

PROOF-CARRYING-CODE

APPLYING FORMAL METHODS IN A DISTRIBUTED WORLD

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MOTIVATION

Resource-bounded computation is one specific instance of PCC.

Safety policy: resource consumption is lower than a given bound.

Resources can be (heap) space, time, or size of parameters to system calls.

Strong demand for such guarantees for example in embedded systems.

MOBILE RESOURCE GUARANTEES

Objective:

Development of an infrastructure to endow mobile code with independently verifiable certificates describing resource behaviour.

Approach:

Proof-carrying code for **resource-related properties**, where proofs are generated from typing derivations in a **resource-aware type system**.

Project partners: LFCS, Univ of Edinburgh (D. Sannella) and Inst Informatik, LMU Univ, Munich (M. Hofmann). This work is funded by the EU under the IST-FET project *Mobile Resource Guarantees* No. IST-2001-33149.

MOTIVATION

Restrict the execution of mobile code to those adhering to a certain resource policy.

Application Scenarios:

- A user of a **handheld device** might want to know that a downloaded application will definitely run within the limited amount of memory available.
- A provider of **computational power in a Grid infrastructure** may only be willing to offer this service upon receiving dependable guarantees about the required resource consumption.

PROOF-CARRYING-CODE WITH HIGH-LEVEL-LOGICS

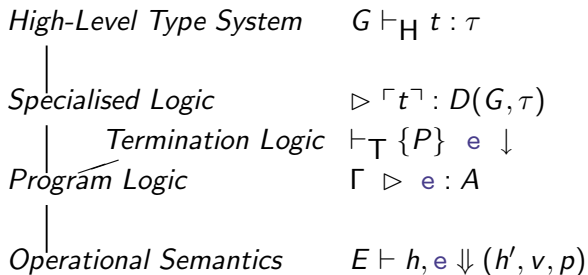
Our approach to PCC: Combine high-level type-systems with program logics and build a **hierarchy of logics** to construct a logic tailored to reason about resources.

Everything is **formalised in a theorem prover**.

Classic vs Foundational PCC: best of both worlds

- **Simple reasoning**, using specialised logics;
- **Strong foundations**, by encoding the logics in a theorem prover

PROOF-CARRYING-CODE WITH HIGH-LEVEL-LOGICS



MOTIVATING EXAMPLE OF THIS HIERARCHICAL APPROACH

High-level language: ML-like.

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Directly on the program logic

$$\triangleright f(x) : \lambda E h h' v . h \models_{\text{list}} E\langle x \rangle \longrightarrow h' \models_{\text{list}} v$$

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$$\triangleright f(x) : \lambda E h h' v . h \models_{\text{list}} E\langle x \rangle \longrightarrow h' \models_{\text{list}} v$$

NOT: reasoning on this level generates huge side-conditions.

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Instead, define a higher-level logic \vdash_H that abstracts over the details of datatype representation, and that has the property

$$G \vdash_H t : \tau \implies \triangleright \ulcorner t \urcorner : D(\Gamma, \tau)$$

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We specialise the form of assertions like this

$$D(\{x : list, y : list\}, list) \equiv \lambda E h h' v p. \quad \begin{array}{l} h \models_{list} E\langle x \rangle \wedge h \models_{list} E\langle y \rangle \longrightarrow \\ h' \models_{list} E\langle x \rangle \wedge h' \models_{list} E\langle y \rangle \wedge h' \models_{list} v \end{array}$$

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Now we can formulate rules, that match translations from the high-level language:

$$\frac{\triangleright \ulcorner t_1 \urcorner : D(\Gamma, \tau \text{ list}) \quad \triangleright \ulcorner t_2 \urcorner : D(\Gamma, \tau)}{\triangleright \ulcorner cons(t_1, t_2) \urcorner : D(\Gamma, \tau \text{ list})}$$

CAMELOT

- Strict, first-order functional language with CAML-like syntax and object-oriented extensions
- Compiled to subset of JVM (Java Virtual Machine) bytecode (Grail)
- Memory model: 2 level heap
- Security: Static analyses to prevent deallocation of live cells in Level-1 Heap: linear typing (folklore + Hofmann), readonly typing (Aspinall, Hofmann, Konencny), layered sharing analysis (Konencny).
- Resource bounds: Static analysis to infer linear upper bounds on heap consumption (Hofmann, Jost).

EXAMPLE: INSERTION SORT

Camelot program:

```
let ins a l = match l with
  Nil -> Cons(a,Nil)
  | Cons(x,t)@_ -> if a < x then Cons(a,Cons(x,t))
                  else Cons(x, ins a t)

let sort l = match l with Nil -> Nil
                        | Cons(a,t)@_ -> ins a (sort t)
```

IN-PLACE OPERATIONS VIA A DIAMOND TYPE

Using operators, such as Cons, amounts to heap allocation.

Additionally, Camelot provides extensions to do **in-place operations** over arbitrary data structures via a so called **diamond type** \diamond with $\mathbf{d} \in \diamond$:

```
match l with Nil@d => e1
           | Cons (h,t)@d => ... Cons (x,t)@d ...
```

The memory occupied by the cons cell can be **re-used** via the diamond \mathbf{d} .

Note:

- \diamond is an abstract data-type
- structured use of diamonds in branches of pattern matches

HOW DOES THIS FIT WITH REFERENTIAL TRANSPARENCY?

Using a diamond type, we can introduce side effects:

```
type ilist = Nil | Cons of int*ilist
let insert1 x l =
  match l with Nil -> Cons (x, l)
             | Cons(h,t)@d ->
               if x <= h then Cons(x, Cons(h,t)@d)
               else Cons(h, insert1 x t)@d

let sort l = match l with Nil -> Nil
            | Cons(h,t) -> insert1 h (sort t)
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```

Now, what's the result of

```
let start args = let l = [4,5,6,7] in
                  let l1 = insert1 6 l in
                  print_list l
```

LINEARITY SAVES THE DAY

We can characterise the class of programs for which referential transparency is retained.

THEOREM

A **linearly typed** Camelot program computes the function specified by its purely functional semantics (Hofmann, 2000).

BEYOND LINEARITY

But: linearity is too restrictive in many cases; we also want to use diamonds in programs where **only the last access to the data structure is destructive**.

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As with pointers, diamonds can be a powerful gun to shoot yourself in the foot. We need a **powerful type system** to prevent this, and want a **static analysis** to predict resource consumption.

SPACE INFERENCE

Goal: Infer a linear upper bound on heap consumption.

Given Camelot program containing a function

```
start : string list -> unit
```

find **linear function** s such that $\text{start}(l)$ will not call $\text{new}()$ (only $\text{make}()$) when evaluated in a heap h where

- **the freelist has length not less than $s(n)$**
- l points in h to a linear list of some length n
- the freelist which forms a part of h is well-formed
- the freelist does not overlap with l

Composing start with *runtime environment* that binds input to, e.g., stdin yields a standalone program that runs within predictable heap space.

EXTENDED (LFD) TYPES

Idea: Weights are attached to constructors in an extended type-system.

```
ins      : 1, int -> list(...<0>) -> list(...<0>), 0
```

says that the call `ins x xs` requires 1 heap-cell plus 0 heap cells for each `Cons` cell of the list `xs`.

```
sort     : 0, list(...<0>) -> list(...<0>), 0
```

`sort` does not consume any heap space.

```
start    : 0, list(...<1>) -> unit, 0;
```

gives rise to the desired linear bounding function $s(n) = n$.

HIGH-LEVEL TYPE SYSTEM: FUNCTION CALL

A, B, C are types, $k, k', n, n' \in \mathbb{Q}^+$, f is a Camelot function and x_1, \dots, x_p are variables, Σ is a table mapping function names to types.

$$\frac{\Sigma(f) = (A_1, \dots, A_p, k) \longrightarrow (C, k') \quad n \geq k \quad n - k + k' \geq n'}{\Gamma, x_1 : A_1, \dots, x_p : A_p, n \vdash f(x_1, \dots, x_p) : C, n'} \quad (\text{FUN})$$

GRAIL

Characteristics of Grail (**G**uaranteed **R**esource **A**ware **I**ntermediate Language):

- Abstract representation of virtual machine languages
- Language of dual identity: (impure) functional semantics and (object-oriented) imperative semantics via expansion to virtual machine code
- Syntactic restrictions on functions to obtain coincidence of semantics: no nesting; only tail-calls; λ -lifted; arguments and parameters must match
- Operational semantics with cost model $E \vdash h, e \Downarrow (h', v, p)$ relating expression e , environment E , (pre-)heap h , result v , (post-)heap h' and cost component

$$p = \langle \text{clock} \quad \text{callc} \quad \text{invkc} \quad \text{invkdepth} \rangle.$$

EXAMPLE: INSERTION SORT

Grail code:

```
method static public List ins (int a, List l) = ...Make(...,...)
method static public List sort (List l) =
  let fun f(List l) =
    if l = null then null
      else let val h = l.HD
            val t = l.TL
            val () = D.free (l)
            val l = List.sort (t)
            in List.ins (h, l) end
  in f(l) end
```

This is a 1-to-1 translation of JVM code

GRAIL: SYNTAX

$$e \in \text{expr} ::= \text{null} \mid \text{int } i \mid \text{var } x \mid \text{prim } p \ x \ x \mid \text{new } c \ [t_1 := x_1, \dots, t_n := x_n] \mid$$

$$x.t \mid x.t:=x \mid c \diamond t \mid c \diamond t:=x \mid \text{let } x = e \ \text{in } e \mid e ; e \mid$$

$$\text{if } x \ \text{then } e \ \text{else } e \mid \text{call } f \mid x \cdot m(\bar{a}) \mid c \diamond m(\bar{a})$$

$$a \in \text{args} ::= \text{var } x \mid \text{null} \mid i$$

GRAIL: SEMANTIC DOMAINS

$$l \in Loc \equiv nat$$
$$r \in Ref ::= null \mid ref\ Loc$$
$$v \in Val \equiv int \cup Ref \cup \{\perp\}$$
$$\eta \in Env \equiv (iname \rightarrow int) \uplus (rname \rightarrow Ref)$$
$$h \in Heap \equiv (Loc \rightarrow cname)$$
$$(ifldname \rightarrow Loc \rightarrow int)(rflldname \rightarrow Loc \rightarrow Ref)$$
$$\mathbf{p} \in RRec \equiv nat \times nat \times nat \times nat$$

GRAIL: MODELLING RESOURCES

Resources are an extra component in operational and axiomatic semantics (“resource record”).

$$p \in RRec = (\text{clock} : \text{nat}, \text{callcount} : \text{nat}, \text{invokedepth} : \text{nat}, \text{maxstack} : \text{nat})$$

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We use the following shorthand notation: $\langle 1 \ 0 \ 0 \ 0 \rangle$

Operations on resource vectors are \oplus , as component-wise addition, and \smile :

$$(c, cc, id, ms) \smile (c', cc', id', ms') = (c + c', cc + cc', id + id', \max(ms, ms'))$$

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Resource vectors can be generalised to abstract operations
resource algebras.

JUDGEMENT OF THE OPERATIONAL SEMANTICS

Two semantics for Grail:

- imperative: small-step call-by-value semantics, using a big state structure;
- functional: big-step call-by-value semantics, with side-effecting operations;

A judgement in the functional operational semantics

$$E \vdash h, e \Downarrow_n (h', v, p)$$

is to be read as “starting with a heap h and a variable environment E , the Grail code e evaluates in n steps to the value v , yielding the heap h' as result and consuming p resources.”

OPERATIONAL SEMANTICS: LET- AND CALL-RULES

$$\frac{E \vdash h, e_1 \Downarrow_n (h_1, w, p) \quad w \neq \perp \quad E \langle x := w \rangle \vdash h_1, e_2 \Downarrow_m (h_2, v, q)}{E \vdash h, \text{let } x = e_1 \text{ in } e_2 \Downarrow_{\max(n,m)+1} (h_2, v, \mathbf{p}_1 \smile \mathbf{p}_2)} \text{ (LET)}$$

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$$\frac{E \vdash h, \text{body}_f \Downarrow_n (h_1, v, p)}{E \vdash h, \text{call } f \Downarrow_{n+1} (h_1, v, \langle \mathbf{1} \ \mathbf{1} \ \mathbf{0} \ \mathbf{0} \rangle \oplus \mathbf{p}_1)} \quad (\text{CALL})$$

A PROGRAM LOGIC FOR GRAIL

VDM-style logic with judgements of the form $\Gamma \triangleright e : A$, meaning
“in context Γ expression e fulfills the assertion A ”

Type of assertions (**shallow embedding**):

$$A \equiv \mathcal{E} \rightarrow \mathcal{H} \rightarrow \mathcal{H} \rightarrow \mathcal{V} \rightarrow \mathcal{R} \rightarrow \mathcal{B}$$

No syntactic separation into pre- and postconditions.

Semantic validity $\models e : A$ means

“whenever $E \vdash h, e \Downarrow (h', v, p)$ then $A E h h' v p$ holds”

Note: Covers partial correctness; termination orthogonal.

A PROGRAM LOGIC FOR GRAIL

Simplified rule for parameterless function call:

$$\frac{\Gamma, (\text{Call } f : A) \triangleright e : A^+}{\Gamma \triangleright \text{Call } f : A} \quad (\text{CALLREC})$$

where e is the body of the function f and

$$A^+ \equiv \lambda E h h' v p. A(E, h, h', v, p^+)$$

where p^+ is the updated cost component.

Note:

- Context Γ : collects hypothetical judgements for recursion
- Meta-logical guarantees: soundness, relative completeness

PROGRAM LOGIC RULES

$$\frac{\Gamma \triangleright e_1 : P \quad \Gamma \triangleright e_2 : Q}{\Gamma \triangleright \text{let } x = e_1 \text{ in } e_2 : \lambda E h h' v p. \exists p_1 p_2 h_1 w. P E h h_1 w p_1 \wedge w \neq \perp \wedge Q (E \langle x := w \rangle) h_1 h' v p_2) \wedge p = \mathbf{p_1} \smile \mathbf{p_2}}{\text{(VLET)}}$$

PROGRAM LOGIC RULES

$$\frac{\Gamma \triangleright e_1 : P \quad \Gamma \triangleright e_2 : Q}{\Gamma \triangleright \text{let } x = e_1 \text{ in } e_2 : \lambda E h h' v p. \exists p_1 p_2 h_1 w. P E h h_1 w p_1 \wedge w \neq \perp \wedge Q (E \langle x := w \rangle h_1 h' v p_2) \wedge p = \mathbf{p}_1 \smile \mathbf{p}_2} \text{(VLET)}$$

$$\frac{\Gamma \cup \{(\text{call } f, P)\} \triangleright \text{body}_f : \lambda E h h' v p. P E h h' v \langle \mathbf{1} \ \mathbf{1} \ \mathbf{0} \ \mathbf{0} \rangle \oplus \mathbf{p}_1,}{\Gamma \triangleright \text{call } f : A} \text{(VCALL)}$$

SPECIFIC FEATURES OF THE PROGRAM LOGIC

- Unusual rules for **mutually recursive methods** and for **parameter adaptation** in method invocations

$$\frac{(\Gamma, e : A) \text{ goodContext}}{\triangleright e : A} \quad (\text{MUTREC})$$

$$\frac{(\Gamma, c \diamond m(\bar{a}) : MS \ c \ m \ \bar{a}) \text{ goodContext}}{\triangleright c \diamond m(\bar{b}) : MS \ c \ m \ \bar{b}} \quad (\text{ADAPT})$$

- Proof via admissible Cut rule, **no extra derivation system**
- Global specification table MS , goodContext relates entries in MS to the method bodies

EXAMPLE: INSERTION SORT

Specification:

$$\begin{aligned}
 \text{insSpec} &\equiv \text{MS List ins } [a_1, a_2] = \\
 &\quad \lambda E h h' v p . \forall i r n X . \\
 &\quad (E\langle a_1 \rangle = i \wedge E\langle a_2 \rangle = \text{Ref } r \wedge h, r \models_X n \\
 &\quad \longrightarrow |dom(h)| + 1 = |dom(h')| \wedge \\
 &\quad \quad p \leq \dots)
 \end{aligned}$$

$$\begin{aligned}
 \text{sortSpec} &\equiv \text{MS List sort } [a] = \\
 &\quad \lambda E h h' v p . \forall i r n X . \\
 &\quad (E\langle a \rangle = \text{Ref } r \wedge h, r \models_X n \longrightarrow |dom(h)| = |dom(h')| \wedge p \leq \dots)
 \end{aligned}$$

Lemma:

$$\text{insSpec} \wedge \text{sortSpec} \longrightarrow \triangleright \text{List} \diamond \text{sort}([xs]) : \text{MS List sort } [xs]$$

DEFINITION OF TERMINATION

Goal: Put termination on top of the core logic without changing it.

Termination for a given state E, h and expression e means that a final state exists in the semantics.

Semantic definition of termination of e under precondition P :

$$\{P\} e \downarrow \equiv \forall E h . P E h \longrightarrow \exists h' v p . E \vdash h, e \downarrow (h', v, p)$$

Type of a precondition: $\mathcal{P} \equiv \mathcal{E} \rightarrow \mathcal{H} \rightarrow \mathcal{B}$.

The “rules” of the termination logic are lemmas derived from the Grail Logic.

SELECTED RULES OF THE TERMINATION LOGIC

$$\frac{\forall E h. P E h \longrightarrow E[x] \neq \text{null}}{\{P\} x.f \downarrow} \quad (\text{GETF})$$

Note that the operational semantics gets stuck in case of a null-reference.

$$\frac{\{P\} e \downarrow \quad \{P'\} e' \downarrow \quad \triangleright e : P \longrightarrow_{[x:=]} P'}{\{P\} \text{let } x = e \text{ in } e' \downarrow} \quad (\text{LET})$$

We use the following combinators to capture bindings in lets and express the side condition in terms of a VDM assertion:

$$P \longrightarrow_{[x:=]} Q \equiv \lambda E h h' v p. P E h \longrightarrow \exists r. v = r \wedge Q E[x := r] h'$$

MUTUAL RECURSION

Same approach as for mutual recursion in partial correctness logic: extend judgements to work over sets of expression and preconditions.

Definition of **goodContext** over a context G :

$$\begin{aligned} \text{goodContext } G \equiv & \forall (\text{call } f, P) \in G. \forall n. \\ & (\forall (\text{call } f', P') \in G. \\ & \forall m < n. \{P' \ m\} \text{ call } f' \downarrow) \longrightarrow \{P \ n\} \text{ body } f \downarrow \end{aligned}$$

With this predicate we can prove the following mutual recursion lemma:

$$\frac{\text{finite } G \quad \text{goodContext } G \quad (\text{call } f, P) \in G}{\{\lambda E \ h. \exists n. P \ n \ E \ h\} \text{ call } f \downarrow} \quad (\text{MUTREC})$$

DISCUSSION OF THE PROGRAM LOGIC

- Expressive logic for correctness and resource consumption
- Logic proven **sound and complete**
- Termination built on top of a logic for partial correctness
- Less suited for immediate program verification: not fully automatic (case-splits, \exists -instantiations, ...), verification conditions large and complex
- Continue abstraction: loop unfolding in op. semantics \rightarrow invariants in general program logics \rightarrow specific logic for interesting (resource-)properties
- Aim: exploit structure of Camelot compilation (freelist) and program analysis

List.ins : 1, $\mathbf{IL}(0) \rightarrow \mathbf{L}(0), 0$

List.sort : 0, $\mathbf{L}(0) \rightarrow \mathbf{L}(0), 0$

HEAP SPACE LOGIC (LFD-ASSERTIONS)

- Translation of Hofmann-Jost type system to Grail, types interpreted as relating initial to final freelist
- Fixed assertion format $\llbracket U, n, [\Delta] \blacktriangleright T, m \rrbracket$

$$\text{List.ins} : \llbracket \{a, l\}, 1, [a \mapsto \mathbf{I}, l \mapsto \mathbf{L}(0)] \blacktriangleright \mathbf{L}(0), 0 \rrbracket$$

$$\text{List.sort} : \llbracket \{l\}, 0, [l \mapsto \mathbf{L}(0)] \blacktriangleright \mathbf{L}(0), 0 \rrbracket$$

- LFD types express space requirements for datatype constructors, numbers n, m refer to the freelist length
- Semantic definition by expansion into core bytecode logic, derived proof rules using linear affine context management
- Dramatic reduction of VC complexity!

SEMANTIC INTERPRETATION OF $\llbracket U, n, [\Delta] \blacktriangleright T, m \rrbracket$

$$\llbracket U, n, [\Delta] \blacktriangleright T, m \rrbracket \equiv$$

$$\lambda E h h' v p.$$

$$\forall F N. \quad (\text{regionsExist}(U, \Delta, h, E) \wedge \text{regionsDistinct}(U, \Delta, h, E) \wedge$$

$$\text{freelist}(h, F, N) \wedge \text{distinctFrom}(U, \Delta, h, E, F))$$

$$\longrightarrow$$

$$(\exists R S M G. \quad v, h' \models_T R, S \wedge \text{freelist}(h', G, M) \wedge R \cap G = \emptyset \wedge$$

$$\text{Bounded}((R \cup G), F, U, \Delta, h, E) \wedge \text{modified}(F, U, \Delta, h, E,$$

$$\text{sizeRestricted}(n, N, m, S, M, U, \Delta, h, E) \wedge \text{dom } h = \text{dom } h')$$

- Formulae defined by BC expansion:

$$\text{regionsDistinct}(U, \Delta, h, E) \equiv$$

$$\forall x y R_x R_y S_x S_y.$$

$$(\{x, y\} \subseteq U \cap \text{dom } \Delta \wedge x \neq y \wedge E(x), h \models_{\Delta(x)} R_x, S_x \wedge E(y), h \models_{\Delta(y)} R_y, S_y)$$

$$\longrightarrow R_x \cap R_y = \emptyset$$

$$\text{sizeRestricted}(n, N, m, S, M, U, \Delta, h, E) \equiv$$

$$\forall q C. \text{Size}(E, h, U, \Delta, C) \wedge n + C + q \leq N \longrightarrow m + S + q \leq M$$

- You don't want to read this — and you don't need to!

PROOF SYSTEM

Proof system with linear inequalities and linear affine type system (U, Δ) that guarantees benign sharing;

$$\frac{\Delta(x) = T \quad n \leq m}{\Gamma \triangleright \text{var } x : [\{x\}, m, [\Delta] \blacktriangleright T, n]} \quad (\text{VAR})$$

$$\frac{\begin{array}{l} \Gamma \triangleright e_1 : [U_1, n, [\Delta] \blacktriangleright T_1, m] \\ U_1 \cap (U_2 \setminus \{x\}) = \emptyset \end{array} \quad \begin{array}{l} \Gamma \triangleright e_2 : [U_2, m, [\Delta, x \mapsto T_1] \blacktriangleright T_2, k] \\ T_1 = \mathbf{L}(-) \end{array}}{\Gamma \triangleright \text{let } x = e_1 \text{ in } e_2 : [U_1 \cup (U_2 \setminus \{x\}), n, [\Delta] \blacktriangleright T_2, k]} \quad (\text{LET})$$

$$\frac{\Delta(x) = \mathbf{L}(k) \quad l = n + k \quad \Gamma \triangleright e : [U, l, [\Delta, t \mapsto \mathbf{L}(k)] \blacktriangleright T, m] \quad x \notin U \setminus \{t\}}{\Gamma \triangleright \text{let } t = x.TL \text{ in } e : [(U \setminus \{t\}) \cup \{x\}, n, [\Delta] \blacktriangleright T, m]} \quad (\text{LETTL})$$

Note: Linearity relaxed in rules for compiled `match`-expressions

DISCUSSION OF THE HEAP SPACE LOGIC

- 😊 LFD assertions practically useful and conceptually appealing
- 😊 Exploit program structure and compiler analysis: most effort done once (in soundness proofs), application straight-forward
- 😊 “Classic PCC”: independence of derived logic from Isabelle (no higher-order predicates, certifying constraint logic programming)
- 😊 “Foundational PCC”: can unfold back to core logic and operational semantics if desired
- 😞 Generalisation to all Camelot datatypes needed
- 😞 Soundness proofs non-trivial, and challenging to generalise to more liberal sharing disciplines

CERTIFICATE GENERATION

Goal: Automatically generate proofs from high-level types and inferred heap consumption.

Approach: Use inferred space bounds as invariants. Use powerful Isabelle tactics to automatically prove a statement on heap consumption in the heap logic.

Example certificate (for list append):

$$\Gamma \triangleright \text{snd (methtable Append append)} : \text{SPEC append}$$

$$\text{by (Wp append_pdefs)}$$

$$\triangleright \text{Append.append}([\text{RNarg } x0, \text{RNarg } x1]) : \text{sMST Append append} [\text{RNarg } x0, \text{RNarg } x1]$$

$$\text{by (fastsimp intro: Context_good GCInvs simp: ctxt_def)}$$

SUMMARY

MRG works towards **resource-safe global computing**:

- **check resource consumption** before executing downloaded code;
- **automatically generate certificate** out of a Camelot type.

Components of the picture

- Proof-Carrying-Code infrastructure
- Inference for space consumption in Camelot
- Specialised derived assertions on top of a general program logic for Grail
- Certificate = proof of a derived assertion
- Certificate generation from high-level types

FURTHER READING



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