

# Attack Trees in Isabelle for GDPR compliance of IoT healthcare systems

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## Abstract

In this article, we present a proof theory for Attack Trees. Attack Trees are a well established and useful model for the construction of attacks on systems since they allow a stepwise exploration of high level attacks in application scenarios. Using the expressiveness of Higher Order Logic in Isabelle, we succeed in developing a generic theory of Attack Trees with a state-based semantics based on Kripke structures and CTL (see [2] for more details). The resulting framework allows mechanically supported logic analysis of the meta-theory of the proof calculus of Attack Trees and at the same time the developed proof theory enables application to case studies. A central correctness and completeness result proved in Isabelle establishes a connection between the notion of Attack tTree validity and CTL. The application is illustrated on the example of a healthcare IoT system and GDPR compliance verification. A more detailed account of the Attack Tree formalisation is given in [3] and the case study is described in detail in [4].

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## 1 Kripke structures and CTL

We apply Kripke structures and CTL to model state based systems and analyse properties under dynamic state changes. Snapshots of systems are the states on which we define a state transition. Temporal logic is then employed to express security and privacy properties.

```
theory MC
imports Main
begin
```

### 1.1 Lemmas to support least and greatest fixpoints

```
lemma predtrans-empty:
  assumes mono ( $\tau :: 'a \text{ set} \Rightarrow 'a \text{ set}$ )
  shows  $\forall i. (\tau \rightsquigarrow i) (\{\}) \subseteq (\tau \rightsquigarrow (i + 1))(\{\})$ 
  using assms funpow-decreasing le-add1 by blast
```

```
lemma ex-card: finite S  $\implies \exists n:: \text{nat}. \text{card } S = n$ 
by simp
```

```
lemma less-not-le:  $\llbracket (x:: \text{nat}) < y; y \leq x \rrbracket \implies \text{False}$ 
by arith
```

```

lemma infchain-outruns-all:
  assumes finite (UNIV :: 'a set)
    and  $\forall i :: \text{nat. } ((\tau :: 'a \text{ set} \Rightarrow 'a \text{ set}) \rightsquigarrow i) (\{\} :: 'a \text{ set}) \subset (\tau \rightsquigarrow (i + 1)) \{\}$ 
  shows  $\forall j :: \text{nat. } \exists i :: \text{nat. } j < \text{card } ((\tau \rightsquigarrow i) \{\})$ 
proof (rule allI, induct-tac j)
  show  $\exists i. 0 < \text{card } ((\tau \rightsquigarrow i) \{\})$  using assms
    by (metis bot.not-eq-extremum card-gt-0-iff finite-subset subset-UNIV)
next show  $\bigwedge j \text{ nat. } \exists i. n < \text{card } ((\tau \rightsquigarrow i) \{\})$ 
     $\implies \exists i. \text{Suc } n < \text{card } ((\tau \rightsquigarrow i) \{\})$ 
  proof -
    fix j n
    assume a:  $\exists i. n < \text{card } ((\tau \rightsquigarrow i) \{\})$ 
    obtain i where  $n < \text{card } ((\tau \rightsquigarrow i) \{\})$ 
      using a by blast
    thus  $\exists i. \text{Suc } n < \text{card } ((\tau \rightsquigarrow i) \{\})$  using assms
      by (meson finite-subset le-less-trans le-simps(3) psubset-card-mono subset-UNIV)
    qed
  qed

```

```

lemma no-infinite-subset-chain:
  assumes finite (UNIV :: 'a set)
    and mono ( $\tau :: ('a \text{ set} \Rightarrow 'a \text{ set})$ )
    and  $\forall i :: \text{nat. } ((\tau :: 'a \text{ set} \Rightarrow 'a \text{ set}) \rightsquigarrow i) \{\} \subset (\tau \rightsquigarrow (i + (1 :: \text{nat}))) (\{\} :: 'a \text{ set})$ 
  shows False

```

Proof idea: since *UNIV* is finite, we have from *ex-card* that there is an *n* with  $\text{card } UNIV = n$ . Now, use *infchain-outruns-all* to show as contradiction point that  $\exists i. \text{card } UNIV < \text{card } (\tau^i \{\})$ . Since all sets are subsets of *UNIV*, we also have  $\text{card } (\tau^i \{\}) \leq \text{card } UNIV$ : Contradiction!, i.e. proof of *False*

```

proof -
  have a:  $\forall (j :: \text{nat}). (\exists (i :: \text{nat}). (j :: \text{nat}) < \text{card}((\tau \rightsquigarrow i)(\{\} :: 'a \text{ set})))$  using assms
    by (erule-tac  $\tau = \tau$  in infchain-outruns-all)
  hence b:  $\exists (n :: \text{nat}). \text{card}(UNIV :: 'a \text{ set}) = n$  using assms
    by (erule-tac  $S = UNIV$  in ex-card)
  from this obtain n where c:  $\text{card}(UNIV :: 'a \text{ set}) = n$  by (erule exE)
  hence d:  $\exists i. \text{card } UNIV < \text{card } ((\tau \rightsquigarrow i) \{\})$  using a
    by (drule-tac  $x = \text{card } UNIV$  in spec)
  from this obtain i where e:  $\text{card } (UNIV :: 'a \text{ set}) < \text{card } ((\tau \rightsquigarrow i) \{\})$ 
    by (erule exE)
  hence f:  $(\text{card}((\tau \rightsquigarrow i)\{\})) \leq (\text{card } (UNIV :: 'a \text{ set}))$  using assms
    apply (erule-tac  $A = ((\tau \rightsquigarrow i)\{\})$  in Finite-Set.card-mono)
    by (rule subset-UNIV)
  thus False using e
    by (erule-tac  $y = \text{card}((\tau \rightsquigarrow i)\{\})$  in less-not-le)
  qed

```

**lemma** *finite-fixp*:

**assumes** *finite*(*UNIV* :: 'a set)  
**and** *mono* ( $\tau :: ('a \text{ set} \Rightarrow 'a \text{ set})$ )  
**shows**  $\exists i. (\tau \rightsquigarrow i) (\{\}) = (\tau \rightsquigarrow (i + 1))(\{\})$

Proof idea: with *predtrans-empty* we know

$\forall i. \tau^i \{\} \subseteq \tau^{i+1} \{\}$  (1).

If we can additionally show

$\exists i. \tau^{i+1} \{\} \subseteq \tau^i \{\}$  (2),

we can get the goal together with equality  $I \subseteq + \supseteq \longrightarrow =$ . To prove (1) we observe that  $\tau^{i+1} \{\} \subseteq \tau^i \{\}$  can be inferred from  $\neg \tau^i \{\} \subseteq \tau^{i+1} \{\}$  and (1). Finally, the latter is solved directly by *no-infinite-subset-chain*.

**proof** –

**have**  $a: \forall i. (\tau \rightsquigarrow i) (\{\} :: 'a \text{ set}) \subseteq (\tau \rightsquigarrow (i + 1)) \{\}$   
**by** (*rule predtrans-empty*, *rule assms(2)*)  
**have**  $a3: \neg (\forall i :: \text{nat}. (\tau \rightsquigarrow i) \{\} \subseteq (\tau \rightsquigarrow (i + 1)) \{\})$   
**by** (*rule notI*, *rule no-infinite-subset-chain*, (*rule assms*)+)  
**hence**  $b: (\exists i :: \text{nat}. \neg ((\tau \rightsquigarrow i) \{\} \subseteq (\tau \rightsquigarrow (i + 1)) \{\}))$  **using** *assms a3*  
**by** *blast*  
**thus**  $\exists i. (\tau \rightsquigarrow i) (\{\}) = (\tau \rightsquigarrow (i + 1))(\{\})$  **using** *a*  
**by** *blast*

**qed**

**lemma** *predtrans-UNIV*:

**assumes** *mono* ( $\tau :: ('a \text{ set} \Rightarrow 'a \text{ set})$ )  
**shows**  $\forall i. (\tau \rightsquigarrow i) (\text{UNIV}) \supseteq (\tau \rightsquigarrow (i + 1))(\text{UNIV})$

**proof** (*rule allI*, *induct-tac i*)

**show**  $(\tau \rightsquigarrow ((0) + (1))) \text{UNIV} \subseteq (\tau \rightsquigarrow (0)) \text{UNIV}$   
**by** *simp*

**next show**  $\bigwedge(i) n.$

$(\tau \rightsquigarrow (n + (1))) \text{UNIV} \subseteq (\tau \rightsquigarrow n) \text{UNIV} \Longrightarrow (\tau \rightsquigarrow (\text{Suc } n + (1))) \text{UNIV}$   
 $\subseteq (\tau \rightsquigarrow \text{Suc } n) \text{UNIV}$

**proof** –

**fix**  $i n$

**assume**  $a: (\tau \rightsquigarrow (n + (1))) \text{UNIV} \subseteq (\tau \rightsquigarrow n) \text{UNIV}$

**have**  $(\tau ((\tau \rightsquigarrow n) \text{UNIV})) \supseteq (\tau ((\tau \rightsquigarrow (n + (1 :: \text{nat}))) \text{UNIV}))$  **using** *assms*

*a*

**by** (*rule monoE*)

**thus**  $(\tau \rightsquigarrow (\text{Suc } n + (1))) \text{UNIV} \subseteq (\tau \rightsquigarrow \text{Suc } n) \text{UNIV}$  **by** *simp*

**qed**

**qed**

**lemma** *Suc-less-le*:  $x < (y - n) \Longrightarrow x \leq (y - (\text{Suc } n))$

**by** *simp*

**lemma** *card-univ-subtract*:

**assumes** *finite* (*UNIV* :: 'a set) **and** *mono*  $\tau$

**and**  $(\forall i :: \text{nat. } ((\tau :: 'a \text{ set} \Rightarrow 'a \text{ set}) \rightsquigarrow (i + (1 :: \text{nat}))))(UNIV :: 'a \text{ set}) \subset (\tau \rightsquigarrow i) UNIV$   
**shows**  $(\forall i :: \text{nat. } \text{card}((\tau \rightsquigarrow i) (UNIV :: 'a \text{ set})) \leq (\text{card } (UNIV :: 'a \text{ set})) - i)$   
**proof** (*rule allI, induct-tac i*)  
**show**  $\text{card}((\tau \rightsquigarrow (0)) UNIV) \leq \text{card } (UNIV :: 'a \text{ set}) - (0)$  **using** *assms*  
**by** (*simp*)  
**next show**  $\bigwedge(i) n.$   
 $\text{card}((\tau \rightsquigarrow n) (UNIV :: 'a \text{ set})) \leq \text{card } (UNIV :: 'a \text{ set}) - n \implies$   
 $\text{card}((\tau \rightsquigarrow \text{Suc } n) (UNIV :: 'a \text{ set})) \leq \text{card } (UNIV :: 'a \text{ set}) - \text{Suc } n$  **using** *assms*  
**proof** –  
**fix** *i n*  
**assume** *a*:  $\text{card}((\tau \rightsquigarrow n) (UNIV :: 'a \text{ set})) \leq \text{card } (UNIV :: 'a \text{ set}) - n$   
**have** *b*:  $(\tau \rightsquigarrow (n + (1)))(UNIV :: 'a \text{ set}) \subset (\tau \rightsquigarrow n) UNIV$  **using** *assms*  
**by** (*erule-tac x = n in spec*)  
**have**  $\text{card}((\tau \rightsquigarrow (n + (1 :: \text{nat}))))(UNIV :: 'a \text{ set}) < \text{card}((\tau \rightsquigarrow n) (UNIV :: 'a \text{ set}))$   
**by** (*rule psubset-card-mono, rule finite-subset, rule subset-UNIV, rule assms(1), rule b*)  
**thus**  $\text{card}((\tau \rightsquigarrow \text{Suc } n) (UNIV :: 'a \text{ set})) \leq \text{card } (UNIV :: 'a \text{ set}) - \text{Suc } n$   
**using** *a*  
**by** *simp*  
**qed**  
**qed**

**lemma** *card-UNIV-tau-i-below-zero*:

**assumes** *finite*  $(UNIV :: 'a \text{ set})$  **and** *mono*  $\tau$   
**and**  $(\forall i :: \text{nat. } ((\tau :: ('a \text{ set} \Rightarrow 'a \text{ set})) \rightsquigarrow (i + (1 :: \text{nat}))))(UNIV :: 'a \text{ set}) \subset (\tau \rightsquigarrow i) UNIV$   
**shows**  $\text{card}((\tau \rightsquigarrow (\text{card } (UNIV :: 'a \text{ set}))) (UNIV :: 'a \text{ set})) \leq 0$   
**proof** –  
**have**  $(\forall i :: \text{nat. } \text{card}((\tau \rightsquigarrow i) (UNIV :: 'a \text{ set})) \leq (\text{card } (UNIV :: 'a \text{ set})) - i)$   
**using** *assms*  
**by** (*rule card-univ-subtract*)  
**thus**  $\text{card}((\tau \rightsquigarrow (\text{card } (UNIV :: 'a \text{ set}))) (UNIV :: 'a \text{ set})) \leq 0$   
**by** (*drule-tac x = card (UNIV :: 'a set) in spec, simp*)  
**qed**

**lemma** *finite-card-zero-empty*:  $\llbracket \text{finite } S; \text{card } S \leq 0 \rrbracket \implies S = \{\}$

**by** *simp*

**lemma** *UNIV-tau-i-is-empty*:

**assumes** *finite*  $(UNIV :: 'a \text{ set})$  **and** *mono*  $(\tau :: ('a \text{ set} \Rightarrow 'a \text{ set}))$   
**and**  $(\forall i :: \text{nat. } ((\tau :: 'a \text{ set} \Rightarrow 'a \text{ set}) \rightsquigarrow (i + (1 :: \text{nat}))))(UNIV :: 'a \text{ set}) \subset (\tau \rightsquigarrow i) UNIV$   
**shows**  $(\tau \rightsquigarrow (\text{card } (UNIV :: 'a \text{ set}))) (UNIV :: 'a \text{ set}) = \{\}$   
**by** (*meson assms card-UNIV-tau-i-below-zero finite-card-zero-empty finite-subset subset-UNIV*)

**lemma** *down-chain-reaches-empty*:  
**assumes** *finite* ( $UNIV :: 'a \text{ set}$ ) **and** *mono* ( $\tau :: 'a \text{ set} \Rightarrow 'a \text{ set}$ )  
**and**  $(\forall i :: \text{nat}. ((\tau :: 'a \text{ set} \Rightarrow 'a \text{ set}) \rightsquigarrow (i + (1 :: \text{nat})))) UNIV \subset (\tau \rightsquigarrow i)$   
 $UNIV)$   
**shows**  $\exists (j :: \text{nat}). (\tau \rightsquigarrow j) UNIV = \{\}$   
**using** *UNIV-tau-i-is-empty assms* **by** *blast*

**lemma** *no-infinite-subset-chain2*:  
**assumes** *finite* ( $UNIV :: 'a \text{ set}$ ) **and** *mono* ( $\tau :: ('a \text{ set} \Rightarrow 'a \text{ set})$ )  
**and**  $\forall i :: \text{nat}. (\tau \rightsquigarrow i) UNIV \supset (\tau \rightsquigarrow (i + (1 :: \text{nat}))) UNIV$   
**shows** *False*  
**proof** –  
**have**  $\exists j :: \text{nat}. (\tau \rightsquigarrow j) UNIV = \{\}$  **using** *assms*  
**by** (*rule down-chain-reaches-empty*)  
**from** *this* **obtain**  $j$  **where**  $a: (\tau \rightsquigarrow j) UNIV = \{\}$  **by** (*erule exE*)  
**have**  $(\tau \rightsquigarrow (j + (1))) UNIV \subset (\tau \rightsquigarrow j) UNIV$  **using** *assms*  
**by** (*erule-tac x = j in spec*)  
**thus** *False* **using**  $a$  **by** *simp*  
**qed**

**lemma** *finite-fix2*:  
**assumes** *finite*( $UNIV :: 'a \text{ set}$ ) **and** *mono* ( $\tau :: ('a \text{ set} \Rightarrow 'a \text{ set})$ )  
**shows**  $\exists i. (\tau \rightsquigarrow i) UNIV = (\tau \rightsquigarrow (i + 1)) UNIV$   
**proof** –  
**have**  $\forall i. (\tau \rightsquigarrow (i + (1))) UNIV \subseteq (\tau \rightsquigarrow i) UNIV$   
**by** (*rule predtrans-UNIV , simp add: assms(2)*)  
**moreover** **have**  $\exists i. \neg (\tau \rightsquigarrow (i + (1))) UNIV \subset (\tau \rightsquigarrow i) UNIV$  **using** *assms*  
**proof** –  
**have**  $\neg (\forall i :: \text{nat}. (\tau \rightsquigarrow i) UNIV \supset (\tau \rightsquigarrow (i + 1)) UNIV)$   
**using** *assms(1) assms(2) no-infinite-subset-chain2* **by** *blast*  
**thus**  $\exists i. \neg (\tau \rightsquigarrow (i + (1))) UNIV \subset (\tau \rightsquigarrow i) UNIV$  **by** *blast*  
**qed**  
**ultimately** **show**  $\exists i. (\tau \rightsquigarrow i) UNIV = (\tau \rightsquigarrow (i + 1)) UNIV$   
**by** *blast*  
**qed**

**lemma** *lfp-loop*:  
**assumes** *finite* ( $UNIV :: 'b \text{ set}$ ) **and** *mono* ( $\tau :: ('b \text{ set} \Rightarrow 'b \text{ set})$ )  
**shows**  $\exists n. \text{lfp } \tau = (\tau \rightsquigarrow n) \{\}$   
**proof** –  
**have**  $\exists i. (\tau \rightsquigarrow i) \{\} = (\tau \rightsquigarrow (i + (1))) \{\}$  **using** *assms*  
**by** (*rule finite-fix*)  
**from** *this* **obtain**  $i$  **where**  $(\tau \rightsquigarrow i) \{\} = (\tau \rightsquigarrow (i + (1))) \{\}$   
**by** (*erule exE*)  
**hence**  $(\tau \rightsquigarrow i) \{\} = (\tau \rightsquigarrow \text{Suc } i) \{\}$   
**by** *simp*  
**hence**  $(\tau \rightsquigarrow \text{Suc } i) \{\} = (\tau \rightsquigarrow i) \{\}$   
**by** (*rule sym*)

```

hence lfp  $\tau = (\tau \sim i)$  {}
  by (simp add: assms(2) lfp-Kleene-iter)
thus  $\exists n . \text{lfp } \tau = (\tau \sim n)$  {}
  by (rule exI)
qed

```

These next two are repeated from the corresponding theorems in HOL/ZF/Nat.thy for the sake of self-containedness of the exposition.

```

lemma Kleene-iter-gfpf:
  assumes mono  $f$  and  $p \leq f p$  shows  $p \leq (f \sim k)$  (top::'a::order-top)
proof (induction k)
  case 0 show ?case by simp
next
  case Suc
  from monoD[OF assms(1) Suc] assms(2)
  show ?case by simp
qed

```

```

lemma gfp-loop:
  assumes finite (UNIV :: 'b set)
  and mono ( $\tau :: ('b \text{ set} \Rightarrow 'b \text{ set})$ )
  shows  $\exists n . \text{gfp } \tau = (\tau \sim n) \text{UNIV}$ 
proof -
  have  $\exists i . (\tau \sim i)(\text{UNIV} :: 'b \text{ set}) = (\tau \sim (i + (1))) \text{UNIV}$  using assms
  by (rule finite-fixp2)
  from this obtain  $i$  where  $(\tau \sim i) \text{UNIV} = (\tau \sim (i + (1))) \text{UNIV}$  by (rule exE)
  thus  $\exists n . \text{gfp } \tau = (\tau \sim n) \text{UNIV}$  using assms
  by (metis Suc-eq-plus1 gfp-Kleene-iter)
qed

```

## 1.2 Generic type of state with state transition and CTL operators

The system states and their transition relation are defined as a class called *state* containing an abstract constant *state-transition*. It introduces the syntactic infix notation  $I \rightarrow_i I'$  to denote that system state  $I$  and  $I'$  are in this relation over an arbitrary (polymorphic) type  $'a$ .

```

class state =
  fixes state-transition :: [ $'a :: \text{type}$ , 'a]  $\Rightarrow$  bool (infixr  $\rightarrow_i$  50)

```

The above class definition lifts Kripke structures and CTL to a general level. The definition of the inductive relation is given by a set of specific rules which are, however, part of an application like infrastructures. Branching time temporal logic CTL is defined in general over Kripke structures with arbitrary state transitions and can later be applied to suitable theories, like infrastructures. Based on the generic state transition  $\rightarrow$  of the type class

state, the CTL-operators EX and AX express that property  $f$  holds in some or all next states, respectively.

**definition AX where**  $AX f \equiv \{s. \{f0. s \rightarrow_i f0\} \subseteq f\}$

**definition EX' where**  $EX' f \equiv \{s. \exists f0 \in f. s \rightarrow_i f0\}$

The CTL formula  $AG f$  means that on all paths branching from a state  $s$  the formula  $f$  is always true ( $G$  stands for ‘globally’). It can be defined using the Tarski fixpoint theory by applying the greatest fixpoint operator. In a similar way, the other CTL operators are defined.

**definition AF where**  $AF f \equiv lfp (\lambda Z. f \cup AX Z)$

**definition EF where**  $EF f \equiv lfp (\lambda Z. f \cup EX' Z)$

**definition AG where**  $AG f \equiv gfp (\lambda Z. f \cap AX Z)$

**definition EG where**  $EG f \equiv gfp (\lambda Z. f \cap EX' Z)$

**definition AU where**  $AU f1 f2 \equiv lfp(\lambda Z. f2 \cup (f1 \cap AX Z))$

**definition EU where**  $EU f1 f2 \equiv lfp(\lambda Z. f2 \cup (f1 \cap EX' Z))$

**definition AR where**  $AR f1 f2 \equiv gfp(\lambda Z. f2 \cap (f1 \cup AX Z))$

**definition ER where**  $ER f1 f2 \equiv gfp(\lambda Z. f2 \cap (f1 \cup EX' Z))$

### 1.3 Kripke structures and Modelchecking

**datatype**  $'a$  kripke =

*Kripke 'a set 'a set*

**primrec states where**  $states (Kripke S I) = S$

**primrec init where**  $init (Kripke S I) = I$

The formal Isabelle definition of what it means that formula  $f$  holds in a Kripke structure  $M$  can be stated as: the initial states of the Kripke structure  $init M$  need to be contained in the set of all states  $states M$  that imply  $f$ .

**definition check** ( $- \vdash -$  50)

**where**  $M \vdash f \equiv (init M) \subseteq \{s \in (states M). s \in f\}$

**definition state-transition-refl** (**infixr**  $\rightarrow_{i^*}$  50)

**where**  $s \rightarrow_{i^*} s' \equiv ((s,s') \in \{(x,y). state-transition x y\}^*)$

### 1.4 Lemmas for CTL operators

#### 1.4.1 EF lemmas

**lemma EF-lem0:**  $(x \in EF f) = (x \in f \cup EX' (lfp (\lambda Z :: ('a :: state) set. f \cup EX' Z)))$

**proof** –

**have**  $lfp (\lambda Z :: ('a :: state) set. f \cup EX' Z) =$

$f \cup (EX' (lfp (\lambda Z :: ('a :: state) set. f \cup EX' Z)))$

**by** (*rule def-lfp-unfold, rule reflexive, unfold mono-def EX'-def, auto*)

**thus**  $(x \in EF (f :: ('a :: state) set)) = (x \in f \cup EX' (lfp (\lambda Z :: ('a :: state) set. f \cup EX' Z)))$

**by** (*simp add: EF-def*)



**qed**

**lemma** *EF-lem00*:  $(EF\ f) = (f \cup EX'\ (lfp\ (\lambda\ Z :: ('a :: state)\ set.\ f \cup EX'\ Z)))$   
**by** (*auto simp: EF-lem0*)

**lemma** *EF-lem000*:  $(EF\ f) = (f \cup EX'\ (EF\ f))$   
**by** (*metis EF-def EF-lem00*)

**lemma** *EF-lem1*:  $x \in f \vee x \in (EX'\ (EF\ f)) \implies x \in EF\ f$

**proof** (*simp add: EF-def*)

**assume**  $a: x \in f \vee x \in EX'\ (lfp\ (\lambda\ Z :: 'a\ set.\ f \cup EX'\ Z))$

**show**  $x \in lfp\ (\lambda\ Z :: 'a\ set.\ f \cup EX'\ Z)$

**proof** –

**have**  $b: lfp\ (\lambda\ Z :: ('a :: state)\ set.\ f \cup EX'\ Z) =$   
 $f \cup (EX'\ (lfp\ (\lambda\ Z :: ('a :: state)\ set.\ f \cup EX'\ Z)))$

**using** *EF-def EF-lem00* **by** *blast*

**thus**  $x \in lfp\ (\lambda\ Z :: 'a\ set.\ f \cup EX'\ Z)$  **using**  $a$

**by** (*subst b, blast*)

**qed**

**qed**

**lemma** *EF-lem2b*:

**assumes**  $x \in (EX'\ (EF\ f))$

**shows**  $x \in EF\ f$

**by** (*simp add: EF-lem1 assms*)

**lemma** *EF-lem2a*: **assumes**  $x \in f$  **shows**  $x \in EF\ f$

**by** (*simp add: EF-lem1 assms*)

**lemma** *EF-lem2c*: **assumes**  $x \notin f$  **shows**  $x \in EF\ (-\ f)$

**by** (*simp add: EF-lem1 assms*)

**lemma** *EF-lem2d*: **assumes**  $x \notin EF\ f$  **shows**  $x \notin f$

**using** *EF-lem1 assms* **by** *auto*

**lemma** *EF-lem3b*: **assumes**  $x \in EX'\ (f \cup EX'\ (EF\ f))$  **shows**  $x \in (EF\ f)$

**by** (*metis EF-lem000 EF-lem2b assms*)

**lemma** *EX-lem0l*:  $x \in (EX'\ f) \implies x \in (EX'\ (f \cup g))$

**by** (*auto simp: EX'-def*)

**lemma** *EX-lem0r*:  $x \in (EX'\ g) \implies x \in (EX'\ (f \cup g))$

**by** (*auto simp: EX'-def*)

**lemma** *EX-step*: **assumes**  $x \rightarrow_i y$  **and**  $y \in f$  **shows**  $x \in EX'\ f$

**using** *assms* **by** (*auto simp: EX'-def*)

**lemma** *EF-E[rule-format]*:  $\forall f. x \in (EF\ f) \longrightarrow x \in (f \cup EX'\ (EF\ f))$

**using** *EF-lem000* **by** *blast*

**lemma** *EF-step*: assumes  $x \rightarrow_i y$  and  $y \in f$  shows  $x \in EF f$   
 using *EF-lem3b EX-step assms by blast*

**lemma** *EF-step-step*: assumes  $x \rightarrow_i y$  and  $y \in EF f$  shows  $x \in EF f$   
 using *EF-lem2b EX-step assms by blast*

**lemma** *EF-step-star*:  $\llbracket x \rightarrow_{i^*} y; y \in f \rrbracket \Longrightarrow x \in EF f$

**proof** (*simp add: state-transition-refl-def*)

**show**  $(x, y) \in \{(x::'a, y::'a). x \rightarrow_i y\}^* \Longrightarrow y \in f \Longrightarrow x \in EF f$

**proof** (*erule converse-rtrancl-induct*)

**show**  $y \in f \Longrightarrow y \in EF f$

**by** (*erule EF-lem2a*)

**next show**  $\bigwedge ya z::'a. y \in f \Longrightarrow$

$(ya, z) \in \{(x,y). x \rightarrow_i y\} \Longrightarrow$

$(z, y) \in \{(x,y). x \rightarrow_i y\}^* \Longrightarrow z \in EF f \Longrightarrow ya \in EF f$

**by** (*simp add: EF-step-step*)

**qed**

**qed**

**lemma** *EF-induct*:  $(a::'a::state) \in EF f \Longrightarrow$

$mono (\lambda Z. f \cup EX' Z) \Longrightarrow$

$(\bigwedge x. x \in ((\lambda Z. f \cup EX' Z)(EF f \cap \{x::'a::state. P x\})) \Longrightarrow P x) \Longrightarrow$   
 $P a$

**by** (*metis (mono-tags, lifting) EF-def def-lfp-induct-set*)

**lemma** *valEF-E*:  $M \vdash EF f \Longrightarrow x \in init M \Longrightarrow x \in EF f$

**by** (*auto simp: check-def*)

**lemma** *EF-step-star-rev[rule-format]*:  $x \in EF s \Longrightarrow (\exists y \in s. x \rightarrow_{i^*} y)$

**proof** (*erule EF-induct*)

**show**  $mono (\lambda Z::'a set. s \cup EX' Z)$

**by** (*force simp add: mono-def EX'-def*)

**next show**  $\bigwedge x::'a. x \in s \cup EX' (EF s \cap \{x::'a. \exists y::'a \in s. x \rightarrow_{i^*} y\}) \Longrightarrow \exists y::'a \in s.$

$x \rightarrow_{i^*} y$

**apply** (*erule UnE*)

**using** *state-transition-refl-def apply auto[1]*

**by** (*auto simp add: EX'-def state-transition-refl-def intro: converse-rtrancl-into-rtrancl*)

**qed**

**lemma** *EF-step-inv*:  $(I \subseteq \{sa::'s :: state. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in EF s\})$

$\Longrightarrow \forall x \in I. \exists y \in s. x \rightarrow_{i^*} y$

**using** *EF-step-star-rev by fastforce*

## 1.4.2 AG lemmas

**lemma** *AG-in-lem*:  $x \in AG s \Longrightarrow x \in s$

**by** (*auto simp add: AG-def gfp-def*)

**lemma** *AG-lem1*:  $x \in s \wedge x \in (AX (AG s)) \implies x \in AG s$   
**proof** (*simp add: AG-def*)  
 have *gfp* ( $\lambda Z::'a \text{ set. } s \cap AX Z$ ) =  $s \cap (AX (\text{gfp } (\lambda Z::'a \text{ set. } s \cap AX Z)))$   
 by (*rule def-gfp-unfold*) (*auto simp: mono-def AX-def*)  
 then show  $x \in s \wedge x \in AX (\text{gfp } (\lambda Z::'a \text{ set. } s \cap AX Z)) \implies x \in \text{gfp } (\lambda Z::'a \text{ set. } s \cap AX Z)$   
 by *blast*  
**qed**

**lemma** *AG-lem2*:  $x \in AG s \implies x \in (s \cap (AX (AG s)))$   
**proof** –  
 have *a*:  $AG s = s \cap (AX (AG s))$   
 unfolding *AG-def*  
 by (*rule def-gfp-unfold*) (*auto simp: mono-def AX-def*)  
 thus  $x \in AG s \implies x \in (s \cap (AX (AG s)))$   
 by (*erule subst*)  
**qed**

**lemma** *AG-lem3*:  $AG s = (s \cap (AX (AG s)))$   
 using *AG-lem1 AG-lem2* by *blast*

**lemma** *AG-step*:  $y \rightarrow_i z \implies y \in AG s \implies z \in AG s$   
 using *AG-lem2 AX-def* by *blast*

**lemma** *AG-all-s*:  $x \rightarrow_{i^*} y \implies x \in AG s \implies y \in AG s$   
**proof** (*simp add: state-transition-refl-def*)  
 show  $(x, y) \in \{(x, y). x \rightarrow_i y\}^* \implies x \in AG s \implies y \in AG s$   
 by (*erule rtrancl-induct*) (*auto simp add: AG-step*)  
**qed**

**lemma** *AG-imp-notnotEF*:  
 $I \neq \{\} \implies ((\text{Kripke } \{s. \exists i \in I. (i \rightarrow_{i^*} s)\} I \vdash AG s) \implies$   
 $(\neg(\text{Kripke } \{s. \exists i \in I. (i \rightarrow_{i^*} s)\} (I :: ('s :: \text{state})\text{set}) \vdash EF (- s)))$   
**proof** (*rule notI, simp add: check-def*)  
 assume *a0*:  $I \neq \{\}$  and  
*a1*:  $I \subseteq \{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in AG s\}$  and  
*a2*:  $I \subseteq \{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in EF (- s)\}$   
 show *False*  
**proof** –  
 have *a3*:  $\{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in AG s\} \cap$   
 $\{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in EF (- s)\} = \{\}$   
**proof** –  
 have  $(? x. x \in \{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in AG s\} \wedge$   
 $x \in \{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in EF (- s)\}) \implies \text{False}$   
**proof** –  
 assume *a4*:  $(? x. x \in \{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in AG s\} \wedge$   
 $x \in \{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in EF (- s)\})$   
 from *a4* obtain *x* where *a5*:  $x \in \{sa::'s. (\exists i \in I. i \rightarrow_{i^*} sa) \wedge sa \in AG$   
 $s\} \wedge$

```

      x ∈ {sa::'s. (∃ i∈I. i →i* sa) ∧ sa ∈ EF (- s)}
    by (erule exE)
    thus False
  by (metis (mono-tags, lifting) AG-all-s AG-in-lem ComplD EF-step-star-rev
a5 mem-Collect-eq)
  qed
  thus {sa::'s. (∃ i∈I. i →i* sa) ∧ sa ∈ AG s} ∩
      {sa::'s. (∃ i∈I. i →i* sa) ∧ sa ∈ EF (- s)} = {}
  by blast
  qed
  moreover have b: ? x. x : I using a0
  by blast
  moreover obtain x where x ∈ I
  using b by blast
  ultimately show False using a0 a1 a2
  by blast
  qed
  qed

```

A simplified way of Modelchecking is given by the following lemma.

```

lemma check2-def: (Kripke S I ⊢ f) = (I ⊆ S ∩ f)
  by (auto simp add: check-def)

```

**end**

## 2 Attack Trees

```

theory AT
imports MC
begin

```

Attack Trees are an intuitive and practical formal method to analyse and quantify attacks on security and privacy. They are very useful to identify the steps an attacker takes through a system when approaching the attack goal. Here, we provide a proof calculus to analyse concrete attacks using a notion of attack validity. We define a state based semantics with Kripke models and the temporal logic CTL in the proof assistant Isabelle [6] using its Higher Order Logic (HOL). We prove the correctness and completeness (adequacy) of Attack Trees in Isabelle with respect to the model.

### 2.1 Attack Tree datatype

The following datatype definition *attree* defines attack trees. The simplest case of an attack tree is a base attack. The principal idea is that base attacks are defined by a pair of state sets representing the initial states and the *attack property* – a set of states characterized by the fact that this property holds in them. Attacks can also be combined as the conjunction or disjunction of

other attacks. The operator  $\oplus_{\vee}$  creates or-trees and  $\oplus_{\wedge}$  creates and-trees. And-attack trees  $l \oplus_{\wedge} s$  and or-attack trees  $l \oplus_{\vee} s$  combine lists of attack trees  $l$  either conjunctively or disjunctively and consist of a list of sub-attacks – again attack trees.

**datatype**  $(s :: \text{state}) \text{ attree} = \text{BaseAttack } (s \text{ set}) * (s \text{ set}) (\mathcal{N}_{(-)} \mid$   
 $\text{AndAttack } (s \text{ attree}) \text{ list } (s \text{ set}) * (s \text{ set}) (- \oplus_{\wedge}^{(-)} 60) \mid$   
 $\text{OrAttack } (s \text{ attree}) \text{ list } (s \text{ set}) * (s \text{ set}) (- \oplus_{\vee}^{(-)} 61)$

**primrec**  $\text{attack} :: (s :: \text{state}) \text{ attree} \Rightarrow (s \text{ set}) * (s \text{ set})$

**where**

$\text{attack } (\text{BaseAttack } b) = b \mid$   
 $\text{attack } (\text{AndAttack } as \ s) = s \mid$   
 $\text{attack } (\text{OrAttack } as \ s) = s$

## 2.2 Attack Tree refinement

When we develop an attack tree, we proceed from an abstract attack, given by an attack goal, by breaking it down into a series of sub-attacks. This proceeding corresponds to a process of *refinement*. Therefore, as part of the attack tree calculus, we provide a notion of attack tree refinement.

The relation *refines-to* "constructs" the attack tree. Here the above defined attack vectors are used to define how nodes in an attack tree can be expanded into more detailed (refined) attack sequences. This process of refinement  $\sqsubseteq$  allows to eventually reach a fully detailed attack that can then be proved using  $\vdash$ .

**inductive**  $\text{refines-to} :: [(s :: \text{state}) \text{ attree}, s \text{ attree}] \Rightarrow \text{bool } (- \sqsubseteq - [40] 40)$

**where**

$\text{refI}: \llbracket A = ((l \ @ \ [ \ \mathcal{N}_{(si',si'')}]) \ @ \ l'') \oplus_{\wedge} (si,si''') \rrbracket;$

$A' = (l' \oplus_{\wedge} (si',si''));$

$A'' = (l \ @ \ l' \ @ \ l'' \ \oplus_{\wedge} (si,si'''))$

$\rrbracket \Longrightarrow A \sqsubseteq A''$

$\text{ref-or}: \llbracket as \neq []; \forall A' \in \text{set}(as). (A \sqsubseteq A') \wedge \text{attack } A = s \rrbracket \Longrightarrow A \sqsubseteq (as \oplus_{\vee}^s) \mid$

$\text{ref-trans}: \llbracket A \sqsubseteq A'; A' \sqsubseteq A'' \rrbracket \Longrightarrow A \sqsubseteq A'' \mid$

$\text{ref-refl}: A \sqsubseteq A$

## 2.3 Validity of Attack Trees

A valid attack, intuitively, is one which is fully refined into fine-grained attacks that are feasible in a model. The general model we provide is a Kripke structure, i.e., a set of states and a generic state transition. Thus, feasible steps in the model are single steps of the state transition. We call them valid base attacks. The composition of sequences of valid base attacks into and-attacks yields again valid attacks if the base attacks line up with respect to the states in the state transition. If there are different valid

attacks for the same attack goal starting from the same initial state set, these can be summarized in an or-attack. More precisely, the different cases of the validity predicate are distinguished by pattern matching over the attack tree structure.

- A base attack  $\mathcal{N}(s0, s1)$  is valid if from all states in the pre-state set  $s0$  we can get with a single step of the state transition relation to a state in the post-state set  $s1$ . Note, that it is sufficient for a post-state to exist for each pre-state. After all, we are aiming to validate attacks, that is, possible attack paths to some state that fulfills the attack property.
- An and-attack  $As \oplus_{\wedge} (s0, s1)$  is a valid attack if either of the following cases holds:
  - empty attack sequence  $As$ : in this case all pre-states in  $s0$  must already be attack states in  $s1$ , i.e.,  $s0 \subseteq s1$ ;
  - attack sequence  $As$  is singleton: in this case, the singleton element attack  $a$  in  $[a]$ , must be a valid attack and it must be an attack with pre-state  $s0$  and post-state  $s1$ ;
  - otherwise,  $As$  must be a list matching  $a \# l$  for some attack  $a$  and tail of attack list  $l$  such that  $a$  is a valid attack with pre-state identical to the overall pre-state  $s0$  and the goal of the tail  $l$  is  $s1$  the goal of the overall attack. The pre-state of the attack represented by  $l$  is  $snd(attack\ a)$  since this is the post-state set of the first step  $a$ .
- An or-attack  $As \oplus_{\vee} (s0, s1)$  is a valid attack if either of the following cases holds:
  - the empty attack case is identical to the and-attack above:  $s0 \subseteq s1$ ;
  - attack sequence  $As$  is singleton: in this case, the singleton element attack  $a$  must be a valid attack and its pre-state must include the overall attack pre-state set  $s0$  (since  $a$  is singleton in the or) while the post-state of  $a$  needs to be included in the global attack goal  $s1$ ;
  - otherwise,  $As$  must be a list  $a \# l$  for an attack  $a$  and a list  $l$  of alternative attacks. The pre-states can be just a subset of  $s0$  (since there are other attacks in  $l$  that can cover the rest) and the goal states  $snd(attack\ a)$  need to lie all in the overall goal state set  $s1$ . The other or-attacks in  $l$  need to cover only the pre-states  $fst\ s - fst(attack\ a)$  (where  $-$  is set difference) and have the same goal  $snd\ s$ .

The proof calculus is thus completely described by one recursive function.

**fun** *is-attack-tree* :: [(*s* :: state) attree] ⇒ bool (⊢- [40] 40)

**where**

*att-base*: (⊢  $\mathcal{N}_s$ ) = ( (∀  $x \in (\text{fst } s)$ . (∃  $y \in (\text{snd } s)$ .  $x \rightarrow_i y$  )) ) |

*att-and*: (⊢ ( $As \oplus_\wedge^s$ )) =

(case *As* of

⊔ ⇒ ( $\text{fst } s \subseteq \text{snd } s$ )

| [*a*] ⇒ (⊢  $a \wedge \text{attack } a = s$ )

| ( $a \# l$ ) ⇒ ((⊢  $a$ ) ∧ ( $\text{fst}(\text{attack } a) = \text{fst } s$ ) ∧  
(⊢( $l \oplus_\wedge(\text{snd}(\text{attack } a), \text{snd}(s))$ )))) |

*att-or*: (⊢ ( $As \oplus_\vee^s$ )) =

(case *As* of

⊔ ⇒ ( $\text{fst } s \subseteq \text{snd } s$ )

| [*a*] ⇒ (⊢  $a \wedge (\text{fst}(\text{attack } a) \supseteq \text{fst } s) \wedge (\text{snd}(\text{attack } a) \subseteq \text{snd } s)$ )

| ( $a \# l$ ) ⇒ ((⊢  $a$ ) ∧  $\text{fst}(\text{attack } a) \subseteq \text{fst } s$  ∧  
 $\text{snd}(\text{attack } a) \subseteq \text{snd } s$  ∧  
(⊢( $l \oplus_\vee(\text{fst } s - \text{fst}(\text{attack } a), \text{snd } s)$ ))))

Since the definition is constructive, code can be generated directly from it, here into the programming language Scala.

**export-code** *is-attack-tree* **in** *Scala*

## 2.4 Lemmas for Attack Tree validity

**lemma** *att-and-one*: **assumes** ⊢ *a* **and** *attack a = s*

**shows** ⊢ ( $[a] \oplus_\wedge^s$ )

**proof** –

**show** ⊢ ( $[a] \oplus_\wedge^s$ ) **using** *assms*

**by** (*subst att-and, simp del: att-and att-or*)

**qed**

**declare** *is-attack-tree.simps*[*simp del*]

**lemma** *att-and-empty*[*rule-format*] : ⊢ ( $\square \oplus_\wedge(s', s'')$ ) →  $s' \subseteq s''$

**by** (*simp add: is-attack-tree.simps(2)*)

**lemma** *att-and-empty2*: ⊢ ( $\square \oplus_\wedge(s, s)$ )

**by** (*simp add: is-attack-tree.simps(2)*)

**lemma** *att-or-empty*[*rule-format*] : ⊢ ( $\square \oplus_\vee(s', s'')$ ) →  $s' \subseteq s''$

**by** (*simp add: is-attack-tree.simps(3)*)

**lemma** *att-or-empty-back*[*rule-format*]:  $s' \subseteq s''$  → ⊢ ( $\square \oplus_\vee(s', s'')$ )

**by** (*simp add: is-attack-tree.simps(3)*)

**lemma** *att-or-empty-rev*: **assumes** ⊢ ( $l \oplus_\vee(s, s')$ ) **and**  $\neg(s \subseteq s')$  **shows**  $l \neq \square$

**using** *assms att-or-empty by blast*

**lemma** *att-or-empty2*:  $\vdash (\square \oplus_{\vee} (s, s))$   
**by** (*simp add: att-or-empty-back*)

**lemma** *att-andD1*:  $\vdash (x1 \# x2 \oplus_{\wedge} s) \implies \vdash x1$   
**by** (*metis (no-types, lifting) is-attack-tree.simps(2) list.exhaust list.simps(4) list.simps(5)*)

**lemma** *att-and-nonemptyD2*[*rule-format*]:  
 $(x2 \neq \square \longrightarrow \vdash (x1 \# x2 \oplus_{\wedge} s) \longrightarrow \vdash (x2 \oplus_{\wedge} (snd(attack\ x1), snd\ s)))$   
**by** (*metis (no-types, lifting) is-attack-tree.simps(2) list.exhaust list.simps(5)*)

**lemma** *att-andD2* :  $\vdash (x1 \# x2 \oplus_{\wedge} s) \implies \vdash (x2 \oplus_{\wedge} (snd(attack\ x1), snd\ s))$   
**by** (*metis (mono-tags, lifting) att-and-empty2 att-and-nonemptyD2 is-attack-tree.simps(2) list.simps(4) list.simps(5)*)

**lemma** *att-and-fst-lem*[*rule-format*]:  
 $\vdash (x1 \# x2a \oplus_{\wedge} x) \longrightarrow xa \in fst(attack(x1 \# x2a \oplus_{\wedge} x))$   
 $\longrightarrow xa \in fst(attack\ x1)$   
**by** (*induction x2a, (subst att-and, simp)+*)

**lemma** *att-orD1*:  $\vdash (x1 \# x2 \oplus_{\vee} x) \implies \vdash x1$   
**by** (*case-tac x2, (subst (asm) att-or, simp)+*)

**lemma** *att-or-snd-hd*:  $\vdash (a \# list \oplus_{\vee} (aa, b)) \implies snd(attack\ a) \subseteq b$   
**by** (*case-tac list, (subst (asm) att-or, simp)+*)

**lemma** *att-or-singleton*[*rule-format*]:  
 $\vdash ([x1] \oplus_{\vee} x) \longrightarrow \vdash (\square \oplus_{\vee} (fst\ x - fst(attack\ x1), snd\ x))$   
**by** (*subst att-or, simp, rule impI, rule att-or-empty-back, blast*)

**lemma** *att-orD2*[*rule-format*]:  
 $\vdash (x1 \# x2 \oplus_{\vee} x) \longrightarrow \vdash (x2 \oplus_{\vee} (fst\ x - fst(attack\ x1), snd\ x))$   
**by** (*case-tac x2, simp add: att-or-singleton, simp, subst att-or, simp*)

**lemma** *att-or-snd-att*[*rule-format*]:  $\forall x. \vdash (x2 \oplus_{\vee} x) \longrightarrow (\forall a \in (set\ x2). snd(attack\ a) \subseteq snd\ x)$   
**proof** (*induction x2*)  
**case** *Nil*  
**then show** *?case* **by** (*simp add: att-or*)  
**next**  
**case** (*Cons a x2*)  
**then show** *?case* **using** *att-orD2 att-or-snd-hd* **by** *fastforce*  
**qed**

**lemma** *singleton-or-lem*:  $\vdash ([x1] \oplus_{\vee} x) \implies fst\ x \subseteq fst(attack\ x1)$   
**by** (*subst (asm) att-or, simp*)+

**lemma** *or-att-fst-sup0*[*rule-format*]:  $x2 \neq \square \longrightarrow (\forall x. (\vdash ((x2 \oplus_{\vee} x):: ('s :: state) attree)) \longrightarrow$   
 $((\bigcup y::'s\ attree \in\ set\ x2. fst(attack\ y)) \supseteq fst(x)))$



```

proof (induction x2)
  case Nil
  then show ?case by simp
next
  case (Cons a x2)
  then show ?case using att-orD2 singleton-or-lem by fastforce
qed

```

```

lemma or-att-fst-sup:
  assumes ( $\vdash ((x1 \# x2 \oplus_{\vee}^x):: ('s :: state) attree)$ )
  shows ( $(\bigcup y::'s attree \in set (x1 \# x2). fst (attack y)) \supseteq fst(x)$ )
  by (rule or-att-fst-sup0, simp, rule assms)

```

The lemma *att-elem-seq* is the main lemma for Correctness. It shows that for a given attack tree  $x1$ , for each element in the set of start sets of the first attack, we can reach in zero or more steps a state in the states in which the attack is successful (the final attack state  $snd(attack\ x1)$ ). This proof is a big alternative to an earlier version of the proof with *first-step* etc that mapped first on a sequence of sets of states.

```

lemma att-elem-seq[rule-format]:  $\vdash x1 \longrightarrow (\forall x \in fst(attack\ x1).$ 
   $(\exists y. y \in snd(attack\ x1) \wedge x \rightarrow_{i^*} y))$ 

```

First attack tree induction

```

proof (induction x1)
  case (BaseAttack x)
  then show ?case
    by (metis AT.att-base EF-step EF-step-star-rev attack.simps(1))
next
  case (AndAttack x1a x2)
  then show ?case
    apply (rule-tac  $x = x2$  in spec)
    apply (subgoal-tac ( $\forall x1aa::'a attree.$ 
       $x1aa \in set\ x1a \longrightarrow$ 
       $\vdash x1aa \longrightarrow$ 
       $(\forall x::'a \in fst (attack\ x1aa). \exists y::'a. y \in snd (attack\ x1aa) \wedge$ 
 $x \rightarrow_{i^*} y))$ )
      apply (rule mp)
      prefer 2
      apply (rotate-tac -1)
      apply assumption

```

Induction for  $\wedge$ : the manual instantiation seems tedious but in the  $\wedge$  case necessary to get the right induction hypothesis.

```

proof (rule-tac list = x1a in list.induct)

```

The  $\wedge$  induction empty case

```

show ( $\forall x1aa::'a attree.$ 
   $x1aa \in set [] \longrightarrow$ 

```

$$\begin{aligned} & \vdash x1aa \longrightarrow (\forall x::'a \in fst \ (attack \ x1aa). \exists y::'a. y \in snd \ (attack \ x1aa) \wedge x \\ & \rightarrow_{i^*} y)) \longrightarrow \\ & (\forall x::'a \ set \times 'a \ set. \\ & \vdash (\square \oplus_{\wedge}^x) \longrightarrow \\ & (\forall xa::'a \in fst \ (attack \ (\square \oplus_{\wedge}^x)). \exists y::'a. y \in snd \ (attack \ (\square \oplus_{\wedge}^x)) \wedge xa \rightarrow_{i^*} \\ & y)) \\ & \text{using } att\text{-and-empty state-transition-refl-def by fastforce} \end{aligned}$$

The  $\wedge$  induction case nonempty

**next show**  $\wedge(x1a::'a \ attree \ list) \ (x2::'a \ set \times 'a \ set) \ (x1::'a \ attree) \ (x2a::'a \ attree \ list)$ .

$$\begin{aligned} & (\wedge x1aa::'a \ attree. \\ & (x1aa \in set \ x1a) \implies \\ & ((\vdash x1aa) \longrightarrow (\forall x::'a \in fst \ (attack \ x1aa). \exists y::'a. y \in snd \ (attack \ x1aa) \wedge x \\ & \rightarrow_{i^*} y))) \implies \\ & \forall x1aa::'a \ attree. \\ & (x1aa \in set \ x1a) \longrightarrow \\ & (\vdash x1aa) \longrightarrow ((\forall x::'a \ in \ fst \ (attack \ x1aa). \exists y::'a. y \in snd \ (attack \ x1aa) \wedge x \\ & \rightarrow_{i^*} y)) \implies \\ & (\forall x1aa::'a \ attree. \\ & (x1aa \in set \ x2a) \longrightarrow \\ & (\vdash x1aa) \longrightarrow (\forall x::'a \ in \ fst \ (attack \ x1aa). \exists y::'a. y \in snd \ (attack \ x1aa) \wedge x \\ & \rightarrow_{i^*} y)) \longrightarrow \\ & (\forall x::'a \ set \times 'a \ set. \\ & (\vdash (x2a \oplus_{\wedge}^x)) \longrightarrow \\ & ((\forall xa::'a \ in \ fst \ (attack \ (x2a \oplus_{\wedge}^x)). \exists y::'a. y \in snd \ (attack \ (x2a \oplus_{\wedge}^x)) \wedge \\ & xa \rightarrow_{i^*} y))) \implies \\ & ((\forall x1aa::'a \ attree. \\ & (x1aa \in set \ (x1 \# x2a)) \longrightarrow \\ & (\vdash x1aa) \longrightarrow ((\forall x::'a \ in \ fst \ (attack \ x1aa). \exists y::'a. y \in snd \ (attack \ x1aa) \wedge x \\ & \rightarrow_{i^*} y))) \longrightarrow \\ & (\forall x::'a \ set \times 'a \ set. \\ & (\vdash (x1 \# x2a \oplus_{\wedge}^x)) \longrightarrow \\ & (\forall xa::'a \ in \ fst \ (attack \ (x1 \# x2a \oplus_{\wedge}^x)). \\ & (\exists y::'a. y \in snd \ (attack \ (x1 \# x2a \oplus_{\wedge}^x)) \wedge (xa \rightarrow_{i^*} y)))))) \\ & \text{apply (rule impI, rule allI, rule impI)} \end{aligned}$$

Set free the Induction Hypothesis: this is necessary to provide the grounds for specific instantiations in the step.

$$\begin{aligned} & \text{apply (subgoal-tac } (\forall x::'a \ set \times 'a \ set. \\ & \vdash (x2a \oplus_{\wedge}^x) \longrightarrow \\ & (\forall xa::'a \ in \ fst \ (attack \ (x2a \oplus_{\wedge}^x)). \\ & \exists y::'a. y \in snd \ (attack \ (x2a \oplus_{\wedge}^x)) \wedge xa \rightarrow_{i^*} y))) \\ & \text{prefer 2} \\ & \text{apply simp} \end{aligned}$$

The following induction step for  $\wedge$  needs a number of manual instantiations so that the proof is not found automatically. In the subsequent case for  $\vee$ , sledgehammer finds the proof.

**proof** –  
**show**  $\bigwedge(x1a::'a \text{ attree list}) (x2::'a \text{ set} \times 'a \text{ set}) (x1::'a \text{ attree}) (x2a::'a \text{ attree list}) x::'a \text{ set} \times 'a \text{ set}.$   
 $\forall x1aa::'a \text{ attree}.$   
 $x1aa \in \text{set} (x1 \# x2a) \longrightarrow$   
 $\vdash x1aa \longrightarrow (\forall x::'a \in \text{fst} (\text{attack } x1aa). \exists y::'a. y \in \text{snd} (\text{attack } x1aa) \wedge x \rightarrow_{i^*} y) \implies$   
 $\vdash (x1 \# x2a \oplus_{\wedge}^x) \implies$   
 $\forall x::'a \text{ set} \times 'a \text{ set}.$   
 $\vdash (x2a \oplus_{\wedge}^x) \longrightarrow$   
 $(\forall xa::'a \in \text{fst} (\text{attack } (x2a \oplus_{\wedge}^x)). \exists y::'a. y \in \text{snd} (\text{attack } (x2a \oplus_{\wedge}^x)) \wedge xa \rightarrow_{i^*} y) \implies$   
 $\forall xa::'a \in \text{fst} (\text{attack } (x1 \# x2a \oplus_{\wedge}^x)). \exists y::'a. y \in \text{snd} (\text{attack } (x1 \# x2a \oplus_{\wedge}^x)) \wedge xa \rightarrow_{i^*} y$   
**apply** (*rule ballI*)  
**apply** (*rename-tac xa*)

Prepare the steps

**apply** (*drule-tac x = (snd(attack x1), snd x) in spec*)  
**apply** (*rotate-tac -1*)  
**apply** (*erule impE*)  
**apply** (*erule att-andD2*)

Premise for x1

**apply** (*drule-tac x = x1 in spec*)  
**apply** (*drule mp*)  
**apply** (*simp*)  
**apply** (*drule mp*)  
**apply** (*erule att-andD1*)

Instantiate first step for xa

**apply** (*rotate-tac -1*)  
**apply** (*drule-tac x = xa in bspec*)  
**apply** (*erule att-and-fst-lem, assumption*)  
**apply** (*erule exE*)  
**apply** (*erule conjE*)

Take this y and put it as first into the second part

**apply** (*drule-tac x = y in bspec*)  
**apply** (*simp*)  
**apply** (*erule exE*)  
**apply** (*erule conjE*)

Bind the first  $xa \rightarrow_{i^*} y$  and second  $y \rightarrow_{i^*} ya$  together for solution

**apply** (*rule-tac x = ya in exI*)  
**apply** (*rule conjI*)  
**apply** (*simp*)  
**by** (*simp add: state-transition-refl-def*)

```

    qed
  qed auto
next
case (OrAttack x1a x2)
then show ?case
proof (induction x1a arbitrary: x2)
  case Nil
  then show ?case
    by (metis EF-lem2a EF-step-star-rev att-or-empty attack.simps(3) subsetD
surjective-pairing)
  next
  case (Cons a x1a)
  then show ?case
    by (smt DiffI att-orD1 att-orD2 att-or-snd-att attack.simps(3) insert-iff
list.set(2) prod.sel(1) snd-conv subset-iff)
qed
qed

```

**lemma** *att-elem-seq0*:  $\vdash x1 \implies (\forall x \in \text{fst}(\text{attack } x1).$   
 $\quad (\exists y. y \in \text{snd}(\text{attack } x1) \wedge x \rightarrow_{i^*} y))$   
**by** (*simp add: att-elem-seq*)

## 2.5 Valid refinements

**definition** *valid-ref* ::  $[(s :: \text{state}) \text{ attree}, 's \text{ attree}] \Rightarrow \text{bool}$  ( $- \sqsubseteq_V - 50$ )  
**where**  
 $A \sqsubseteq_V A' \equiv ((A \sqsubseteq A') \wedge \vdash A')$

**definition** *ref-validity* ::  $[(s :: \text{state}) \text{ attree}] \Rightarrow \text{bool}$  ( $\vdash_V - 50$ )  
**where**  
 $\vdash_V A \equiv (\exists A'. (A \sqsubseteq_V A'))$

**lemma** *ref-valI*:  $A \sqsubseteq A' \implies \vdash A' \implies \vdash_V A$   
**using** *ref-validity-def valid-ref-def* **by** *blast*

## 3 Correctness and Completeness

This section presents the main theorems of Correctness and Completeness between AT and Kripke, essentially:

$\vdash (\text{init } K, p) \equiv K \vdash EF p.$

First, we proof a number of lemmas needed for both directions before we show the Correctness theorem followed by the Completeness theorem.

### 3.1 Lemma for Correctness and Completeness

**lemma** *nth-app-eq[rule-format]*:

$$\begin{aligned} \forall sl x. sl \neq [] &\longrightarrow sl ! (length\ sl - Suc\ 0) = x \\ &\longrightarrow (l @ sl) ! (length\ l + length\ sl - Suc\ 0) = x \end{aligned}$$

by (induction l) auto

**lemma** *nth-app-eq1*[rule-format]:  $i < length\ sla \implies (sla @ sl) ! i = sla ! i$   
by (simp add: nth-append)

**lemma** *nth-app-eq1-rev*:  $i < length\ sla \implies sla ! i = (sla @ sl) ! i$   
by (simp add: nth-append)

**lemma** *nth-app-eq2*[rule-format]:  $\forall sl i. length\ sla \leq i \wedge i < length\ (sla @ sl)$   
 $\longrightarrow (sla @ sl) ! i = sl ! (i - (length\ sla))$   
by (simp add: nth-append)

**lemma** *tl-ne-ex*[rule-format]:  $l \neq [] \longrightarrow (? x . l = x \# (tl\ l))$   
by (induction l, auto)

**lemma** *tl-nempty-lngth*[rule-format]:  $tl\ sl \neq [] \longrightarrow 2 \leq length\ (sl)$   
using le-less by fastforce

**lemma** *list-app-one-length*:  $length\ l = n \implies (l @ [s]) ! n = s$   
by (erule subst, simp)

**lemma** *tl-lem1*[rule-format]:  $l \neq [] \longrightarrow tl\ l = [] \longrightarrow length\ l = 1$   
by (induction l, simp+)

**lemma** *nth-tl-length*[rule-format]:  $tl\ sl \neq [] \longrightarrow$   
 $tl\ sl ! (length\ (tl\ sl) - Suc\ 0) = sl ! (length\ sl - Suc\ 0)$   
by (induction sl, simp+)

**lemma** *nth-tl-length1*[rule-format]:  $tl\ sl \neq [] \longrightarrow$   
 $tl\ sl ! n = sl ! (n + 1)$   
by (induction sl, simp+)

**lemma** *ineq1*:  $i < length\ sla - n \implies$   
 $(0) \leq n \implies i < length\ sla$   
by simp

**lemma** *ineq2*[rule-format]:  $length\ sla \leq i \longrightarrow i + (1) - length\ sla = i - length\ sla + 1$   
by arith

**lemma** *ineq3*:  $tl\ sl \neq [] \implies length\ sla \leq i \implies i < length\ (sla @ tl\ sl) - (1)$   
 $\implies i - length\ sla + (1) < length\ sl - (1)$   
by simp

**lemma** *tl-eq1*[rule-format]:  $sl \neq [] \longrightarrow tl\ sl ! (0) = sl ! Suc\ 0$

by (induction sl, simp+)

**lemma** *tl-eq2*[rule-format]:  $tl\ sl = [] \longrightarrow sl\ !\ (0) = sl\ !\ (length\ sl - (1))$   
 by (induction sl, simp+)

**lemma** *tl-eq3*[rule-format]:  $tl\ sl \neq [] \longrightarrow$   
 $tl\ sl\ !\ (length\ sl - Suc\ (Suc\ (0))) = sl\ !\ (length\ sl - Suc\ (0))$   
 by (induction sl, simp+)

**lemma** *nth-app-eq3*: **assumes**  $tl\ sl \neq []$   
**shows**  $(sla\ @\ tl\ sl)\ !\ (length\ (sla\ @\ tl\ sl) - (1)) = sl\ !\ (length\ sl - (1))$   
**using** *assms nth-app-eq nth-tl-length* **by** *fastforce*

**lemma** *not-empty-ex*:  $A \neq \{\}$   $\implies ?x. x \in A$   
 by *force*

**lemma** *fst-att-eq*:  $(fst\ x\ \#\ sl)\ !\ (0) = fst\ (attack\ (al\ \oplus_{\wedge}^x))$   
 by *simp*

**lemma** *list-eq1*[rule-format]:  $sl \neq [] \longrightarrow$   
 $(fst\ x\ \#\ sl)\ !\ (length\ (fst\ x\ \#\ sl) - (1)) = sl\ !\ (length\ sl - (1))$   
 by (induction sl, auto)

**lemma** *attack-eq1*:  $snd\ (attack\ (x1\ \#\ x2a\ \oplus_{\wedge}^x)) = snd\ (attack\ (x2a\ \oplus_{\wedge}^{(snd\ (attack\ x1),\ snd\ x)}))$   
 by *simp*

**lemma** *fst-lem1*[rule-format]:  $\forall (a::'a\ set)\ b\ (c::'a\ set)\ d. (a,\ c) = (b,\ d) \longrightarrow a = b$   
 by *auto*

**lemma** *fst-eq1*:  $(sla\ !\ (0),\ y) = attack\ x1 \implies$   
 $sla\ !\ (0) = fst\ (attack\ x1)$   
 by (rule-tac  $c = y$  **and**  $d = snd(attack\ x1)$  **in** *fst-lem1, simp*)

**lemma** *base-att-lem1*:  $y0 \subseteq y1 \implies \vdash \mathcal{N}_{(y1,\ y)} \implies \vdash \mathcal{N}_{(y0,\ y)}$   
 by (*simp add: att-base, blast*)

**lemma** *ref-pres-att*:  $A \sqsubseteq A' \implies attack\ A = attack\ A'$

**proof** (*erule refines-to.induct*)

**show**  $\bigwedge (A::'a\ attree)\ (l::'a\ attree\ list)\ (si::'a\ set)\ (si'::'a\ set)\ (l'::'a\ attree\ list)$   
 $(si::'a\ set)$

$(si'''::'a\ set)\ (A'::'a\ attree)\ (l'::'a\ attree\ list)\ A''::'a\ attree.$

$A = (l\ @\ [\mathcal{N}_{(si',\ si'')}]\ @\ l''\ \oplus_{\wedge}^{(si,\ si''')}) \implies$

$A' = (l'\ \oplus_{\wedge}^{(si',\ si'')}) \implies A'' = (l\ @\ l'\ @\ l''\ \oplus_{\wedge}^{(si,\ si''')}) \implies attack\ A =$   
 $attack\ A''$

by *simp*

**next show**  $\bigwedge (as::'a\ attree\ list)\ (A::'a\ attree)\ (s::'a\ set \times 'a\ set).$   
 $as \neq [] \implies$

$(\forall A'::'a \text{ attree} \in (\text{set } as). ((A \sqsubseteq A') \wedge (\text{attack } A = \text{attack } A')) \wedge \text{attack } A = s) \implies$   
 $\text{attack } A = \text{attack } (as \oplus_{\vee} s)$   
**using** *last-in-set by auto*  
**next show**  $\bigwedge (A::'a \text{ attree}) (A'::'a \text{ attree}) A''::'a \text{ attree}.$   
 $A \sqsubseteq A' \implies \text{attack } A = \text{attack } A' \implies A' \sqsubseteq A'' \implies \text{attack } A' = \text{attack } A''$   
 $\implies \text{attack } A = \text{attack } A''$   
**by** *simp*  
**next show**  $\bigwedge A::'a \text{ attree}. \text{attack } A = \text{attack } A$  **by** (*rule refl*)  
**qed**

**lemma** *base-subset*:

**assumes**  $xa \subseteq xc$

**shows**  $\vdash \mathcal{N}_{(x, xa)} \implies \vdash \mathcal{N}_{(x, xc)}$

**proof** (*simp add: att-base*)

**show**  $\forall x::'a \in x. \exists xa::'a \in xa. x \rightarrow_i xa \implies \forall x::'a \in x. \exists xa::'a \in xc. x \rightarrow_i xa$

**by** (*meson assms in-mono*)

**qed**

### 3.2 Correctness Theorem

Proof with induction over the definition of EF using the main lemma *att-elem-seq0*.

There is also a second version of Correctness for valid refinements.

**theorem** *AT-EF*: **assumes**  $\vdash (A :: ('s :: \text{state}) \text{ attree})$

**and**  $\text{attack } A = (I, s)$

**shows** *Kripke*  $\{s :: ('s :: \text{state}). \exists i \in I. (i \rightarrow_i^* s)\} (I :: ('s :: \text{state}) \text{ set})$

$\vdash EF\ s$

**proof** (*simp add: check-def*)

**show**  $I \subseteq \{sa :: ('s :: \text{state}). (\exists i :: 's \in I. i \rightarrow_i^* sa) \wedge sa \in EF\ s\}$

**proof** (*rule subsetI, rule CollectI, rule conjI, simp add: state-transition-refl-def*)

**show**  $\bigwedge x::'s. x \in I \implies \exists i::'s \in I. (i, x) \in \{(x::'s, y::'s). x \rightarrow_i y\}^*$

**by** (*rule-tac x = x in bexI, simp*)

**next show**  $\bigwedge x::'s. x \in I \implies x \in EF\ s$  **using** *assms*

**proof** –

**have**  $a: \forall x \in I. \exists y \in s. x \rightarrow_i^* y$  **using** *assms*

**proof** –

**have**  $\forall x::'s \in \text{fst } (\text{attack } A). \exists y::'s. y \in \text{snd } (\text{attack } A) \wedge x \rightarrow_i^* y$

**by** (*rule att-elem-seq0, rule assms*)

**thus**  $\forall x::'s \in I. \exists y::'s \in s. x \rightarrow_i^* y$  **using** *assms*

**by** *force*

**qed**

**thus**  $\bigwedge x::'s. x \in I \implies x \in EF\ s$

**proof** –

**fix**  $x$

**assume**  $b: x \in I$

**have**  $\exists y::'s \in s::('s :: \text{state}) \text{ set}. x \rightarrow_i^* y$

**by** (*rule-tac x = x and A = I in bspec, rule a, rule b*)

**from this obtain**  $y \in s$  **and**  $x \rightarrow_i^* y$  **by** (*erule bexE*)

**thus**  $x \in EF\ s$   
**by** (*erule-tac f = s in EF-step-star*)  
**qed**  
**qed**  
**qed**  
**qed**

**theorem** *ATV-EF*:  $\llbracket \vdash_V A; (I, s) = attack\ A \rrbracket \implies$   
*(Kripke  $\{s. \exists i \in I. (i \rightarrow_{i^*} s)\} I \vdash EF\ s$ )*  
**by** (*metis (full-types) AT-EF ref-pres-att ref-validity-def valid-ref-def*)

### 3.3 Completeness Theorem

This section contains the completeness direction, informally:

$\vdash EF\ s \implies \exists A. \vdash A \wedge attack\ A = (I, s).$

The main theorem is presented last since its proof just summarises a number of main lemmas *Compl-step1*, *Compl-step2*, *Compl-step3*, *Compl-step4* which are presented first together with other auxiliary lemmas.

#### 3.3.1 Lemma *Compl-step1*

**lemma** *Compl-step1*:  
*Kripke  $\{s :: ('s :: state). \exists i \in I. (i \rightarrow_{i^*} s)\} I \vdash EF\ s$*   
 $\implies \forall x \in I. \exists y \in s. x \rightarrow_{i^*} y$   
**by** (*simp add: EF-step-star-rev valEF-E*)

#### 3.3.2 Lemma *Compl-step2*

First, we prove some auxiliary lemmas.

**lemma** *rtrancl-imp-singleton-seq2*:  $x \rightarrow_{i^*} y \implies$   
 $x = y \vee (\exists s. s \neq [] \wedge (tl\ s \neq []) \wedge s ! 0 = x \wedge s ! (length\ s - 1) = y \wedge$   
 $(\forall i < (length\ s - 1). (s ! i) \rightarrow_i (s ! (Suc\ i))))$

**unfolding** *state-transition-refl-def*  
**proof** (*induction rule: rtrancl-induct*)  
**case** *base*  
**then show** *?case*  
**by** *simp*  
**next**  
**case** (*step y z*)  
**show** *?case*  
**using** *step.IH*  
**proof** (*elim disjE exE conjE*)  
**assume**  $x=y$   
**with** *step.hyps show ?case*  
**by** (*force intro!: exI [where  $x=[y,z]$ ]*)  
**next**



**show**  $\bigwedge s. \llbracket s \neq []; tl\ s \neq []; s! \ 0 = x;$   
 $s! \ (length\ s - 1) = y;$   
 $\forall i < length\ s - 1.$   
 $s! \ i \rightarrow_i s! \ Suc\ i \rrbracket$   
 $\implies x = z \vee$   
 $(\exists s. s \neq [] \wedge$   
 $tl\ s \neq [] \wedge s! \ 0 = x \wedge$   
 $s! \ (length\ s - 1) = z \wedge$   
 $(\forall i < length\ s - 1. s! \ i \rightarrow_i s! \ Suc\ i))$   
**apply** (rule disjI2)  
**apply** (rule-tac  $x=s \ @ \ [z]$  in exI)  
**apply** (auto simp: nth-append)  
**by** (metis One-nat-def Suc-lessI diff-Suc-1 mem-Collect-eq old.prod.case  
step.hyps(2))  
**qed**  
**qed**

**lemma** *tl-empty-length[rule-format]*:  $s \neq [] \longrightarrow tl\ s \neq [] \longrightarrow 0 < length\ s - 1$   
**by** (induction s, simp+)

**lemma** *tl-empty-length2[rule-format]*:  $s \neq [] \longrightarrow tl\ s \neq [] \longrightarrow Suc\ 0 < length\ s$   
**by** (induction s, simp+)

**lemma** *length-last[rule-format]*:  $(l \ @ \ [x])! \ (length\ (l \ @ \ [x]) - 1) = x$   
**by** (induction l, simp+)

**lemma** *Compl-step2*:  $\forall x \in I. \exists y \in s. x \rightarrow_{i*} y \implies$   
 $(\forall x \in I. x \in s \vee (\exists (sl :: ((\ 's :: state) \ set) \ list)).$   
 $(sl \neq []) \wedge (tl\ sl \neq []) \wedge$   
 $(sl! \ 0, sl! \ (length\ sl - 1)) = (\{x\}, s) \wedge$   
 $(\forall i < (length\ sl - 1). \vdash \mathcal{N}(sl! \ i, sl! \ (i+1))$   
 $)))$

**proof** (rule ballI, drule-tac  $x = x$  in bspec, assumption, erule bexE)

**fix**  $x\ y$

**assume**  $a: x \in I$  and  $b: y \in s$  and  $c: x \rightarrow_{i*} y$

**show**  $x \in s \vee$

$(\exists sl :: 's \ set \ list.$

$sl \neq [] \wedge$

$tl\ sl \neq [] \wedge$

$(sl! \ 0, sl! \ (length\ sl - 1)) = (\{x\}, s) \wedge$

$(\forall i < length\ sl - 1. \vdash \mathcal{N}(sl! \ i, sl! \ (i + 1))))$

**proof** –

**have**  $d : x = y \vee$

$(\exists s'. s' \neq [] \wedge$

$tl\ s' \neq [] \wedge$

$s'! \ 0 = x \wedge$

$s'! \ (length\ s' - 1) = y \wedge (\forall i < length\ s' - 1. s'! \ i \rightarrow_i s'! \ Suc\ i))$

**using**  $c$  rtrancl-imp-singleton-seq2 **by** blast

**thus**  $x \in s \vee$

```

(∃ sl::'s set list.
  sl ≠ [] ∧
  tl sl ≠ [] ∧
  (sl ! (0), sl ! (length sl - (1))) = ({x}, s) ∧
  (∀ i < length sl - (1). ⊢ N (sl ! i, sl ! (i + (1))))))
apply (rule disjE)
using b apply blast
apply (rule disjI2, elim conjE exE)
apply (rule-tac x = [{s' ! j}. j ← [0..<(length s' - 1)]] @ [s] in exI)
apply (auto simp: nth-append)
apply (metis AT.att-base Suc-lessD fst-conv prod.sel(2) singletonD singletonI)
apply (metis AT.att-base Suc-lessI b fst-conv prod.sel(2) singletonD)
using tl-nempty-length2 by blast
qed
qed

```

### 3.3.3 Lemma Compl-step3

First, we need a few lemmas.

```

lemma map-hd-lem[rule-format] : n > 0 ⟶ (f 0 # map (λ i. f i) [1..<n]) =
map (λ i. f i) [0..<n]
by (simp add : hd-map upt-rec)

```

```

lemma map-Suc-lem[rule-format] : n > 0 ⟶ map (λ i::nat. f i)[1..<n] =
map (λ i::nat. f (Suc i))[0..<(n - 1)]

```

**proof** –

```

have (f 0 # map (λ n. f (Suc n)) [0..<n - 1] = f 0 # map f [1..<n]) = (map
(λ n. f (Suc n)) [0..<n - 1] = map f [1..<n])

```

**by** blast

**then show** ?thesis

**by** (metis Suc-pred' map-hd-lem map-upt-Suc)

**qed**

```

lemma forall-ex-fun: finite S ⟹ (∀ x ∈ S. (∃ y. P y x)) ⟶ (∃ f. ∀ x ∈ S. P
(f x) x)

```

**proof** (induction rule: finite.induct)

**case** emptyI

**then show** ?case

**by** simp

**next**

**case** (insertI F x)

**then show** ?case

**proof** (clarify)

**assume** d: (∀ x::'a ∈ insert x F. ∃ y::'b. P y x)

**have** (∀ x::'a ∈ F. ∃ y::'b. P y x)

**using** d **by** blast

**then obtain** f **where** f: ∀ x::'a ∈ F. P (f x) x

**using** insertI.IH **by** blast

**from**  $d$  **obtain**  $y$  **where**  $P\ y\ x$  **by** *blast*  
**thus**  $(\exists f::'a \Rightarrow 'b. \forall x::'a \in \text{insert } x\ F. P\ (f\ x)\ x)$  **using**  $f$   
**by**  $(\text{rule-tac } x = \lambda z. \text{if } z = x \text{ then } y \text{ else } f\ z)$  **in**  $\text{exI, simp}$   
**qed**  
**qed**

**primrec**  $\text{nodup} :: ['a, 'a\ \text{list}] \Rightarrow \text{bool}$

**where**

$\text{nodup-nil}: \text{nodup } a\ [] = \text{True}$  |

$\text{nodup-step}: \text{nodup } a\ (x \# \text{ls}) = (\text{if } x = a \text{ then } (a \notin (\text{set } \text{ls})) \text{ else } \text{nodup } a\ \text{ls})$

**definition**  $\text{nodup-all}:: 'a\ \text{list} \Rightarrow \text{bool}$

**where**

$\text{nodup-all } l \equiv \forall x \in \text{set } l. \text{nodup } x\ l$

**lemma**  $\text{nodup-all-lem}[\text{rule-format}]$ :

$\text{nodup-all } (x1 \# a \# l) \longrightarrow (\text{insert } x1\ (\text{insert } a\ (\text{set } l)) - \{x1\}) = \text{insert } a\ (\text{set } l)$

**by**  $(\text{induction } l, (\text{simp add: nodup-all-def})+)$

**lemma**  $\text{nodup-all-tl}[\text{rule-format}]$ :  $\text{nodup-all } (x \# l) \longrightarrow \text{nodup-all } l$

**by**  $(\text{induction } l, (\text{simp add: nodup-all-def})+)$

**lemma**  $\text{finite-nodup}$ :  $\text{finite } I \Longrightarrow \exists l. \text{set } l = I \wedge \text{nodup-all } l$

**proof**  $(\text{induction rule: finite.induct})$

**case**  $\text{emptyI}$

**then show**  $?case$

**by**  $(\text{simp add: nodup-all-def})$

**next**

**case**  $(\text{insertI } A\ a)$

**then show**  $?case$

**by**  $(\text{metis insertE insert-absorb list.simps(15) nodup-all-def nodup-step})$

**qed**

**lemma**  $\text{Compl-step3}$ :  $I \neq \{\} \Longrightarrow \text{finite } I \Longrightarrow$

$(\forall x \in I. x \in s \vee (\exists (sl :: (('s :: \text{state})\ \text{set})\ \text{list}).$

$(sl \neq []) \wedge (\text{tl } sl \neq []) \wedge$

$(sl ! 0, sl ! (\text{length } sl - 1)) = (\{x\}, s) \wedge$

$(\forall i < (\text{length } sl - 1). \vdash \mathcal{N}(sl ! i, sl ! (i+1))$

$)) \Longrightarrow$

$(\exists U. \text{set } U = \{x :: 's :: \text{state}. x \in I \wedge x \notin s\} \wedge (\exists Sj :: (('s :: \text{state})\ \text{set})\ \text{list}$

$\text{list.}$

$\text{length } Sj = \text{length } U \wedge \text{nodup-all } U \wedge$

$(\forall j < \text{length } Sj. (((Sj ! j) \neq []) \wedge (\text{tl } (Sj ! j) \neq [])) \wedge$

$((Sj ! j) ! 0, (Sj ! j) ! (\text{length } (Sj ! j) - 1)) = (\{U ! j\}, s) \wedge$

$(\forall i < (\text{length } (Sj ! j) - 1). \vdash \mathcal{N}((Sj ! j) ! i, (Sj ! j) ! (i+1))$

$))))))$

**proof** –

**assume**  $i: I \neq \{\}$  **and**  $f: \text{finite } I$  **and**

**fa:**  $\forall x::'s \in I.$   
 $x \in s \vee$   
 $(\exists sl::'s \text{ set list.}$   
 $sl \neq [] \wedge$   
 $tl\ sl \neq [] \wedge$   
 $(sl\ !\ (0), sl\ !\ (length\ sl - (1))) = (\{x\}, s) \wedge$   
 $(\forall i < length\ sl - (1). \vdash \mathcal{N}(sl\ !\ i, sl\ !\ (i + (1))))))$   
**have**  $a: \exists U. \text{ set } U = \{x::'s \in I. x \notin s\} \wedge \text{nodup-all } U$   
**by** (*simp add: f finite-nodup*)  
**from this obtain**  $U$  **where**  $b: \text{ set } U = \{x::'s \in I. x \notin s\} \wedge \text{nodup-all } U$   
**by** (*erule exE*)  
**thus**  $\exists U::'s \text{ list.}$   
 $\text{set } U = \{x::'s \in I. x \notin s\} \wedge$   
 $(\exists Sj::'s \text{ set list list.}$   
 $\text{length } Sj = \text{length } U \wedge$   
 $\text{nodup-all } U \wedge$   
 $(\forall j < \text{length } Sj.$   
 $Sj\ !\ j \neq [] \wedge$   
 $tl\ (Sj\ !\ j) \neq [] \wedge$   
 $(Sj\ !\ j\ !\ (0), Sj\ !\ j\ !\ (\text{length } (Sj\ !\ j) - (1))) = (\{U\ !\ j\}, s) \wedge$   
 $(\forall i < \text{length } (Sj\ !\ j) - (1). \vdash \mathcal{N}(Sj\ !\ j\ !\ i, Sj\ !\ j\ !\ (i + (1))))))$   
**apply** (*rule-tac x = U in exI*)  
**apply** (*rule conjI*)  
**apply** (*erule conjE, assumption*)  
**proof** –  
**have**  $c: \forall x \in \text{set}(U). (\exists sl::'s \text{ set list.}$   
 $sl \neq [] \wedge$   
 $tl\ sl \neq [] \wedge$   
 $(sl\ !\ (0), sl\ !\ (\text{length } sl - (1))) = (\{x\}, s) \wedge$   
 $(\forall i < \text{length } sl - (1). \vdash \mathcal{N}(sl\ !\ i, sl\ !\ (i + (1))))$   
**using**  $b\ fa$  **by** *fastforce*  
**thus**  $\exists Sj::'s \text{ set list list.}$   
 $\text{length } Sj = \text{length } U \wedge$   
 $\text{nodup-all } U \wedge$   
 $(\forall j < \text{length } Sj.$   
 $Sj\ !\ j \neq [] \wedge$   
 $tl\ (Sj\ !\ j) \neq [] \wedge$   
 $(Sj\ !\ j\ !\ (0), Sj\ !\ j\ !\ (\text{length } (Sj\ !\ j) - (1))) = (\{U\ !\ j\}, s) \wedge$   
 $(\forall i < \text{length } (Sj\ !\ j) - (1). \vdash \mathcal{N}(Sj\ !\ j\ !\ i, Sj\ !\ j\ !\ (i + (1))))$   
**apply** (*subgoal-tac finite (set U)*)  
**apply** (*rotate-tac -1*)  
**apply** (*drule forall-ex-fun*)  
**apply** (*drule mp*)  
**apply** *assumption*  
**apply** (*erule exE*)  
**apply** (*rule-tac x = [f (U ! j). j ← [0..<(length U)]] in exI*)  
**apply** *simp*  
**apply** (*insert b*)  
**apply** (*erule conjE, assumption*)

**apply** (*rule-tac A = set l and B = l in finite-subset*)  
**apply** *blast*  
**by** (*rule f*)  
**qed**  
**qed**

### 3.3.4 Lemma Compl-step4

Again, we need some additional lemmas first.

**lemma** *list-one-tl-empty*[*rule-format*]:  $\text{length } l = \text{Suc } (0 :: \text{nat}) \longrightarrow \text{tl } l = []$   
**by** (*induction l, simp+*)

**lemma** *list-two-tl-not-empty*[*rule-format*]:  $\forall \text{ list. length } l = \text{Suc } (\text{Suc } (\text{length } \text{list}))$   
 $\longrightarrow \text{tl } l \neq []$   
**by** (*induction l, simp+, force*)

**lemma** *or-empty*:  $\vdash ([] \oplus_{\vee} (\{\}, s))$  **by** (*simp add: att-or*)

Note, this is not valid for any  $l$ , i.e.,  $\vdash l \oplus_{\vee} (\{\}, s)$  is not a theorem.

**lemma** *list-or-upt*[*rule-format*]:  
 $\forall l . l \neq [] \longrightarrow \text{length } l = \text{length } l \longrightarrow \text{nodup-all } l \longrightarrow$   
 $(\forall i < \text{length } l. (\vdash (l ! i)) \wedge (\text{attack } (l ! i) = (\{l ! i\}, s)))$   
 $\longrightarrow (\vdash (l \oplus_{\vee} (\text{set } l, s)))$

**proof** (*induction l, simp, clarify*)

**fix**  $x1 \ x2 \ l$

**show**  $\forall l :: 'a \text{ attree list.}$

$x2 \neq [] \longrightarrow$

$\text{length } l = \text{length } x2 \longrightarrow$

$\text{nodup-all } x2 \longrightarrow$

$(\forall i < \text{length } x2. \vdash (l ! i) \wedge \text{attack } (l ! i) = (\{x2 ! i\}, s)) \longrightarrow \vdash (l \oplus_{\vee} (\text{set } x2, s))$

$\implies$

$x1 \# x2 \neq [] \implies$

$\text{length } l = \text{length } (x1 \# x2) \implies$

$\text{nodup-all } (x1 \# x2) \implies$

$\forall i < \text{length } (x1 \# x2). \vdash (l ! i) \wedge \text{attack } (l ! i) = (\{(x1 \# x2) ! i\}, s) \implies \vdash (l \oplus_{\vee} (\text{set } (x1 \# x2), s))$

**apply** (*case-tac x2, simp, subst att-or, case-tac l, simp+*)

Case  $\forall i < \text{Suc } (\text{Suc } (\text{length } \text{list})). \vdash l ! i \wedge \text{attack } (l ! i) = (\{(x1 \# a \# \text{list}) ! i\}, s) \implies x2 = a \# \text{list} \implies \vdash l \oplus_{\vee} (\text{insert } x1 (\text{insert } a (\text{set } \text{list})), s)$

**apply** (*subst att-or, case-tac l, simp, clarify, simp, rename-tac lista, case-tac lista, simp+*)

Remaining conjunct of three conditions:  $\vdash aa \wedge \text{fst } (\text{attack } aa) \subseteq \text{insert } x1 (\text{insert } a (\text{set } \text{list})) \wedge \text{snd } (\text{attack } aa) \subseteq s \wedge \vdash ab \# \text{listb} \oplus_{\vee} (\text{insert } x1 (\text{insert } a (\text{set } \text{list})) - \text{fst } (\text{attack } aa), s)$

**apply** (*rule conjI*)

First condition  $\vdash aa$

**apply** (*drule-tac*  $x = 0$  **in** *spec*, *drule mp*, *simp*, (*erule conjE*)<sup>+</sup>, *simp*, *rule conjI*)

Second condition  $\text{fst } (\text{attack } aa) \subseteq \text{insert } x1 \ (\text{insert } a \ (\text{set } list))$

**apply** (*drule-tac*  $x = 0$  **in** *spec*, *drule mp*, *simp*, *erule conjE*, *simp*)

The remaining conditions

$\text{snd } (\text{attack } aa) \subseteq s \wedge \vdash ab \# listb \oplus_{\vee} (\text{insert } x1 \ (\text{insert } a \ (\text{set } list)) - \text{fst } (\text{attack } aa), s)$

are solved automatically!

**by** (*metis Suc-mono add.right-neutral add-Suc-right list.size(4) nodup-all-lem nodup-all-tl nth-Cons-0 nth-Cons-Suc order-refl prod.sel(1) prod.sel(2) zero-less-Suc*)  
**qed**

**lemma** *app-tl-empty-hd*[*rule-format*]:  $tl \ (l \ @ \ [a]) = [] \longrightarrow hd \ (l \ @ \ [a]) = a$   
**by** (*induction l*) *auto*

**lemma** *tl-hd-empty*[*rule-format*]:  $tl \ (l \ @ \ [a]) = [] \longrightarrow l = []$   
**by** (*induction l*) *auto*

**lemma** *tl-hd-not-empty*[*rule-format*]:  $tl \ (l \ @ \ [a]) \neq [] \longrightarrow l \neq []$   
**by** (*induction l*) *auto*

**lemma** *app-tl-empty-length*[*rule-format*]:  $tl \ (\text{map } f \ [0..<\text{length } l] \ @ \ [a]) = []$   
 $\implies l = []$   
**by** (*drule tl-hd-empty*, *simp*)

**lemma** *not-empty-hd-fst*[*rule-format*]:  $l \neq [] \longrightarrow hd(l \ @ \ [a]) = l ! 0$   
**by** (*induction l*) *auto*

**lemma** *app-tl-hd-list*[*rule-format*]:  $tl \ (\text{map } f \ [0..<\text{length } l] \ @ \ [a]) \neq []$   
 $\implies hd(\text{map } f \ [0..<\text{length } l] \ @ \ [a]) = (\text{map } f \ [0..<\text{length } l]) ! 0$   
**by** (*drule tl-hd-not-empty*, *erule not-empty-hd-fst*)

**lemma** *tl-app-in*[*rule-format*]:  $l \neq [] \longrightarrow$   
 $\text{map } f \ [0..<(\text{length } l - (\text{Suc } 0 :: \text{nat}))] \ @ \ [f(\text{length } l - (\text{Suc } 0 :: \text{nat}))] = \text{map } f$   
 $[0..<\text{length } l]$   
**by** (*induction l*) *auto*

**lemma** *map-fst*[*rule-format*]:  $n > 0 \longrightarrow \text{map } f \ [0..<n] = f \ 0 \ # \ (\text{map } f \ [1..<n])$   
**by** (*induction n*) *auto*

**lemma** *step-lem*[*rule-format*]:  $l \neq [] \implies$   
 $tl \ (\text{map } (\lambda i. f((x1 \ # \ a \ # \ l) ! i)((a \ # \ l) ! i)) \ [0..<\text{length } l]) =$   
 $\text{map } (\lambda i. f((a \ # \ l) ! i)(l ! i)) \ [0..<\text{length } l - (1)]$

**proof** (*simp*)

**assume**  $l: l \neq []$

**have**  $a: \text{map } (\lambda i. f((x1 \ # \ a \ # \ l) ! i)((a \ # \ l) ! i)) \ [0..<\text{length } l] =$

$(f(x1)(a) \# (\text{map } (\lambda i. f ((a \# l) ! i) (l ! i)) [0..<(\text{length } l - 1)]))$

**proof** –

**have**  $b : \text{map } (\lambda i. f ((x1 \# a \# l) ! i) ((a \# l) ! i)) [0..<\text{length } l] =$   
 $f ((x1 \# a \# l) ! 0) ((a \# l) ! 0) \#$   
 $(\text{map } (\lambda i. f ((x1 \# a \# l) ! i) ((a \# l) ! i)) [1..<\text{length } l])$

**by** (*rule map-fst, simp, rule l*)

**have**  $c : \text{map } (\lambda i. f ((x1 \# a \# l) ! i) ((a \# l) ! i)) [\text{Suc } 0]..<\text{length } l] =$   
 $\text{map } (\lambda i. f ((x1 \# a \# l) ! \text{Suc } i) ((a \# l) ! \text{Suc } i)) [(0) ..<(\text{length } l$   
– 1)]

**by** (*subgoal-tac [Suc 0]..<length l] = map Suc [0..<(length l - 1)],*  
*simp, simp add: map-Suc-upt l*)

**thus**  $\text{map } (\lambda i. f ((x1 \# a \# l) ! i) ((a \# l) ! i)) [0..<\text{length } l] =$   
 $f x1 a \# \text{map } (\lambda i. f ((a \# l) ! i) (l ! i)) [0..<\text{length } l - (1)]$

**by** (*simp add: b c*)

**qed**

**thus**  $l \neq [] \implies$   
 $tl (\text{map } (\lambda i. f ((x1 \# a \# l) ! i) ((a \# l) ! i)) [0..<\text{length } l]) =$   
 $\text{map } (\lambda i. f ((a \# l) ! i) (l ! i)) [0..<\text{length } l - \text{Suc } 0]$

**by** (*subst a, simp*)

**qed**

**lemma** *step-lem2a*[*rule-format*]:  $0 < \text{length list} \implies \text{map } (\lambda i. \mathcal{N}_{((x1 \# a \# list) ! i, (a \# list) ! i)})$   
 $[0..<\text{length list}] @$   
 $[\mathcal{N}_{((x1 \# a \# list) ! \text{length list}, (a \# list) ! \text{length list})}] =$   
 $aa \# listb \longrightarrow \mathcal{N}_{((x1, a))} = aa$

**by** (*subst map-fst, assumption, simp*)

**lemma** *step-lem2b*[*rule-format*]:  $0 = \text{length list} \implies \text{map } (\lambda i. \mathcal{N}_{((x1 \# a \# list) ! i, (a \# list) ! i)})$   
 $[0..<\text{length list}] @$   
 $[\mathcal{N}_{((x1 \# a \# list) ! \text{length list}, (a \# list) ! \text{length list})}] =$   
 $aa \# listb \longrightarrow \mathcal{N}_{((x1, a))} = aa$

**by** *simp*

**lemma** *step-lem2*:  $\text{map } (\lambda i. \mathcal{N}_{((x1 \# a \# list) ! i, (a \# list) ! i)})$   
 $[0..<\text{length list}] @$   
 $[\mathcal{N}_{((x1 \# a \# list) ! \text{length list}, (a \# list) ! \text{length list})}] =$   
 $aa \# listb \implies \mathcal{N}_{((x1, a))} = aa$

**proof** (*case-tac length list, rule step-lem2b, erule sym, assumption*)

**show**  $\wedge \text{nat.}$

$\text{map } (\lambda i. \mathcal{N}_{((x1 \# a \# list) ! i, (a \# list) ! i)}) [0..<\text{length list}] @$   
 $[\mathcal{N}_{((x1 \# a \# list) ! \text{length list}, (a \# list) ! \text{length list})}] =$   
 $aa \# listb \implies$   
 $\text{length list} = \text{Suc nat} \implies \mathcal{N}_{(x1, a)} = aa$

**by** (*rule-tac list = list in step-lem2a, simp*)

**qed**

**lemma** *base-list-and*[*rule-format*]:  $Sji \neq [] \longrightarrow tl Sji \neq [] \longrightarrow$

$$\begin{aligned}
& (\forall li. Sji ! (0) = li \longrightarrow \\
& Sji ! (length (Sji) - 1) = s \longrightarrow \\
& (\forall i < length (Sji) - 1. \vdash \mathcal{N}(Sji ! i, Sji ! Suc i)) \longrightarrow \\
& \vdash (map (\lambda i. \mathcal{N}(Sji ! i, Sji ! Suc i)) \\
& \quad [0..<length (Sji) - Suc (0)] \oplus_{\wedge} (li, s))
\end{aligned}$$

**proof** (*induction Sji*)

**case Nil**

**then show** *?case by simp*

**next**

**case (Cons a Sji)**

**then show** *?case*

**apply** (*subst att-and, case-tac Sji, simp, simp*)

**apply** (*rule impI*)<sup>+</sup>

**proof** –

**fix** *aa list*

**show** *list ≠ []*  $\longrightarrow$

$$\begin{aligned}
& list ! (length list - Suc 0) = s \longrightarrow \\
& (\forall i < length list. \vdash \mathcal{N}((aa \# list) ! i, list ! i)) \longrightarrow \\
& \vdash (map (\lambda i. \mathcal{N}((aa \# list) ! i, list ! i)) [0..<length list] \oplus_{\wedge} (aa, s)) \Longrightarrow \\
& Sji = aa \# list \Longrightarrow \\
& (aa \# list) ! length list = s \Longrightarrow \\
& \forall i < Suc (length list). \vdash \mathcal{N}((a \# aa \# list) ! i, (aa \# list) ! i) \Longrightarrow \\
& case map (\lambda i. \mathcal{N}((a \# aa \# list) ! i, (aa \# list) ! i)) [0..<length list] @ \\
& \quad [\mathcal{N}((a \# aa \# list) ! length list, s)] \text{ of} \\
& [] \Rightarrow fst (a, s) \subseteq snd (a, s) \mid [aa] \Rightarrow \vdash aa \wedge attack aa = (a, s) \\
& \mid aa \# ab \# list \Rightarrow \\
& \quad \vdash aa \wedge fst (attack aa) = fst (a, s) \wedge \vdash (ab \# list \oplus_{\wedge} (snd (attack aa), snd (a, s)))
\end{aligned}$$

**proof** (*case-tac map (\lambda i. \mathcal{N}((a \# aa \# list) ! i, (aa \# list) ! i)) [0..<length list]*)

@

$$[\mathcal{N}((a \# aa \# list) ! length list, s)], \text{ simp, clarify, simp}$$

**fix** *ab lista*

**have** *\**: *tl (map (\lambda i. \mathcal{N}((a \# aa \# list) ! i, (aa \# list) ! i)) [0..<length list])*

$$= (map (\lambda i. \mathcal{N}((aa \# list) ! i, (list) ! i)) [0..<(length list - 1)])$$

**if** *list ≠ []*

**apply** (*subgoal-tac tl (map (\lambda i. \mathcal{N}((a \# aa \# list) ! i, (aa \# list) ! i)) [0..<length list])*)

$$= (map (\lambda i. \mathcal{N}((aa \# list) ! i, (list) ! i)) [0..<(length list - 1)])$$

**apply** *blast*

**apply** (*subst step-lem [OF that]*)

**apply** *simp*

**done**

**show** *list ≠ []*  $\longrightarrow$

$$\begin{aligned}
& (\forall i < length list. \vdash \mathcal{N}((aa \# list) ! i, list ! i)) \longrightarrow \\
& \vdash (map (\lambda i. \mathcal{N}((aa \# list) ! i, list ! i)) \\
& \quad [0..<length list] \oplus_{\wedge} (aa, list ! (length list - Suc 0))) \Longrightarrow \\
& Sji = aa \# list \Longrightarrow
\end{aligned}$$



$\forall i < \text{Suc } (\text{length list}). \vdash \mathcal{N}((a \# aa \# list) ! i, (aa \# list) ! i) \implies$   
 $\text{map } (\lambda i. \mathcal{N}((a \# aa \# list) ! i, (aa \# list) ! i)) [0..<\text{length list}] @$   
 $[\mathcal{N}((a \# aa \# list) ! \text{length list}, (aa \# list) ! \text{length list})] =$   
 $ab \# lista \implies$   
 $s = (aa \# list) ! \text{length list} \implies$   
 $\text{case lista of } [] \Rightarrow \vdash ab \wedge \text{attack ab} = (a, (aa \# list) ! \text{length list})$   
 $| aba \# lista \Rightarrow$   
 $\vdash ab \wedge \text{fst } (\text{attack ab}) = a \wedge \vdash (aba \# lista \oplus_{\wedge} (\text{snd } (\text{attack ab}), (aa \# list) ! \text{length list}))$   
**apply** (auto simp: split: list.split)  
**apply** (metis (no-types, lifting) app-tl-hd-list length-greater-0-conv list.sel(1)  
list.sel(3) list.simps(3) list.simps(8) list.size(3) map-fst nth-Cons-0 self-append-conv2  
upt-0 zero-less-Suc)  
**apply** (metis (no-types, lifting) app-tl-hd-list attack.simps(1) fst-conv  
length-greater-0-conv list.sel(1) list.sel(3) list.simps(3) list.simps(8) list.size(3)  
map-fst nth-Cons-0 self-append-conv2 upt-0)  
**apply** (metis (mono-tags, lifting) app-tl-hd-list attack.simps(1) fst-conv  
length-greater-0-conv list.sel(1) list.sel(3) list.simps(3) list.simps(8) list.size(3)  
map-fst nth-Cons-0 self-append-conv2 upt-0)  
**by** (smt \* One-nat-def app-tl-hd-list attack.simps(1) length-greater-0-conv  
list.sel(1) list.sel(3) list.simps(3) list.simps(8) list.size(3) map-fst nth-Cons-0 nth-Cons-pos  
self-append-conv2 snd-conv tl-app-in tl-append2 upt-0)  
**qed**  
**qed**  
**qed**

**lemma** Compl-step4:  $I \neq \{\}$   $\implies$  finite  $I \implies \neg I \subseteq s \implies$   
 $(\exists U. \text{set } U = \{x. x \in I \wedge x \notin s\} \wedge (\exists Sj :: ((('s :: \text{state}) \text{set}) \text{list}) \text{list}.$   
 $\text{length } Sj = \text{length } U \wedge \text{nodup-all } U \wedge$   
 $(\forall j < \text{length } Sj. (((Sj ! j) \neq []) \wedge (\text{tl } (Sj ! j) \neq [])) \wedge$   
 $((Sj ! j) ! 0, (Sj ! j) ! (\text{length } (Sj ! j) - 1)) = (\{U ! j\}, s) \wedge$   
 $(\forall i < (\text{length } (Sj ! j) - 1). \vdash \mathcal{N}((Sj ! j) ! i, (Sj ! j) ! (i+1))$   
 $))))))$   
 $\implies \exists (A :: ('s :: \text{state}) \text{attree}). \vdash A \wedge \text{attack } A = (I, s)$

**proof** (erule exE, erule conjE, erule exE, erule conjE)

**fix**  $U$   $Sj$

**assume**  $a: I \neq \{\}$  **and**  $b: \text{finite } I$  **and**  $c: \neg I \subseteq s$

**and**  $d: \text{set } U = \{x :: 's \in I. x \notin s\}$  **and**  $e: \text{length } Sj = \text{length } U$

**and**  $f: \text{nodup-all } U \wedge$

$(\forall j < \text{length } Sj. Sj ! j \neq [] \wedge$

$\text{tl } (Sj ! j) \neq [] \wedge$

$(Sj ! j ! (0), Sj ! j ! (\text{length } (Sj ! j) - 1)) = (\{U ! j\}, s) \wedge$

$(\forall i < \text{length } (Sj ! j) - 1. \vdash \mathcal{N}(Sj ! j ! i, Sj ! j ! (i + 1))))$

**show**  $\exists A :: 's \text{ attree}. \vdash A \wedge \text{attack } A = (I, s)$

**apply** (rule-tac  $x =$

$[([] \oplus_{\vee} \{x. x \in I \wedge x \in s\}, s),$

$([[ \mathcal{N}((Sj ! j) ! i, (Sj ! j) ! (i + 1))] \cdot$

$i \leftarrow [0..<(\text{length } (Sj ! j) - 1)]] \oplus_{\wedge} ((\{U ! j\}, s)). j \leftarrow [0..<(\text{length } Sj)]]$

$\oplus_{\vee} \{x. x \in I \wedge x \notin s\}, s]) \oplus_{\vee} (I, s)$  **in**  $exI$ )

**proof**

**show**  $\vdash(\llbracket \oplus_{\vee}(\{x::'s \in I. x \in s\}, s),$   
 $\text{map } (\lambda j.$   
 $((\text{map } (\lambda i. \mathcal{N}_{(Sj ! j ! i, Sj ! j ! (i + (1)))})$   
 $[0..<\text{length } (Sj ! j) - (1)]) \oplus_{\wedge}(\{U ! j\}, s))$   
 $[0..<\text{length } Sj] \oplus_{\vee}(\{x::'s \in I. x \notin s\}, s) \oplus_{\vee}(I, s)$

**proof** –

**have**  $g: I - \{x::'s \in I. x \in s\} = \{x::'s \in I. x \notin s\}$  **by** *blast*

**thus**  $\vdash(\llbracket \oplus_{\vee}(\{x::'s \in I. x \in s\}, s),$   
 $(\text{map } (\lambda j.$   
 $((\text{map } (\lambda i. \mathcal{N}_{(Sj ! j ! i, Sj ! j ! (i + (1)))})$   
 $[0..<\text{length } (Sj ! j) - (1)]) \oplus_{\wedge}(\{U ! j\}, s))$   
 $[0..<\text{length } Sj] \oplus_{\vee}(\{x::'s \in I. x \notin s\}, s) \oplus_{\vee}(I, s)$   
**apply** (*subst att-or, simp*)

**proof**

**show**  $I - \{x \in I. x \in s\} = \{x \in I. x \notin s\} \implies \vdash(\llbracket \oplus_{\vee}(\{x \in I. x \in s\}, s)$

**by** (*metis (no-types, lifting) CollectD att-or-empty-back subsetI*)

**next show**  $I - \{x \in I. x \in s\} = \{x \in I. x \notin s\} \implies$

$\vdash(\llbracket \text{map } (\lambda j. ((\text{map } (\lambda i. \mathcal{N}_{(Sj ! j ! i, Sj ! j ! Suc i)}) [0..<\text{length } (Sj ! j) - Suc 0])$   
 $\oplus_{\wedge}(\{U ! j\}, s))$   
 $[0..<\text{length } Sj] \oplus_{\vee}(\{x \in I. x \notin s\}, s) \oplus_{\vee}(\{x \in I. x \notin s\}, s)$

Use lemma *list-or-upt* to distribute attack validity over list  $U$

**proof** (*erule ssubst, subst att-or, simp, rule subst, rule d, rule-tac U = U*  
**in** *list-or-upt*)

**show**  $U \neq []$   
**using**  $c d$  **by** *auto*

**next show**  $\bigwedge i.$   
 $i < \text{length } U \implies$

$\vdash(\text{map } (\lambda j.$   
 $((\text{map } (\lambda i. \mathcal{N}_{(Sj ! j ! i, Sj ! j ! Suc i)})$   
 $[0..<\text{length } (Sj ! j) - Suc (0)]) \oplus_{\wedge}(\{U ! j\}, s))$   
 $[0..<\text{length } Sj] !$   
 $i) \wedge$   
*attack*  
 $(\text{map } (\lambda j.$   
 $((\text{map } (\lambda i. \mathcal{N}_{(Sj ! j ! i, Sj ! j ! Suc i)})$   
 $[0..<\text{length } (Sj ! j) - Suc (0)]) \oplus_{\wedge}(\{U ! j\}, s))$   
 $[0..<\text{length } Sj] !$   
 $i) =$   
 $(\{U ! i\}, s)$

**proof** (*simp add: a b c d e f*)

**show**  $\bigwedge i.$

$i < \text{length } U \implies$

$\vdash(\text{map } (\lambda ia. \mathcal{N}_{(Sj ! i ! ia, Sj ! i ! Suc ia)})$   
 $[0..<\text{length } (Sj ! i) - Suc (0)] \oplus_{\wedge}(\{U ! i\}, s)$

```

proof –
  fix  $i :: nat$ 
  assume  $a1: i < length\ U$ 
  have  $\forall n. \vdash map (\lambda na. \mathcal{N}(Sj!\ n!\ na, Sj!\ n!\ Suc\ na)) [0..< length\ (Sj!\ n) - 1] \oplus_{\wedge} (Sj!\ n!\ 0, Sj!\ n!\ (length\ (Sj!\ n) - 1)) \vee \neg n < length\ Sj$ 
    by (metis (no-types) One-nat-def add.right-neutral add-Suc-right base-list-and f)
  then show  $\vdash map (\lambda n. \mathcal{N}(Sj!\ i!\ n, Sj!\ i!\ Suc\ n)) [0..< length\ (Sj!\ i) - Suc\ 0] \oplus_{\wedge} (\{U!\ i\}, s)$ 
    using  $a1$  by (metis (no-types) One-nat-def e f)
  qed
  qed
  qed (auto simp add: e f)
  qed
  qed
  qed auto
qed

```

### 3.3.5 Main Theorem Completeness

**theorem** *Completeness*:  $I \neq \{\} \implies finite\ I \implies Kripke\ \{s :: ('s :: state). \exists i \in I. (i \rightarrow_{i*} s)\} (I :: ('s :: state) set) \vdash EF\ s \implies \exists (A :: ('s :: state) attree). \vdash A \wedge attack\ A = (I, s)$

**proof** (*case-tac I  $\subseteq$  s*)

**show**  $I \neq \{\} \implies finite\ I \implies$

$Kripke\ \{s :: 's. \exists i :: 's \in I. i \rightarrow_{i*} s\} I \vdash EF\ s \implies I \subseteq s \implies \exists A :: 's\ attree. \vdash A \wedge attack\ A = (I, s)$

**using** *att-or-empty-back attack.simps(3)* **by** *blast*

**next**

**show**  $I \neq \{\} \implies finite\ I \implies$

$Kripke\ \{s :: 's. \exists i :: 's \in I. i \rightarrow_{i*} s\} I \vdash EF\ s \implies \neg I \subseteq s$

$\implies \exists A :: 's\ attree. \vdash A \wedge attack\ A = (I, s)$

**by** (*iprover intro: Compl-step1 Compl-step2 Compl-step3 Compl-step4 elim:* )

**qed**

### 3.3.6 Contrapositions of Correctness and Completeness

**lemma** *contrapos-compl*:

$I \neq \{\} \implies finite\ I \implies$

$(\neg (\exists (A :: ('s :: state) attree). \vdash A \wedge attack\ A = (I, - s))) \implies \neg (Kripke\ \{s. \exists i \in I. i \rightarrow_{i*} s\} I \vdash EF\ (- s))$

**using** *Completeness* **by** *auto*

**lemma** *contrapos-corr*:

$(\neg (Kripke\ \{s :: ('s :: state). \exists i \in I. (i \rightarrow_{i*} s)\} I \vdash EF\ s))$

$\implies attack\ A = (I, s)$

$\implies \neg (\vdash A)$

**using** *AT-EF* **by** *blast*

end

## 4 Infrastructures

The Isabelle Infrastructure framework supports the representation of infrastructures as graphs with actors and policies attached to nodes. These infrastructures are the *states* of the Kripke structure. The transition between states is triggered by non-parametrized actions *get*, *move*, *eval*, *put* executed by actors. Actors are given by an abstract type *actor* and a function *Actor* that creates elements of that type from identities (of type *string*). Policies are given by pairs of predicates (conditions) and sets of (enabled) actions.

### 4.1 Actors, actions, and data labels

```
theory Infrastructure
  imports AT
begin
datatype action = get | move | eval | put

typedecl actor
type-synonym identity = string
consts Actor :: string  $\Rightarrow$  actor
type-synonym policy = ((actor  $\Rightarrow$  bool) * action set)

definition ID :: [actor, string]  $\Rightarrow$  bool
  where ID a s  $\equiv$  (a = Actor s)
```

The Decentralised Label Model (DLM) [5] introduced the idea to label data by owners and readers. We pick up this idea and formalize a new type to encode the owner and the set of readers as a pair. The first element is the owner of a data item, the second one is the set of all actors that may access the data item. This enables the unique security labelling of data within the system additionally taking the ownership into account.

```
type-synonym data = nat
type-synonym dlm = actor * actor set
```

### 4.2 Infrastructure graphs and policies

Actors are contained in an infrastructure graph. An *igraph* contains a set of location pairs representing the topology of the infrastructure as a graph of nodes and a list of actor identities associated to each node (location) in the graph. Also an *igraph* associates actors to a pair of string sets by a pair-valued function whose first range component is a set describing the credentials in the possession of an actor and the second component is a set

defining the roles the actor can take on. More importantly in this context, an *igraph* assigns locations to a pair of a string that defines the state of the component and an element of type  $(dlm * data)$  set. This set of labelled data may represent a condition on that data. Corresponding projection functions for each of these components of an *igraph* are provided; they are named *gra* for the actual set of pairs of locations, *agra* for the actor map, *cgra* for the credentials, and *lgra* for the state of a location and the data at that location.

```
datatype location = Location nat
datatype igrph = Lgraph (location * location)set location  $\Rightarrow$  identity set
              actor  $\Rightarrow$  (string set * string set)
              location  $\Rightarrow$  string * (dlm * data) set
datatype infrastructure =
  Infrastructure igrph
  [igrph, location]  $\Rightarrow$  policy set
```

```
primrec loc :: location  $\Rightarrow$  nat
where loc(Location n) = n
primrec gra :: igrph  $\Rightarrow$  (location * location)set
where gra(Lgraph g a c l) = g
primrec agra :: igrph  $\Rightarrow$  (location  $\Rightarrow$  identity set)
where agra(Lgraph g a c l) = a
primrec cgra :: igrph  $\Rightarrow$  (actor  $\Rightarrow$  string set * string set)
where cgra(Lgraph g a c l) = c
primrec lgra :: igrph  $\Rightarrow$  (location  $\Rightarrow$  string * (dlm * data) set)
where lgra(Lgraph g a c l) = l
```

```
definition nodes :: igrph  $\Rightarrow$  location set
where nodes g == { x. (? y. ((x,y): gra g) | ((y,x): gra g)) }
```

```
definition actors-graph :: igrph  $\Rightarrow$  identity set
where actors-graph g == {x. ? y. y : nodes g  $\wedge$  x  $\in$  (agra g y) }
```

There are projection functions `text@ graphI` and `text@ delta` when applied to an infrastructure return the graph and the policy, respectively. Other projections are introduced for the labels, the credential, and roles and to express their meaning.

```
primrec graphI :: infrastructure  $\Rightarrow$  igrph
where graphI (Infrastructure g d) = g
primrec delta :: [infrastructure, igrph, location]  $\Rightarrow$  policy set
where delta (Infrastructure g d) = d
primrec tspace :: [infrastructure, actor]  $\Rightarrow$  string set * string set
  where tspace (Infrastructure g d) = cgra g
primrec lspace :: [infrastructure, location]  $\Rightarrow$  string * (dlm * data)set
where lspace (Infrastructure g d) = lgra g
```

```
definition credentials :: string set * string set  $\Rightarrow$  string set
where credentials lxl  $\equiv$  (fst lxl)
```

```
definition has :: [igrph, actor * string]  $\Rightarrow$  bool
```

**where**  $has\ G\ ac \equiv snd\ ac \in credentials(cgra\ G\ (fst\ ac))$   
**definition**  $roles :: string\ set * string\ set \Rightarrow string\ set$   
**where**  $roles\ lxl \equiv (snd\ lxl)$   
**definition**  $role :: [igraph, actor * string] \Rightarrow bool$   
**where**  $role\ G\ ac \equiv snd\ ac \in roles(cgra\ G\ (fst\ ac))$   
**definition**  $isin :: [igraph, location, string] \Rightarrow bool$   
**where**  $isin\ G\ l\ s \equiv s = fst\ (lgra\ G\ l)$

Predicates and projections for the labels to encode their meaning.

**definition**  $owner :: dlm * data \Rightarrow actor$  **where**  $owner\ d \equiv fst(fst\ d)$   
**definition**  $owns :: [igraph, location, actor, dlm * data] \Rightarrow bool$   
**where**  $owns\ G\ l\ a\ d \equiv owner\ d = a$   
**definition**  $readers :: dlm * data \Rightarrow actor\ set$   
**where**  $readers\ d \equiv snd\ (fst\ d)$

The predicate *has-access* is true for owners or readers.

**definition**  $has-access :: [igraph, location, actor, dlm * data] \Rightarrow bool$   
**where**  $has-access\ G\ l\ a\ d \equiv owns\ G\ l\ a\ d \vee a \in readers\ d$

We define a type of functions that preserves the security labeling and a corresponding function application operator.

**typedef**  $label-fun = \{f :: dlm * data \Rightarrow dlm * data.$   
 $\quad \forall x :: dlm * data. fst\ x = fst\ (f\ x)\}$   
**by** (*fastforce*)

**definition**  $secure-process :: label-fun \Rightarrow dlm * data \Rightarrow dlm * data$  (**infixr**  $\Updownarrow$  50)  
**where**  $f\ \Updownarrow\ d \equiv (Rep-label-fun\ f)\ d$

The predicate *atI* – mixfix syntax  $@_G$  – expresses that an actor (identity) is at a certain location in an *igraph*.

**definition**  $atI :: [identity, igragh, location] \Rightarrow bool$  ( $- @_{(-)} -$  50)  
**where**  $a @_G l \equiv a \in (agra\ G\ l)$

Policies specify the expected behaviour of actors of an infrastructure. They are defined by the *enables* predicate: an actor  $h$  is enabled to perform an action  $a$  in infrastructure  $I$ , at location  $l$  if there exists a pair  $(p,e)$  in the local policy of  $l$  ( $delta\ I\ l$  projects to the local policy) such that the action  $a$  is a member of the action set  $e$  and the policy predicate  $p$  holds for actor  $h$ .

**definition**  $enables :: [infrastructure, location, actor, action] \Rightarrow bool$   
**where**  
 $enables\ I\ l\ a\ a' \equiv (\exists (p,e) \in delta\ I\ (graphI\ I)\ l. a' \in e \wedge p\ a)$

The behaviour is the good behaviour, i.e. everything allowed by the policy of infrastructure  $I$ .

**definition**  $behaviour :: infrastructure \Rightarrow (location * actor * action)set$   
**where**  $behaviour\ I \equiv \{(t,a,a').\ enables\ I\ t\ a\ a'\}$

The misbehaviour is the complement of the behaviour of an infrastructure  $I$ .

**definition** *misbehaviour* :: *infrastructure*  $\Rightarrow$  (*location* \* *actor* \* *action*)*set*  
**where** *misbehaviour*  $I \equiv \neg(\text{behaviour } I)$

### 4.3 State transition on infrastructures

The state transition defines how actors may act on infrastructures through actions within the boundaries of the policy. It is given as an inductive definition over the states which are infrastructures. This state transition relation is dependent on actions but also on enabledness and the current state of the infrastructure.

First we introduce some auxiliary functions dealing with repetitions in lists and actors moving in an igragh.

**primrec** *jonce* :: [*a*, '*a list*]  $\Rightarrow$  *bool*

**where**

*jonce-nil*: *jonce*  $a [] = \text{False}$  |

*jonce-cons*: *jonce*  $a (x\#ls) = (\text{if } x = a \text{ then } (a \notin (\text{set } ls)) \text{ else } \text{jonce } a \text{ } ls)$

**definition** *move-graph-a* :: [*identity*, *location*, *location*, *igragh*]  $\Rightarrow$  *igragh*

**where** *move-graph-a*  $n \ l \ l' \ g \equiv \text{Lgraph } (gra \ g)$

(*if*  $n \in ((\text{agra } g) \ l) \ \& \ n \notin ((\text{agra } g) \ l')$  *then*

$((\text{agra } g)(l := (\text{agra } g \ l) - \{n\}))(l' := (\text{insert } n \ (\text{agra } g \ l')))$

*else*  $(\text{agra } g)(\text{cgra } g)(\text{lgra } g)$ )

**inductive** *state-transition-in* :: [*infrastructure*, *infrastructure*]  $\Rightarrow$  *bool* ( $(- \rightarrow_n -)$  50)

**where**

*move*:  $\llbracket G = \text{graphI } I; a @_G l; l \in \text{nodes } G; l' \in \text{nodes } G;$

$(a) \in \text{actors-graph}(\text{graphI } I); \text{enables } I \ l' \ (\text{Actor } a) \ \text{move};$

$I' = \text{Infrastructure } (\text{move-graph-a } a \ l \ l' \ (\text{graphI } I))(\text{delta } I) \rrbracket \Longrightarrow I \rightarrow_n I'$

| *get* :  $\llbracket G = \text{graphI } I; a @_G l; a' @_G l; \text{has } G \ (\text{Actor } a, z);$

$\text{enables } I \ l \ (\text{Actor } a) \ \text{get};$

$I' = \text{Infrastructure}$

$(\text{Lgraph } (gra \ G)(\text{agra } G)$

$((\text{cgra } G)(\text{Actor } a' :=$

$(\text{insert } z \ (\text{fst}(\text{cgra } G \ (\text{Actor } a'))), \text{snd}(\text{cgra } G \ (\text{Actor}$

$a'))))$ )

$(\text{lgra } G)$

$(\text{delta } I)$

$\rrbracket \Longrightarrow I \rightarrow_n I'$

| *get-data* :  $G = \text{graphI } I \Longrightarrow a @_G l \Longrightarrow$

$\text{enables } I \ l' \ (\text{Actor } a) \ \text{get} \Longrightarrow$

$((\text{Actor } a', as), n) \in \text{snd } (\text{lgra } G \ l') \Longrightarrow \text{Actor } a \in as \Longrightarrow$

$I' = \text{Infrastructure}$

$(\text{Lgraph } (gra \ G)(\text{agra } G)(\text{cgra } G)$

$(\text{lgra } G)(l := \text{fst } (\text{lgra } G \ l),$

$$\begin{aligned}
& \text{snd } (lgra \ G \ l) \cup \{((Actor \ a', \ as), \ n)\}) \\
& \text{(delta } I) \\
& \implies I \rightarrow_n I' \\
| \text{ process : } G = graphI \ I \implies a \ @_G \ l \implies \\
& \text{enables } I \ l \ (Actor \ a) \ \text{eval} \implies \\
& ((Actor \ a', \ as), \ n) \in \text{snd } (lgra \ G \ l) \implies Actor \ a \in as \implies \\
& I' = Infrastructure \\
& \quad (Lgraph \ (gra \ G)(agra \ G)(cgra \ G) \\
& \quad \quad ((lgra \ G)(l := (fst \ (lgra \ G \ l), \\
& \quad \quad \quad \text{snd } (lgra \ G \ l) - \{((Actor \ a', \ as), \ n)\} \\
& \quad \quad \quad \cup \{(f :: label-fun) \Downarrow ((Actor \ a', \ as), \ n)\})) \\
& \quad \quad \text{(delta } I) \\
& \implies I \rightarrow_n I' \\
| \text{ del-data : } G = graphI \ I \implies a \in actors \ G \implies l \in nodes \ G \implies \\
& ((Actor \ a, \ as), \ n) \in \text{snd } (lgra \ G \ l) \implies \\
& I' = Infrastructure \\
& \quad (Lgraph \ (gra \ G)(agra \ G)(cgra \ G) \\
& \quad \quad ((lgra \ G)(l := (fst \ (lgra \ G \ l), \ \text{snd } (lgra \ G \ l) - \{((Actor \ a, \ as), \\
& \quad \quad \quad n)\})) \\
& \quad \quad \text{(delta } I) \\
& \implies I \rightarrow_n I' \\
| \text{ put : } G = graphI \ I \implies a \ @_G \ l \implies \text{enables } I \ l \ (Actor \ a) \ \text{put} \implies \\
& I' = Infrastructure \\
& \quad (Lgraph \ (gra \ G)(agra \ G)(cgra \ G) \\
& \quad \quad ((lgra \ G)(l := (s, \ \text{snd } (lgra \ G \ l) \cup \{((Actor \ a, \ as), \ n)\}))) \\
& \quad \quad \text{(delta } I) \\
& \implies I \rightarrow_n I'
\end{aligned}$$

Note that the type infrastructure can now be instantiated to the axiomatic type class *state* which enables the use of the underlying Kripke structures and CTL.

**instantiation** *infrastructure* :: *state*

**begin**

**definition**

*state-transition-infra-def*:  $(i \rightarrow_i i') = (i \rightarrow_n (i' :: infrastructure))$

**instance**

**by** (*rule state.intro-of-class*)

**definition** *state-transition-in-refl*  $((- \rightarrow_n^* -) \ 50)$

**where**  $s \rightarrow_n^* s' \equiv ((s, s') \in \{(x, y). \text{state-transition-in } x \ y\}^*)$

**end**

**lemma** *move-graph-eq*: *move-graph-a*  $l \ l \ g = g$

**by** (*simp add: move-graph-a-def, case-tac g, force*)

**end**



## 5 Application example from IoT healthcare

The example of an IoT healthcare systems is taken from the context of the CHIST-ERA project SUCCESS [1]. In this system architecture, data is collected by sensors in the home or via a smart phone helping to monitor bio markers of the patient. The data collection is in a cloud based server to enable hospitals (or scientific institutions) to access the data which is controlled via the smart phone. The identities Patient and Doctor represent patients and their doctors; double quotes "s" indicate strings in Isabelle/HOL. The global policy is 'only the patient and the doctor can access the data in the cloud'.

```
theory GDPRhealthcare
imports Infrastructure
begin
```

Local policies are represented as a function over an *igraph*  $G$  that additionally assigns each location of a scenario to its local policy given as a pair of requirements to an actor (first element of the pair) in order to grant him actions in the location (second element of the pair). The predicate  $@G$  checks whether an actor is at a given location in the *igraph*  $G$ .

```
locale scenarioGDPR =
fixes gdpr-actors :: identity set
defines gdpr-actors-def: gdpr-actors  $\equiv$  {"Patient", "Doctor"}
fixes gdpr-locations :: location set
defines gdpr-locations-def: gdpr-locations  $\equiv$ 
  {Location 0, Location 1, Location 2, Location 3}
fixes sphone :: location
defines sphone-def: sphone  $\equiv$  Location 0
fixes home :: location
defines home-def: home  $\equiv$  Location 1
fixes hospital :: location
defines hospital-def: hospital  $\equiv$  Location 2
fixes cloud :: location
defines cloud-def: cloud  $\equiv$  Location 3
fixes global-policy :: [infrastructure, identity]  $\Rightarrow$  bool
defines global-policy-def: global-policy  $I$   $a \equiv a \neq$  "Doctor"
   $\longrightarrow \neg(\text{enables } I \text{ hospital } (\text{Actor } a) \text{ eval})$ 
fixes global-policy' :: [infrastructure, identity]  $\Rightarrow$  bool
defines global-policy'-def: global-policy'  $I$   $a \equiv a \notin$  gdpr-actors
   $\longrightarrow \neg(\text{enables } I \text{ cloud } (\text{Actor } a) \text{ get})$ 
fixes ex-creds :: actor  $\Rightarrow$  (string set * string set)
defines ex-creds-def: ex-creds  $\equiv$  ( $\lambda x.$  if  $x =$  Actor "Patient" then
  {"PIN", "skey"}, {} else
  (if  $x =$  Actor "Doctor" then
  {"PIN"}, {} else ({} , {})))
fixes ex-locs :: location  $\Rightarrow$  string * (dln * data) set
defines ex-locs  $\equiv$  ( $\lambda x.$  if  $x =$  cloud then
```

```

      ("free",{((Actor "Patient",{Actor "Doctor"}),42))
      else ("",{}}))
fixes ex-loc-ass :: location ⇒ identity set
defines ex-loc-ass-def: ex-loc-ass ≡
  (λ x. if x = home then {"Patient"}
    else (if x = hospital then {"Doctor", "Eve"}
      else {}))

fixes ex-graph :: igragh
defines ex-graph-def: ex-graph ≡ Lgraph
  {(home, cloud), (sphone, cloud), (cloud,hospital)}
  ex-loc-ass
  ex-creds ex-locs
fixes ex-graph' :: igragh
defines ex-graph'-def: ex-graph' ≡ Lgraph
  {(home, cloud), (sphone, cloud), (cloud,hospital)}
  (λ x. if x = cloud then {"Patient"} else
    (if x = hospital then {"Doctor","Eve"} else {}))
  ex-creds ex-locs
fixes ex-graph'' :: igragh
defines ex-graph''-def: ex-graph'' ≡ Lgraph
  {(home, cloud), (sphone, cloud), (cloud,hospital)}
  (λ x. if x = cloud then {"Patient", "Eve"} else
    (if x = hospital then {"Doctor"} else {}))
  ex-creds ex-locs

fixes local-policies :: [igragh, location] ⇒ policy set
defines local-policies-def: local-policies G ≡
  (λ x. if x = home then
    {(λ y. True, {put,get,move,eval})}
    else (if x = sphone then
      {((λ y. has G (y, "PIN")), {put,get,move,eval})}
      else (if x = cloud then
        {(λ y. True, {put,get,move,eval})}
        else (if x = hospital then
          {((λ y. (∃ n. (n @G hospital) ∧ Actor n = y ∧
            has G (y, "skew"))), {put,get,move,eval})} else {}))))))

fixes gdpr-scenario :: infrastructure
defines gdpr-scenario-def:
  gdpr-scenario ≡ Infrastructure ex-graph local-policies
fixes Igdpr :: infrastructure set
defines Igdpr-def:
  Igdpr ≡ {gdpr-scenario}

fixes gdpr-scenario' :: infrastructure
defines gdpr-scenario'-def:
  gdpr-scenario' ≡ Infrastructure ex-graph' local-policies

```

```

fixes GDPR' :: infrastructure set
defines GDPR'-def:
  GDPR'  $\equiv$  {gdpr-scenario'}

fixes gdpr-scenario'' :: infrastructure
defines gdpr-scenario''-def:
  gdpr-scenario''  $\equiv$  Infrastructure ex-graph'' local-policies
fixes GDPR'' :: infrastructure set
defines GDPR''-def:
  GDPR''  $\equiv$  {gdpr-scenario''}
fixes gdpr-states
defines gdpr-states-def: gdpr-states  $\equiv$  { I. gdpr-scenario  $\rightarrow_{i*}$  I }
fixes gdpr-Kripke
defines gdpr-Kripke  $\equiv$  Kripke gdpr-states {gdpr-scenario}
fixes sgdpr
defines sgdpr  $\equiv$  {x.  $\neg$  (global-policy' x "Eve'")}
begin

```

## 5.1 Using Attack Tree Calculus

Since we consider a predicate transformer semantics, we use sets of states to represent properties. For example, the attack property is given by the above *set sgdpr*.

The attack we are interested in is to see whether for the scenario

*gdpr scenario*  $\equiv$  *Infrastructure ex-graph local-policies*

from the initial state

*Igdpr*  $\equiv$  {*gdpr scenario*} ,

the critical state *sgdpr* can be reached, i.e., is there a valid attack (*Igdpr, sgdpr*)?

We first present a number of lemmas showing single and multi-step state transitions for relevant states reachable from our *gdpr-scenario*.

```

lemma step1: gdpr-scenario  $\rightarrow_n$  gdpr-scenario'
proof (rule-tac l = home and a = "Patient" and l' = cloud in move)
  show graphI gdpr-scenario = graphI gdpr-scenario' by (rule refl)
next show "Patient" @ graphI gdpr-scenario home
  by (simp add: gdpr-scenario-def ex-graph-def ex-loc-ass-def atI-def nodes-def)
next show home  $\in$  nodes (graphI gdpr-scenario)
  by (simp add: gdpr-scenario-def ex-graph-def ex-loc-ass-def atI-def nodes-def, blast)
next show cloud  $\in$  nodes (graphI gdpr-scenario)
  by (simp add: gdpr-scenario-def nodes-def ex-graph-def, blast)
next show "Patient"  $\in$  actors-graph (graphI gdpr-scenario)
  by (simp add: actors-graph-def gdpr-scenario-def ex-graph-def ex-loc-ass-def nodes-def, blast)
next show enables gdpr-scenario cloud (Actor "Patient") move
  by (simp add: enables-def gdpr-scenario-def ex-graph-def local-policies-def ex-creds-def ex-locs-def has-def credentials-def)

```

**next show**  $gdpr\text{-}scenario' =$   
*Infrastructure (move-graph-a "Patient" home cloud (graphI gdpr-scenario))*  
(delta  $gdpr\text{-}scenario$ )  
**apply** (*simp add: gdpr-scenario'-def ex-graph'-def move-graph-a-def*  
*gdpr-scenario-def ex-graph-def home-def cloud-def hospital-def*  
*ex-loc-ass-def ex-creds-def*)  
**apply** (*rule ext*)  
**by** (*simp add: hospital-def*)  
**qed**

**lemma** *step1r: gdpr-scenario  $\rightarrow_{n^*}$  gdpr-scenario'*  
**proof** (*simp add: state-transition-in-refl-def*)  
**show**  $(gdpr\text{-}scenario, gdpr\text{-}scenario') \in \{(x::\text{infrastructure}, y::\text{infrastructure}). x$   
 $\rightarrow_n y\}^*$   
**by** (*insert step1, auto*)  
**qed**

**lemma** *step2: gdpr-scenario'  $\rightarrow_n$  gdpr-scenario''*  
**proof** (*rule-tac l = hospital and a = "Eve" and l' = cloud in move, rule refl*)  
**show** "Eve" @<sub>graphI</sub>  $gdpr\text{-}scenario'$  *hospital*  
**by** (*simp add: gdpr-scenario'-def ex-graph'-def hospital-def cloud-def atI-def*  
*nodes-def*)  
**next show**  $hospital \in nodes (graphI gdpr\text{-}scenario')$   
**by** (*simp add: gdpr-scenario'-def ex-graph'-def hospital-def cloud-def atI-def*  
*nodes-def, blast*)  
**next show**  $cloud \in nodes (graphI gdpr\text{-}scenario')$   
**by** (*simp add: gdpr-scenario'-def nodes-def ex-graph'-def, blast*)  
**next show** "Eve"  $\in actors\text{-}graph (graphI gdpr\text{-}scenario')$   
**by** (*simp add: actors-graph-def gdpr-scenario'-def ex-graph'-def nodes-def*  
*hospital-def cloud-def, blast*)  
**next show** *enables gdpr-scenario' cloud (Actor "Eve") move*  
**by** (*simp add: enables-def gdpr-scenario'-def ex-graph-def local-policies-def*  
*ex-creds-def ex-locs-def has-def credentials-def cloud-def sphone-def*)  
**next show**  $gdpr\text{-}scenario'' =$   
*Infrastructure (move-graph-a "Eve" hospital cloud (graphI gdpr-scenario'))*  
(delta  $gdpr\text{-}scenario'$ )  
**apply** (*simp add: gdpr-scenario'-def ex-graph''-def move-graph-a-def gdpr-scenario''-def*  
  
*ex-graph'-def home-def cloud-def hospital-def ex-creds-def*)  
**apply** (*rule ext*)  
**apply** (*simp add: hospital-def*)  
**by** *blast*  
**qed**

**lemma** *step2r: gdpr-scenario'  $\rightarrow_{n^*}$  gdpr-scenario''*  
**proof** (*simp add: state-transition-in-refl-def*)  
**show**  $(gdpr\text{-}scenario', gdpr\text{-}scenario'') \in \{(x::\text{infrastructure}, y::\text{infrastructure}). x$   
 $\rightarrow_n y\}^*$   
**by** (*insert step2, auto*)

**qed**

For the Kripke structure

$gdpr\text{-Kripke} \equiv Kripke \{ I. gdpr\text{-scenario} \rightarrow_i * I \} \{ gdpr\text{-scenario} \}$

we first derive a valid and-attack using the attack tree proof calculus.

$\vdash [\mathcal{N}_{(Igdpr, GDPR')}, \mathcal{N}_{(GDPR', sgdpr)}] \oplus_{\wedge} (Igdpr, sgdpr)$

The set  $GDPR'$  (see above) is an intermediate state where Eve accesses the cloud.

**lemma** *gdpr-ref*:  $[\mathcal{N}_{(Igdpr, sgdpr)}] \oplus_{\wedge} (Igdpr, sgdpr) \sqsubseteq$

$([\mathcal{N}_{(Igdpr, GDPR')}, \mathcal{N}_{(GDPR', sgdpr)}] \oplus_{\wedge} (Igdpr, sgdpr))$

**proof** (*rule-tac*  $l = []$  **and**  $l' = [\mathcal{N}_{(Igdpr, GDPR')}, \mathcal{N}_{(GDPR', sgdpr)}]$  **and**

$l'' = []$  **and**  $si = Igdpr$  **and**  $si' = Igdpr$  **and**

$si'' = sgdpr$  **and**  $si''' = sgdpr$  **in** *refI*, *simp*, *rule refl*)

**show**  $([\mathcal{N}_{(Igdpr, GDPR')}, \mathcal{N}_{(GDPR', sgdpr)}] \oplus_{\wedge} (Igdpr, sgdpr)) =$

$([] @ [\mathcal{N}_{(Igdpr, GDPR')}, \mathcal{N}_{(GDPR', sgdpr)}] @ [] \oplus_{\wedge} (Igdpr, sgdpr))$

**by** *simp*

**qed**

**lemma** *att-gdpr*:  $\vdash ([\mathcal{N}_{(Igdpr, GDPR')}, \mathcal{N}_{(GDPR', sgdpr)}] \oplus_{\wedge} (Igdpr, sgdpr))$

**proof** (*subst att-and*, *simp*, *rule conjI*)

**show**  $\vdash \mathcal{N}_{(Igdpr, GDPR')}$

**apply** (*simp add: Igdpr-def GDPR'-def att-base*)

**using** *state-transition-infra-def step1* **by** *blast*

**next**

**have**  $\neg \text{global-policy}' \text{gdpr-scenario}'' \text{''Eve'' gdpr-scenario}' \rightarrow_n \text{gdpr-scenario}''$

**using** *step2*

**by** (*auto simp: global-policy'-def gdpr-scenario''-def gdpr-actors-def*

*enables-def local-policies-def cloud-def sphone-def intro!: step2*)

**then show**  $\vdash ([\mathcal{N}_{(GDPR', sgdpr)}] \oplus_{\wedge} (GDPR', sgdpr))$

**apply** (*subst att-and*)

**apply** (*simp add: GDPR'-def sgdpr-def att-base*)

**using** *state-transition-infra-def* **by** *blast*

**qed**

**lemma** *gdpr-abs-att*:  $\vdash_V ([\mathcal{N}_{(Igdpr, sgdpr)}] \oplus_{\wedge} (Igdpr, sgdpr))$

**by** (*rule ref-valI*, *rule gdpr-ref*, *rule att-gdpr*)

We can then simply apply the Correctness theorem *AT EF* to immediately prove the following CTL statement.

$gdpr\text{-Kripke} \vdash EF \text{sgdpr}$

This application of the meta-theorem of Correctness of attack trees saves us proving the CTL formula tediously by exploring the state space.

**lemma** *gdpr-att*:  $gdpr\text{-Kripke} \vdash EF \{x. \neg(\text{global-policy}' x \text{''Eve''})\}$

**proof** –

**have**  $a$ :  $\vdash([\mathcal{N}(Igdpr, GDPR'), \mathcal{N}(GDPR', sgdpr)] \oplus_{\wedge}(Igdpr, sgdpr))$   
**by** (*rule att-gdpr*)  
**hence**  $(Igdpr, sgdpr) = attack([\mathcal{N}(Igdpr, GDPR'), \mathcal{N}(GDPR', sgdpr)] \oplus_{\wedge}(Igdpr, sgdpr))$   
**by** *simp*  
**hence**  $Kripke \{s::infrastructure. \exists i::infrastructure \in Igdpr. i \rightarrow_{i*} s\} Igdpr \vdash EF$   
 $sgdpr$   
**using** *ATV-EF gdpr-abs-att* **by** *fastforce*  
**thus**  $gdpr-Kripke \vdash EF \{x::infrastructure. \neg global-policy' x ''Eve''\}$   
**by** (*simp add: gdpr-Kripke-def gdpr-states-def Igdpr-def sgdpr-def*)  
**qed**

**theorem** *gdpr-EF*:  $gdpr-Kripke \vdash EF sgdpr$   
**using** *gdpr-att sgdpr-def* **by** *blast*

Similarly, vice-versa, the CTL statement proved in *gdpr-EF* can now be directly translated into Attack Trees using the Completeness Theorem<sup>1</sup>.

**theorem** *gdpr-AT*:  $\exists A. \vdash A \wedge attack A = (Igdpr, sgdpr)$   
**proof** –  
**have**  $a$ :  $gdpr-Kripke \vdash EF sgdpr$  **by** (*rule gdpr-EF*)  
**have**  $b$ :  $Igdpr \neq \{\}$  **by** (*simp add: Igdpr-def*)  
**thus**  $\exists A::infrastructure attree. \vdash A \wedge attack A = (Igdpr, sgdpr)$   
**proof** (*rule Completeness*)  
**show**  $Kripke \{s. \exists i \in Igdpr. i \rightarrow_{i*} s\} Igdpr \vdash EF sgdpr$   
**using**  $a$  **by** (*simp add: gdpr-Kripke-def Igdpr-def gdpr-states-def*)  
**qed** (*auto simp: Igdpr-def*)  
**qed**

Conversely, since we have an attack given by rule *gdpr-AT*, we can immediately infer *EF s* using Correctness *AT-EF*<sup>2</sup>.

**theorem** *gdpr-EF'*:  $gdpr-Kripke \vdash EF sgdpr$   
**using** *gdpr-AT* **by** (*auto simp: gdpr-Kripke-def gdpr-states-def Igdpr-def dest: AT-EF*)

## 6 Data Protection by Design for GDPR compliance

### 6.1 General Data Protection Regulation (GDPR)

Since 26th May 2018, the GDPR has become mandatory within the European Union and hence also for any supplier of IT products. Breaches of the regulation will be fined with penalties of 20 Million EUR. Despite the

<sup>1</sup>This theorem could easily be proved as a direct instance of *att-gdpr* above but we want to illustrate an alternative proof method using Completeness here.

<sup>2</sup>Clearly, this theorem is identical to *gdpr-EF* and could thus be inferred from that one but we want to show here an alternative way of proving it using the Correctness theorem *AT-EF*.

relatively large size of the document of 209 pages, the technically relevant portion for us is only about 30 pages (Pages 81–111, Chapters I to Chapter III, Section 3). In summary, Chapter III specifies that the controller must give the data subject read access (1) to any information, communications, and “meta-data” of the data, e.g., retention time and purpose. In addition, the system must enable deletion of data (2) and restriction of processing. An invariant condition for data processing resulting from these Articles is that the system functions must preserve any of the access rights of personal data (3).

Using labeled data, we can now express the essence of Article 4 Paragraph (1): ‘personal data’ means any information relating to an identified or identifiable natural person (‘data subject’).

The labels of data must not be changed by processing: we have identified this as an invariant (3) resulting from the GDPR above. This invariant is formalized in our Isabelle model by the type definition of functions on labeled data *label-fun* (see Section 4.2) that preserve the data labels.

## 6.2 Policy enforcement and privacy preservation

We can now use the labeled data to encode the privacy constraints of the GDPR in the rules. For example, the get data rule (see Section 4.3) has labelled data  $((Actor\ a',\ as),\ n)$  and uses the labeling in the precondition to guarantee that only entitled users can get data.

We can prove that processing preserves ownership as defined in the initial state for all paths globally (AG) within the Kripke structure and in all locations of the graph.

**lemma** *gdpr-three*:  $h \in gdpr-actors \implies l \in gdpr-locations \implies$   
 $owns\ (Igraph\ gdpr-scenario)\ l\ (Actor\ h)\ d \implies$   
 $gdpr-Kripke \vdash AG\ \{x.\ \forall\ l \in gdpr-locations.\ owns\ (Igraph\ x)\ l\ (Actor\ h)\ d\}$

**proof** (*simp add: gdpr-Kripke-def check-def, rule conjI*)  
**show**  $gdpr-scenario \in gdpr-states$  **by** (*simp add: gdpr-states-def state-transition-refl-def*)  
**next**  
**show**  $h \in gdpr-actors \implies$   
 $l \in gdpr-locations \implies$   
 $owns\ (Igraph\ gdpr-scenario)\ l\ (Actor\ h)\ d \implies$   
 $gdpr-scenario \in AG\ \{x::infrastructure.\ \forall\ l \in gdpr-locations.\ owns\ (Igraph\ x)\ l\ (Actor\ h)\ d\}$   
**apply** (*simp add: AG-def gfp-def*)  
**apply** (*rule-tac x = \{x::infrastructure.\ \forall\ l \in gdpr-locations.\ owns\ (Igraph\ x)\ l\ (Actor\ h)\ d\}* **in** *exI*)  
**by** (*auto simp: AX-def gdpr-scenario-def owns-def*)  
**qed**

The final application example of Correctness contraposition shows that there

is no attack to ownership possible. The proved meta-theory for attack trees can be applied to facilitate the proof. The contraposition of the Correctness property grants that if there is no attack on  $(I, \neg f)$ , then  $(EF \neg f)$  does not hold in the Kripke structure. This yields the theorem since the  $AG f$  statement corresponds to  $\neg(EF \neg f)$ .

**theorem** *no-attack-gdpr-three:*

$h \in \text{gdpr-actors} \implies l \in \text{gdpr-locations} \implies$

$\text{owns}(\text{Igraph gdpr-scenario})\ l\ (\text{Actor } h)\ d \implies$

$\text{attack } A = (\text{Igdpr}, -\{x. \forall l \in \text{gdpr-locations}. \text{owns}(\text{Igraph } x)\ l\ (\text{Actor } h)\ d\})$

$\implies \neg(\vdash A)$

**proof** (*rule-tac*  $I = \text{Igdpr}$  and

$s = -\{x::\text{infrastructure}. \forall l \in \text{gdpr-locations}. \text{owns}(\text{Igraph } x)\ l\ (\text{Actor } h)\ d\}$

in *contrapos-corr*)

**show**  $h \in \text{gdpr-actors} \implies$

$l \in \text{gdpr-locations} \implies$

$\text{owns}(\text{Igraph gdpr-scenario})\ l\ (\text{Actor } h)\ d \implies$

$\text{attack } A = (\text{Igdpr}, -\{x::\text{infrastructure}. \forall l \in \text{gdpr-locations}. \text{owns}(\text{Igraph } x)\ l\ (\text{Actor } h)\ d\}) \implies$

$\neg(\text{Kripke } \{s::\text{infrastructure}. \exists i::\text{infrastructure} \in \text{Igdpr}. i \rightarrow_{i^*} s\})$

$\text{Igdpr} \vdash EF(-\{x::\text{infrastructure}. \forall l \in \text{gdpr-locations}. \text{owns}(\text{Igraph } x)\ l\ (\text{Actor } h)\ d\}))$

**apply** (*rule AG-imp-notnotEF*)

**apply** (*simp add: gdpr-Kripke-def Igdpr-def gdpr-states-def*)

**using** *Igdpr-def gdpr-Kripke-def gdpr-states-def gdpr-three* **by** *auto*

**qed**

**end**

**end**

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