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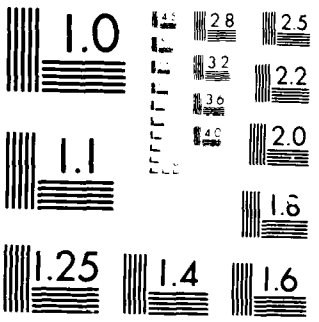

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Safety without Stuttering*

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TR 85-708
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Safety without Stuttering*

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ABSTRACT

A new formalization of safety properties is given. The formalization agrees with the informal definition—that a safety property stipulates that some "bad thing" doesn't happen during execution—for properties that are not invariant under stuttering, as well as for properties that are.

*This work is supported, in part, by NSF Grant DCR-8320274 and a grant from the Office of Naval Research.

1. Introduction

Informally, a safety property stipulates that some "bad thing" doesn't happen during execution [Lamport 77]. Examples of safety properties include mutual exclusion, deadlock freedom, and partial correctness. In *mutual exclusion*, the proscribed "bad thing" is two processes executing in critical sections at the same time. In *deadlock freedom*, it is deadlock. In *partial correctness*, it is terminating in a state not satisfying the postcondition when execution is started in a state that satisfies the precondition.

A formal definition of safety is given in [Lamport 85]. While that definition correctly captures the intuition for an important class of properties—those invariant under stuttering—it is inadequate for safety properties that are not invariant under stuttering. This note gives a formal definition of safety that is independent of stuttering.

Section 2 of the paper reviews some notation for describing properties. Section 3 gives our new formalization of safety and relates it to the one in [Lamport 85]. Finally, section 4 puts our work into perspective.

2. Properties

An execution of a concurrent program can be described by an infinite sequence of states

$$\sigma = s_0 s_1 \ldots$$

which we call a *history*. Each state after s_0 results from executing a single atomic action in the preceding state. For a terminating program execution, an infinite sequence is obtained by repeating the final state. This corresponds to the view that a terminating execution is the same as a non-terminating execution in which after some finite time (once the program has terminated) the state remains fixed.

A *property* is a set of histories. We write $\sigma \models P$ to denote that history σ is a member of property P. A property is usually defined by a characteristic predicate on histories rather than by enumerating the histories themselves. Temporal logic provides a suitable formalism for this purpose [Lamport 83].

The following notation is used in the remainder of the paper. S is the set of states, S^* the set of finite sequences of states, and S^ω the set of histories. For a history $\sigma = s_0 s_1 \ldots$, define

$$\sigma[i] \triangleq s_i$$

$$\sigma[..i] \triangleq s_0 s_1 \ldots s_i$$

$$\sigma[i..] \triangleq s_i s_{i+1} \ldots$$

We use superscripts to denote repetition. Thus, for α in S^*, α^n is the finite sequence obtained by repeating α n times and α^ω is the history obtained by repeating α indefinitely. We use juxtaposition to denote catenation of state sequences.

3. Formalizing Safety

If a "bad thing" happens in a history, then it must do so in some finite prefix of that history. Based on this, Lamport [Lamport 85] formalized a safety property as any property P satisfying

$SP_L(P)$: $(\forall \sigma: \sigma \in S^\omega: \sigma \models P \Leftrightarrow (\forall i: 0 \leq i: \sigma[..i]\sigma[i]^\omega \models P))$

Thus, a safety property P is satisfied by a history σ if and only if every prefix of σ—extended to an infinite sequence by repeating its last state—also satisfies P. Extension of a finite sequence ($\sigma[..i]$) to an infinite one is necessary because only a history can satisfy a property; repetition of the last step is one of a number of ways to perform this extension.

For some properties, extending a finite sequence by repeating the final state causes problems. Consider property CP stipulating that a variable *clock* is increased for every instruction executed. Using the temporal logic notation "○" for the "next-time" operator, this is given by

CP: $(clock = N) \Rightarrow \bigcirc(clock > N)$.

Intuitively, CP is a safety property: the "bad thing" is *clock* not increasing in two successive states. However, CP does not satisfy the formal definition of safety given above. $SP_L(CP) = false$ because for no history σ—even if $\sigma \models CP$—will the value of *clock* change after the i^{th} state in $\sigma[..i]\sigma[i]^\omega$.

This difficulty arises only for properties that are not invariant under stuttering. A property is *invariant under stuttering* if and only if whenever a history satisfies the property, the history with every state repeated zero or more times also satisfies the property, and vice versa. More formally, any property P satisfying

$STR(P)$: $(\forall f: f \in \mathbf{N} \to \mathbf{N}: \sigma \models P \Leftrightarrow \sigma[0]^{f(0)+1} \ldots \sigma[i]^{f(i)+1} \ldots \models P)$

is invariant under stuttering. Properties that are invariant under stuttering are well suited for hierarchical specification and verification [Lamport 83]. By permitting states to be repeated, meaningful statements can be made about the system at various levels of abstraction. For example, execution of a higher-level operation that is implemented by a sequence of lower-level operations can be viewed as a sequence of repeated, identical, higher-level states where there is one state for every lower-level instruction executed but the last, which produces a new higher-level state.

We now give a formalization of safety that agrees with SP_L for properties invariant under stuttering and that agrees with the informal definition of safety for properties (like CP)

that are not. If a safety property P does not hold for a history σ, then some "bad thing" must have happened during σ. This "bad thing" must be irremediable, because a safety property requires that the "bad thing" never happen. Thus, if $\neg(\sigma \models P)$, there is some prefix of σ (that includes the "bad thing") for which no extension to a history will satisfy P. Taking the contrapositive of this, P is a safety property if it satisfies

$$SP_{ADS}(P): \quad (\forall \sigma: \sigma \in S^{\omega}: \sigma \models P \Leftrightarrow (\forall i: 0 \le i: (\exists \beta: \beta \in S^{\omega}: \sigma[..i]\beta \models P))).$$

SP_{ADS} differs from SP_L in the way prefixes are extended to form histories. SP_{ADS} permits extension using any history β, while SP_L requires extension by replicating the last state of the prefix. Note that $SP_{ADS}(CP) = true$, so CP is a safety property according to this formalization.

The relationship between SP_L and SP_{ADS} is given in the following two theorems. The first theorem states that safety properties under SP_L are also safety properties under SP_{ADS}.

Theorem: For any property P, $SP_L(P) \Rightarrow SP_{ADS}(P)$.

Proof: Assuming $SP_L(P)$, we must show $\sigma \models P \Leftrightarrow (\forall i: 0 \le i: (\exists \beta: \beta \in S^{\omega}: \sigma[..i]\beta \models P))$.

$(\forall i: 0 \le i: (\exists \beta: \beta \in S^{\omega}: \sigma[..i]\beta \models P))$
$\Leftrightarrow$ $(\forall i: 0 \le i: (\exists \beta: \beta \in S^{\omega}: \sigma[..i]\sigma[i]^{\omega} \models P))$ $SP_L(P)$, since $\sigma[..i]\beta \models P$
$\Leftrightarrow$ $(\forall i: 0 \le i: \sigma[..i]\sigma[i]^{\omega} \models P)$ by Predicate Logic
$\Leftrightarrow$ $\sigma \models P$ by $SP_L(P)$.

□

The second theorem states that every safety property according to SP_{ADS} that is invariant under stuttering is also a safety property according to SP_L.

Theorem: For any property P, $(SP_{ADS}(P) \wedge STR(P)) \Rightarrow SP_L(P)$.

Proof: Assuming $SP_{ADS}(P)$ and $STR(P)$, we must show:

(1) $\sigma \models P \Rightarrow (\forall i: 0 \le i: \sigma[..i]\sigma[i]^{\omega} \models P)$
(2) $(\forall i: 0 \le i: \sigma[..i]\sigma[i]^{\omega} \models P) \Rightarrow \sigma \models P$

First, we prove (1):

$\sigma \models P$
(*) $\Leftrightarrow$ $(\forall i: 0 \le i: (\exists \beta: \beta \in S^{\omega}: \sigma[..i]\beta \models P))$ by $SP_{ADS}(P)$
$\Leftrightarrow$ $(\forall i: 0 \le i: (\exists \beta: \beta \in S^{\omega}: (\forall n: 0 \le n: \sigma[..i]\sigma[i]^n\beta \models P)))$ by $STR(P)$
$\Rightarrow$ $(\forall i: 0 \le i: (\forall n: 0 \le n: (\exists \beta: \beta \in S^{\omega}: \sigma[..i]\sigma[i]^n\beta \models P)))$ by Predicate Logic
$\Leftrightarrow$ $(\forall i: 0 \le i: (\forall n: 0 \le n: (\exists \beta: \beta \in S^{\omega}: (\sigma[..i]\sigma[i]^{\omega})[..i+n]\beta \models P)))$
since $\sigma[..i]\sigma[i]^n = (\sigma[..i]\sigma[i]^{\omega})[..i+n]$
$\Leftrightarrow$ $(\forall i: 0 \le i: (\forall j: i \le j: (\exists \beta: \beta \in S^{\omega}: (\sigma[..i]\sigma[i]^{\omega})[..j]\beta \models P)))$ by Predicate Logic
$\Leftrightarrow$ $(\forall i: 0 \le i: (\forall j: 0 \le j: (\exists \beta: \beta \in S^{\omega}: (\sigma[..i]\sigma[i]^{\omega})[..j]\beta \models P)))$
since $j < i \Rightarrow (\sigma[..i]\sigma[i]^{\omega})[..j] = \sigma[..j]$ and according to (*), $\sigma[..j]\beta \models P$
$\Leftrightarrow$ $(\forall i: 0 \le i: \sigma[..i]\sigma[i]^{\omega} \models P)$ since $SP_{ADS}(P)$.

Next, we prove (2):

$$
\begin{array}{ll}
 & (\forall i:\ 0 \le i:\ \sigma[..i]\,\sigma[i]^{\omega} \models P) \\
\Rightarrow & (\forall i:\ 0 \le i:\ (\exists \beta:\ \beta \in S^{\omega}:\ \sigma[..i]\,\beta \models P)) \quad \text{use } \beta = \sigma[i]^{\omega} \\
\Leftrightarrow & \sigma \models P \quad \text{by } SP_{ADS}(P).
\end{array}
$$

□

4. Discussion

It has been argued that properties invariant under stuttering are the only ones of real interest in program verification [Lamport 83]. We agree. This, however, is a religious issue. A formalization of safety should serve many faiths. This note presents a definition of safety that can be applied to any property.

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