Abstract Interpretation

Lecture 5

History

- One breakthrough paper
 - Cousot & Cousot '77 (?)
- Inspired by
 - Dataflow analysis
 - Denotational semantics
- Enthusiastically embraced by the community
 - At least the functional community . . .
 - At least the first half of the paper . . .

A Tiny Language

• Consider a language with only integers and multiplication.

e = *i* | *e* * *e*

$$\mu: Exp \rightarrow Int$$

$$\mu(i) = i$$

$$\mu(e_1 * e_2) = \mu(e_1) \times \mu(e_2)$$

An Abstraction

 Define an *abstract semantics* that computes only the sign of the result.

 $\sigma: \mathsf{Exp} \to \{+,-,0\}$

0

+

Soundness

- We can show that this abstraction is correct in the sense that it correctly predicts the sign of an expression.
- Proof is by structural induction on e.

 $\mu(e) > 0 \Leftrightarrow \sigma(e) = +$ $\mu(e) = 0 \Leftrightarrow \sigma(e) = 0$ $\mu(e) < 0 \Leftrightarrow \sigma(e) = -$

Another View of Soundness

- The soundness proof is clunky
 - each case repeats the same idea.
- Instead, directly associate each abstract value with the set of concrete values it represents.

$$\gamma: \{+,0,-\} \to \mathsf{2}^{Int}$$

$$\begin{array}{rcl} \gamma(+) &=& \left\{ i \mid i > 0 \right\} \\ \gamma(0) &=& \left\{ 0 \right\} \\ \gamma(-) &=& \left\{ i \mid i < 0 \right\} \end{array}$$

- The concretization function
 - Mapping from abstract values to (sets of) concrete values
- Let
 - D be the concrete domain,
 - A the abstract domain.



Abstract Interpretation

- This is an *abstract interpretation*.
 - Computation in an *abstract domain*
 - In this case {+,0,-}.
- The abstract semantics is sound
 - approximates the standard semantics.
- The concretization function establishes the connection between the two domains.

Adding -

• Extend our language with unary -

$$\mu(-e) = -\mu(e) \qquad \qquad \boxed{-} + \\ \sigma(-e) = -\sigma(e) \qquad \qquad \boxed{-} -$$

+

Adding +

- Adding addition is not so easy.
- · The abstract values are not closed under addition.

$$\mu(\boldsymbol{e}_1 + \boldsymbol{e}_2) = \mu(\boldsymbol{e}_1) + \mu(\boldsymbol{e}_2)$$

$$\sigma(\boldsymbol{e}_1 + \boldsymbol{e}_2) = \sigma(\boldsymbol{e}_1) + \sigma(\boldsymbol{e}_2)$$



Solution

- We need another abstract value to represent a result that can be any integer.
- Finding a domain closed under all the abstract operations is often a key design problem.



Extending Other Operations

 We also need to extend the other abstract operations to work with T.





Examples

Abstract computation loses information

 $\mu((1+2)+-3) = 0$ $\sigma((1+2)+-3) = (+ + +) + (-+) = T$

No loss of information

 $\mu((5*5)+6) = 31$ $\sigma((5*5)+6) = (+ \times +) + = +$

Adding / (Integer Division)

- Adding / is straightforward except for the case of division by 0.
- If we divide each integer in a set by 0, what set of integers results? The empty set.

$$\gamma(\perp) = \emptyset$$

$$\overline{7} + 0 - T \perp$$

$$+ + 0 - T \perp$$

$$0 \perp \perp \perp \perp \perp$$

$$- - 0 + T \perp$$

$$T T 0 T T \perp$$

$$\perp \perp \perp \perp$$

Adding / (Cont.)

- As before we need to extend the other abstract operations.
- In this case, every entry involving bottom is bottom
 - all operations are strict in bottom



The Abstract Domain

- Our abstract domain forms a *lattice*.
 - A partial order $x \leq y \Leftrightarrow \gamma(x) \subseteq \gamma(y)$
 - Every finite subset has a least upper bound (lub) & greatest lower bound (glb).
- We write A for an abstract domain
 - a set of values + an ordering



Lattice Lingo

- A lattice is *complete* if every subset (finite or infinite) has lub's and glb's.
 - Every finite lattice is complete
- Thus every lattice has a top/bottom element.
 - Usually needed in abstract interpretations.

The Abstraction Function

- The *abstraction* function maps concrete values to abstract values.
 - The dual of concretization.
 - The smallest value of *A* that is the abstraction of a set of concrete values.

$$\alpha: \mathbf{2}^{\mathrm{Int}} \to \mathbf{A}$$

$$\alpha(\mathcal{S}) = \mathsf{lub}(\{- \mid i < 0 \land i \in \mathcal{S}\}, \{0 \mid 0 \in \mathcal{S}\}, \{+ \mid i > 0 \land i \in \mathcal{S}\})$$

A General Definition

- An abstract interpretation consists of
 - An abstract domain A and concrete domain D
 - Concretization and abstraction functions forming a *Galois* insertion.
 - A (sound) abstract semantic function.

Galois insertion:

 $\forall \boldsymbol{x} \in \boldsymbol{2}^{\mathcal{D}}. \quad \boldsymbol{x} \subset \boldsymbol{\gamma}(\boldsymbol{\alpha}(\boldsymbol{x}))$ $\forall a \in A. \ x = \alpha(\gamma(x))$

 $id \leq \gamma \circ \alpha$ $id = \alpha \circ \gamma$

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or

Galois Insertions

- The abstract domain can be thought of as dividing the concrete domain into subsets (not disjoint).
- The abstraction function maps a subset of the domain to the smallest containing abstract value.



• In correct abstract interpretations, we expect the following diagram to commute.



Three conditions guarantee correctness in general:

 α and γ form a Galois insertion $id \leq \gamma \circ \alpha, id = \alpha \circ \gamma$ α and γ are monotonic $x \leq y \Rightarrow \alpha(x) \leq \alpha(y)$ Abstract operations \overline{op} are locally correct: $\gamma(\overline{op}(s_1, ..., s_n)) \supseteq op(\gamma(s_1), ..., \gamma(s_n))$ Proof by induction on the structure of e: $\mu(e) \in \gamma(\sigma(e))$

 $\mu(e_{1} \ op \ e_{2})$ $= \mu(e_{1}) \ op \ \mu(e_{2}) \qquad \text{def. of } \mu$ $\in \gamma(\sigma(e_{1})) \ op \ \gamma(\sigma(e_{2})) \qquad \text{by induction}$ $\subseteq \gamma(\sigma(e_{1}) \ \overline{op} \ \sigma(e_{2})) \qquad \text{local correctness}$ $= \gamma(\sigma(e_{1} \ op \ e_{2})) \qquad \text{def of } \sigma$

A Second Notion of Correctness

 We can define correctness using abstraction instead of concretization.

 $\mu(e) \in \gamma(\sigma(e)) \equiv \alpha(\{\mu(e)\}) \leq \sigma(e)$

 $\Rightarrow \text{ direction}$ $\mu(e) \in \gamma(\sigma(e))$ $\alpha(\{\mu(e)\}) \leq \alpha(\gamma(\sigma(e))) \text{ monotonicity}$ $\alpha(\{\mu(e)\}) \leq \sigma(e) \qquad \alpha \circ \gamma = id$

Correctness (Cont.)

• The other direction . . .

 $\mu(e) \in \gamma(\sigma(e)) \equiv \alpha(\{\mu(e)\}) \leq \sigma(e)$

 $\leftarrow \text{ direction} \\ \alpha(\{\mu(e)\}) \leq \sigma(e) \\ \gamma(\alpha(\{\mu(e)\})) \leq \gamma(\sigma(e)) \quad \text{monotonicity} \\ \mu(e) \in \gamma(\sigma(e)) \quad id \leq \gamma \circ \alpha$

A Language with Input

- The next step is to add language features besides new operations.
- We begin with input, modeled as a single free variable x in expressions.

$$e = i | e * e | -e | ... | x$$

Semantics

• The meaning function now has type

 $\mu \colon \mathsf{Exp} \to \mathsf{Int} \to \mathsf{Int}$

• We write the function curried with the expression as a subscript.

$$\mu_{i}(j) = i$$

$$\mu_{x}(j) = j$$

$$\mu_{e_{1}*e_{2}}(j) = \mu_{e_{1}}(j) * \mu_{e_{2}}(j)$$

$$\mu_{e_{1}+e_{2}}(j) = \mu_{e_{1}}(j) + \mu_{e_{2}}(j)$$

$$-$$

Abstract Semantics

Abstract semantic function:

 $\sigma\colon \mathsf{Exp}\,\to\,\mathsf{A}\,\to\,\mathsf{A}$

• Also write this semantics curried.

$$\sigma_{i}(\overline{j}) = \overline{i}$$

$$\sigma_{x}(\overline{j}) = \overline{j}$$

$$\sigma_{e_{1}*e_{2}}(\overline{j}) = \sigma_{e_{1}}(\overline{j}) = \sigma_{e_{2}}(\overline{j})$$

$$\sigma_{e_{1}+e_{2}}(\overline{j}) = \sigma_{e_{1}}(\overline{j}) + \sigma_{e_{2}}(\overline{j})$$

$$\dots = \dots$$

$$\overline{i} = \alpha(\{i\})$$

Correctness

- The correctness condition needs to be generalized.
- This is the first real use of the abstraction function.
- The following are all equivalent:



Local Correctness

• We also need a modified local correctness condition.

 $op(\gamma(\sigma_{e_1}(\overline{j})), \dots, \gamma(\sigma_{e_n}(\overline{j}))) \subseteq \gamma(\overline{op}(\sigma_{e_1}(\overline{j}), \dots, \sigma_{e_n}(\overline{j})))$

Thm $\mu_e(j) \in \gamma(\sigma_e(\overline{j}))$

Proof (by induction) Basis. $\mu_i(j) = i \in \gamma(\overline{i}) = \gamma(\sigma_i(\overline{j}))$ $\mu_x(j) = j \in \gamma(\overline{j}) = \gamma(\sigma_x(\overline{j}))$ Step $\mu_{op(e_1,...,e_n)}(j)$ $= op(\mu_{e_1}(j),...,\mu_{e_n}(j))$ def. of μ $\in op(\gamma(\sigma_{e_1}(\overline{j})),...,\gamma(\sigma_{e_n}(\overline{j}))$ induction

 $\subseteq \gamma(\overline{op}(\sigma_{e_1}(\overline{j}),...,\sigma_{e_n}(\overline{j}))) \quad \text{local correctness}$

 $= \gamma(\sigma_{op(e_1,\ldots,e_n)}(\overline{j}))$

def. of σ

If-Then-Else

 $e = \dots$ | if e = e then e else e | ...

$$\mu_{\text{if } e_1 = e_2 \text{ then } e_3 \text{ else } e_4}(i) = \begin{pmatrix} \mu_{e_3}(i) & \text{if } \mu_{e_1}(i) = \mu_{e_2}(i) \\ \mu_{e_4}(i) & \text{if } \mu_{e_1}(i) \neq \mu_{e_2}(i) \end{pmatrix}$$

$$\sigma_{\text{if } e_1 = e_2 \text{ then } e_3 \text{ else } e_4}(\bar{i}) = \sigma_{e_3}(\bar{i}) \sqcup \sigma_{e_4}(\bar{i})$$

 Note the lub operation in the abstract function; this is why we need lattices as domains.

Correctness of If-Then-Else

- Assume the true branch is taken.
- (The argument for the false branch is symmetric.)



Recursion

- Add recursive definitions
 - of a single variable for simplicity
- The semantic function is

 $\mu: \operatorname{Exp} \to \operatorname{Int} \to \operatorname{Int}_{\perp}$

$$program = def f(x) = e$$
$$e = \dots | f(e)$$

Revised Meaning Function

 Define an auxiliary semantics taking a function (for the free variable f) and an integer (for x).

 $\mu': \operatorname{Exp} \to (\operatorname{Int} \to \operatorname{Int}_{\perp}) \to \operatorname{Int} \to \operatorname{Int}_{\perp}$ $\mu'_{f(e)}(g)(j) = g(\mu'_{e}(g)(j))$ $\mu'_{x}(g)(j) = j$ $\mu'_{e_{1}+e_{2}}(g)(j) = \mu'_{e_{1}}(g)(j) + \mu'_{e_{2}}(g)(j)$ $\operatorname{Profs. Aiken, Barrett & Dill CS 357}$

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Meaning of Recursive Functions

$$\mu: \operatorname{\mathsf{Exp}} \to \operatorname{\mathsf{Int}} \to \operatorname{\mathsf{Int}}_{\bot}$$

 $\mu': \mathsf{Exp} \to (\mathsf{Int} \to \mathsf{Int}_{\perp}) \to \mathsf{Int} \to \mathsf{Int}_{\perp}$

Consider a function def f = e

Define an ascending chain $f_0, f_1, ...$ in Int \rightarrow Int_{\perp} $f_0 = \lambda x. \perp$ $f_{i+1} = \mu'_e(f_i)$

Define $\mu_{f} = \bigcup_{i} f_{i}$

Abstract Semantics Revised

• Define an analogous auxiliary function for the abstract semantics.

$$\sigma': \mathsf{Exp} \to (\mathsf{A} \to \mathsf{A}) \to \mathsf{A} \to \mathsf{A}$$

$$\sigma'_{f(e)}(g)(\bar{i}) = g(\sigma'_{e}(g)(i))$$

$$\sigma'_{x}(g)(\bar{i}) = \bar{i}$$

$$\sigma'_{e_{1}+e_{2}}(g)(\bar{i}) = \sigma'_{e_{1}}(g)(\bar{i}) + \sigma'_{e_{2}}(g)(\bar{i})$$

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Abstract Semantics Revised II

- We need one more condition for the abstract semantics.
- All abstract functions are required to be monotonic.
- Thm. Any monotonic function on a complete lattice has a least fixed point.

Abstract Meaning of Recursion

$$\sigma: \operatorname{Exp} \to \operatorname{A} \to \operatorname{A}$$
$$\sigma': \operatorname{Exp} \to (\operatorname{A} \to \operatorname{A}) \to \operatorname{A} \to \operatorname{A}$$

Consider a function def f = e

Define an ascending chain $\overline{f}_0, \overline{f}_1, ...$ in $A \to A$ $\overline{f}_0 = \lambda a. \perp$ $\overline{f}_{i+1} = \sigma'_c(\overline{f}_i)$

Define $\sigma_{f} = \bigcup_{i} \overline{f}_{i}$

Correctness



Corresponding elements of the chain stand in the correct relationship.

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Correctness (Cont.)

$$\forall i. \ f_i(j) \in \gamma(\overline{f}_i(\overline{j}))$$

$$\Rightarrow \bigcup_{i \ge 0} f_i(j) \in \bigcup_{i \ge 0} \gamma(\overline{f}_i(\overline{j})) \quad \text{chains stabilize}$$

$$\Rightarrow \bigcup_{i \ge 0} f_i(j) \in \gamma\left(\bigcup_{i \ge 0} \overline{f}_i(\overline{j})\right) \quad \text{monotonicity of } \gamma$$

$$\Rightarrow \ \mu_f(j) \in \gamma(\sigma_f(\overline{j})) \quad \text{by definition}$$

Example

def f(x) = if x = 0 then 1 else x * f(x + -1) Abstraction: Ifp($\sigma'(\text{if } x = 0 \text{ then 1 else } x * f(x + -1)))$ Simplified: Ifp($\lambda \overline{f} \cdot \lambda \overline{x} \cdot + \cup (\overline{x} \times \overline{f}(\overline{x} + -)))$

Strictness

- We will assume our language is strict.
 - Makes little difference in quality of analysis for this example.
- Assume that $f(\bot) = \bot$
- Therefore it is sound to define $\overline{f}(\bot) = \bot$

Calculating the LFP



- In this case, the abstraction yields no useful information!
- Note that sequence of functions forms a strictly ascending chain until stabilization $f_0 < f_1 < f_2 < f_3 = f_4 = f_5 = ...$
- But the sequence of values at particular points may *not* be strictly ascending:

 $f_0(+) < f_1(+) = f_2(+) < f_3(+) = f_4(+) = f_5(+) = \dots$

Notes (Cont.)

- Lesson: The fixed point is being computed in the domain $(A \rightarrow A) \rightarrow A \rightarrow A$
- The fixed point is not being computed in $A \rightarrow A$
- Make sure you check the domain of the fixed point operator.

Strictness Analysis

- In lazy functional languages, it may be desirable to change call-by-need (lazy evaluation) to call-by-value.
- CBN requires building "thunks" (closures) to capture the lexical environment of unevaluated expressions.
- CBV evaluates its argument immediately, which is wasteful (or even wrong) if the argument is never evaluated under CBN.

Correctness

- Substituting CBV for CBN is always correct if we somehow know that a function evaluates its argument(s).
- A function f is strict if $f(\bot) = \bot$
- Observation: if f is strict, then it is correct to pass arguments to f by value.

Outline

- Deciding whether a function is strict is undecidable.
- Mycroft's idea: Use abstract interpretation.
- Correctness condition: If *f* is non-strict, we must report that it is non-strict.

The Abstract Domain

- Continue working with the same language (1 recursive function of 1 variable).
- New abstract domain 2:

Concretization/Abstraction

- The concretization/abstraction functions say
 - O means the computation definitely diverges
 - 1 means nothing is known about the computation
 - D is the concrete domain

$\begin{array}{ll} \gamma(\mathbf{0}) = \{\bot\} & \alpha(\{\bot\}) = \mathbf{0} \\ \gamma(\mathbf{1}) = \mathcal{D} & \alpha(\mathcal{S}) = \mathbf{1} \quad \text{if} \quad \mathcal{S} \neq \{\bot\} \end{array}$

- Next step is to define an abstract semantics
- Transform $f:Int \rightarrow Int$ to $f:2 \rightarrow 2$
- Transform values v:Int to \overline{v} :2
- To test strictness check if $\frac{1}{f(0)} = 0$

Abstract Semantics (Cont.)

- An *a* stands for an abstract value (0 or 1).
- Treat 0,1 as false, true respectively.



$$\begin{aligned} \sigma'_{e_1+e_2}(g)(a) &= \sigma'_{e_1}(g)(a) \wedge \sigma'_{e_2}(g)(a) \\ \sigma'_{e_1/e_2}(g)(a) &= \sigma'_{e_1}(g)(a) \wedge \sigma'_{e_2}(g)(a) \\ \sigma'_{\text{if } e_1=e_2 \text{ then } e_3 \text{ else } e_4}(g)(a) &= \sigma'_{e_1}(g)(a) \wedge \sigma'_{e_2}(g)(a) \wedge \left(\sigma'_{e_3}(g)(a) \vee \sigma'_{e_4}(g)(a)\right) \\ \sigma_{\text{def } f = e} &= \text{lfp } \sigma'_e \end{aligned}$$

An Example

def f(x) = if x = 0 then 1 else x * f(x + -1)

 $lfp(\sigma'(if x = 0 then 1 else x * f(x + -1)))$

 $\mathsf{lfp}\left(\lambda \overline{\mathsf{f}}.\lambda \overline{\mathsf{x}}.\overline{\mathsf{x}}\right) = \lambda a.a$

 $(\lambda a.a) 0 = 0$ The function is strict in x.

Calculating the LFP

$$\mathsf{lfp}\Big(\lambda \overline{\mathsf{f}}.\lambda \overline{\mathsf{x}}.\overline{\mathsf{x}} \wedge \mathbf{1} \wedge \big(\mathbf{1} \vee (\overline{\mathsf{x}} \wedge \overline{\mathsf{f}}(\overline{\mathsf{x}} \wedge \mathbf{1}))\big)\Big)$$



Another Example

· Generalize to recursive functions of two variables.

def f(x,y) = if x = 0 then 0 else f(x + -1,f(x,y)) $Ifp(\sigma'(if x = 0 then 0 else f(x + -1,f(x,y)))) =$ $Ifp(\lambda \overline{f}.\lambda(\overline{x},\overline{y}). \ \overline{x} \land 1 \land (1 \lor ...)) =$ $\lambda(\overline{x},\overline{y}). \ \overline{x}$

Example (Cont.)

• For multi-argument functions, check each argument combination of the form (1,...,1,0,1,...,1).

 $\begin{pmatrix} \lambda(\overline{x},\overline{y}), \overline{x} \end{pmatrix} (0,1) = 0 \quad X \text{ can be passed by value.} \\ \begin{pmatrix} \lambda(\overline{x},\overline{y}), \overline{x} \end{pmatrix} (1,0) = 1 \quad Unsafe \text{ to pass Y by value.}$

Summary of Strictness Analysis

- Mycroft's technique is sound and practical.
 - Widely implemented for lazy functional languages.
 - Makes modest improvement in performance (a few %).
 - The theory of abstract interpretation is critical here.
- Mycroft's technique treats all values as atomic.
 - No refinement for components of lists, tuples, etc.
- Many research papers take up improvements for data types, higher-order functions, etc.
 - Most of these are very slow.

Conclusions

- The Cousot&Cousot paper(s) generated an enormous amount of other research.
- Abstract interpretation as a theory and abstract interpretation as a method of constructing tools are often confused.
- Slogan of most researchers:

Finite Lattices + Monotonic Functions = Program Analysis

Where is Abstract Interpretation Weak?

- Theory is completely general
- The part of the original paper people understand is limited
 - Finite domains + monotonic functions

Data Structures and the Heap

- Requires a finite abstraction
 - Which may be tuned to the program
 - More often is "empty list, list of length 1, unknown length"
- Similar comments apply to analyzing heap properties
 - E.g., a cell has 0 references, 1 references, many references

- Large domains = slow analysis
- In practice, domains are forced to be small
 Chain height is the critical measure
- The focus in abstract interpretation is on correctness
 - Not much insight into efficient algorithms

- No particular insight into context sensitivity
- Any reasonable technique is an abstract interpretation

Higher-Order Functions

- Makes clear how to handle higher-order functions
 - Model as abstract, finite functions
 - Ordering on functions is pointwise
 - Problem: huge domains
- Break with the dependence on control-flow graphs

- The forwards vs. backwards mentality permeates much of the abstract interpretation literature
- But nothing in the theory says it has to be that way