CIS 5000 Midterm 2

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Directions:

- You have 90 minutes to complete the exam.
- There are 90 total points (regardless of which track you follow).
- Please write your PennKey (login ID, e.g. stevez) on the bottom of each page (so that we can find things if the staple fails!)
- This exam contains both standard and advanced-track questions. Questions with no annotation are for *both* tracks. Other questions are marked "Standard Track Only" or "Advanced Track Only."

Do not waste time (or confuse the graders) by answering questions intended for the other track. To make sure, please look for the questions for the other track as soon as you begin and cross them out!

Mark the box of the track you are following:



Advanced

1. [Standard Track Only] Behavioral Equivalence (14 points)

Recall the notion of *program equivalence*, cequiv, from the Equiv chapter. Two Imp commands c_1 and c_2 are equivalent if for every starting state st, either c_1 and c_2 both diverge or both terminate in the same final state st'. For the following pairs of Imp programs mark *True* if the pair of Imp programs are equivalent. If they're not equivalent, mark *False*.

| (a) | X := Y; Y := X | Y := X; X := Y |
|-------------|---|-------------------------|
| \Box True | \Box False | |
| (b) | skip | while false do skip end |
| \Box True | \Box False | |
| (c) | X := 10; Y := 0; while X <> Y do Y := Y + 1 end | Y := X |
| \Box True | \Box False | |
| (d) | <pre>X := 10; Y := 0; while X <> Y do</pre> | skip |
| \Box True | \Box False | |

(e) Suppose that c1 is equivalent to c2, then it follows that the following two programs are equivalent for any b:

| if b then | if $\sim\!\!\!\mathrm{b}$ then |
|--------------|--------------------------------|
| c1 | c1 |
| else | else |
| c2 | c2 |
| | |
| \Box False | |

(f) Suppose that c1 is equivalent to c2, then for every definition of c3, the following programs are *equivalent*:

```
c1 ; c3 c2 ; c3
```

 \Box True \Box False

 \Box True

(g) Suppose that c1 is *not* equivalent to c2, then it is not possible to define c3 such that the following programs are *equivalent*:

c1 ; c3 c2 ; c3

 \Box True \Box False

2. [Advanced Track Only] Behavioral Equivalence (14 points total)

Suppose we wanted to add a command print a to Imp, which is intended to model printing the (arithmetic) expression a to the terminal. This problem explores the ramifications of that choice on behavioral equivalence. The state of the Imp semantics will now include a *log* of the natural numbers output on the console, represented as a list.

For the large step semantics, the rules are the same as in Appendix A except that they also propagate the log unchanged. For example, the modified rule for skip and the new rule for print are shown below:

(a) (4 points) If we straightforwardly modify the statement of behavioral equivalence to use this definition, we end up with the following:

```
Definition cequiv (c1 c2 : com) : Prop :=
    ∀ (st st' : state) (log log' : list nat),
        (st / log =[ c1 ]⇒ st' / log') ↔ (st / log =[ c2 ]⇒ st' / log').
```

Suppose that the terminal output becomes visible to a user *immediately* after the print command executes. Briefly describe why this definition of program equivalence is *not* very satisfactory if we intend it to model what would be seen by a user who is watching the terminal. Give a specific example of two programs whose behavior would be mischaracterized if we use this definition.

[Advanced Track Only]

It is harder to fix the problems with cequiv hinted at above than you might expect. One idea is to move to a small-step semantics for modeling this situation. As with the usual rules for small-step Imp, there is no rule for stepping skip, but we would add these rules for print:

print n / st / log \longrightarrow skip / st / (n::log) (C_Print) a \longrightarrow a a' print a / st / log \longrightarrow print a' / st / log (C_PrintStep)

The other rules propagate the log unchanged. For example, we have these rules for While and IfTrue:

 (C_While) while b do c end / st / log \rightarrow if b then c ; while b do c end else skip end / st / log (C_IfTrue) if true then c1 else c2 end / st / log \rightarrow c1 / st / log

Recall that $\longrightarrow *$ is the reflexive, transitive closure of \longrightarrow , given by multi step (see Appendix B). Consider the following first try at a definition for behavioral equivalence for this situation.

Definition cequiv_first_try (c1 c2 : com) : Prop :=
 ∀ st log st' log',
 ∀ c1', (c1 / st / log →* c1' / st' / log') →
 ∃ c2', (c2 / st / log →* c2' / st' / log')

Informally, the definition above says that if c1 can be run from starting state st with log to reach a state st' and output log', then so can c2. Unfortunately, this *still* isn't quite right, for several reasons.

(b) (2 points) For one thing, one of the desired properties of an behavioral equivalence fails to hold. Which property fails for the above definition? (Mark one)

□ Reflexivity

□ Symmetry

□ Transitivity

 \Box Congruence

In an attempt to fix the problem above, we might try this definition instead:

```
Definition cequiv_second_try (c1 c2 : com) : Prop :=
    ∀ st log st' log',
    ∀ c1', (c1 / st / log →* c1' / st' / log') →
        ∃ c2', (c2 / st / log →* c2' / st' / log')
        ∧
    ∀ c2', (c2 / st / log →* c2' / st' / log') →
        ∃ c1', (c1 / st / log →* c1' / st' / log')
```

This definition *does* satisfy all of the properties from part (b), but it is also *too coarse*—it equates too many commands. Ironically, unlike for the large-step version of cequiv in part (a), the presence of print isn't the problem—this definition does correctly distinguish programs that print different outputs. However, sometimes this definition claims that two commands without print are equal when cequiv correctly distinguishes them.

[Advanced Track Only]

In particular, the commands c1 = skip and c2 = while true do skip end, which are *inequivalent* according to cequiv are incorrectly equated by the proposed cequiv_second_try.

(c) (4 points) One direction of the proof of equivalence using cequiv_second_try is pretty easy. Below, we give an informal proof of that claim with **three choices** left for you to determine. Mark the boxes to complete the proof.

Lemma Undesired Equivalence Left-to-Right: \forall st log st' log',

```
\forall c1', (skip / st / log →* c1' / st' / log') →
\exists c2', (while true do skip end / st / log →* c2' / st' / log')
```

Proof. Let st, log, st', and log' be given. Suppose we have c1' such that H: $(skip / st / log) \rightarrow * c1' / st' / log'$. We must show that $\exists c2'$, (while true do skip end) / st / log $\rightarrow * c2' / st' / log'$.

We proceed by induction on the derivation of H via the $\rightarrow \star$ relation, and there are two cases:

- In the base case of multi_refl, we have: c1' = (□ skip or □ while true do skip end), and st = st' and log = log'. We can instantiate the existential by choosing c2' = (□ skip or □ while true do skip end) and we conclude by observing that in zero steps: c2 / st / log →* c2' / st / log
- In the second case, we have that there exists c1'', st1'' and log'' such that
 H1 : skip / st / log →c1'' / st'' / log'' and that H2 : c1'' / st'' / log '' →* c1' / st' / log'
 but we can conclude by observing (choose one):
 - \Box that H2 directly yields the result thanks to the induction hypothesis
 - □ that H1 contradicts the definition of step, since skip does not step, so this case is vacuously true.

(d) (4 points) Proving the other direction needed to show that skip and while true do skip end are equated by cequiv_second_try is quite challenging. The statement of the needed property is:

Lemma Undesired Equivalence Right-to-Left: \forall st log st' log',

 \forall c2', (while true do skip end / st / log $\longrightarrow \!\!\! \star$ c2' / st' / log') \rightarrow

 \exists c1', (skip / st / log $\longrightarrow *$ c1' / st' / log')

To prove this, a very helpful lemma is:

Lemma No Outputs \forall st st' c

while true do skip end / st / log $\longrightarrow \!\!\! \star$ c / st' / log' \rightarrow st = st' \wedge log = log'.

In the space below, give a *short* informal proof of the **Right-to-Left** lemma, you should explicitly mention how you use the **No Outputs** lemma.

Proof.

3. Hoare Logic (18 points total)

Appendix A contains a summary of the standard Hoare Logic rules for Imp.

Adding assertions for proving properties about programs

(a) (8 points) Prove that, beginning in a state where if X is m, Y is n, and some suitable condition P holds, the following program *swaps* the value of two variables. Choose the (correct) condition P from the list below and then fill in correct assertions to complete the decorated Hoare proof. (Hint: recall that Imp semantics implement arithmetic over natural numbers, so, e.g., 2 - 3 = 0.)

(b) (10 points) Complete the Hoare-logic decorations to prove that the following program will always assign 1 to X.

| {{ True }} X := 0 {{ | |
|--|-------------|
| if X = 0 then {{ {{ {{ { { { { { { { { { { { { { { | }} }} →> |
| X := 1 {{ | }} |
| else {{ {{ {{ { { { { { { { { { { { { { { | }} }} → |
| X := 2 {{ | }} |
| end {{ | }} |
| $\{ \{ X = 1 \} \}$ | }} →> |

4. Loop Invariants (15 points total)

Recall that an assertion P is a valid loop invariant for while b do c end if {{ $P \land b$ }} c {{ $P }} holds.$

(a) (5 points) Mark which of the following are valid loop invariants for the following program. (Choose all that apply)

(b) (5 points) Mark which of the following are valid loop invariants AND can be used to prove the following Hoare triple. (Choose all that apply)

```
{{ even n \land even m \land n > m}
 X := n
 Y := m
 while X > Y do
     X := X - 1
      Y := Y + 1
 end
 \{\{X * 2 = n + m\}\}
True
X + Y = n + m
X * 2 = X + Y
(X > Y) \land X * 2 = X + Y
(X > Y) \land X + Y = n + m
```

(c) (5 points) Mark which of the following are loop invariants (for the outer loop) AND can be used to prove the following Hoare triple. Recall that $exp \ 2 \ n$ calculates 2^n . (Choose all that apply)

```
\{\{ exp 2 k = n \}\}
 X := n
 Z := 0
 while X > 1 do
      Y := 0
      while Y < X do
           X := X - 1
           Y := Y + 1
      end
      Z := Z + 1
 end
 \{\{ exp 2 Z = n \}\}
True
False
□ (exp 2 Z) * X = n
((X \ge 1) \land (exp \ 2 \ Z) \ast X = n)
((n \ge 1) \land (exp \ 2 \ Z) * X = n)
```

5. Imp Semantics (11 points)

Suppose that we extend Imp with a new command, swap X Y, that *atomically swaps* the contents of the two variables X and Y. For example, after running the following program, the value of X will be 5000 and Y will be 17

X := 17; Y := 5000; swap X Y;

(a) (3 points) To define the semantics for this new command, we need to add a new rule to the ceval predicate.

```
Inductive ceval : com \rightarrow state \rightarrow state \rightarrow Prop :=
  | E_Skip : \forall st,
    st =[ skip ]\Rightarrow st
  | E_Asgn : \forall st a n x,
    aeval st a = n \rightarrow
    st =[ x := a ]\Rightarrow (x !\rightarrow n ; st)
  | (* other cases are standard and omitted *)
  ???.
```

Recall that $x \rightarrow v$; m updates the map m so that identifier x maps to v. Which of the following clauses should be placed in the hole ??? above to properly define the semantics for swap? (Choose one)

```
    □ | E_Swap : ∀ st x y,
(x !→ st y; st) =[ swap x y ]⇒ (y !→ st x ; st)
    □ | E_Swap : ∀ st x y,
st =[ swap x y ]⇒ (x !→ st y ; y !→ st x ; st)
    □ | E_Swap : ∀ st x y,
(x !→ st y ; y !→ st x ; st) =[ swap x y ]⇒ st
    □ | E_Swap : ∀ st x y n m,
st =[ swap x y ]⇒ (x !→ n ; y !→ m ; st)
```

(b) (8 points) Assuming that the swap X Y instruction's semantics are implemented correctly, which of the following are valid statements about Hoare triples? (Mark all that are correct.)

□ ∀m,n, {{ X = m /\ Y = n }} swap X Y {{ X = n /\ Y = m }}
 □ {{ fun st => Q [X |-> st Y] [Y |-> st X] st }} swap X Y {{ Q }}
 □ {{ P }} swap X Y {{ fun st => P [X |-> st Y][Y |-> st X] st }}
 □ {{ X = Y }} swap X Y {{ Y = X }}

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6. Small Step Semantics (20 points total)

In this problem, we will work with a simple language that only has Push and Pop instructions. These instructions will be used to manipulate a stack, which is just a list of natural numbers.

The evaluation function eval below gives a precise specification of the behavior.

```
Fixpoint eval (prog : list instr) (st : stack) : option stack :=
  match prog with
  | [] ⇒ Some st
  | i :: rest ⇒
  match i with
  | Push n ⇒ eval rest (n :: st)
  | Pop n ⇒
  match st with
  | [] ⇒ None
  | n' :: st' ⇒ if n =? n' then eval rest st' else None
  end
  end
  end.
```

For example,

eval [Push 1; Pop 1; Push 2] [] = Some [2].

The eval function returns an option because evaluation can fail. Specifically, this happens when we try to Pop a value from the top of the stack that is not there. For example,

eval [Pop 2] [1] = None.

(a) (8 points) Complete this inductively defined relation for the small-step semantics so that it captures the same behavior as eval. For example, the following should be provable using your relation:

step ([Push 1; Pop 1; Push 2] , []) ([Pop 1; Push 2] , [1]).

On the other hand, these should not be provable for any (st : stack) or (next : list instr * stack): step ([] , st) next

```
step ([Pop 2] , [1]) next
Inductive step : (list instr * stack) → (list instr * stack) → Prop :=
  (* FILL IN HERE *)
```

(b) (12 points) The answers to this problem will be graded relative to a correct definition of the step relation (based on the provided specification) and not relative to your answer to part (a). As a result, you should be able to reason about this problem regardless of whether you solved part (a).

Consider these two new step rules. First,

```
| SIgnore : ∀ (i : instr) (l : list instr) (st : stack),
step (i :: l, st) (l, st)
```

This allows us to non-deterministically ignore an instruction, so we could prove things like

step ([Push 1] , []) ([] , []).

Second,

This allows us to non-deterministically repeat an instruction, so we could prove things like

step ([Push 1] , []) ([Push 1] , [1]).

We define our values for this language as follows:

```
Inductive value : (list instr * stack) \rightarrow Prop := | v_empty : \forall st, value ([], st).
```

Which completions make true statements? Please consult Appendix B for the definitions, which are taken from the Smallstep.v file. (Mark all that apply, 1 point for each box.)

- i. normalizing is provable...
 - \Box for the original step
 - \Box for step + SIgnore
 - \Box for step + SRepeat
 - \Box for step + SIgnore + SRepeat
- ii. value_is_nf is provable...
 - \Box for the original step
 - \Box for step + SIgnore
 - \Box for step + SRepeat
 - \Box for step + SIgnore + SRepeat
- iii. nf_is_value is provable...
 - \Box for the original step
 - \Box for step + SIgnore
 - \Box for step + SRepeat
 - \Box for step + SIgnore + SRepeat

7. Types, Preservation, Progress (12 points total)

This problem refers to the combined language of Bools and Nats from the Types.v file. For your reference, this language defined in Appendix C, along with the statements of the various lemmas used below.

(a) (6 points) Suppose we add this new typing rule to the system (keeping all the others unchanged):

```
\vdash \mathsf{true} \in \mathsf{Nat}  (TrueNat_added)
```

Which of the following properties no longer hold for this language? (Mark all that apply; if they all remain true, mark that box instead.)

- □ bool_canonical
- \Box nat_canonical
- □ progress
- \Box preservation
- \Box step_deterministic
- \Box They all remain true

(b) (6 points) Suppose we instead add this new stepping rule to the system (keeping all the others unchanged):

 $\vdash \text{ pred } \emptyset \longrightarrow \text{true}$ (ST_Pred0_added)

Which of the following properties no longer hold for this language? (Mark all that apply; if they all remain true, mark that box instead.)

- □ bool_canonical
- nat_canonical
- □ progress
- \Box preservation
- □ step_deterministic
- □ *They all remain true*

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CIS 5000 2022 Midterm 2 Appendices (Do not write answers in the appendices. They will not be graded)

Appendix A: Imp Semantics and Hoare Logic Rules

Imp Large Step Semantics

| st =[skip]⇒ st | (E_Skip) |
|---|----------------|
| aeval st a = n st =[x := a] \Rightarrow (x ! \rightarrow n ; st) | (E_Asgn) |
| <pre>st =[c1]⇒ st' st' =[c2]⇒ st'' st =[c1;c2]⇒ st''</pre> | (E_Seq) |
| beval st b = true st =[c1]⇒ st' st =[if b then c1 else c2 end]⇒ st' | (E_IfTrue) |
| beval st b = false st =[c2]⇒ st' st =[if b then c1 else c2 end]⇒ st' | (E_IfFalse) |
| beval st b = false st =[while b do c end]⇒ st | (E_WhileFalse) |
| beval st b = true st =[c]⇒ st' st' =[while b do c end]⇒ st'' | (E_WhileTrue) |
| st =[while b do c end] \Rightarrow st'' | |

Imp Hoare Logic Rules

```
.... (hoare_asgn)
       {{Q [X ⊢ > a]}} X:=a {{Q}}
       ----- (hoare_skip)
       {{ P }} skip {{ P }}
         {{ P }} c1 {{ Q }}
{{ Q }} c2 {{ R }}
              (hoare_seq)
        {{ P }} c1;c2 {{ R }}
        \{ \{ P \land b \} \} c1 \{ \{ Q \} \}
       \{\{P \land \sim b\}\}\ c2\ \{\{Q\}\}\
                    (hoare_if)
. . . . . . . .
{{P}} if b then c1 else c2 end {{Q}}
 {{P \ b}} c {{P}} (hoare_while)
 {{P}} while b do c end {{P \land \sim b}
          {{P'}} c {{Q'}}
  \begin{array}{cccc} P & \rightarrow & P' \\ Q' & \rightarrow & Q \\ \hline \end{array}  (hoare_consequence)
         {{P}} c {{Q}}
```

Appendix B: Normal Form and Value Definitions

Given value and step relations defined elsewhere, we have the following additional definitions.

```
Definition normal_form (t : list instr * stack) : Prop :=
 ~ ∃ t', step t t'.
Lemma normalizing : ∀ t,
 ∃ t', (multi step) t t' ∧ normal_form t'.
Lemma value_is_nf : ∀ v,
 value v → normal_form v.
Lemma nf_is_value : ∀ nf,
 normal_form nf → value nf.
Inductive multi {X : Type} (R : relation X) : relation X :=
 | multi_refl : ∀ (x : X), multi R x x
 | multi_step : ∀ (x y z : X),
 R x y →
 multi R y z →
 multi R y z →
 multi R x z.
```

Appendix C: Combined Bool and Nat terms

This Appendix has the definitions of the terms, small-step semantics, and typing rules for the language from Types.v.

Syntax and Values

```
t ::= true bvalue v \leftrightarrow (v = true \lor v = false)

| false

| if t then t else t nvalue n \leftrightarrow (n = 0 \lor (\exists m, n = succ m \land nvalue m)

| 0

| succ t

| pred t

| iszero t
```

Small-step operational semantics

| if true then t1 else t2 \longrightarrow t1 | (ST_IfTrue) |
|--|-----------------|
| if false then t1 else t2 \longrightarrow t2 | (ST_IfFalse) |
| $t1 \longrightarrow t1'$ if t1 then t2 else t3 \longrightarrow if t1' then t2 else t3 | (ST_If) |
| $\begin{array}{c} t1 \longrightarrow t1'\\ \hline\\ succ t1 \longrightarrow succ t1'\end{array}$ | (ST_Succ) |
| pred $0 \longrightarrow 0$ | (ST_Pred0) |
| numeric value v pred (succ v) \longrightarrow v | (ST_PredSucc) |
| $t1 \longrightarrow t1'$ pred $t1 \longrightarrow$ pred $t1'$ | (ST_Pred) |
| iszero 0 \longrightarrow true | (ST_IsZero0) |
| numeric value v iszero (succ v) → false | (ST_IszeroSucc) |
| $t1 \longrightarrow t1'$ iszero $t1 \longrightarrow$ iszero $t1'$ | (ST_Iszero) |

Type System

```
(T_True)
          \vdash true \in Bool
          -----
                                       (T_False)
          \vdash false \in Bool
\vdash t1 \in Bool \vdash t2 \in T \vdash t3 \in T
-----
                                      (T_If)
    \vdash if t1 then t2 else t3 \in T
            (T_0)
            \vdash 0 \in Nat
           ⊢ t1 ∈ Nat
          (T_Succ)
          \vdash succ t1 \in Nat
           ⊢ t1 ∈ Nat
          (T_Pred)
          \vdash pred t1 \in Nat
          \vdash t1 \in Nat
        (T_Iszero)
         \vdash iszero t1 \in Bool
```

Key Lemmas

```
Lemma bool_canonical : \forall t,

\vdash t \in Bool \rightarrow value t \rightarrow bvalue t.

Lemma nat_canonical : \forall t,

\vdash t \in Nat \rightarrow value t \rightarrow nvalue t.

Theorem progress : \forall t T,

\vdash t \in T \rightarrow value t \lor \exists t', t \longrightarrow t'.

Theorem preservation : \forall t t' T,

\vdash t \in T \rightarrow t' \rightarrow t' \in T.

Definition deterministic {X : Type} (R : relation X) :=

\forall x y1 y2 : X, R x y1 \rightarrow R x y2 \rightarrow y1 = y2.

Theorem step_deterministic:

deterministic step.
```