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CleanJava: A Formal Notation for Functional Program Verification

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CleanJava: A Formal Notation for Functional Program Verification

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Abstract—Unlike Hoare-style program verification, functional program verification supports forward reasoning by viewing a program as a mathematical function from one program state to another and proving its correctness by essentially comparing two mathematical functions, the function computed by the program and its specification. Since it requires a minimal mathematical background and reflects the way programmers reason about the correctness of a program informally, it can be taught and practiced effectively. However, there is no formal notation supporting the functional program verification. In this paper, we propose a formal notation for writing functional program specifications for Java programs. The notation, called CleanJava, is based on the Java expression syntax and is extended with a mathematical toolkit consisting of sets and sequences. The vocabulary of CleanJava can also be enriched by introducing user-specified definitions such as user-defined mathematical functions and specification-only methods. We believe that CleanJava is a good notation for writing functional specifications and expect it to promote the use of functional program verifications by being able to specify a wide range of Java programs.

Keywords—formal specification; formal verification; functional program verification; intended function; CleanJava

I. INTRODUCTION

In the late 70s, Harlan Mills and his colleagues at IBM developed an approach to software development called Cleanroom Software Engineering [1] [2]. Its name was taken from the electronics industry, where a physical clean room exists to prevent introduction of defects during hardware fabrication, and the method reflects the same emphasis on defect prevention rather than defect removal. Special methods are used at each stage of the software development—from requirement specification and design to implementation—to avoid errors. In particular, it uses specification and verification, where verification means proving mathematically that a program agrees with its specification.

Cleanroom is a lightweight, or semi-formal, method and tries to verify the correctness of a program using a technique that we call functional program verification [3] [4]. The technique requires a minimal mathematical background by viewing a program as a mathematical function from one program state to another and by using equational reasoning based on sets and functions. In essence, the functional verification involves (a) calculating the function computed by code called a code function and (b) comparing it with the intention of the code written as a function called an intended function [4]. For this, the behavior of each section of code is documented, as well as the behavior of the whole program. The documented behavior is the specification to which the correctness of a program is verified.

We believe that the functional program verification technique can be effectively taught and practiced, as it requires a minimal mathematical background and reflects the way programmers reason about the correctness of a program informally by supporting forward reasoning. It is also our conjecture that if programmers become proficient in the functional program verification, they may be able to learn easily other verification techniques such as such as Hoare logic as complementary reasoning techniques.

However, there is no formal notation or language to support the functional program verification. This not only limits the adoption of functional verification both in academia and industry but also makes it difficult to develop a standard set of support tools, thus limiting its user base.

In this paper we propose a formal annotation language for the Java programming language to support Cleanroom-style functional program verification. Our language, called CleanJava, is based on the Java expression syntax extended with a mathematical toolkit including sets and sequences. Some notable features of CleanJava include: (a) extensible vocabularies through user-defined functions and specification-only methods, (b) a wide-spectrum of formality that can be tuned, (c) support for abstraction and modularity, and (d) support for object-oriented concepts such as specification inheritance. We believe that CleanJava is a good notation for writing intended functions and facilitates formal correctness verification and reasoning of Java programs.

The rest of this paper is organized as follows. Section II provides an overview of the functional program verification. Section III describes the core part of the CleanJava language, including its syntax for writing intended functions. Section IV explains mechanisms for introducing user-defined vocabularies for writing intended functions. Section V explains an approach for writing abstract specifications to support modular specification and verification. Section-VI describes the inheritance of specifications. Section VII discusses related work, and Section VIII concludes this paper.
II. FUNCTIONAL PROGRAM VERIFICATION

A. Programs As Functions

An execution of a program produces a side-effect on a program state by changing the values of some state variables, such as program variables. In functional program verification, a program execution is modeled as a mathematical function from one program state to another, where a program state is a mapping from state variables to their values. For example, consider the following code that swaps the values of two variables \( x \) and \( y \).

\[
x = x + y;
y = x - y;
x = x - y;
\]

Its execution can be modeled as a mathematical function that, given a program state, produces a new state in which \( x \) and \( y \) are mapped to the initial values of \( y \) and \( x \), respectively. The rest of the state variables, if any, are mapped to their initial values; their values remain the same.

A succinct notation, called a concurrent assignment, is used to express these functions by only stating changes in an input state. A concurrent assignment is written as \( [x_1, x_2, \ldots, x_n := e_1, e_2, \ldots, e_n] \) and states that each \( x_i \)'s new value is \( e_i \), evaluated concurrently in the initial state, i.e., the input state or the state just before executing the code. The value of a state variable that doesn’t appear in the left-hand side of a concurrent assignment remains the same. For example, the function that swaps two variables, \( x \) and \( y \), is written as \( [x, y := y, x] \). The concurrent assignment notation can be used to express both the actual function computed by a section of code, called a code function, and our intention for the code, called an intended function.

B. Correctness Verification

The correctness of code can be verified by comparing its code function to its intended function. A program, or a section of code, with an intended function \( f \) is correct if it has a code function \( p \) such that:

- The domain of \( p \) is a superset of the domain of \( f \), i.e., \( \text{dom}(p) \supseteq \text{dom}(f) \).
- For every \( x \) in the domain of \( f \), \( p \) maps \( x \) to the same value that \( f \) maps to, i.e., \( p(x) = f(x) \) for \( x \in \text{dom}(f) \).

We also say that \( p \) is a refinement of \( f \), denoted by \( p \sqsubseteq f \).

For correctness verification of code, we write an intended function for each section of the code. For example, the following code finds the largest element of a non-empty array \( a \) and is annotated with intended functions.

```java
//@ [r := largest value in a]
//@ [f1: [r, i := a[0], 1]]
r = a[0];
int i = 1;
//@ [f2: [r, i := max of r and largest value in a[i..], ?]]
while (i < a.length) {
    //@ [f3: [r, i := max of r and a[i], i+1]]
    if (a[i] > r) {
        r = a[i];
    }
    i++;
}
```

An indentation is used to indicate the region of code that an intended function annotates. In function \( f_2 \), a question mark symbol (?) is used to indicate that we don’t care about the final value of a loop variable \( i \).

The verification of the above code requires to discharge the following four proof obligations.

1) \( f_1: f_2 \sqsubseteq f_0 \), i.e., proof that \( f_1 \) followed by \( f_2 \) is a refinement of \( f_0 \).
2) Refinement of \( f_1 \), i.e., correctness of \( f_1 \)'s code.
3) Refinement of \( f_2 \), which requires the following three sub-proofs.
   a) Termination of the loop
   b) Basis step: \( \neg(i < a.length) \Rightarrow I \sqsubseteq f_2 \), where \( I \) denotes an identity function.
   c) Induction step: \( i < a.length \Rightarrow f_3; f_2 \sqsubseteq f_2 \)
4) Refinement of \( f_3 \)

As example verification, below we show a proof of the first obligation, \( f_1; f_2 \sqsubseteq f_0 \).

```
f_1; f_2 \equiv [r, i := a[0], 1];
[r, i := max of r and largest value in a[i..], ?]
≡ [r, i := max of a[0] and largest value in a[1..], ?]
≡ [r, i := largest value in a, ?]
\sqsubseteq [r := largest value in a]
≡ f_0
```

In functional verification, the proof is sometimes straightforward because we can calculate functions and compare them. However, we often need to use different techniques such as a case analysis and an induction based on the structure of the code as in the proof of \( f_2 \) above.

In the example above, we used informal English texts to describe and manipulate intended functions. In the following sections, we show how to formalize them in CleanJava.

III. THE CORE LANGUAGE OF CLEANJAVA

CleanJava is a formal notation for annotating Java code with intended functions. It supports rigorous or formal verification of Java code. In this section, we describe the core part of the CleanJava language.

In CleanJava, an intended function is written using an extended form of Java expressions. However, CleanJava expressions have a restriction in that they cannot have side effects. Thus, Java’s assignment expressions (=, +=, etc.) and increment (++) and decrement (–) operators are not allowed in CleanJava expressions, and only query methods are allowed. A query method is a method that doesn’t have a side effect; it is used to ask about the state of an object without changing it. Below is the sample code of the previous section annotated in CleanJava.

```java
//@ [r := a->iterate(int x, int m = a[0] | x > m ? x : m)]
//@ f1: [r, i := a[0], 1]
r = a[0];
int i = 1;
```
As shown, a CleanJava annotation is written in a special kind of comments enclosed in //@ or /*@ ... @*/. An indentation is used to denote the section of code that an intended function annotates. The first annotation, for example, describes the behavior of the whole code, and the second describes that of the initialization code. An intended function can have an optional name such as \(f_1\) and \(f_2\).

The first annotation shows an example of CleanJava extensions to the Java expression syntax. The iterate operation is one of several CleanJava-specific operations defined on arrays and collections. It has a general form of \(\text{iterate}(T_1, x, T_2 | E(x))\), where \(T_1\) is the element type of an array or collection and \(E(x)\) is an expression of \(T_2\) written in terms of \(x\). The variable \(x\) is an iterator that bounds to each value of the array or collection, and \(y\) is an accumulator that contains the value of \(E(x)\) after each evaluation of it. The operation evaluates \(E(x)\) for each element in the array or collection, bound to \(x\), storing the result of each evaluation to \(y\), and returns the final value stored in \(y\). The above iterate operation returns the largest value contained in the array \(a\). Note that an arrow notation (\(\rightarrow\)) is used to indicate an invocation of an iteration operation. Other iteration operations defined on arrays and collections include select, reject, collect, forAll, and exists.

The annotation defining \(f_3\) shows several features of CleanJava. First, a Java method such as Math.max can be used in CleanJava expressions as long as it has no side effect. Second, the keyword anything indicates that one doesn’t care about the final value of a variable—a local or incidental variable. It is one way to write a loose specification since an arbitrary value can be assigned to such a variable by an implementation. Lastly, when writing an intended function, one can escape from formality by using an informal description. An informal description of the form (* some text *) is convenient when the formal statement is not easier to write down or clearer. It allows informal texts to be combined with formal statements and is convenient for organizing an informal documentation. Informal specifications can also be very useful when there’s not enough time to develop a formal description of some aspect of the code. This kind of escape from formality is very useful, in general, to avoid describing the entire world formally when writing a specification of some code. However, there are several drawbacks to using informal descriptions. A major drawback is that informal descriptions are often ambiguous or incomplete. Another problem is that informal descriptions cannot be manipulated by tools.

IV. Extension Mechanisms

One feature of CleanJava is that its vocabulary is not limited to a predefined set of symbols and expressions but can be extended by a programmer. In this section we describe two such extension mechanisms: user-defined functions and model methods.

A. User-defined Functions

In CleanJava, a programmer can introduce new mathematical functions for use in writing intended functions. For example, the following code is from the previous section with its annotations rewritten using a user-defined function and the informal description removed.

```java
//@ \[r := \text{Math.max}(a)\]
public int max(int[] a) {
    int r = a[0];
    for (int i = 1; i < a.length; i++)
        if (a[i] > r) r = a[i];
    return r;
}
```

The first annotation introduces a function named \(\text{sum}\) that takes an array or collection of integers and returns a maximum value contained. The body of the function is just a Java expression with CleanJava extensions such as collection operations. As shown, one doesn’t have to specify the signature—argument and return types—of a function. As in modern functional languages such as SML and Haskell, they are inferred statically at compile time. A CleanJava function follows the Java scoping rules. Thus, the function \(\text{max}\) can be used in the specifications of the top-level intended function at line 2 and that of the while statement. It is also possible to introduce a function as a member of a class or an interface (see an example in Section IV-B).

The fourth annotation, the intended function for the while statement, introduces a constant function named \(m\) written in terms of the user-defined function \(\text{max}\). It is a local function indicated by the keyword where; it is visible only in the preceding intended function.

B. Model Methods

In addition to user-defined functions, one can also introduce Java methods specifically for writing intended functions. These specification-only methods are called model methods. Figure 1 shows an example use of a model method. The class Addressbook stores entries called contacts; each contact consists of a few standard fields such as name, address, telephone number, and e-mail address. It defines several public methods to manipulate the contained contacts.

The specification of the addContact method is interesting. It is written in terms of the append method of which definition appears inside an annotation. The fact that the definition of the append method is an annotation indicates
that it is a model method, meaning that it can be used only in annotations but not in Java code. The `append` method returns an array that contains the contents of the field `contacts` with the argument `c` appended; it may create a new array to append the given contact. A model method such as the `append` method should not have a side-effect because it will be used in annotations. Except for this, its use is the same as that of a Java method. It follows Java’s visibility and scoping rules. The `append` method, for example, can be used in the annotations of the client code of the AddressBook class and is inherited to subclasses because it is a public method. The `addContact` method is partial in that its behavior is defined algorithmically as a sequence of statements, a model method would be a better choice.

Both user-defined functions and model methods allow one to extend the vocabularies of CleanJava. If the result or return value can be expressed in a single expression, a user-defined function would be a better choice since it provides a succinct notation. On the other hand, if it can be better expressed algorithmically as a sequence of statements, a model method would be a better choice.

### V. Support for Abstraction

CleanJava provides several features to support modular specification and verification. Verification of client code of a class is said to be modular if a change on the the hidden implementation details of the class such as data structures and algorithms doesn’t require a re-verification of the client code. For modular verification, the specification and verification of client code of a class shouldn’t rely on the implementation details of the class. This in turn means that the specification of the class itself shouldn’t refer to, or expose, the hidden implementation details and decisions because it is this specification that is used in the specification and verification of the client code. Otherwise, the client code can be tightly coupled to the class by exploiting an exposed implementation detail or decision of the class. Its verification or reasoning will not be modular either because a change on the class requires a re-specification of the class, which in turn requires a respecification and re-verification of the client code itself. In short, a class specification—as a formal API document—should be abstract and support information hiding in that it shouldn’t refer to, or expose, hidden implementation details or decisions.

In CleanJava, one can write an abstract specification for a class that doesn’t expose implementation details of the class. This is done by writing a specification that manipulates abstract values of a class, not its concrete representation values. For example, in the previous section, an address book is implemented as an array of contacts, and its specification is written in terms of this array, thus exposing the hidden representation. However, for a specification purpose, an address book can be can viewed, modeled, and manipulated as a set of contacts. In CleanJava, this can be achieved by using a specification-only variable, called a model variable, which is similar to a model method introduced in the previous section.

Figure 2 shows an abstract specification of the AddressBook class written using a model variable. The first annotation introduces a model variable named `cset` of type `CJSet<Contact>`. A generic class `CJSet` is a standard library class of CleanJava and provides an abstraction of a mathematical set, similar to that of `java.util.Set`. However, one key difference from the `Set` interface is that it is an immutable type because it is supposed to be used in CleanJava annotations. There is no method defined that has a side-effect. The `add` method, for example, returns a new set instead of mutating the receiver. Since a model variable such as `cset` is used only in annotations, its value is not directly assigned but is given implicitly as a mapping from program variables. This mapping is called an abstraction function and is specified in an optional initializer of a model variable declaration. For example, the value of a model variable `cset` is `toSet(contacts, size)`, where `toSet` is a user-defined function.

Once the abstract values of a class are defined using model variables, they can be used to write specifications for public methods of the class. For example, the intended func-
The public specification is for clients and the private specification for an implementor. The private specification needs to be proved to be a correct implementation (or refinement) of the public specification, and this is done using the abstraction function to coerce a concrete value to an abstract value.

How does the use of a model variable support modular specification and verification of client code? If the concrete representation of a class is changed, one only needs to redefine the abstraction functions of the model variables of the class. The public specifications of the class remain the same as they are written in terms of model variables. This means that if client code is specified and verified using the public specification of the class, it is still valid and doesn’t require re-specification or re-verification. Model variables also support a separation of concerns when developing a program. Once the public interface and its specification of a class is changed, the development of the class and its clients’ code along with its detailed specification and verification can be done separately and independently.

VI. INHERITANCE OF SPECIFICATIONS

In CleanJava, a subclass inherits all the properties of its superclass, including annotations such as user-defined functions, model methods, and method specifications. As an example, let us introduce a new subclass of the class AddressBook, named GroupedAddressBook. The class GroupedAddressBook allows one to organize contacts into a set of named groups. A contact can now belong to several named groups. Figure 3 shows the interface specification of the GroupedAddressBook class.

As shown, contact groups are represented as a map, from group names to sets of contracts belonging to the named groups. This representation is hidden, but its abstraction, a model field named cmap, is visible to the client and is used in specifying the behaviors of public methods. A generic class CJMap is a standard model class providing an abstraction of a map. As a model class, it is an immutable type. The class has a static method named convertFrom that coerces a java.util.Map object to an CJMap instance, and this method is used in specifying the abstraction function for the model field cmap.

The specification of the constructor states that initially there is no contact and no group. This is done by specifying the
value of the model fields \texttt{cset} and \texttt{cmap}. Note that the model field \texttt{cset} is inherited from the superclass and is visible in the \texttt{GroupedAddressBook} class.

In addition to the inherited methods, the \texttt{GroupedAddressBook} class introduces several additional methods such as \texttt{createGroup}, \texttt{getGroup}, and \texttt{addToGroup} to manipulate contact groups. As expected, the behaviors of these methods are specified abstractly in terms of the model field \texttt{cmap}.

Perhaps, the most interesting part of the \texttt{GroupedAddressBook} class is its specification of the overriding method \texttt{removeContact}. The \texttt{removeContact} method is overridden because if a contact is removed from an address book, all its occurrences from contact groups also have to be removed. The fact that a contact is removed from an address book is specified in the annotation of the overridden method in the superclass. However, this is inherited to the overriding method in the subclass and thus doesn’t have to be re-specified in the subclass. The keyword \texttt{also} provides a visual cue that a specification is being inherited from a superclass. In short, the annotation for the overriding method \texttt{removeContact} in the subclass only specifies the fact that all occurrences of the contact removed from the address book should also be removed from contact groups, but due to specification inheritance its complete and effective specification is:

\begin{verbatim}
(hasContact(n) \rightarrow cset, cmap := \\
  cset->select(c| !c.getName().equals(n)), removeContact(getContact(n)))
\end{verbatim}


type{"Inheritance its complete and effective specification is:"
\begin{verbatim}

|}cset->select(c| !c.getName().equals(n)), removeContact(getContact(n)))
\end{verbatim}

\textbf{VII. RELATED WORK}

The preliminary design of CleanJava was influenced by several formal specification languages. Below we summarized some of the most influencing and closely related work.

Although the foundation of our work is Cleanroom [1] [2] [5], we also took ideas from recent advances in formal specification languages such as design-by-contract (DBC) notations [6] and behavioral interface specification languages (BISL) [7]. As in Cleanroom, intended functions are written in concurrent assignment statements, however, following the idea of DBC, Java’s expression syntax is used to write intended functions. This makes it easy for Java programmers to learn and write intended functions since it minimizes the overhead of learning a separate specification notation. Extensions to the Java expression syntax, such as iteration operations, user-defined mathematical functions, model variables, and specification inheritance. The CleanJava language is currently being evaluated and refined through case studies, and its support tools are being developed.

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\section*{REFERENCES}