

Lecture 2:

Abstract Syntax and Program Semantics

17-355/17-665/17-819: Program Analysis

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Administrivia

- HW1 will be out tonight – CodeQL. Due next Thursday (Sep 4).
 - Lots of references online
 - Recitation will have some practice problems
 - Submit via Gradescope.
- Office hours are up on website
- Lecture notes/slides on website
 - Read after class; useful for HW and exams (won't always have slides)
 - Text PDF updates frequently (usually before class); get latest copy
 - For now, ignore 2.2, 2.4, 3.1.3 (WHILE3ADDR) – We'll cover it next week
- Please bring paper/pen for in-class exercises

Learning Goals

- Recognize the basic WHILE demonstration language and define its abstract syntax.
- Describe the function of an AST and outline the principles behind AST walkers for simple bug-finding analyses
- Define the meaning of programs using operational semantics
- Read and write inference rules and derivation trees
- Use big- and small-step semantics to show how WHILE programs evaluate
- Use structural induction to prove things about program semantics

Recap: Concrete vs. Abstract Syntax

- A tree representation of source code based on the language grammar.
- **Concrete syntax:** The rules by which programs can be expressed as strings of characters
 - E.g. “if (x * (a + b)) { foo(a); }”
 - Use finite automata and context-free grammars, automatic lexer/parser generators
- **Abstract syntax:** a subset of the parse tree of the program.
 - Only care about statements, expressions and their relationship with constituent operands.
 - Don’t care about parenthesis, semicolons, keywords, etc.
- (The intuition is fine for this course; take compilers if you want to learn how to parse for real.)

The WHILE language – Example program

```
y := x;  
z := 1;  
if y > 0 then  
    while y > 1 do  
        z := z * y;  
        y := y - 1  
    else  
        skip
```

- Sample program computes $z = x!$ using y as a temp variable.
- WHILE uses assignment statements, if-then-else, while loops.
- All vars are integers.
- Expressions only arithmetic (for vars) or relational (for conditions).
- No I/O statements. Inputs and outputs are implicit.
 - Later on, we may use extensions with explicit `read x` and `print x`.

WHILE abstract syntax

S statements
 a arithmetic expressions (AExp)
 x, y program variables (Vars)
 n number literals
 b boolean expressions (BExp)

We'll use these meta-variables frequently for ease of notation

| | | | | | | | |
|---------|------------------------------|---------|----------------|---------|----------------|------------|---------------|
| $S ::=$ | $x := a$ | $b ::=$ | true | $a ::=$ | x | $op_b ::=$ | and or |
| | skip | | false | | n | $op_r ::=$ | < ≤ = |
| | $S_1; S_2$ | | not b | | $a_1 op_a a_2$ | | > ≥ |
| | if b then S_1 else S_2 | | $b_1 op_b b_2$ | | | $op_a ::=$ | + - * / |
| | while b do S | | $a_1 op_r a_2$ | | | | |

Exercise: Building an AST

S statements
 a arithmetic expressions (AExp)
 x, y program variables (Vars)
 n number literals
 b boolean expressions (BExp)

```

y := x;
z := 1;
if y > 0 then
    while y > 1 do
        z := z * y;
        y := y - 1
    else
        skip
    
```

| | | | |
|---|----------------------|---------------------|--------------------------------------|
| $S ::= x := a$ | $b ::= \text{true}$ | $a ::= x$ | $op_b ::= \text{and} \mid \text{or}$ |
| $\mid \text{skip}$ | $\mid \text{false}$ | $\mid n$ | $op_r ::= < \mid \leq \mid =$ |
| $\mid S_1; S_2$ | $\mid \text{not } b$ | $\mid a_1 op_a a_2$ | $\mid > \mid \geq$ |
| $\mid \text{if } b \text{ then } S_1 \text{ else } S_2$ | $\mid b_1 op_b b_2$ | | $op_a ::= + \mid - \mid * \mid /$ |
| $\mid \text{while } b \text{ do } S$ | $\mid a_1 op_r a_2$ | | |

Our first static analysis: AST walking

- One way to find “bugs” is to walk the AST, looking for particular patterns.
 - Traverse the AST, look for nodes of a particular type
 - Check the neighborhood of the node for the pattern in question.
 - Basically, a glorified “grep” that knows about the syntax but not semantics of a language.

Example: shifting by more than 31 bits.

Assume we want to find code patterns of the following form:

`x << -3`

`z >> 35`

For 32-bit integer vars, these operations may signal unintended typos, since it doesn't make sense to shift by a number outside the range (0, 32).

Example: shifting by more than 31 bits.

```
For each instruction I in the program
  if I is a shift instruction
    if (type of I's left operand is int
        && I's right operand is a constant
        && value of constant < 0 or > 31)
      warn("Shifting by less than 0 or more
            than 31 is meaningless")
```

Our first static analysis: AST walking

- One way to find “bugs” is to walk the AST, looking for particular patterns.
 - Traverse the AST, look for nodes of a particular type
 - Check the neighborhood of the node for the pattern in question.
- Various frameworks, some more language-specific than others.
 - Tradeoffs between language agnosticism and semantic information available.
 - Consider “grep”: very language agnostic, not very smart.
 - Python’s “astor” package designed for Python ASTs. Clean API; highly specific.
- One common architecture based on Visitor pattern:
 - class Visitor has a visitX method for each type of AST node X
 - Default Visitor code just descends the AST, visiting each node
 - To do something interesting for AST element of type X, override visitX
- Other more recent approaches based on semantic search, declarative logic programming, or query languages.

CodeQL

- A language for querying code. Developed by GitHub.
- Supports many common languages.
- Library of common programming patterns and optimizations.

CodeQL queries 1.23

[Dashboard](#) / [Java queries](#)

Inefficient empty string test

Created by Documentation team, last modified on Mar 28, 2019

```
from MethodAccess ma
where
    ma.getMethod().hasName("equals") and
    ma.getArgument(0).(StringLiteral).getValue() = ""
select ma, "This comparison to empty string is inefficient, use isEmpty()
instead."
```

Query: InefficientEmptyStringTest.ql

[Expand source](#)

When checking whether a string `s` is empty, perhaps the most obvious solution is to write something like `s.equals("")` (or `"".equals(s)`). However, this actually carries a fairly significant overhead, because `String.equals` performs a number of type tests and conversions before starting to compare the content of the strings.

Recommendation

The preferred way of checking whether a string `s` is empty is to check if its length is equal to zero. Thus, the condition is `s.length() == 0`. The `length` method is implemented as a simple field access, and so should be noticeably faster than calling `equals`.

Note that in Java 6 and later, the `String` class has an `isEmpty` method that checks whether a string is empty. If the codebase does not need to support Java 5, it may be better to use that method instead.

Back to WHILE

S statements
 a arithmetic expressions (AExp)
 x, y program variables (Vars)
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| | | | | | | | |
|---------|------------------------------|---------|----------------|---------|----------------|------------|---------------|
| $S ::=$ | $x := a$ | $b ::=$ | true | $a ::=$ | x | $op_b ::=$ | and or |
| | skip | | false | | n | $op_r ::=$ | < ≤ = |
| | $S_1; S_2$ | | not b | | $a_1 op_a a_2$ | | > ≥ |
| | if b then S_1 else S_2 | | $b_1 op_b b_2$ | | | $op_a ::=$ | + - * / |
| | while b do S | | $a_1 op_r a_2$ | | | | |

Questions to answer

- What is the “meaning” of a given WHILE expression/statement ?
- How would we go about evaluating WHILE expressions and statements?
- How are the evaluator and the meaning related?

Three canonical approaches

- Operational semantics
 - How would I execute this?
 - Interpreter
- Axiomatic semantics
 - What is true after I execute this?
 - Symbolic Execution
- Denotational semantics
 - What function is this trying to compute?
 - Mathematical modeling

Operational Semantics

- Specifies how expressions and statements should be evaluated depending on the form of the expression.
 - 0, 1, 2, . . . don't evaluate any further.
 - They are normal forms or values.
 - $4 + 2$ is evaluated by adding integers 4 and 2 to get 6.
 - Rule can be generalized for an expression containing only literals: $n_1 + n_2$
 - $a_1 + a_2$ is evaluated by:
 - First evaluating expression a_1 to value n_1
 - Then evaluating expression a_2 to integer n_2
 - The result of the evaluation is the literal representing $n_1 + n_2$
 - Here, evaluation order is being defined as left-to-right (post-order AST traversal)
- Operational semantics *abstracts the execution of a concrete interpreter.*

Big-Step Semantics

- Uses down-arrow \Downarrow notation to denote evaluation to normal form.
- $a \Downarrow n$ is a *judgment* that expression a is evaluated to value n
- For example: $(4 + 2) + 9 \Downarrow 15$
- You can think of this as a logical proposition.
 - The semantics of a language determines what judgments are provable.

Inference Rules

$$\frac{premise_1 \quad premise_2 \quad \dots \quad premise_n}{conclusion}$$

- A notation for defining semantics.
- If ALL of the premises above the line can be proved true, then the conclusion holds as well.

Let's Formalize the tiny ADD language

- Specifies how expressions and statements should be evaluated depending on the form of the expression.
 - 0, 1, 2, ... don't evaluate any further.
 - They are normal forms or values.
 - $4 + 2$ is evaluated by adding integers 4 and 2 to get 6.
 - Rule can be generalized for an expression containing only literals
 - $a_1 + a_2$ is evaluated by:
 - First evaluating expression a_1 to value n_1
 - Then evaluating expression a_2 to integer n_2
 - The result of the evaluation is the literal representing $n_1 + n_2$
 - Here, evaluation order is being defined as left-to-right (post-order AST traversal)
- Operational semantics *abstracts the execution of a concrete interpreter.*

Big-step semantics for ADD

$$\frac{}{n \Downarrow n} \textit{big-int}$$

$$\frac{a_1 \Downarrow n_1 \quad a_2 \Downarrow n_2}{a_1 + a_2 \Downarrow n_1 + n_2} \textit{big-add}$$

Derivation trees

$$\frac{a_1 \Downarrow n_1 \quad a_2 \Downarrow n_2}{a_1 + a_2 \Downarrow n_1 + n_2} \text{big-add}$$

- Let's derive $(4 + 2) + 9 \Downarrow 15$ from the rules

$$\frac{\frac{4 \Downarrow 4 \quad 2 \Downarrow 2}{4 + 2 \Downarrow 6} \quad 9 \Downarrow 9}{(4 + 2) + 9 \Downarrow 15}$$

- The derivation provides a proof of $(4 + 2) + 9 \Downarrow 15$ using only axioms and inference rules.

Operational Semantics of WHILE

- The meaning of WHILE expressions depend on the values of variables
 - What does $x+5$ mean? It depends on x .
 - If $x = 8$ at some point, we expect $x+5$ to mean 13

- The value of integer variables at a given moment is abstracted as a function:

$$E : Var \rightarrow Z$$

- We will augment our notation of big-step evaluation to include state:

$$\langle E, a \rangle \Downarrow n$$

- So, if $\{x \mapsto 8\} \in E$, then $\langle E, x + 5 \rangle \Downarrow 13$

Big-Step Semantics for WHILE expressions

$$\frac{}{\langle E, n \rangle \Downarrow n} \text{big-int} \qquad \frac{}{\langle E, x \rangle \Downarrow E(x)} \text{big-var}$$

$$\frac{\langle E, a_1 \rangle \Downarrow n_1 \quad \langle E, a_2 \rangle \Downarrow n_2}{\langle E, a_1 + a_2 \rangle \Downarrow n_1 + n_2} \text{big-add}$$

- Similarly for other arithmetic and boolean expressions

States propagate in derivations

- Let $E_1 = \{x \mapsto 4\}$. What will $x * 2 - 6$ evaluate to in this state?

$$\frac{\frac{\langle E_1, x \rangle \Downarrow 4 \quad \langle E_1, 2 \rangle \Downarrow 2}{\langle E_1, x * 2 \rangle \Downarrow 8} \quad \langle E_1, 6 \rangle \Downarrow 6}{\langle E_1, (x * 2) - 6 \rangle \Downarrow 2}$$

$\vdash \langle E_1, x * 2 - 6 \rangle \Downarrow 2$ (this evaluation is provable via a well-formed derivation)

Big-Step Semantics for WHILE statements

- Statements do not evaluate to values.
- However, statements can have side-effects.
- Notation for statement evaluations: $\langle E, S \rangle \Downarrow E'$

$$\frac{}{\langle E, \text{skip} \rangle \Downarrow E} \text{big-skip}$$

$$\frac{\langle E, a \rangle \Downarrow n}{\langle E, x := a \rangle \Downarrow E[x \mapsto n]} \text{big-assign}$$

Big-Step Semantics for WHILE statements

$$\frac{\langle E, S_1 \rangle \Downarrow E' \quad \langle E', S_2 \rangle \Downarrow E''}{\langle E, S_1; S_2 \rangle \Downarrow E''} \text{big-seq}$$

$$\frac{\langle E, b \rangle \Downarrow \text{true} \quad \langle E, S_1 \rangle \Downarrow E'}{\langle E, \text{if } b \text{ then } S_1 \text{ else } S_2 \rangle \Downarrow E'} \text{big-iftrue}$$

$$\frac{\langle E, b \rangle \Downarrow \text{false} \quad \langle E, S_2 \rangle \Downarrow E'}{\langle E, \text{if } b \text{ then } S_1 \text{ else } S_2 \rangle \Downarrow E'} \text{big-iffalse}$$

Big-Step Semantics for WHILE statements

- Exercise: Write the rule “*big-while*” for

while b *do* S

Big-Step Semantics for WHILE statements

$$\frac{\langle E, b \rangle \Downarrow \text{false}}{\langle E, \text{while } b \text{ do } S \rangle \Downarrow E} \text{big-whilefalse}$$

$$\frac{\langle E, b \rangle \Downarrow \text{true} \quad \langle E, S; \text{while } b \text{ do } S \rangle \Downarrow E'}{\langle E, \text{while } b \text{ then } S \rangle \Downarrow E'} \text{big-whiletrue}$$

Big-Step Semantics for WHILE statements

$$\frac{\langle E, b \rangle \Downarrow \text{false}}{\langle E, \text{while } b \text{ do } S \rangle \Downarrow E} \text{big-whilefalse}$$

Alternate formulation (equivalent to previous slide):

$$\frac{\langle E, b \rangle \Downarrow \text{true} \quad \langle E, S \Downarrow E' \rangle \quad \langle E', \text{while } b \text{ do } S \rangle \Downarrow E''}{\langle E, \text{while } b \text{ then } S \rangle \Downarrow E''} \text{big-whiletrue}$$

Big-Step Semantics: Discussion

- Rules suggest an AST interpreter
 - Recursively evaluate operands, then current node (post-order traversal)
- Disadvantages:
 - Cannot reason about non-terminating loops, e.g. while **true** do **skip**
 - Does not model intermediate states
 - Needed for semantics of concurrent execution models (e.g. Java threads)

Small-Step Operational Semantics

- Each step is an atomic rewrite of the program
- Execution is a sequence of (possibly infinite) steps
 - $\langle E_1, (x * 2) - 6 \rangle \rightarrow \langle E_1, (4 * 2) - 6 \rangle \rightarrow \langle E_1, 8 - 6 \rangle \rightarrow 2$
- Small arrow notation for single step:

$$\begin{aligned}\langle E, a \rangle &\rightarrow_a a' \\ \langle E, b \rangle &\rightarrow_b b' \\ \langle E, S \rangle &\rightarrow \langle E', S' \rangle\end{aligned}$$

(the subscripts on the arrows can be omitted when context is clear)

Small-Step Operational Semantics

- First define a multi-step notation: $\langle E, S \rangle \rightarrow^* \langle E', S' \rangle$

$$\overline{\langle E, S \rangle \rightarrow^* \langle E, S \rangle} \text{ multi-reflexive}$$

$$\frac{\langle E, S \rangle \rightarrow \langle E', S' \rangle \quad \langle E', S' \rangle \rightarrow^* \langle E'', S'' \rangle}{\langle E, S \rangle \rightarrow^* \langle E'', S'' \rangle} \text{ multi-inductive}$$

- A terminating evaluation of a program P from initial state E_{in} is:
$$\langle E_{in}, P \rangle \rightarrow^* \langle E_{out}, skip \rangle$$

Small-Step Semantics for WHILE expressions

- Axioms are similar:

$$\overline{\langle E, x \rangle \rightarrow_a E(x)} \text{ small-var}$$

$$\overline{\langle E, n \rangle \rightarrow_a n} \text{ small-int}$$

Small-Step Semantics for WHILE expressions

- Compound expressions

$$\frac{\langle E, a_1 \rangle \rightarrow_a a'_1}{\langle E, a_1 + a_2 \rangle \rightarrow_a a'_1 + a_2} \text{ small-add-left}$$

$$\frac{\langle E, a_2 \rangle \rightarrow_a a'_2}{\langle E, n_1 + a_2 \rangle \rightarrow_a n_1 + a'_2} \text{ small-add-right}$$

$$\frac{}{\langle E, n_1 + n_2 \rangle \rightarrow_a n_1 + n_2} \text{ small-add}$$

Small-Step Semantics for WHILE statements

$$\frac{\langle E, S_1 \rangle \rightarrow \langle E', S'_1 \rangle}{\langle E, S_1; S_2 \rangle \rightarrow \langle E', S'_1; S_2 \rangle} \text{small-seq-congruence}$$

$$\overline{\langle E, \text{skip}; S_2 \rangle \rightarrow \langle E, S_2 \rangle} \text{small-seq}$$

Small-Step Semantics for WHILE statements

$$\frac{\langle E, b \rangle \rightarrow_b b'}{\langle E, \text{if } b \text{ then } S_1 \text{ else } S_2 \rangle \rightarrow \langle E, \text{if } b' \text{ then } S_1 \text{ else } S_2 \rangle} \text{small-if-congruence}$$

$$\frac{}{\langle E, \text{if true then } S_1 \text{ else } S_2 \rangle \rightarrow \langle E, S_1 \rangle} \text{small-iftrue}$$

Small-Step Semantics for WHILE statements

- Exercise: Write the rule “*small-while*” for

while b *do* S

Small-Step Semantics for WHILE statements

$$\frac{}{\langle E, \text{while } b \text{ do } S \rangle \rightarrow \langle \text{if } b \text{ then } S; \text{while } b \text{ do } S \text{ else skip} \rangle} \textit{small-while}$$

Provability

- Given some operational semantics, $\langle E, a \rangle \Downarrow n$ is **provable** *if there exists* a well-formed derivation with $\langle E, a \rangle \Downarrow n$ as its conclusion

“well-formed” = “every step in the derivation is a valid instance of one of the rules of inference for this opsem system”

$\vdash \langle E, a \rangle \Downarrow n$ “it is provable that $\langle E, a \rangle \Downarrow n$ ”

Proofs over semantics

- Once we have defined semantics clearly, we can now reason about programs rigorously via proofs by *structural induction*.
- But first, recall *mathematical induction*:
 - To prove $\forall n : P(n)$ by induction on natural numbers
 - Base case: show that $P(0)$ holds
 - Inductive case: show that $\forall m : P(m) \Rightarrow P(m + 1)$

Proofs by Structural Induction

$$\begin{array}{lcl} a & ::= & x \\ & | & n \\ & | & a_1 \ op_a \ a_2 \end{array} \qquad op_a \ ::= \ + \ | \ - \ | \ * \ | \ /$$

- To prove $\forall a \in Aexp: P(a)$ by induction on structure of syntax
 - Base cases: show that $P(x)$ and $P(n)$ holds
 - Inductive cases: show that
 - $P(a_1) \wedge P(a_2) \Rightarrow P(a_1 + a_2)$
 - $P(a_1) \wedge P(a_2) \Rightarrow P(a_1 * a_2)$
 - $P(a_1) \wedge P(a_2) \Rightarrow P(a_1 / a_2)$

Proofs by Structural Induction

Example. Let $L(a)$ be the number of literals and variable occurrences in some expression a and $O(a)$ be the number of operators in a . Prove by induction on the structure of a that $\forall a \in \text{Aexp} . L(a) = O(a) + 1$:

Base cases:

- Case $a = n$. $L(a) = 1$ and $O(a) = 0$
- Case $a = x$. $L(a) = 1$ and $O(a) = 0$

Inductive case 1: Case $a = a_1 + a_2$

- By definition, $L(a) = L(a_1) + L(a_2)$ and $O(a) = O(a_1) + O(a_2) + 1$.
- By the induction hypothesis, $L(a_1) = O(a_1) + 1$ and $L(a_2) = O(a_2) + 1$.
- Thus, $L(a) = O(a_1) + O(a_2) + 2 = O(a) + 1$.

The other arithmetic operators follow the same logic.

Proofs by Structural Induction

- Prove that small-step and big-step semantics of expressions produce equivalent results.

$$\forall a \in \mathbf{AExp} . \langle E, a \rangle \rightarrow_a^* n \Leftrightarrow \langle E, a \rangle \Downarrow n$$

- Can be proved via structural induction over syntax. (Exercise)

Proofs by Structural Induction

- Prove that WHILE is *deterministic*. That is, if the program terminates, it evaluates to a unique value.

$$\begin{aligned} \forall a \in \mathbf{Aexp} . \quad \forall E . \forall n, n' \in \mathbb{N} . \quad \langle E, a \rangle \Downarrow n \wedge \langle E, a \rangle \Downarrow n' &\Rightarrow n = n' \\ \forall P \in \mathbf{Bexp} . \quad \forall E . \forall b, b' \in \mathcal{B} . \quad \langle E, P \rangle \Downarrow b \wedge \langle E, P \rangle \Downarrow b' &\Rightarrow b = b' \\ \forall S . \quad \forall E, E', E'' . \quad \langle E, S \rangle \Downarrow E' \wedge \langle E, S \rangle \Downarrow E'' &\Rightarrow E' = E'' \end{aligned}$$

Rule for while is recursive;
doesn't depend only on
subexpressions

- Can prove for expressions via induction over syntax, but not for statements.
- But there's still a way.

To prove: $\boxed{\forall S. \quad \forall E, E', E''. \quad \langle E, S \rangle \Downarrow E' \wedge \langle E, S \rangle \Downarrow E'' \Rightarrow E' = E''}$

Structural Induction over Derivations

Base case: the one rule with no premises, skip:

let $D :: \langle E, S \rangle \Downarrow E'$, and let $D' :: \langle E, S \rangle \Downarrow E''$

$$D ::= \overline{\langle E, \text{skip} \rangle \Downarrow E}$$

By inversion, the last rule used in D' (which, again, produced E'') must also have been the rule for skip. By the structure of the skip rule, we know $E'' = E$.

Inductive cases: We need to show that the property holds when the last rule used in D was each of the possible non-skip WHILE commands. I will show you one representative case; the rest are left as an exercise. If the last rule used was the while-true statement:

$$D ::= \frac{D_1 :: \langle E, b \rangle \Downarrow \text{true} \quad D_2 :: \langle E, S \rangle \Downarrow E_1 \quad D_3 :: \langle E_1, \text{while } b \text{ do } S \rangle \Downarrow E'}{\langle E, \text{while } b \text{ do } S \rangle \Downarrow E'}$$

Pick arbitrary E'' such that $D' :: \langle E, \text{while } b \text{ do } S \rangle \Downarrow E''$

By inversion, D' must use either the while-true or the while-false rule. However, having proved that boolean expressions are deterministic (via induction on syntax), and given that D contains the judgment $\langle E, b \rangle \Downarrow \text{true}$, we know that D' cannot be the while-false rule, as otherwise it would have to contain a contradicting judgment $\langle E, b \rangle \Downarrow \text{false}$.

So, we know that D' is also using while-true rule. In its derivation, D' must also have subderivations $D'_2 :: \langle E, S \rangle \Downarrow E'_1$ and $D'_3 :: \langle E'_1, \text{while } b \text{ do } S \rangle \Downarrow E''$. By the induction hypothesis on D_2 with D'_2 , we know $E_1 = E'_1$. Using this result and the induction hypothesis on D_3 with D'_3 , we have $E'' = E'$.

Next time

- WHILE3ADDR: A 3-address-code representation of WHILE
- Control-flow graphs
- Introduction to data-flow analysis