

# CS 511, Fall 2018, Handout 25

## Program Schemes and First-Order Logic

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1 November 2018

# PROGRAMS and PROGRAM SCHEMES

- ▶ Let  $P$  be a **program** in some program language (e.g., Python, Java, Haskell, C, etc.).
- ▶  $P$  uses several primitive operators ("*prim ops*") (e.g.,  $+$ ,  $\times$ ,  $\div$ ,  $\text{div}$ ,  $\text{mod}$ ,  $\leq$ ,  $\neq$ , etc.)
- ▶  $P$  operates over one or several domains (e.g.,  $\mathbb{Z}$ ,  $\mathbb{Q}$ ,  $\mathbb{B}$ , etc.)

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- ▶  $P$  operates over one or several domains (e.g.,  $\mathbb{Z}$ ,  $\mathbb{Q}$ ,  $\mathbb{B}$ , etc.)
- ▶ We obtain a **program scheme**  $S$  from  $P$  by omitting the meaning of all the prim ops and leaving them as uninterpreted functions and uninterpreted relations.
- ▶  $S$  is thus the part of  $P$  that directs execution according to  $P$ 's code, i.e.,  $S$  can be viewed as  $P$ 's **control structure** which determines  $P$ 's flow of execution.
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- ▶ We recover  $P$  from  $S$  by restoring the meaning of all the prim ops.
- ▶ Some of the material to follow in this handout is closely related to Handout 12 on **Unwinding of Programs**.

## example: a PROGRAM $P$ and corresponding PROGRAM SCHEME $S$

### Euclidean GCD program

precondition :

$x > 0$  and  $y > 0$

1 :  $m := \min(x, y)$

2 :  $n := \max(x, y)$

3 : **while**  $m \neq 0$

4 :      $r := (n \bmod m)$

5 :      $n := m$

6 :      $m := r$

7 : **return**  $n$

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### corresponding program scheme

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Program execution is fully determined by the values of input variables  $x$  and  $y$ , i.e., by constraints exclusively involving  $x$  and  $y$  and none of the program/internal variables  $\{m, n, r\}$ , e.g., consider the number of times the loop body  $\{4, 5, 6\}$  is executed.

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For example,  $\{4, 5, 6\}$  is executed **twice** iff:

$\min(x, y) \neq 0$  &

$\max(x, y) \bmod \min(x, y) \neq 0$  &

$\min(x, y) \bmod (\max(x, y) \bmod \min(x, y)) = 0$



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$\neg(\mathbf{lo} \ x \ y \doteq \mathbf{c}) \wedge$

$\neg(\mathbf{f}(\mathbf{hi} \ x \ y, \mathbf{lo} \ x \ y) \doteq \mathbf{c}) \wedge$

$\mathbf{f}(\mathbf{lo} \ x \ y, \mathbf{f}(\mathbf{hi} \ x \ y, \mathbf{lo} \ x \ y)) \doteq \mathbf{c}$

## example: unwinding a PROGRAM SCHEME into an INFINITE FLOW DIAGRAM

precondition :

$\mathbf{R}(x, \mathbf{c}) \wedge \mathbf{R}(y, \mathbf{c})$

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1 :     $m := \mathbf{lo}(x, y)$ 
2 :     $n := \mathbf{hi}(x, y)$ 

3 :    if  $\neg(m \doteq \mathbf{c})$  then (7 : return  $n$ ) else
4 :     $r := \mathbf{f}(m, n)$ 
5 :     $n := m$ 
6 :     $m := r$ 

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- ▶ every diverging execution is described by an **infinite** sequence of instruction labels of the form:  
 $1\ 2\ (3\ 4\ 5\ 6)^\omega$
- ▶ every converging execution is described by a **finite** sequence of instruction labels of the form:  
 $1\ 2\ (3\ 4\ 5\ 6)^* 3\ 7$

# example: unwinding a PROGRAM SCHEME into an INFINITE FLOW DIAGRAM

```
precondition :
  R(x, c) ∧ R(y, c)

1 :   m := lo(x, y)
2 :   n := hi(x, y)

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4 :     r := f(m, n)
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⋮     ⋮
```

- ▶ every diverging execution is described by an **infinite** sequence of instruction labels of the form:  
1 2 (3 4 5 6)<sup>ω</sup>
- ▶ every converging execution is described by a **finite** sequence of instruction labels of the form:  
1 2 (3 4 5 6)\* 3 7
- ▶ every diverging execution is specified by an **infinite** set of quantifier-free first-order WFF's over the signature {R, lo, hi, f, c} and input variables {x, y}
- ▶ every converging execution is specified by a **finite** set of quantifier-free first-order WFF's over the signature {R, lo, hi, f, c} and input variables {x, y}

## from PROGRAM SCHEMES to FIRST-ORDER LOGIC

- ▶ Let  $P$  be a deterministic sequential program whose prim ops are the interpretations of the predicate symbols and function symbols of a signature  $\Sigma$  in a  $\Sigma$ -structure  $\mathcal{M}$ .
- ▶ Let  $X \triangleq \{x_1, \dots, x_m\}$ ,  $Y \triangleq \{y_1, \dots, y_n\}$ , and  $Z \triangleq \{z_1, \dots, z_p\}$ , be input variables, output variables, and program variables of  $P$ , with  $m \geq 1$ ,  $n \geq 0$ , and  $p \geq 0$ .

In particular, an execution of  $P$  is triggered by an assignment of values from the domains of  $\mathcal{M}$  to the input variables  $X$ . If and when an execution of  $P$  terminates, the returned output is the set of values stored in the variables  $Y$ .

- ▶ Let  $S$  be the program scheme corresponding to program  $P$ , *i.e.*, the interpretation of  $S$  in  $\mathcal{M}$ , denoted  $S^{\mathcal{M}}$ , is exactly  $P$ .

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- ▶ Let  $S$  be the program scheme corresponding to program  $P$ , i.e., the interpretation of  $S$  in  $\mathcal{M}$ , denoted  $S^{\mathcal{M}}$ , is exactly  $P$ .
- ▶ **Theorem 1:** Let  $Paths(S) \triangleq \{\pi_1, \pi_2, \dots\}$  be the set of all finite execution paths in program scheme  $S$ . Let every test in  $S$  be a first-order WFF  $\varphi$  over signature  $\Sigma$  with  $FV(\varphi) \subseteq X \cup Y \cup Z$ .

For every  $\pi_i \in Paths(S)$  there is a first-order WFF  $\alpha_i$  over  $\Sigma$  with  $FV(\alpha_i) \subseteq \{x_1, \dots, x_m\}$  such that for every execution of  $P = S^{\mathcal{M}}$  on input values  $\vec{a} \triangleq (a_1, \dots, a_m)$ :

the execution converges by following path  $\pi_i$  iff  $(\mathcal{M}, \vec{a}) \models \alpha_i$ .

- ▶ Let  $PathConstraints(S) \triangleq \{\alpha_1, \alpha_2, \dots\}$  be the first-order WFF's thus defined over signature  $\Sigma$  with free variables in  $X$ .

## from PROGRAM SCHEMES to FIRST-ORDER LOGIC

- ▶ **Theorem 2** is a weaker version of **Theorem 1** that applies to common programming languages (Python, Java, Haskell, C, etc.) – why?
- ▶ **Theorem 2:** Let  $Paths(S) \triangleq \{\pi_1, \pi_2, \dots\}$  be the set of all finite execution paths in program scheme  $S$ . Let every test in  $S$  be a first-order literal (*i.e.*, an atomic or negated atomic WFF) over signature  $\Sigma$  with variables in  $X \cup Y \cup Z$ .

For every  $\pi_i \in Paths(S)$  there is a conjunction  $\alpha_i$  of literals over  $\Sigma$  with variables in  $\{x_1, \dots, x_m\}$  such that for every execution of  $P = S^{\mathcal{M}}$  on input values  $\vec{a} \triangleq (a_1, \dots, a_m)$ :

the execution converges by following path  $\pi_i$  iff  $(\mathcal{M}, \vec{a}) \models \alpha_i$ .

## from PROGRAM SCHEMES to FIRST-ORDER LOGIC

- Let  $S$  be a program scheme whose prim ops are in the signature  $\Sigma$  and whose input variables are  $X = \{x_1, \dots, x_m\}$ . Let  $\mathcal{C}$  be a class of  $\Sigma$ -structures.

Let  $\Phi \triangleq \{\varphi_1, \varphi_2, \dots\}$  be a set (possibly infinite) of first-order WFF's over signature  $\Sigma$  with  $FV(\varphi_i) \subseteq \{x_1, \dots, x_m\}$  for every  $i \geq 1$ .

We say that  $\Phi$  *enforces totality* of program scheme  $S$  (i.e., termination/convergence of all executions by  $S$ ) in the class  $\mathcal{C}$  iff:

for every  $\mathcal{M} \in \mathcal{C}$  and every  $m$ -tuple  $\vec{a} \triangleq (a_1, \dots, a_m)$  of inputs

from the domains of  $\mathcal{M}$ , if  $(\mathcal{M}, \vec{a}) \models \Phi$  then the execution of  $S^{\mathcal{M}}(\vec{a})$  converges.



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- ▶ **Corollary:** The following are equivalent statements:

1.  $\Phi \triangleq \{\varphi_1, \varphi_2, \dots\}$  enforces totality of program scheme  $S$  in class  $\mathcal{C}$ .
2. For every  $\mathcal{M} \in \mathcal{C}$  and all inputs  $\vec{a} \triangleq (a_1, \dots, a_m)$  from the domains of  $\mathcal{M}$ , it holds that if  $(\mathcal{M}, \vec{a}) \models \Phi$  then  $(\mathcal{M}, \vec{a}) \models \bigvee_{j \geq 1} \alpha_j$ .
3. For every  $\mathcal{M} \in \mathcal{C}$  and all inputs  $\vec{a} \triangleq (a_1, \dots, a_m)$  from the domains of  $\mathcal{M}$ , it holds that  $(\mathcal{M}, \vec{a}) \models (\bigwedge_{i \geq 1} \varphi_i \rightarrow \bigvee_{j \geq 1} \alpha_j)$ .
4. For every  $\mathcal{M} \in \mathcal{C}$ , it holds that  $\mathcal{M} \models \forall \vec{x} (\bigwedge_{i \geq 1} \varphi_i \rightarrow \bigvee_{i \geq 1} \alpha_i)$ .

**Note:** If  $\Phi$  is an infinite set, then  $\bigwedge_{i \geq 1} \varphi_i$  is an *infinitary conjunction*, and thus **not** in the syntax of first-order logic. Likewise,  $\bigvee_{i \geq 1} \alpha_i$  is an *infinitary disjunction*, and thus **not** in the syntax of first-order logic, when  $\text{PathConstraints}(S) = \{\alpha_1, \alpha_2, \dots\}$  is an infinite set.

## HOW STRONG CAN WE HOPE TO MAKE THE PRECONDITIONS?

- ▶ We think of  $\Phi$  as a set of *formal preconditions* for program scheme  $S$ .

**Question:** Given an arbitrary program scheme  $S$ , can we formulate the preconditions  $\Phi$ , as a set of first-order WFF's, to enforce totality of  $S$ ?

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**Question:** Given an arbitrary program scheme  $S$ , can we formulate the preconditions  $\Phi$ , as a set of first-order WFF's, to enforce totality of  $S$ ?

- **Exercise:** Let  $S$  be an arbitrary program scheme over some signature  $\Sigma$  with input variables  $X \triangleq \{x_1, \dots, x_m\}$ .

Define an infinitary WFF  $\Psi$  (**note:**  $\Psi$  is not restricted to be first-order) over signature  $\Sigma$  with  $FV(\Psi) \subseteq X$  such that for every  $\Sigma$ -structure  $\mathcal{M}$  and all inputs  $\vec{a} \triangleq (a_1, \dots, a_m)$  from the domains of  $\mathcal{M}$ , it holds that

if  $(\mathcal{M}, \vec{a}) \models \Psi$  then the execution of  $S^{\mathcal{M}}(\vec{a})$  converges .

In words,  $\Psi$  enforces totality of  $S$  in all  $\Sigma$ -structures  $\mathcal{M}$ , not restricted to any particular class.

# THE UNWIND PROPERTY

- Let  $S$  be a program scheme over some signature  $\Sigma$  with input variables  $X \triangleq \{x_1, \dots, x_m\}$ .

We say  $S$  **unwinds** in a class  $\mathcal{C}$  of  $\Sigma$ -structures iff there is a finite subset  $\{\pi_1, \dots, \pi_k\} \subseteq \text{Paths}(S)$  and corresponding finite subset  $\{\alpha_1, \dots, \alpha_k\} \subseteq \text{PathConstraints}(S)$  such that, for all  $\mathcal{M} \in \mathcal{C}$  and all inputs  $\vec{a} \triangleq (a_1, \dots, a_m)$  from the domains of  $\mathcal{M}$ :

the execution of  $S^{\mathcal{M}}(\vec{a})$  converges iff  $(\mathcal{M}, \vec{a}) \models \alpha_1 \vee \dots \vee \alpha_k$ .

Informally, only a finite set of  $k \geq 1$  paths are used by converging executions of  $S$ . Put differently, if  $S$  unwinds in the class  $\mathcal{C}$ , then  $S$  is equivalent to a “trivial” (i.e., loop-free) program scheme.

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<sup>1</sup> Strictly,  $\{\mathcal{M} \mid \mathcal{M} \models \Phi\}$  is the class defined as  $\{\mathcal{M} \mid (\mathcal{M}, \vec{a}) \models \Phi \text{ for all } m\text{-tuples } \vec{a} \text{ from the domains of } \mathcal{M}\}$ .  $\text{FV}(\Phi) \subseteq \{x_1, \dots, x_m\}$  and  $\vec{a}$  is an assignment of values to the free variables in  $\Phi$ .

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- ▶ **Theorem 3:** Let  $S$  be a program scheme over signature  $\Sigma$  with input variables  $X \triangleq \{x_1, \dots, x_m\}$ . Let  $\Phi$  be a set (possibly infinite) of first-order WFF's over signature  $\Sigma$  with  $\text{FV}(\Phi) \subseteq X$  and let  $\mathcal{C} \triangleq \{\mathcal{M} \mid \mathcal{M} \models \Phi\}$ .<sup>1</sup>

If  $\Phi$  enforces totality of  $S$  in the class  $\mathcal{C}$ , then  $S$  unwinds in the class  $\mathcal{C}$ .

In other words, we cannot constrain the interpretations in  $\mathcal{C}$  for a program scheme  $S$  by first-order conditions  $\Phi$  in order to ensure termination – unless we also make superfluous the presence of the loops in  $S$ .

---

<sup>1</sup> Strictly,  $\{\mathcal{M} \mid \mathcal{M} \models \Phi\}$  is the class defined as  $\{\mathcal{M} \mid (\mathcal{M}, \vec{a}) \models \Phi \text{ for all } m\text{-tuples } \vec{a} \text{ from the domains of } \mathcal{M}\}$ .  $\text{FV}(\Phi) \subseteq \{x_1, \dots, x_m\}$  and  $\vec{a}$  is an assignment of values to the free variables in  $\Phi$ .

- **Proof Sketch for Theorem 3:** By contradiction. Assume that  $\Phi$  enforces totality of  $S$  in the class  $\mathcal{C}$ , but yet  $S$  does not unwind in the class  $\mathcal{C}$ , and we then get a contradiction.

Consider  $\text{PathConstraints}(S) = \{\alpha_1, \alpha_2, \dots\}$ . By the Corollary of Theorems 1 and 2 (see part 2 in particular), together with the preceding assumption, we must have: For every  $k \geq 1$  there is a  $\Sigma$ -structure  $\mathcal{M} \in \mathcal{C}$  and there are inputs  $\vec{a} \triangleq (a_1, \dots, a_m)$  from the domains of  $\mathcal{M}$  such that  $(\mathcal{M}, \vec{a}) \models \Phi \cup \{\neg\alpha_1, \dots, \neg\alpha_k\}$  (straightforward details of this argument are omitted).

Hence, for every  $k \geq 1$ , the set of first-order WFF's  $\Phi \cup \{\neg\alpha_1, \dots, \neg\alpha_k\}$  is consistent. Hence, by Compactness of first-order logic, the full set  $\Phi \cup \{\neg\alpha_1, \neg\alpha_2, \dots\}$  is consistent/satisfiable. Hence, there is a  $\Sigma$ -structure  $\mathcal{M} \in \mathcal{C}$  and there are inputs  $\vec{a} \triangleq (a_1, \dots, a_m)$  from the domains of  $\mathcal{M}$  such that  $(\mathcal{M}, \vec{a}) \models \Phi \cup \{\neg\alpha_1, \neg\alpha_2, \dots\}$  and, in particular,  $(\mathcal{M}, \vec{a}) \models \{\neg\alpha_1, \neg\alpha_2, \dots\}$  which implies that  $S^{\mathcal{M}}(\vec{a})$  does not converge. But this contradicts the assumption that  $\Phi$  enforces totality of  $S$  in the class  $\mathcal{C}$  (again, straightforward details are omitted).

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