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Using SMT for dealing with nondeterminism in ASM-based runtime verification

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Abstract: In runtime verification, operational models describing the expected system behavior offer some advantages with respect to declarative specifications of properties, especially when designers are more accustomed to them. However, nondeterminism in the specification usually affects performances of those operational methods that explicitly represent all the possible conformant states. In this paper, we tackle the problem of dealing with nondeterminism in an operational runtime verification approach based on the use of Abstract State Machines (ASMs). We propose an SMT-based technique in which ASM computations are symbolically represented and conformance verification is performed by means of satisfiability checking. Experiments show that, in most of the cases, the symbolic approach performs better than a technique for ASM-based runtime verification explicitly representing the conformant states.

Keywords: runtime verification, nondeterminism, Abstract State Machines, SMT

1 Introduction

Runtime verification in the form of conformance monitoring consists in checking during runtime that the monitored system behaves like specified. Monitors [FHR13] are used to assess the correctness of a system behavior by checking whether the observed state of the implemented system is conformant to the expected state provided by an abstract specification of the system.

In most approaches dealing with runtime verification of software, the required behavior of the system is specified by means of correctness properties [DGR04]. Temporal logic-based formalisms are very popular in runtime verification [CDR04], especially variants of linear temporal logic [BLS11]. However, operational notations can be used in runtime verification as well [AGR12, BS03a, LDSW09]. Operational specifications offer some advantages with respect to declarative specifications of properties, especially when designers are more accustomed to them. Since operational models may be executable and easier to write and understand, they can be used starting from the first stages of the software development both for documentation purposes and validation activities, as simulation and model-based testing [BS03a]. Moreover, operational approaches usually permit to trace, by means of a step-wise model refinement [BS03b], the relation between the specification and the implementation.

The Abstract State Machine (ASM) operational method [BS03b] has been used in [AGR12], where we developed a framework (called CoMA) for runtime verification of Java programs. The technique proposed for conformance monitoring makes use of Java annotations to link the concrete implementation to its ASM formal model.
In case of not fully predictable systems, models specifying system behaviors are nondeterministic. Nondeterminism in the specification can also be due to underspecification, when some implementation choices are left abstract, or model abstraction used to reduce complexity. ASMs permit to model nondeterministic behaviors in a concise and natural way, thanks to the built-in \texttt{choose} operator that allows to nondeterministically select a computation path among all possible ones. However, nondeterminism poses further challenges to the ASM-based runtime monitoring approach. In [AGR13], we extended CoMA in order to deal with nondeterminism by explicitly building and keeping track of all the possible next states: that approach becomes very inefficient when the number of next states is high. Although this limitation is unavoidable if one needs to keep track of all the nondeterministic \textit{choices} performed, techniques can be developed to mitigate this shortcoming. For example, symbolic representation can help to specify in a concise way the relation between a state and the set of reachable next states.

Following our ongoing research on ASM-based runtime verification of Java programs, to overcome the limits of CoMA, we here present an approach exploiting a symbolic representation of a machine computation [VBGS09], similarly to what is done in bounded model checking where a program trace is represented by means of a propositional formula [Bie09].

Starting from the theoretical framework we presented in [AGR12, AGR13], we here provide a novel definition of conformance in the presence of nondeterminism, and propose CoMA-SMT, an SMT-based technique in which ASM computations are symbolically represented and the conformance verification is performed by means of satisfiability checking.

The devised approach requires the designer to write an ASM specification of the system and to link it to the implementation to be monitored. The specification is automatically translated into an SMT logical context. During runtime, the SMT context is step by step extended with the current transitions, and the values observed in the monitored system are asserted. The implementation behaves correctly as long as the SMT context stays satisfiable: if the context becomes unsatisfiable, a runtime fault is observed.

We have compared CoMA-SMT with CoMA, and our preliminary experiments show that, in most of the cases, the symbolic approach performs better than techniques based on explicit state representation. Moreover, other experiments show that CoMA-SMT can handle a more general notion of conformance, not supported by CoMA, that is much more difficult to check.

Section 2 presents a background about ASMs, nondeterminism in runtime monitoring, and CoMA. In Section 3, to deal with conformance in case of nondeterminism, we improve the theoretical framework CoMA is based on. How to symbolically represent an ASM is described in Section 4. Section 5 presents the proposed runtime monitoring approach. Preliminary experiments are reported in Section 6. Some related work is presented in Section 7, and Section 8 concludes the paper.

2 Background

2.1 ASMs

Abstract State Machines (ASMs), whose complete presentation can be found in [BS03b], are an extension of FSMs, where unstructured control states are replaced by states with arbitrary complex data. The \textit{states} of an ASM are multi-sorted first-order structures, i.e., domains of
objects with functions and predicates defined on them. ASM states are modified by transition relations specified by “rules” describing the modification of the function interpretations from one state to the next one. There is a limited but powerful set of rule constructors that allow to express guarded actions (if-then), simultaneous parallel actions (par) or sequential actions (seq). Appropriate rule constructors also allow modeling nondeterminism (existential quantification choose) and unrestricted synchronous parallelism (universal quantification forall).

An ASM state $s$ is represented by a set of couples (location, value). ASM locations, namely pairs (function-name, list-of-parameter-values), represent the abstract ASM concept of basic object containers (memory units). Location updates represent the basic units of state change and are given as assignments, each of the form $loc := v$, where $loc$ is a location and $v$ its new value.

Functions are classified as derived, i.e., those coming with a specification or computation mechanism given in terms of other functions, and basic which can be static (never change during any run of the machine) or dynamic (may change as a consequence of agent actions or updates). Dynamic functions are distinguished between monitored (only read by the machine and modified by the environment), and controlled (read and written by the machine).

A computation of an ASM is a finite or infinite sequence $s_0, s_1, \ldots, s_n, \ldots$ of states of the machine, where $s_0$ is an initial state and each $s_{n+1}$ is obtained from $s_n$ by simultaneously firing all the transition rules which are enabled in $s_n$. The (unique) main rule is a transition rule and represents the starting point of the computation. An ASM can have more than one initial state. It is possible to specify state invariants which are checked during simulation.

For our purposes, we use a definition of ASM adapted from [BS03b]: $ASM = <\text{signature}, \text{funcDefs}, \text{funcInit}, r_{main} >$, where signature contains the function declarations, funcDefs the derived functions definitions, funcInit the definitions of initials values for the controlled functions, and $r_{main}$ is the main rule.

### 2.2 Runtime monitoring and nondeterminism

Runtime verification of nondeterministic behaviors using state-based specifications, like ASMs, is particularly complex since the specification takes into account all the possible correct system evolutions. The nondeterminism due to monitored quantities (e.g., the system inputs or external actions), called external, is still easy to monitor: once these quantities are fixed by the environment, the system behaves deterministically. However, in most cases, the specification is internally nondeterministic, sometimes even when the system is deterministic. The following scenarios can be identified:

- The system has a nondeterministic behavior (for instance a Java program containing a call to a method in the class `java.util.Random`), as well as the abstract specification.
- The system has a deterministic behavior, while the specification is nondeterministic. This situation arises when the model is more abstract (with less implementation details) than the corresponding system, and is frequent in the object oriented context. Bekaert and Steegmans [BS01] have shown that nondeterminism in the behavioral specifications of object oriented conceptual models can simplify the representation of complex functionalities and achieve a better separation of concerns.
Using SMT for dealing with nondeterminism in ASM-based runtime verification

A simple example of nondeterministic system As running case study, we consider a tank that can be either filled or emptied (see Fig. 1). At every instant, the level cannot be increased/decreased more than fifty units of product. The tank is full when it contains one thousand units of product. Such tank can be modeled by a simple ASM, as shown in Code 1.

<table>
<thead>
<tr>
<th>asm tank signature:</th>
<th>main rule $r_{\text{main}} = $</th>
</tr>
</thead>
<tbody>
<tr>
<td>controlled level: Integer</td>
<td>choose $x$ in ${-50..50}$ with level + $x &gt;= 0$ and level + $x &lt;= 1000$ do</td>
</tr>
<tr>
<td>derived full: Boolean</td>
<td>level := level + $x$</td>
</tr>
<tr>
<td>definitions: function full = (level = 1000)</td>
<td>default init s0:</td>
</tr>
<tr>
<td>function level := 0</td>
<td></td>
</tr>
</tbody>
</table>

The controlled function level records the number of units in the tank; in the initial state the tank is empty. The boolean function full signals whether the tank is full: it is a derived function because its value depends on the value of function level. In the main rule, a choose rule nondeterministically increments/decrements the level of the tank of at most fifty units at a time, not exceeding the maximum capacity.

2.3 CoMA: Conformance Monitoring through ASMs

CoMA [AGR12] is a technique for runtime monitoring of Java programs through ASMs; Fig. 2 shows the structure of the framework. The runtime monitor observes the behavior of a Java code and determines its correctness w.r.t. the ASM specification working as an oracle of the expected behavior: while the software system is executed, the monitor checks conformance between the values of the observed elements and the expected state. A link between a Java class and an ASM is established using a set of Java annotations (1). The Observer detects when the Java object observed state is changed (2), and leads the corresponding ASM to perform a machine step (3). The Analyzer evaluates the conformance between the Java execution and the ASM behavior (4).

A complete description of CoMA can be found in [AGR12]. Here only some basic definitions are reported.

Let $C$ be a Java class, $O_C$ an object of $C$, and $ASM_C$ an ASM model of the expected behavior of any object of $C$.

$OS(C)$ is the set of observed elements, i.e., all public fields, and pure$^1$ public methods of the class $C$ the user wants to observe. Observable elements are linked to ASM functions by the function link : $OS(C) \rightarrow Funcs$.

$^1$ A method is pure when its execution does not affect the program state.
Changing methods, CM(C), are the non-pure methods whose execution can change the element values of OS(C) and that the user wants to monitor. A changing step is defined by the triple (s, m, s'), being m a method in CM(C), and s and s' the states of an object OC before and after the method execution.

**Definition 1 (State and step conformance)** A state s of OC conforms to a state S of ASM C if all observed elements of C have values in OC conforming to the values of the functions in ASM C linked to them, i.e.,

\[
\text{conf}(s, S) \equiv \forall e \in OS(C) : \text{val}_{\text{Java}}(e, s) = \text{val}_{\text{ASM}}(\text{link}(e), S)
\]

A change step (s, m, s') of an instance OC, with m a method of CM(C), conforms with a step (S, S') of ASM C if conf(s, S) ∧ conf(s', S').

**Definition 2 Univocal runtime conformance** A class C is univocally runtime conforming to its specification ASM C if the following conditions hold:

1) the initial state s₀ of the computation of OC conforms to one and only one initial state S₀ of the computation of ASM C, i.e., ∃! S₀ initial state of ASM C such that conf(s₀, S₀);

2) for every change step (s, m, s') with s the current state of OC, ∃! (S, S') step of ASM C with S the current state of ASM C, such that (s, m, s') is step conforming with (S, S').

Univocal runtime conformance requires that the next step of OC is state-conforming with one and only one of the next states of the specification. Therefore, in case of nondeterminism, during the runtime monitoring CoMA chooses, among the next states of the ASM, the unique state that conforms to the Java state. Fig. 3a depicts this situation.

Since CoMA represents the states in an explicit way, as in explicit state model checkers (e.g., SPIN), we will refer to it as an explicit state monitoring approach.

![Diagram](image-url)
Using SMT for dealing with nondeterminism in ASM-based runtime verification

Example  Let’s consider the Tank case study. If the conformance between the ASM specification and the Java program is based on the value of the level, then the conformance is univocal. At each step, the ASM has between fifty and a hundred one possible next states; such states, however, are uniquely identified by the value of level. So, if the implementation is correct, only one of the possible next ASM states is conformant.

3  Dealing with multiple conformance

Definition 2 assumes that, at every time, there is only one possible current ASM state which is conformant to the current Java state. However, the implementation should be considered conformant also when there exists at least one conformant state.

Definition 3  Conformant set Given a Java object \(O_C\), let \(s_n\) be the state obtained after \(n\) executions of changing methods. We call \(\text{confSet}(s_n)\) the set of ASM states reachable in \(n\) steps and conformant with \(s_n\).

Definition 4  Multiple runtime conformance A class \(C\) is multiply runtime conforming to its specification \(\text{ASM}_C\) if the following conditions hold:
1) the initial state \(s_0\) of the computation of \(O_C\) conforms to at least one initial state \(S_0\) of the computation of \(\text{ASM}_C\), i.e., \(\exists S_0\) initial state of \(\text{ASM}_C\) such that \(\text{conf}(s_0, S_0)\);
2) for every change step \((s, m, s')\) with \(s\) the current state of \(O_C\), \(\exists (S, S')\) step of \(\text{ASM}_C\), \(S \in \text{confSet}(s)\), such that \((s, m, s')\) is step conforming with \((S, S')\).

Multiple runtime conformance can be depicted as in Fig. 3b: The current Java state \(s\) is conformant with the ASM states \(\text{confSet}(s) = \{S_1, \ldots, S_k\}\); the Java state \(s'\) is produced by the execution of the method \(m\) at the state \(s\); ASM states \(S'_1, \ldots, S'_n\) are reachable in one step from \(\text{confSet}(s)\); the Java state \(s'\) is conformant with ASM states \(\{S'_1, \ldots, S'_j\} \subseteq \{S'_1, \ldots, S'_n\}\).

Example  Let’s consider the Tank case study. If the conformance between the ASM specification and the Java program is only based on the value of function full, then the conformance is multiple. As seen before, at each step the ASM has between fifty and a hundred one possible next states; at most one next state can have value true for full. Therefore, if the implementation is correct and the value of full is false, more than one of the possible next ASM states can be conformant with the implementation.

Supporting multiple runtime conformance in monitoring  Dealing with multiple conformance in an explicit state runtime monitoring approach as CoMA, would require to keep track of all the possible states to which the monitored system can be conformant. At the \(i\)th step of monitoring, the framework should record in the set \(\text{confSet}(s_i)\) (see Def. 3) the ASM states reachable in \(i\) steps of simulation that are conformant with the current Java state (as proposed in [FHR13]). If \(\text{confSet}(s_i)\) becomes empty, then an error is found. In our approach, instead, we would like to represent such reachable and conformant states in a symbolic way.

In order to do this, we describe how to symbolically represent the set of states \(\mathcal{R}_S\) reachable in \(i\) steps of the ASM execution, and the transition relation induced by the ASM transition rules.
between states in $RS_i$ and their successor states in $RS_{i+1}$. These formulae establish a logical context.

At runtime, in order to perform the conformance checking, we extend the context by asserting a set of formulae stating the values of the observed elements in the implementation current state. A Satisfiability Modulo Theories (SMT)\(^2\) solver can be used to check the satisfiability of the obtained context. If the context becomes unsatisfiable, then the implementation is not conformant. As SMT solver we use Yices [DM06].

Note that we could use BDDs to symbolically represent ASM states; however, it has been shown that for bounded model checking a SAT/SMT approach scales better [Bie09, Kur08]. So, since the approach we are proposing has several commonalities with BMC, we adopt the SMT approach.

**Example** Let’s consider the Tank case study. The ASM states reachable in one step can be symbolically described as $\text{level} = 0 \land (\text{level} - 50 \leq \text{level}' \leq \text{level} + 50)$, where $\text{level}'$ represents the updated version of $\text{level}$.

### 4 ASM symbolic representation

This section describes how to build the logical context, symbolically representing any computation of length $n$ of a given ASM. Section 4.1 describes how to represent the set of states $RS_i$ at level $i$ of the ASM computation – i.e., those reachable by the machine in $i$ steps – and the transition relation induced by the ASM transition rules between states in $RS_i$ and their successor states in $RS_{i+1}$. Some mapping functions permit to obtain, from an ASM model, a sequence of Yices definitions and assertions (commands) parameterized with the index $i$. In order to symbolically represent ASM computations of depth $n$, the Yices commands must be instantiated $n$ times with concrete values for $i$ (i.e., $i = 0, \ldots, n - 1$), as described in Section 4.2.

#### 4.1 Mapping from ASM to Yices

For the lack of space, we do not report the mapping of ASM domains to Yices types, that, however, is not relevant for the understanding of the work. The signature symbols are defined by applying the mapping reported in Table 1 ($\mathcal{T}_f$), being $i$ the current level; note that, for each ASM function, a fresh Yices constant is created at every step. Function definitions are asserted by applying the correspondence given in Table 2 ($\mathcal{T}_d$), at level $i$. Transition rules are symbolically represented by a formula describing the transition relation between states in $RS_i$ and those in $RS_{i+1}$. This formula is asserted by recursively applying the mapping reported in Table 3 ($\mathcal{T}_r$), starting from the main rule.

Both function definitions and transition rules contain terms: the symbolic representation of terms in states of $RS_i$ is given in Table 4 ($\mathcal{T}_t$).

Note that in an update rule (first row of Table 3) the location term on the left-hand side of the rule refers to states in $RS_{i+1}$, while the term on the right-hand side of the rule refers to states in $RS_i$.

---

\(^2\) An SMT problem is a decision problem for logical formulae with respect to combinations of background theories expressed in classical first-order logic with equality. An SMT instance is a generalization of a boolean SAT instance in which various sets of variables are replaced by predicates from a variety of underlying theories.
Therefore, for each controlled location the mapping function updated by the computation step keep their value unchanged. The formula obtained by applying Proc. AVoCS 2014 8 / 15

\[ f = f' \]

on the right-hand side is mapped with parameter \( i \).

For this reason, the term on left-hand side is mapped with parameter \( i + 1 \), whereas the term on the right-hand side is mapped with parameter \( i \).

In order to guarantee the semantics of ASM steps, we must impose that locations that are not updated by the computation step keep their value unchanged. The formula obtained by applying the mapping function \( T_x \) to the transition rules (Table 3) does not guarantee such condition. Therefore, for each controlled location \( f' \), we need to add to the context the following formula

\[ (=> (not (or guard_1 \ldots guard_n)) (= f'^{i+1} f' )) \]

\[ RS_i \]
being guard₁, ..., guardₙ the conditions upon which \( t' \) is updated, and \( t'^{+1} \) the location in the next state. The conditions are statically derived from the transition rules leading to the updates of the location. Let \( \text{unchLocs}_i \) be the assertion of the set of formulae obtained by instantiating the previous formula for all the controlled locations of the ASM model at level \( i \).

### 4.2 Building the logical context

The logical context is initialized and then extended at every level \( i \) along the ASM computation.

**Context initialization** consists of a set of formulae symbolically representing the ASM initial state(s), i.e., signature, and function definitions and initializations. Context initialization \( \text{contInit} \) is built as follows

\[
\text{contInit} = T_{t}(\text{signature}, 0), T_{d}(\text{funcDefs}, 0), T_{d}(\text{funcInit}, 0)
\]

where the comma is to be intended as a sequential concatenation operator.

**Context extension** consists of a set of formulae representing the transition relation between states in \( RS_i \) and their successor states in \( RS_{i+1} \). This requires to define the signature at level \( i + 1 \). Context extension \( \text{contExt}_i \) at level \( i \) is built as follows

\[
\text{contExt}_i = T_{t}(\text{signature}, i + 1), T_{d}(\text{funcDefs}, i + 1), T_{t}(r\_main, i), \text{unchLocs}_i
\]

At every step, \( T_{t}(\text{signature}, i + 1) \) represents a fresh copy of the signature and it must be added to the context before the assertion of the rules \( T_{t}(r\_main, i) \), because \( T_{t}(r\_main, i) \) describes the relation between states in \( RS_i \) and states in \( RS_{i+1} \).

Code 2 reports the context initialization and context extension at level 0 of the Tank case study.
Using SMT for dealing with nondeterminism in ASM-based runtime verification

\[ T_f(\text{signature}, 0) \]: Functions declarations – state 0
(\text{define level0::int})
(\text{define full0::bool})
\[ T_d(\text{funcDefs}, 0) \]: Derived functions definitions – state 0
(\text{assert (= full0 (= level0 1000)))}
\[ T_d(\text{funcInit}, 0) \]: Initial state definition
(\text{assert (= level0 0)})
\[ T_f(\text{signature}, 1) \]: Functions declarations – state 1
(\text{define level1::int})
(\text{define full1::int})
\[ T_d(\text{funcDefs}, 1) \]: Derived functions definitions – state 1
(\text{assert (= full1 (= level1 1000)))}
\[ T_r(\_\text{main}, 0) \]: Transition rules – from state 0 to state 1
(\text{define cv0::(subrange \(-50 50)) \; ; Declaration of a variable for the choose rule}
(\text{assert (=> (exists (x::(subrange \(-50 50))) (\text{and (\text{and (\text{and (>= (+ level0 x) 0) (<= (+ level0 x) 1000))
(\text{and (>= (+ level0 cv0) 0) (<= (+ level0 cv0) 1000))
(\text{and (>= (+ level0 cv0) 1000)) (level1 (= level0 cv0)))))
\[ \text{unchLocs} 0 \]: Unchanged controlled locations – from state 0 to state 1
(\text{assert (=> (not \text{and (\text{and (>= (+ level0 cv0) 0) (<= (+ level0 cv0) 1000))
(\text{and (>= (+ level0 cv0) 1000)) (level1 (= level0 cv0)))))\text{level1})\)))}

Code 2: Tank case study – Context initialization and context extension at level 0

5 SMT-based Runtime Verification

We here describe an approach to perform runtime monitoring of Java programs, in which the expected behavior is given in terms of ASMs; the approach, called CoMA-SMT, exploits the symbolic representation of ASMs introduced in Section 4. We keep the overall architecture of the CoMA framework (Fig. 2). The technique, described in Section 2.3, for linking an ASM specification to a Java class is the same. However, the way to simulate the ASM (the simulator in Fig. 2) and to perform the conformance checking (the analyzer in Fig. 2) differ. The approach is also able to check multiple runtime conformance (see Def. 4), not supported by CoMA.

Alg. 1 depicts the monitoring procedure of the proposed approach. In order to ease the description, Alg. 1 reports both the execution of the monitored Java program (reported in a frame in the algorithm) and the execution of the monitoring framework. When a Java object of the monitored class is created (line 1), the framework creates a logical context (line 2) and add the context initialization to it (line 3). The monitoring consists in a never ending loop in which, when a Java changing method \( m \) is executed (line 6), the following actions are executed:

- the context is extended for describing the transition relation between ASM states at the current level \( i \) and the possible next states at level \( i + 1 \) (line 7);
- from the Java state \( s_{\text{Java}} \), obtained after the changing method execution (line 8), and from the linking between the specification and the code, the framework builds the formula \( \text{javaValuesConstr} \) in which the linked ASM locations are forced to assume the actual values of the corresponding Java elements (line 9). Let \( f_1^{i + 1}, \ldots, f_g^{i + 1} \) be the locations linked to Java fields or methods (i.e., the observed elements) and \( v_1, \ldots, v_g \) the values of the linked fields and methods at state \( i + 1 \). Formula \( \text{javaValuesConstr} \) is built as follows:

\[
\text{assert (and (\text{and (\text{and (>= (+ level0 v_i) 0) (<= (+ level0 v_i) 1000))
(\text{and (>= (+ level0 cv0) 0) (<= (+ level0 cv0) 1000))
(\text{and (>= (+ level0 cv0) 1000)) (level1 (= level0 cv0)))))\text{level1})\)))}
\]

- formula \( \text{javaValuesConstr} \) is asserted in the logical context (line 10);
- the logical context is checked for satisfiability (line 11):
Algorithm 1 CoMA-SMT: monitoring procedure

1: \[o_C \leftarrow \text{new } C()\] \hspace{1cm} \triangleright \text{Monitored program: Java object instantiation}
2: \[ctx \leftarrow \text{mk\_context()}\] \hspace{1cm} \triangleright \text{Logical context creation}
3: \[\text{add\_to\_context}(\text{contInit}, ctx)\] \hspace{1cm} \triangleright \text{Context initialization}
4: \[i \leftarrow 0\]
5: \[\text{while true do}\]
6: \[\text{\hspace{1cm} \triangleright Monitored program: execution of a changing method } m\]
7: \[\text{add\_to\_context}(\text{contExt}^i, ctx)\] \hspace{1cm} \triangleright \text{Context extension at level } i
8: \[\text{\hspace{1cm} \triangleright Observed Java state after step } i\]
9: \[s_{\text{Java}} \leftarrow [\mid o_C \mid]\]
10: \[\text{\hspace{1cm} \triangleright Observed elements values}\]
11: \[\text{javaValuesConstr} \leftarrow \text{getValues}(s_{\text{Java}})\]
12: \[\text{\hspace{1cm} \triangleright Assertion of the observed values}\]
13: \[\text{\hspace{1cm} \triangleright Is SAT?}\]
14: \[\text{\hspace{1cm} \text{if check}(ctx) = UNSAT then}\]
15: \[\text{\hspace{1cm} \text{return NotConformantException}\] \hspace{1cm} \triangleright \text{The Java state is not conformant}
16: \[\text{\hspace{1cm} \text{end if}}\]
17: \[\text{\hspace{1cm} \text{i} \leftarrow \text{i} + 1}\]
18: \[\text{\text{end while}}\]

- if the context is unsatisfiable, it means that the implementation is not conformant with the specification. In this case, the monitoring is interrupted by throwing an error message (line 12);
- otherwise, if the context is still satisfiable, it means that the implementation is conformant and the monitoring can continue.

**Example** Let’s consider a Java implementation of the Tank case study, having a pure method `getLevel()` returning the level of the tank, and a boolean pure method `isFull()` reporting whether the tank is full; the two methods are respectively linked (by means of the Java annotation `@MethodToFunction`) with ASM functions `level` and `full`. The implementation has also a changing method `add(int quantity)` (annotated with `@RunStep`) that permits to increase/decrease the tank level of a given quantity. After having detected the object instantiation and a call of method `add`, the monitoring framework has built the logical context as shown in Code 2. Let’s suppose that the values returned by the observed elements `getLevel` and `isFull` are respectively 23 and `false`. The formula built by the framework for checking the conformance is `(\text{and} (= \text{level1} 23)(= \text{full1} false))`.

### 6 Experiments

We run all the experiments on a Linux PC, Intel(R) Core(TM) i7, and 8 GB of RAM. The result of each experiment is the average of 20 runs.

#### 6.1 Comparison with CoMA

As first experiment, we have successfully executed CoMA-SMT on all the case studies provided by the CoMA benchmarks. We have used univocal conformance, since it is the only kind of
Using SMT for dealing with nondeterminism in ASM-based runtime verification

Then, we have compared the two frameworks in terms of execution times. Fig. 4a shows the time taken for monitoring a Java implementation of the Tank case study in the presence of univocal conformance (i.e., linking both level and full functions) using the two frameworks. We have executed the Java code by calling the method `add` an increasing number of times. We can see that, in both frameworks, the execution time grows linearly with the number of steps. However, CoMA-SMT always performs better than CoMA, and the gain increases with the number of steps. We have observed that, for the case studies in which the number of possible next conformant states is always high, CoMA-SMT always performs better than CoMA. This means that, when the number of reachable states is high, a symbolic representation is more performant than an explicit representation.

Nonetheless, we found that, when the number of possible reachable states is low, CoMA may perform better than CoMA-SMT. We took the Tic-tac-toe case study introduced in [AGR13] as an example of nondeterministic system; it models the Tic-tac-toe game in which, at each step, the user and the computer alternatively make a move. The user makes a move by calling a given method (the actual parameters of the method represent the move coordinates); the computer makes a move by nondeterministically choosing an empty cell of the board. The linking between the implementation and the specification is based on the configuration of the board. Fig. 4b shows the comparison of the monitoring times in the two frameworks: CoMA-SMT performs better for less than around 15 moves, while, for more than 15 moves, CoMA is advantageous. Notice that, when a player has won or there is a tie, there is always only one possible next state because the game has terminated and any method invocation cannot change the board configuration; therefore, we can argue that after around 15 moves the game is very likely terminated. So, the results in Fig. 4b suggest that the explicit state representation is advantageous when the number of reachable states is low; using the symbolic representation, instead, always requires to check for satisfiability at each step, and so the monitoring time grows linearly in any case. As future work, we could devise some optimization techniques able to detect states in which the monitoring could be stopped (since no violation can be found in the future) or, at least, in which the logical context could be simplified.

![Fig. 4: Univocal conformance – CoMA-SMT and CoMA](image-url)
6.2 Univocal and multiple conformance

We have then experimented the influence of multiple conformance in monitoring; since CoMA does not support multiple conformance, we have performed the experiments only using CoMA-SMT. We have monitored the Java implementation of the Tank case study in the presence of univocal conformance (i.e., linking both level and full functions) and in the presence of multiple conformance (i.e., linking only function full). We have executed the Java code by calling the method `add` an increasing number of times. Fig. 5a shows the results in terms of execution times.

We have also executed the Tic-tac-toe implementation in the presence of univocal conformance (i.e., the linking is based on the board configuration) and in the presence of multiple conformance (i.e., the linking is only based on a boolean flag specifying whether the game is terminated).

As expected, the runtime monitoring is more computationally onerous in the presence of multiple conformance rather than in the presence of univocal conformance. Indeed, in univocal conformance only one state is selected when asserting the values of the Java values (line 10 in Alg. 1): therefore the solver, when checking for satisfiability, must handle a logical context in which most of the variables are fixed. In multiple conformance, instead, the solver must handle a logical context that is much more complex.

7 Related work

Extended literature exists about runtime verification [FHR13, DGR04]. Declarative specifications are more used in runtime monitoring [BLS11, CDR04, KLHN09] and they also deal with nondeterminism. Some attempts to use operational specifications exist and we relate to them; however, as far as we know, using SMT for doing runtime verification through operational specifications has never been proposed.

In [LDSW09], a *formal specification-based software monitoring system* is presented. In that approach the behavior of a concrete implementation (a Java code) is checked for compliance with a Z specification. The execution of a program is monitored by a *debugger* and the formal specification is executed in parallel with a *specification animator*. Although the approach is similar to ours in the use of an operational specification, it does not support nondeterminism.

Operational approaches based on Abstract State Machines can be found in [AGR12, BS03a].
Using SMT for dealing with nondeterminism in ASM-based runtime verification

CoMA [AGR12] has been already described in Section 2.3 and we have extensively compared to it. The approach in [BS03a] handles runtime verification of .NET programs. It uses AsmL, a dialect of ASMs, to describe the expected behavior. As CoMA, that approach only supports univocal conformance (the authors say that the choices must be angelical), whereas we also support multiple conformance. Moreover, the technique adopts an explicit state approach to do the conformance checking, while we use a symbolic one.

Several works handle the problem of runtime verification of concurrent programs, in which nondeterminism derives from threads’ interleaving [BENS11]; instead, we focus on single thread programs that can be internally nondeterministic.

Symbolic representation of ASMs has already been presented in [VBGS09], for doing bounded model checking of AsmL models (a concrete syntax for ASMs). The main difference with our approach is that the transformation in [VBGS09] requires an intermediate representation as model program (i.e., a collection of guarded update rules), while we directly support ASM models.

8 Conclusions and Future work

We have proposed CoMA-SMT, an approach for runtime monitoring of nondeterministic Java programs using the ASM formal method. The approach improves an existing framework (CoMA), based on the explicit representation of ASM states. The new approach proposes a symbolic representation of the ASM computation, and exploits an SMT solver for checking the conformance between the monitored Java program and its ASM specification. While CoMA requires that, at each step, only one of the next ASM states is conformant with the observed Java state, CoMA-SMT is also able to monitor Java programs that, at a given step, are conformant with more than one ASM state. Preliminary experiments show that the symbolic approach can sometimes perform better than CoMA, but we plan to apply CoMA-SMT to more complex case studies.

As future work, we plan to devise some optimization techniques for dealing with the complexity of formulae in multiple conformance. A context simplification could be achieved by asserting, during monitoring, further constraints on the set of conformant states; in case of unsatisfiability, backtracking techniques should be necessary, although backtracking has never been used in runtime monitoring so far [FHR13]. Moreover, we could adapt some techniques of BMC [Bie09] for defining stopping monitoring policies able to detect situations in which any possible further system evolution cannot violate the conformance relation.

Bibliography


