$ ,

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

The base case k = 0 is clear.



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



igoplus Consequence: p o p',  $\mathcal{M}[\![S]\!]([\![p']\!])\subseteq [\![q']\!]$ , and q' o 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  $\mathcal{M}[S]$ ,  $\mathcal{M}[S]([p]) \subseteq \mathcal{M}[S]([p']) \subseteq [q'] \subseteq [q]$ .

#### **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**



- $\bullet$  Let S be a program in the simple programming language.
- For a set Φ of states, we define

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

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

# **Definability of** $wlp(S, \Phi)$



- $\P$  An assertion p defines a set  $\Phi$  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.  $wlp(\mathbf{skip}, q) \leftrightarrow q$ .
- 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.  $wlp(\mathbf{if}\ B\ \mathbf{then}\ S_1\ \mathbf{else}\ S_2\ \mathbf{fi},q)\leftrightarrow (B\wedge wlp(S_1,q))\vee (\neg B\wedge wlp(S_2,q)).$
- 5.  $wlp(\textbf{while } B \textbf{ do } S_1 \textbf{ od}, q) \land B \rightarrow wlp(S_1, wlp(\textbf{while } B \textbf{ do } S_1 \textbf{ od}, q)).$
- 6. w/p(while B do  $S_1$  od, q)  $\land \neg B \rightarrow q$ .
- 7.  $\models \{p\} \ S \ \{q\} \ (\text{i.e., } \mathcal{M}\llbracket S \rrbracket (\llbracket p \rrbracket) \subseteq \llbracket q \rrbracket) \text{ iff } p \to wlp(S,q).$

#### Completeness



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

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

- 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.



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

To prove  $\vdash_{PD} \{wlp(S,q)\}\ S\ \{q\}$  via the conditional rule, we need

- $(1) \vdash_{PD} \{wlp(S,q) \land B\} S_1 \{q\} \text{ and }$
- $(2) \vdash_{PD} \{ wlp(S,q) \land \neg B \} S_2 \{q\}.$

From the induction hypothesis, we have

- $(3) \vdash_{PD} \{wlp(S_1, q)\} S_1 \{q\} \text{ and }$
- $(4) \vdash_{PD} \{wlp(S_2, q)\} S_2 \{q\}.$

Applying the consequence rule, we are done if

- (5)  $wlp(S,q) \wedge B \rightarrow wlp(S_1,q)$  and
- (6)  $wlp(S, q) \land \neg B \rightarrow wlp(S_2, q)$ .
- (5) and (6) follows from Lemma 4 for wlp.



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

```
wlp(S,q) \wedge B
\leftrightarrow { definition of S }
       wlp(\mathbf{if}\ B\ \mathbf{then}\ S_1\ \mathbf{else}\ S_2\ \mathbf{fi},q)\wedge B
\leftrightarrow { Lemma 4 for wlp }
       ((B \land wlp(S_1, q)) \lor (\neg B \land wlp(S_2, q))) \land B
\leftrightarrow { distribute \land over \lor }
       ((B \land wlp(S_1, q)) \land B) \lor ((\neg B \land wlp(S_2, q)) \land B)
\leftrightarrow { commutativity of \land, B \land B \leftrightarrow B, and \neg B \land B \leftrightarrow false }
       (B \wedge wlp(S_1, q)) \vee false
\leftrightarrow { A \lor false \leftrightarrow A }
       B \wedge wlp(S_1, q)
\rightarrow { B \land A \rightarrow A }
       wlp(S_1,q)
```



• While:  $S \equiv$ while Bdo  $S_1$ od.

To prove  $\vdash_{PD} \{ wlp(S,q) \} S \{q\}$ , we apply Lemma 6 for wlp 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  $\vdash_{PD} \{wlp(S_1, q')\} S_1 \{q'\}$ , for all q'.





- $igoplus ext{Now suppose} \models \{p\} \ S \ \{q\}.$
- **?** From Lemma 7 for  $wlp, p \rightarrow wlp(S, q)$ .
- From  $\vdash_{PD} \{ wlp(S, q) \} S \{ q \}$  and the consequence rule,  $\vdash_{PD} \{ p \} S \{ q \}$ .