| J.R. Abrial | S.A. Schuman | B. Meyer |
|-------------|--------------|----------|
| Consultant  | Intermetrics | E.D.F    |

"You have a quarrel on hand, I see," said I, "with some of the algebraists of Paris; but proceed."

Edgar Allan Poe, The Purloined Letter

#### 1. INTRODUCTION

The concept of specification language is now widely spread; formalising a problem is well recognised as a necessary step preceding any programming. The formalisation technique, however, is still the purpose for intensive research: the number of proposals in this field is a sufficient account of this fact. But a few basic principles seem to emerge and be generally agreed upon:

using a strict formalism inherited from mathematical practice

recognising the set theory as a sound basis for the formalisation

necessity of strong structuring of the formal text.

The proposed language takes its inspiration from these principles; it is especially indebted to the effort made within the last fifty years to present mathematical works in a satisfactory way.

The formal specification of a problem is provided by a strict statement of its contents written in a non natural language, in such a way that any future reader might have the same understanding of it. This necessitates that the given definition be exhaustive and unambiguous, in contrast with most of the non-formal, natural language specifications.

Experience shows that practical (industrial) problems seldom pose major theoretical difficulties; their complexity lies rather in the large nurber of intricate details that hide their in-depth nature and thus impede the discovery of clear solutions. Consequently, such problems raise the following question: how to

emphasize the main points without sacrificing the details? The answer is of great importance, as the emergence of the "true" problem makes it possible to discover its decomposition into possibly known sub-problems. By doing this, the formalisation is no longer a lonely activity. It now belongs to a larger work performed by the same person, or better, a whole community: the specification language thus becomes a communication medium. One recognises a process that has been at work for more than two thousand years among mathematicians; returning to this source therefore seems to be an especially adequate step.

#### 2. THE MATHEMATICAL TEXT

What is the organisation of the mathematical text? This is certainly a leading question for the beginning "formaliser." To illustrate, let us then open a book and analyse its contents.

The most obvious structure is shown by the decomposition of the book into chapters, sections, paragraphs, and so forth, each of them with a title and a tree structured number. The reason for this is quite obvious: it allows nonlinear reading of the text by using references, tables of contents, or other indications (sometimes a graph); in other words, everything that provides fruitful use of the book. These first elements constitute the so called <u>utilis-</u> ation text; it is by now almost standard.

The second structure encountered in the mathematical text is the one given by the various definitions, axioms, or theorems of a chapter. As above, all these elements have a name allowing further references. The content of definitions and the statement of axioms or theorems constitute the so called <u>statement text</u>; it is partially formalised, or even almost completely so, as in algebra, for example.

The third category is the <u>proof text</u> containing, as its name indicates, the proofs of the theorems. It is also only partially formalised.

Finally, in the midst of these texts, one may find all sorts of remarks, comments and the like, forming the explanation text.

It is interesting to note that, very often, these various texts are distinguished besides their content by the character set used to print them. Frequently, the utilisation text is printed with boldface characters, the statement text with italic characters, the proof text with normal, and the explanation text with small characters.

At a deeper level, the mathematical text is characterised by two trends general enough to require attention. Most of the time, a mathematical statement takes a generic (polymorphic, schematic)

form, e.g., the statement in question contains set identifiers that are free. The following definition, for example, is generic with respect to A and B:

"Let f be a function from A to B. One says that f is an injection if two distinct elements of A have distinct images through f."

The second trend of the modern mathematical text lies in the intensive usage of the notation of <u>structure</u>, as the order structure, the topological structure, the group or ring structure, and so forth. The definition of a structure consists of two distinct elements: firstly, the "typification," giving the (generic) definitions of its <u>components</u>; and, secondly, the <u>axiomatisation</u>, pointing out the characteristic properties of the components.

To reason in terms of structure has obvious advantages: this allows us to give definitions and to prove theorems at an <u>abstract</u> level. Then, if in some problem, one encounters an <u>instance</u> (a special case) of a known structure, one may apply all previous accumulated knowledge. Modern mathematics is actually a vast construction of structures.

## 3. LANGUAGE PRINCIPLES

The previous analysis, superficial as it was, allowed us to define some useful terms for defining the basic building principles of the language. It should allow us to write utilisation and statement texts; proof and explanation texts will take the form of mere comments written in natural language and formal language as well.

Thus a text will present itself as a set of named chapters, each of them with the names of locally used chapters. Each chapter is made of a list of possibly generic definitions or theorems. Definitions are given for sets or structures as previously encountered.

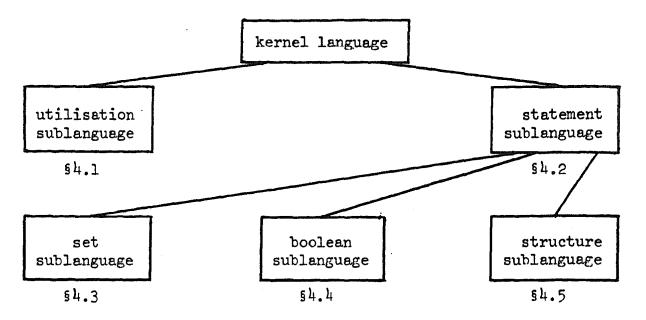
The specification of a problem is actually realised by writing a certain number of new chapters incrementing the set of old ones.

The language is now described by giving first the definition of a kernel language (§4), followed by the visibility rules (§5); some syntactic extensions are then given (§6) before a few last remarks on structures (§7).

## 4. THE KERNEL LANGUAGE

The kernel language may be decomposed as indicated by the following diagram:

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The syntax is written in classical BNF with the following added conventions:

[] means an option

{ } means a zero or more times repetition

When the symbols {, }, [, ], or | are used as linguistic symbols, they are quoted in order to avoid confusion with their metalinguistic usage.

The language definition does not contain any examples. The reader may skip at will to §9 and §10.

## 4.1 Utilisation sublanguage

The utilisation sublanguage describes the framework of a chapter.

#### Syntax

chapter ::= id = [use id\_list] def body end id id\_list ::= id {, id}

The identifiers between use and def reference locally used chapters. The last identifier (after end) is the same as the first one (before =).

## 4.2 Statement sublanguage

The statement sublanguage describes the content of a chapter as a list of (possibly generic) definitions of sets, or structures (here called classes), or theorems.

## Syntax

| body             | ::= | clause {; clause}                       |
|------------------|-----|---|
| clause           | ::= | set_definition theorem class_definition |
| set_definition   | ::= | generic_name = set                      |
| theorem          | ::= | generic_name => bool                    |
| class_definition | ::= | generic_name = class                    |
| generic name     | ::= | id ['['id list']']                      |

The identifiers possibly found in the list of a generic\_name are <u>formal generic parameters</u> (set identifiers) of the corresponding definition or theorem.

## 4.3 Set sublanguage

The set sublanguage gives the various forms taken by a set expression.

#### Syntax

| set | ::= set id list for decl [where cond [given def]] end |
|-----|---|
|     | any id_list for decl [where cond [given def]] end     |
|     | <pre>subset (set) '{'set{;set}'}' null set_id</pre>   |
|     | object set{,set} (set)                                |

decl ::= id list : set {; id list : set}

cond ::= bool {; bool}

def ::= id list = set {; id\_list = set}

set\_id ::= [id.]id['['set{,set}']']

First, it is worth noting that the set sublanguage is "pure" in the sense that any distinction between sets and atoms does not exist: set elements, if any, always are sets.

The main set expressions correspond to the classical axioms of the theory: comprehension axiom, choice axiom, powerset axiom and extensive definition axiom.

The first form may be written:

J.R. ABRIAL ET AL. <u>set</u> id<sub>1</sub>,...,id<sub>n</sub> <u>for</u> id<sub>1</sub> : set<sub>1</sub>; ... id<sub>n</sub> : set<sub>n</sub> [<u>where</u> cond [<u>given</u> def]] end

This derivation shows the existing constraints between the list of identifiers following the key-word set and the declarations; note that a declaration may be factorised as usual, but that all declarations must be independent of each other. If there are more than one identifier in the list, the defined subset is a subset of the Cartesian product of the various sets present in the declarations. The condition defines the characteristic predicates (bool) of the subset. One may provide some local definitions ("def") to lighten the writing of the predicates.

The second form, very close to the first, defines a "privileged" element of a non empty set. The declaration constraints are the same as above. Note that, axiomatically, the privileged elements provided by "two" equal and non empty sets are alike. Consequently, the operator any does not perform any random choice; such a set expression is therefore factorisable in a local definition.

The third form (key word subset) corresponds to the mathematical  $\mathcal{P}$  operator (the set of all subsets of a given set).

In the fourth form (extensive definition), the various set expressions must already denote elements belonging to the same set: it is not possible to construct any "heterogeneous" set.

In a set identifier:

[id<sub>1</sub>].id<sub>2</sub>['['set<sub>1</sub>,...,set<sub>n</sub>']']
"id<sub>1</sub>" is a chapter identifier (if any ambiguity occurs on "id<sub>2</sub>")
"id<sub>2</sub>" is a set or a class identifier defined in the same
chapter or in a locally used chapter

"set",...,"set" are actual generic parameters in equal number to the formal generic parameters (see \$4.2) associated

with the definition of "id<sub>o</sub>".

Note that "set-id" may also be a simple identifier corresponding to a variable bound by a declaration or to a local definition.

The next set form corresponds to a class instance ("object". See §4.5).

4.4 Boolean sublanguage

The boolean sublanguage describes the boolean expressions.

Syntax

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```
bool ::= <u>not(bool)</u>bool <u>or</u> bool
set = set|set ε set |
finite (set) | (bool)
```

The third form (operator =) introduces the set equality and corresponds to the extensionality axiom of the theory (two sets are equal if they have the same elements).

In the fourth form (membership operator  $\varepsilon$ ), when the left set corresponds to a list, then the right set is a subset of a Cartesian product constituted by as many sets as the left list has elements.

The fifth form (operator <u>finite</u>) corresponds to the axiom of infinity (there exists at least an infinite set).

#### 4.5 Structure sublanguage

The structure sublanguage describes a class and how class instances may be constructed.

#### Syntax

class

::= <u>class</u> [decl[<u>where</u> cond[<u>given</u> def]]] <u>end</u>

subclass class\_exp[class decl][where cond given def]]

end

object\_id ::= set\_id

A class definition may be derived as follows:

<u>class</u>

[id] : set];
...
id\_n : set\_n
[where

-----

cond

axioms

basic components

[given

id'1 = set'1
...
derived components
id'm = set'm]]]

<u>end</u>

A class definition is essentially an open definition: it is possible, from a given class, to define another one having more components and more axioms corresponding to the added basic components. The definition

subclass class\_id class class body

### end

implicitly contains all basic components, axioms and derived components of "class\_id" as well as its own components and axioms. All definitions or theorems applicable to "class\_id" may be used also, by extension, for the so defined subclass, but the converse is not possible.

A subclass may also be defined from several other classes (or subclasses) either in conjunction (operator x) or as alternatives (operator |).

The universal class

class end

has no components. Every class is therefore a subclass of the universal class.

It is worth noting the difference between subclass and subset. A subclass generally corresponds to a <u>richer</u> structure (more components, more axioms) than its constituent classes: in mathematics, for example, the topological group structure is richer than the

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topology or group structures alone. On the other hand, the notion of subset corresponds to a <u>poorer</u> construction than its "parent" set (it has less elements because of the added constraints); the notion of subset may be applied to classes as well: in mathematics, for example, the abelian groups are a (generic) subset of the groups.

In the same way, it is important to note the difference between the universal class (that has no component) and the empty class or set (that has no element).

To construct an object of a class, the value of each of its basic components is given. An object may be constructed globally (operator <u>cons</u>) or from a previous object (operator <u>repl</u>) by providing only some values that are supposed to replace some basic component values, the others remaining implicitly unchanged. In any case, the construction of an object corresponds as well to the statement of a theorem expressing the validity of the proposed values against the class axioms. In order to simplify the value expressions, one may use, in the object construction, any derived components already defined with the class or some local definitions (given def).

Note that the definition of a subclass without extra components or conditions

generic\_name = <u>subclass</u> class\_id end

builds a new subclass (of "class id").

## 5. VISIBILITY RULES

New identifiers may be defined in the following conditions: chapter identifier (at the beginning of a chapter. See §4.1). set, theorem, or class identifier (heading a generic\_name. See §4.2).

formal generic parameter (within a generic\_name. See §4.2). bound variable identifier (within a declaration. See §4.3). basic or derived class component identifier. (See §4.5). local definition identifier. (See §4.3 and §4.5).

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#### Scope rules

The scope of an identifier defines where it may be used.

The scope of a chapter identifier is universal.

The scope of a set, theorem, or class identifier covers the chapter where it is defined as well as the chapters where this chapter is used (use).

The scope of a formal generic parameter covers the corresponding definition or theorem.

The scope of a bound variable identifier covers the corresponding construction (See §4.3).

The scope of a basic or derived class component identifier is the same as the one of this class identifier (basic components of a class must be independent of each other, however).

The scope of a local definition identifier covers the corresponding construct.

#### Non recovering rule

Except for set or class identifiers defined in different chapters, no identifier shall be ambiguous within its scope. A dot notation is used when ambiguities occur in using set or class identifiers (see "set id" §4.3).

## Non recursivity rule

No definition shall be directly or indirectly recursive.

### 6. KERNEL LANGUAGE EXTENSIONS

The whole language is obtained by extending the kernel language; some useful syntactic construct may be replaced by simpler ones. These equivalences are denoted by special syntactic equations

new syntactic construct ::=:: syntactic construct

where "::=::" may be read as "is syntactically equivalent to". A syntactic construct is represented by an incomplete derivation containing some non terminal symbols acting as metalinguistic variables that may be indexed or primed. Lists are denoted by "...". These extensions concern the set, boolean and structure sublanguages.

## 6.1 Boolean sublanguage extensions

Boolean sublanguage extensions introduce classical boolean operators as well as existential and universal quantifiers.

## Syntactic extensions

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bool => bool ::=:: not (bool, ) or bool bool and bool ::=:: not (not (bool) or not (bool))  $bool_1 \iff bool_2 ::=:: (bool_1 \implies bool_2) and (bool_2 \implies bool_1)$  $\operatorname{set}_1 \neq \operatorname{set}_2 \qquad ::=:: \operatorname{\underline{not}} (\operatorname{set}_1 = \operatorname{set}_2)$  $set_1 \notin set_2$  ::=:: <u>not</u> (set<sub>1</sub>  $\varepsilon$  set<sub>2</sub>) exist id\_list for ::=:: (set id\_list for spec spec end) ≠ null end exist1 id\_list for ::=:: exist id for id : set spec where end (set id\_list for spec end) =  $\{id\}$ 

#### end

```
where "spec" is defined by:
```

spec ::= decl [where cond [given def]] forall id\_list for ::=:: not (exist id\_list for decl decl where [where [cond,;] cond,] not condo then [given condo def] [given end) def] end  $bool_1; \dots; bool_n ::=:: bool_1 and \dots and bool_n$ 

## 6.2 Set sublanguage extensions

Set sublanguage extensions introduce a simplified notation for the Cartesian product, a simplified notation for the "privileged" element of a set, a notation for the set of relations, total or partial functions from a set to another one and the classical functional and relational notations.

#### Syntactic extensions

 $set_{1} \times \dots \times set_{n} ::=:: \underline{set} id_{1}, \dots, id_{n} \underline{for}$   $id_{1} : set_{1};$   $\dots$   $id_{n} : set_{n}$   $\underline{end}$   $any (set_{1} \times \dots \times set_{n}) ::=:: \underline{any} id_{1}, \dots, id_{n} \underline{for}$   $id_{1} : set_{1};$   $\dots$   $id_{n} : set_{n}$   $\underline{end}$ 

set ↔ set' ::=:: <u>subset</u> (set x set')

The above notation denotes the set of binary relations from one set to another.

rel id\_list ↔ id\_list' for ::=:: set id\_list, id\_list' for

spec

end

spec

end

The above notation allows definition of a binary relation with a predicate. Note that, if "id\_list" or "id\_list" have several identifiers, then several binary relations may be defined this way for the same right syntactic construction. This is due to the fact that a Cartesian product made of more than two sets may be "cut" in different ways.

rel\_id (set  $\leftrightarrow$  set') ::=:: ((set).(set'))  $\varepsilon$  rel id

In the above notation "rel id" designates a relation identifier.

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 $\begin{array}{c} \operatorname{rel\_id} (\operatorname{set}_1 \times \ldots \times \operatorname{set}_n) ::::: \underbrace{\operatorname{set}} \operatorname{id}' \underbrace{\operatorname{for}} \\ & \operatorname{id}' : \underbrace{\operatorname{codom}} (\operatorname{rel\_id}) \\ & \underbrace{\operatorname{where}} \\ & \underbrace{\operatorname{exist}} \operatorname{id}_1, \ldots, \operatorname{id}_n \underbrace{\operatorname{for}} \\ & \operatorname{id}_1 : \operatorname{set}_1; \\ & \ldots \\ & \operatorname{id}_n : \operatorname{set}_n \\ & \underbrace{\operatorname{where}} \\ & \operatorname{rel\_id} ((\operatorname{id}_1, \ldots, \operatorname{id}_n) \leftrightarrow \operatorname{id}') \\ & \underbrace{\operatorname{end}} \\ & \underbrace{\operatorname{end}} \end{array}$ 

The above notation defines the image of a set through a given relation. The expressions "<u>dom</u> (rel\_id)" and "<u>codom</u> (rel\_id)" designate the domain and codomain of a relation (denoted by the identifier "rel\_id").

The above notation allows for the extensive definition of a binary relation.

Similar notations are now given for functions.

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The above notation defines the set of total functions from one set to another.

The above notation defines the set of partial functions from one set to another.

| <u>func</u> $id_1, \ldots, id_n \rightarrow id'_1, \ldots, id'_m \underline{f}$ | <u>or</u> ::=:: <u>rel</u> id <sub>l</sub> ,,id <sub>n</sub> ↔ |
|---|--|
|   | id' <sub>1</sub> ,,id' <sub>m</sub> <u>for</u>                 |
| id <sub>1</sub> : set <sub>1</sub> ;  | <pre>id<sub>1</sub> : set<sub>1</sub>;</pre>                   |
| • • •   | • • •  |
| <pre>id_ : set_;</pre>  | <pre>id<sub>n</sub> : set<sub>n</sub>;</pre>                   |
| <pre>id'_: set'_;</pre>   | id' <sub>1</sub> : set' <sub>1</sub> ;                         |
| • • •   | • • •  |
| id' : set'm   | $\operatorname{id'_m}$ : set'_m                                |
| [ <u>where</u>  | where  |
| cond]   | [cond;]  |
| then  | id' <sub>1</sub> = set'' <sub>1</sub> ;                        |
| id' <sub>1</sub> = set'' <sub>1</sub> ;   | • • •  |
| • • •   | id'm = set''m  |
| id' = set'' m   | [ <u>given</u>   |
|   | def]   |
| [given  |  |

## lgiven

def]

end

end

The above notation defines a function by one or several formulas. Note that "cond" shall not contain any of the bound variable

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identifiers "id',",...,"id'm". func id\_list + id\_list' for ::=:: rel id\_list ↔ id\_list' for decl decl where [where [cond;] cond] bool => bind or when bool, then bind, bool => bind [or . . . not (bool and ... and bool ) => bind] when bool then bind<sub>n</sub> [given def] [else end bind] [given def] end The above notation defines a function by case. Note that the various predicates "bool,",...,"bool," shall be exclusive (no non-determinism) and that, in the case of a missing "<u>else</u>", their dis-junction shall be true. The non terminal symbol "bind" may be defined by bind ::= id = set {; id = set} func\_id (set,,...,set) ::=:: any id' for id' : codom (func\_id) where  $((set_1,...,set_n),id') \in func_id$ end The above equation introduces the usual functional notation ("func\_id" is a function identifier)

<u>exist</u>  $id_1, \dots, id_n$  for

id<sub>1</sub> : set<sub>1</sub>;
...
id<sub>n</sub> : set<sub>n</sub>
<u>where</u>
((id<sub>1</sub>,...,id<sub>n</sub>),id') ɛ func\_id
<u>end</u>
and

<u>end</u>

The above notation defines the image of a set through a given function.

 $\{\operatorname{set}_{1} \rightarrow \operatorname{set}'_{1}; \ldots; ::::: \{\operatorname{set}_{1} \leftrightarrow \operatorname{set}'_{1}; \ldots; \\ \operatorname{set}_{n} \rightarrow \operatorname{set}'_{n} \qquad \qquad \operatorname{set}_{n} \leftrightarrow \operatorname{set}'_{n} \end{cases}$ 

The above notation defines a function extensively. Note that, obviously, the expressions "set<sub>1</sub>",...,"set " must all have different values as well as the expressions "set'<sub>1</sub>",...,"set'<sub>n</sub>".

subst func id with ::=:: func id + id' for

| $set_1 + set'_1;$          | <pre>id : dom (func_id);</pre> |
|----------------------------|--------------------------------|
| • • •                      | id': <u>codom</u> (func_id)    |
| $set_n \rightarrow set'_n$ | when id = set then             |
|                            | id' = set                      |

. . .

end

```
when id = set n then
id' = set'n
else
id' = func_id(id)
end
```

The above notation allows definition of a function by changing some of the values of a given function, leaving the others unchanged. Note that the expressions "set<sub>1</sub>",...,"set " shall have different values and that the expressions "set' ",...,"set' " shall be such that the result still is a function.

#### Some remarks

The general form of a function definition is, as seen previously:  $id[id''_1,...,id''_p] = \underline{func} id_1,...,id_n \rightarrow id'_1,...,id'_m \underline{for}$ ... <u>end</u>

The identifiers "id'', ",...,"id''," denote formal generic parameters whereas "id<sub>1</sub>",...,"id<sup>1</sup>" denote the formal parameters of the function.

An invocation of this function has the following form

id(set,,...,set\_)

where "set,",...,"set," denote the actual parameter of the function. In this case, it is not necessary to provide some values for the actual generic parameters because they are implicitly defined within the expressions "set,",...,"set,".

Whenever n = 2, it is sometimes useful to denote a function invocation using an infixed form:

set, id set,

In order to indicate this special usage, the identifier "id" is replaced in its definition by

<u>op</u> (id).

Any use of "id", out of an invocation, must be written

<u>op</u> (id) [set'', ..., set'']

where "set'' ",..., "set'' " denote the actual generic parameters.

This special notation may be used for binary relations as well.

## 6.3 Structure sublanguage extension

The structure sublanguage extension allows us to define a discrete set composed of a certain number of explicitly denoted elements.

Syntactic extensions

 $id = \{id_{1}; \dots; id_{n}\} ::=:: id_{1} = \underline{class end};$   $id_{n} = \underline{class end};$   $id' = \underline{subclass} id_{1} | \dots | id_{n} \underline{end};$   $id = \underline{set} id'' \underline{for}$   $id'' : \underline{set} (id')$   $\underline{where}$   $id'' = id_{1} \underline{or}$   $\vdots$   $id'' = id_{n}$   $\underline{end}$  359

7. SOME REMARKS ABOUT CLASSES

Recall that a class is defined by (See §4.5)

id(id'',,...,id'',) = <u>class</u>

formal generic

.

parameters

where
cond
given
id'1 = set'1;
...
id'm = set'm

end

id<sub>1</sub> : set<sub>1</sub>;

id<sub>n</sub> : set<sub>n</sub>

derived components

basic components

axioms

An expression like

id[set'',...,set'']

denotes the set of objects of the class "id" for the values "set''\_,...,"set''," of the generic parameters. Such a set may be used in a declaration

id''' : id[set'',,...,set'',]

where the identifier "id''' denotes a bound variable (see §4.3), or even a component of yet another class (see §4.5). In order to reference a basic or derived component of the object "id'''', a <u>functional</u> notation is used, i.e.:

id<sub>i</sub>(id''') or id<sub>j</sub>(id''')

Class component identifiers denote (generic) unary functions on the objects of the class. This notation may be applied for explicitly constructed objects as well (operator <u>cons</u> or <u>repl</u>).

Finally, note that within an explicit replacement construction (operator <u>repl</u>), or within a class definition, the usage of a component identifier alone is sufficient to refer to the component in question (this is a convention similar to the one used in PASCAL within a "with" construct).

## 8. SYMBOLS AND KEY WORDS

The symbols and key-words of the kernel language are the following:

**= , ; => : .**εχ | ( ) [ ] { }

| any    | for   | set      |
|--------|-------|----------|
| class  | given | subclass |
| cons   | not   | subset   |
| def    | null  | use      |
| end    | or    | where    |
| finite | repl  | with     |

The symbols and key-words of the extended language are the following

| <=>         | ¥         | ¢ | <b>~~</b> | +  | +         |
|-------------|-----------|---|-----------|----|-----------|
| and         |           |   |           | fu | nc        |
| codo        | m         |   |           | op |           |
| dom         |           |   |           | re | 1         |
| else        | -         |   |           | su | bst       |
| <u>exis</u> | t         |   |           | wh | en        |
| <u>exis</u> | <u>t1</u> |   |           | wi | <u>th</u> |
| fora        | 11        |   |           |    |           |

9. BASIC CHAPTERS

We now present a few basic "chapters" that will be extensively used in later applications. The first of these chapters, named SET, defines the standard generic operators of elementary set theory. It is worth noting that these operators apply to binary relations or functions as well because they are themselves sets.

The next chapter, named REL, uses SET and defines the standard operators of binary relation theory, namely inversion, composition, functionality (to go possibly from a relation to a function), and products. These operators apply to functions as well, because they are special cases of binary relations.

A third chapter named FUNC uses SET and REL, and defines special kinds of functions, namely injections, surjections, and bijections. It also defines the restriction of a function and the constant function.

```
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```

SET =def op(U)[X] = func S1, S2 + S3 forS1,S2, S3 : subset(X) then S3 = set x for x : X where $x \in Sl \text{ or } x \in S2$ end end;  $op(n)[X] = func S1, S2 \rightarrow S3 for$ S1,S2,S3 : <u>subset(X)</u> then S3 = set x for x : X where $x \in Sl$  and  $x \in S2$ end end; union[X] = func  $SS \rightarrow S$  for SS : <u>subset(subset(X)</u>); S : subset(X) thenS = set x for x : X whereexist S' for S' : SS where xεS' end end end;  $inter[X] = func SS \rightarrow S for$ SS : subset(subset(X)); S : <u>subset(X)</u> then S = set x for x : X whereforall S' for S' : SS then x c S' end

.

end

end; op(-)[X] = func S1, S2 + S3 forS1,S2,S3 : <u>subset(X)</u> then S3 = set x for x : X wherex ∈ Sl and x ∉ S2 end end;  $op(c)[X] = rel S1 \leftrightarrow S2 for$ S1,S2 : subset(X) where forall x for x : Sl then xεS2 end end;  $op(\phi)[X] = rel S1 \leftrightarrow S2 for$  $Sl_{S2} : \underline{subset}(X)$ where not(S1<S2)</pre> end; partition[X] = set SS for SS : subset(subset(X)) where union(SS) = X;forall S1,S2 for S1,S2 : SS where S1 ≠ S2 then SloS2 = nullend

end;

J.R. ABRIAL ET AL.  $projl[X,Y] = \underline{func} x, y \neq x' \underline{for}$  x, x' : X; y : Y;  $\underline{then}$  x' = x  $\underline{end};$   $proj2[X,Y] = \underline{func} x, y \neq y' \underline{for}$  x : X; y, y' : Y  $\underline{then}$  y' = y  $\underline{end}$ 

end SET

REL =

<u>use SET def</u> inv[X,X'] = <u>func</u>  $r \rightarrow r'$  for  $r : X \leftrightarrow X'; r' : X' \leftrightarrow X$  then  $r' = \underline{rel} x' \leftrightarrow x$  for x' : X'; x : X where  $r(x \leftrightarrow x')$ 

## end

end;

$$\underbrace{op}(\bullet)[X,Y,Z] = \underbrace{func} r2, r1 + r3 \underbrace{for} r1 : X \leftrightarrow Y; r2 : Y \leftrightarrow Z; r3 : X \leftrightarrow Z \\ \underbrace{then} r3 = \underbrace{rel} x \leftrightarrow z \underbrace{for} x : X; z : Z \underbrace{where} \\ \underbrace{exist} y \underbrace{for} y : Y \underbrace{where} \\ r1(x \leftrightarrow y); r2(y \leftrightarrow z) \\ \underbrace{end}$$

\_\_\_\_\_

end

end;

 $ident[X] = rel x \leftrightarrow x' for x, x' : X where x = x' end;$ 

functional[X,Y] = set r for r : X \leftrightarrow Y where  
r'(Y) = X; (r o r') c ident[Y]  
given  
r' = inv(r)  
end;  
function[X,Y] = func r + f for r : X \leftrightarrow Y; f : X + Y where  
r c functional[X,Y]  
then  
f = func x + y for x : X; y : Y then  
y = any (r(x))  
end  
end;  
op(prod)[A,B,C,D] = func r1,r2 + r3 for  
r1 : A 
$$\leftrightarrow$$
 B; r2 : C  $\leftrightarrow$  D;  
r3 : A x B  $\leftrightarrow$  C x D  
then  
r3 = rel a, c  $\leftrightarrow$  b,d for  
a : A; b : B; c : C; d : D  
where  
r1(a  $\leftrightarrow$  b); r2(c  $\leftrightarrow$  d)  
end  
end;  
op(&)[A,B,C] = func r1,r2 + r3 for  
r1 : A  $\leftrightarrow$  B; r2 : A  $\leftrightarrow$  C;  
r3 : A  $\leftrightarrow$  B x C;  
then  
r3 = rel a  $\leftrightarrow$  b,c for  
a : A; b : B; c : C  
where  
r1(a  $\leftrightarrow$  b); r2(a  $\leftrightarrow$  c)  
end

end;

end REL

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FUNC =use SET, REL def = set f for f :  $X \rightarrow Y$  where inj[X,Y]  $inv(f) \circ f = ident[X]$ end; = set f for f :  $X \rightarrow Y$  where surj[X,Y] $f \circ inv(f) = ident[Y]$ end; =  $inj[X,Y] \cap surj[X,Y];$ bij[X,Y] inverse[X,Y] = func f + f' for f : bij[X,Y]; f' : Y + X then f' = function(inv (f)) end; = func  $f, S \rightarrow f'$  for restriction[X,Y]  $f : X \rightarrow Y; S : \underline{subset} (X); f' : X \neq Y$ thenf' = func x + y for x : S; y : Y theny = f(x)end end; = func S,  $y \rightarrow f$  for const[X,Y]  $S : subset (X); y : Y; f : X \neq Y$ then  $f = func x \rightarrow y' for x : S; y' : Y then$  $\mathbf{y'} = \mathbf{y}$ end

<u>end;</u>

end FUNC

The next two chapters define the natural numbers and the sequences. NAT, the first of them, starts by introducing generically the cardinal of a set S as the set of set S' equinumerous with S; then the set of natural numbers is the set of finite cardinals. The classical relations "<" and '<' and the operation successor are then defined before the iterate of a function. This allows us to give the definition of the basic arithmetic operations.

The chapter SEQ generically defines the sequences as the set of functions whose domains are segments of the natural numbers; i.e. {0,1,...,n}. It is then easy to define the concatenation (operator \*), "first" and "tail" operators. The chapter ends with definitions of a sorted sequence of natural numbers and the set of sub-sequences of a given sequence.

NAT =

use SET, REL, FUNC def equinumerous[X] = rel S  $\leftrightarrow$  S' for S,S' : subset (X) where bij  $[S,S'] \neq null$ end; =  $func S \rightarrow SS for S : subset (X); SS : subset$ card[X] (subset(X)) then SS = equinumerous(S) end; = set n for n : subset (subset(X)) where NAT[X] not (finite(X)); exist S for S : subset(X) where card(S) = n; <u>finite(S)</u> end end;

| o[x]             | = $card(\underline{null});$                            |
|------------------|--|
| thl[X]           | => O[X] = <u>null;</u>                                 |
| th2[X]           | $\Rightarrow O[X] \in NAT[X];$                         |
| <u>op</u> (≤)[X] | = rel nl $\leftrightarrow$ n2 for nl,n2 : NAT[X] where |
|                  | exist S1,S2 for S1,S2 : subset(X) where                |
|                  | card(Sl) = nl; card(S2) = n2;                          |
|                  | inj[S1,S2] ≠ <u>null</u>                               |

end

op(<)[X] = rel nl 
$$\leftrightarrow$$
 n2 for nl,n2 : NAT[X] where  
nl  $\leq$  n2; nl  $\neq$  n2

= func nl  $\rightarrow$  n2 for nl,n2 : NAT[X] then succ[X]  $n2 = card (Su{x})$ given S = any (nl); x = any (X - S)<u>end;</u> = inv(succ[X]);relpred[X] => relpred[X]  $\varepsilon$  (NAT[X] - {O[X]})  $\rightarrow$  NAT[X]; th3[X]= function(relpred[X]); pred[X] -- from now on the generic parameter X is omitted induction theorem => forall S for S : subset(NAT) where 0 ε S; forall n for n : S then  $succ(n) \in S$ end then S = NATend; = function(rel y,  $g \leftrightarrow f$  for recursion[X]  $y : Y; g : Y \rightarrow Y; f : NAT \rightarrow Y$ where f(0) = y;succ g  $f \circ succ = g \circ f$ end); iter[Z] = func  $h \rightarrow f$  for h :  $Z \rightarrow Z$ ; f : NAT  $\rightarrow (Z \rightarrow Z)$ then f = recursion(y,g)given y = ident[Z]; $g = \underline{func} hl \rightarrow h2 \underline{for} hl, h2 : Z \rightarrow Z \underline{then}$  $h2 = h \cdot hl$ end end;

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$$f(0) = ident[Z]$$
  
---  $f(n+1) = g(f(n)) = h \circ f(n) = \dots = h^{n+1}$   
 $op(+) = func nl, n2 + n3 for nl, n2, n3 = NAT then
n3 = iter(succ)(n1)(n2)
end;
 $op(x) = func nl, n2 + n3 for nl, n2, n3 : NAT then
n3 = iter(op(+))(n1)(n2)
end;
 $op(exp) = func nl, n2 + n3 for nl, n2, n3; NAT then
n3 = iter (op(x))(n1)(n2)
end;
 $op(-) = function(rel nl, n2 \leftrightarrow n3 for nl, n2, n3 :$   
NAT where  
 $n2 \le n1; nl = n2 + n3$   
 $end;$ ;  
 $div_mode = function(rel a, b \leftrightarrow q, r for a, b, q, r :$   
NAT where  
 $b \ge 0; a = (b \times q) + r; r \le b$   
 $end;$ ;  
 $op(div) = projl[NAT, NAT] \circ div_mod;$   
 $1 = succ(0); 2 = succ(1); 3 = succ(2); h = succ(3);$   
 $5 = succ(k); 6 = succ(5); 7 = succ(6); 8 = succ(7);$   
 $9 = succ(8)$   
 $end = funct i or i : NAT where i or end$$$$ 

end;

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sorted = set s for s : seq[NAT] where associated\_rel(s)⊂op(≤) end; sub\_seq[X] = rel sl ↔ s2 for sl,s2 : seq[X] where exist s3 for s3 : sorted where sl = s2 • s3 end end

#### end SEQ

As a last syntactic extension, an explicit sequence is denoted by

<x1;x2;...;x<sup>></sup>

The chapter MON defines the monoids as a sub-class of a sub-group (a binary commutative operation). Classical examples of monoids are then given, followed by the definition of the extensions of binary operations (with neutral element) to sequences.

MON =

use SET, REL, FUNC, NAT, SEQ def subgroup[S] = class oper :  $S \times S \rightarrow S$ where oper • (oper prod ident[S]) = oper • (ident[S] prod oper) end; monoid[S] = subclass subgroup[S] class u:Swhere oper • (const(S,u) & ident[S]) = ident[S]; oper • (ident[S] & const(S,u)) = ident[S] end; = cons monoid[subset(X)] with examplel[X] oper =  $\underline{op}$  (U)[X]  $u = \underline{null}$ end;

end MON

Finally, the chapter RELATIONS gives the classical definitions of the transitive closure of a binary relation, of symmetry, transitivity, reflexivity, and so forth, as well as preorder, equivalence, order, and so forth, for binary relations.

## RELATIONS =

use SET, REL, NAT def rel\_iter[Z] = func r + f for  $r : Z \leftrightarrow Z; f : NAT + (Z \leftrightarrow Z)$ then f = recursion(y,g)given y = ident[Z];  $g = func rl + r2 for rl, r2 : Z \leftrightarrow Z then$  $r2 = r \cdot rl$ 

end

end;

| -f(0) = ident[Z]     | - 4]  |
|----------------------|---|
| f(n+1) = g(f(n))     | $= r \bullet f(n) = \dots = r^{n+1}$  |
| closure[Z]           | $= \underline{func} r \neq r' \underline{for} r, r': Z \leftrightarrow Z \underline{then}$ $r' = union(rel_iter(r)(NAT))$ |
|                      | end;  |
| closure(r)           | = ident[Z] $U r U r^2 U \dots U r^n U \dots$  |
| th[Z]                | <pre>= forall r for r : Z ↔ Z then     ident[Z] ⊂ closure(r);     r • closure(r) ⊂ closure(r)     end;</pre>              |
| sym[X]               | = set r for r : $X \leftrightarrow X$ where r = inv(r) end;   |
| trans[X]             | = <u>set</u> $r$ for $r : X \leftrightarrow X$ where $(r \cdot r) \subset r$<br>end;                                      |
| <pre>reflex[X]</pre> | = set r for r : $X \leftrightarrow X$ where ident[X] < r<br>end;  |
| asym[X]              | $= \underline{set} r \underline{for} r : X \leftrightarrow X \underline{where}(r \cap inv(r)) = \underline{null end};$    |

| antisym[X] *                 | $= \underline{set} r \underline{for} r : X \leftrightarrow X \underline{where} (r \cap inv(r)) = ident[X] \underline{end};$           |
|------------------------------|---|
| irreflex[X] =                | $= \underline{set} r \underline{for} r : X \leftrightarrow X \underline{where} (r \cap ident[X]) = \underline{null} \underline{end};$ |
| total[X] :                   | $= \underline{set} r \underline{for} r : X \leftrightarrow X \underline{where} (r \cup inv(r)) = X \times X \underline{end};$         |
| preorder[X]                  | = trans[X] ∩ reflex[X];   |
| equiv[X] ;                   | = preorder[X] ∩ sym[X];   |
| order[X] :                   | = preorder[X] ∩ antisym[X];   |
| <pre>strict_order[X] :</pre> | <pre>= trans[X] ∩ irreflex[X];</pre>  |
| total_order[X] :             | = order[X] n total[X];  |
| thl[X] =                     | op $(\leq) \epsilon$ total_order (NAT);   |
| th2[X] =                     | > <u>op</u> (<) ε strict_order (NAT);   |
| th3[X] =                     | <u>op</u> (c)[X] ε order( <u>subset</u> (X));   |
| th4[X,Y,Z] =                 | forall rl,r2,r3 for   |
|                              | $rl : X \leftrightarrow Y; r2 : Y \leftrightarrow Z; r3 : X \leftrightarrow Z$  |
|                              | then (i. (. c)  |
|                              | $((r2 \circ r1) \cap r3 = \underline{null}) \Rightarrow (inv(r3) \circ r2)$   |
|                              | 0 inv(rl) = null)   |
|                              | end;  |

th5[X]

=> strict\_order[X] => asym[X]

end RELATIONS

### 10. EXAMPLES

The preceding "chapters" were extensions of the language in order to constitute an elementary mathematical background. This section attacks more "realistic" problems in various areas of programming: an editing problem (§10.1) represents "classical" programming, a system problem (§10.2), and a garbage collector specification (§10.3) cover the "system" programming field, and finally a very simple algebraic language definition (§10.4) goes towards the language design area.

Note : All "basic chapters" are implicitly used in the examples.

## 10.1 An editing problem

The first problem that we try to specify is a simple editing problem. It may be informally stated as follows: to transform a string of characters by replacing all its substrings of consecutive blank characters by a single blank character. This problem is interesting for several reasons:

- it is simple enough so that anyone may understand it immediately
- it is a practical and classical problem illustrating a large class of editing problems
- the corresponding program is not very difficult to write although its complete proof is not that trivial.

Before attacking the problem we need to write a small "theoretical" chapter defining a few concepts of the fixed point theory. These concepts may be informally defined as follows:

Let f be a function from X to X; if, for all x, there exists a natural number n such that

 $f^{n+1}(x) = f^{n}(x)$ 

then any sequence

x,  $f(x),...,f^{i}(x),...$ 

is stationary after a certain number n depending upon x, i.e., all further elements of the sequence are the same and said to be <u>the</u> stationary element of x through f. The corresponding function is called the <u>limit</u> of f. Note that not all functions from X to X have such a limit.

In order to ensure that a function f has a limit, it is sufficient to find a <u>variant</u>, i.e., a function g from X to the natural numbers such that

if f(x) = x then g(x) = 0if  $f(x) \neq x$  then  $g(x) \neq 0$  and g(f(x)) < g(x)

A binary relation R is said to be consistent with respect to function f from X to X, if, for any x, the following holds:

x R f(x)

A very useful theorem finally states that if R is consistent with respect to f, then  $R^*$  (the transitive closure of R) is consistent with respect to the limit of f (if any).

## MINI\_FIXED\_POINT\_THEORY =

<u>def</u>

limit[X]

$$\frac{\text{forall } x \text{ for } x : X \text{ then}}{r(x) \neq \text{null}}$$

$$\frac{\text{end}}{\text{then}}$$

$$f' = \frac{\text{func } x \neq x' \text{ for } x,x' : X \text{ then}}{x' = \text{iter}(f)(i)(x)}$$

$$\frac{\text{given}}{i = \frac{\text{any}(r(x))}{end}}$$

= func  $f \rightarrow f'$  for f, f' :  $X \rightarrow X$  where

given

$$r = \underline{rel} x \leftrightarrow n \underline{for} x : X; n : NAT \underline{where}$$
$$iter(f)(n+1)(x) = iter(f)(n)(x)$$

end;

$$variant[X] = \underline{rel} f \leftrightarrow \underline{g} \underline{for} f : X \rightarrow X; g : X \rightarrow NAT \underline{where}$$

$$\underline{forall} x \underline{for} x : X \underline{then}$$

$$(f(x) = x) \Rightarrow (g(x) = 0);$$

$$(f(x) \neq x) \Rightarrow (g(x) > 0 \underline{and}$$

$$g(f(x)) < g(x))$$

## end

## end;

variant\_theorem[X]

## then

f ε <u>dom</u>(limit[X])

<u>end;</u>

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invariant\_theorem[X] => forall f,r for f : dom(limit[X]); r : X ↔ X where f ⊂ r then limit(f) ⊂ closure(r)

### end

#### end MINI\_FIXED\_POINT THEORY

The specification of the editing problem constitutes another chapter using MINI\_FIXED\_POINT\_THEORY. A class "state" is first defined as that containing three components: "b" (for blank), and "in" and "out", that are a sequence of characters. The purpose of the specification is to define the properties of "out" with regard to "in", i.e., "out" shall not contain two consecutive blank characters (this is specified in "specl", a subclass of state) and shall be "equivalent" to "in" (this is described in "spec2", a subclass of "spec1"): two sequences of characters are said to be equivalent if they only differ by the (non null) length of their subsequences of consecutive blank characters.

A function "one-step" is then given that is proven (i) to leave "specl" invariant, (ii) to have a limit, (iii) to be such that "equivalent" is consistent with respect to it (remember that the concepts of limit and consistency have been defined in the previous "chapter"). As a consequence, the limit of "one-step" is proven to fulfil the specification of the problem.

In order to construct a real program, the function "one-step" is then decomposed into two other functions, namely "step0", handling null "out" sequences, and "stepl", handling non null "out" sequences.

The PASCAL program is then written as a final step of the specification and construction process.

EDITING PROBLEM =

use MINI FIXED POINT THEORY def

state[C]

Ъ:С;

in,out : seq[C]

end;

= class

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```
else
                           s' = s'l
                           given
                           s'l = repl s with
                                      in = tail(in)
                                  end
                           end;
       var[C]
                         = func s + n for s : specl[C]; n : NAT then
                               n = length(in(s))
                           end;
       thl[C]
                        => var[C] ε variant(one_step)
       th2[C]
                        > one_step[C] ε dom(limit[specl[C]])
-- after thl and variant theorem
    equivalent state[C] =
       <u>rel</u> s \leftrightarrow s' <u>for</u> s,s' : specl[C] <u>where</u>
           equivalent string(s)(out(s)*in(s) \leftrightarrow out(s')*in(s'))
       end;
    th3[C] => one_step[C] < equivalent_state[C];
-- after definition of one step[C]
    th4[C] => limit(one_step[C]) < equivalent_state[C];
-- after th3[C] and invariant_theorem. Note that
-- equivalent_state[C] = closure(equivalent_state[C])
    normalise[C]
                         = func s \rightarrow s' for
                               s,s' = specl[C]
                           where
                               out(s) = \underline{null}
                           then
                               s' = limit(one step[C])(s)
```

end;

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=> forall s for s : specl[C] where th5[C] $out(s) = \underline{null}$ then s' ε spec2[C] given s' = repl s with out = out(normalise(s)) end end; - after th4[C] and definition of normalise. Towards a Pascal program = <u>subclass</u> specl[C] class specl'[C] ch : C end; = func  $s \rightarrow s'$  for s,s' = specl'[C] where stepO[C] out(s) = nullwhen in(s) = null then s' = s else s' = repl s'l with out = out \* <chl>; -- write (chl) ch = chlend given -- read (chl) s'l = repl s with in = tail(in)end; chl = first(ch) end; = func  $s \rightarrow s'$  for s,s' : specl'[C] where stepl[C]  $out(s) \neq \underline{null};$ ch(s) = last(out(s))when  $in(s) = \underline{null} \underline{then}$ s' = s

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when in(s) \neq null and(ch(s) \neq b or chl \neq b)
                             then
                             s' = repl s'l with
                                      out = out * <chl>; -- write(chl)
                                      ch = chl
                                  end
                          <u>else</u>
                             s' = s'l
                          given -- read (chl)
                             s'l = repl s with
                                       in = tail(in)
                                   end;
                             chl = first(in(s))
                          end;
       normalise'[C] = limit(stepl[C]) • step0[C]
end EDITING PROBLEM
    The corresponding PASCAL program is the following
program normalise(input,output);
const b = ' ';
var ch, chl : char;
begin -
    if not eof then
    begin
       read(chl);
                                                        stepO[C]
       write(chl);
       ch := chl
    end;
    while not eof do
    begin
       read(chl);
```

if chl  $\neq$  b or ch  $\neq$  b then

begin

write(chl);
ch := chl

end

end

end.

# 10.2 A "system" problem

The behaviour of a disk handler is now specified as a system programming example. In order to prove that this system has some "good" properties, a first "theoretic" chapter introduces a simple model for a non-deterministic system. This model is a graph in which the nodes and edges, respectively, represent the states and possible transitions of a dynamic system. Predefined "initial" and "final" states indicate where the system should start and possibly stop. These components constitute a structure (a class) whose axioms state that a final state has no successors and an initial state either is a final state or has successors. Four special cases are then introduced, namely:

- . loop\_free\_systems, whose graphs have no loop
- . deadlock\_free\_system, where those nodes that are reachable from the initial nodes are final or have successors
- . finite systems where the set of nodes that are reachable from an initial node is finite
- . well\_halting\_systems that contain all the previous properties.

NON DETERMINISTIC SYSTEM =

def

system[X] = class

reachable :  $X \leftrightarrow X$ ;

initial, final : <u>subset(X)</u>

where

```
reachable \varepsilon trans[X];
```

```
initial < (final U inv(reachable)(X));</pre>
```

reachable(final) = <u>null</u>

end;

limit(stepl[C])

loop\_free\_system[X]= subclass system[X] where

reachable  $\varepsilon$  irreflex[X]

<u>end;</u>

able)(X))

## end;

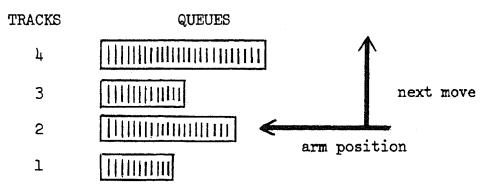
finite(reachable(x))

end

## end NON\_DETERMINISTIC\_SYSTEM

An informal description of the disk handler is now given. A disk is made up of a finite number of concentric tracks. In order to optimise the arm movement, one organises the disk scheduling in such a way that the arm goes regularly from the exterior to the interior and back (this is the "lift" algorithm): the queries are therefore not served according to a FIFO strategy but rather by taking into account the current arm position and its next intended move. With each track is associated a queue of recognised queries that have not yet been served.

### Example:



After serving the queries for track No 2, the arm moves to track No 3, serves its waiting queries, does the same for track No 4, then turns around to serve successively lower tracks, and so on.

The various tracks of the disk constitute, as stated above, a <u>finite well order</u>. It is then necessary, before entering the main definitions, to write yet another "chapter" introducing the concept and properties of well ordering. We first define the minimal elements of a set through an order relation; a well order relation is simply an order relation where the minimal element of all non null sets is unique: it is called the minimum of the given set through the relation. A finite\_well\_order is a well order relation whose domain is finite. The inverse of a finite\_well\_order is also a finite\_well\_order: this allows us to define the maximum of a set through a finite well order.

def

minimum[X] = rel S,r  $\leftrightarrow$  x for  $S : subset(X) - {null};$ r : order[X]; .x : X

where

$$\underline{inv}(\mathbf{r})(\mathbf{x}) \cap \mathbf{S} = \{\mathbf{x}\}$$

end;

## given

$$Y = (\underline{subset}(X) - {\underline{null}}) \times order[X]$$

min[X]

end;

th[X]

=> forall r for r : finite\_well\_order[X] then
inv(r) ε finite\_well\_order[X]

end;

max[X]

= func S,r + x for S : subset(X) - {null}; r : finite\_well\_order[X]; x : X then x = min(S,inv(r)) end

end WELL ORDER

The final "chapter", named LIFT\_SYSTEM, contains the specification of the disk handler. It starts with the definition of the "hardware", a class defining the finite well ordering of the tracks and the content of the disk. This class is generic with respect to both TRACK and VALUE sets, the latter representing, without further details, the possible data stored on a disk track. The "hardware" class is then extended (<u>subclass</u> "static\_state") by adding two new components, the first giving the maximum queue size (this is a "software" parameter), the second defining the initial input as a function from QUERY (another generic parameter) to TRACK. Finally, "static\_state" is also extended (<u>subclass</u> "state"), thus defining the complete dynamic state of this system. This last subclass contains four new components, namely:

- input : a partial function from QUERY to TRACK representing the not yet entered queries (future queries)
- wait : a partial function from QUERY to TRACK representing the entered but not yet served queries (those that are waiting in the internal queues)
- . output : a partial function from QUERY to VALUE representing the past queries (already served)
- . current: giving the current track position of the arm.

These components, of course, obey some predicates in order to constitute an acceptable state; no query shall be simultaneously in the "input", "wait" or "output" domains; the number of queries waiting within the internal queues shall not exceed the maximum size of such queues; the disk value corresponding to each query shall not be changed throughout the dynamic evolution of the system (no updating). Four partial functions from "state" to "state" describe the transitions

"ask" enters a query into the internal queues "serve" removes a query from the "current\_queue" after serving it "change move" changes the direction of the disk head movement "search" looks for the next track to become the current track. The union of these partial functions defines a binary relation "next state" between states. It is now possible to construct an instance of a "system" (the general model described in the chapter NON DETERMINISTIC\_SYSTEM) and to prove that the proposed "lift\_system" is indeed a "halting system". LIFT SYSTEM = use NON DETERMINISTIC SYSTEM, WELL ORDER def hardware[TRACK,VALUE] = class track order : finite well order [TRACK]; disk : TRACK → VALUE end; static\_state[TRACK,VALUE,QUERY] = subclass hardware[TRACK,VALUE] class max queue\_size : NAT; initial input : QUERY  $\rightarrow$  TRACK where finite(QUERY) end; state[T,V,Q] = <u>subclass</u> static\_state[T,V,Q] class input, wait :  $Q \neq T$ ; output  $: Q \neq V;$ : T current where {<u>dom</u>(input); <u>dom</u>(wait); dom(output)} e partition[Q];  $card(queue(T)) \leq max queue size;$ (disk • (input U wait)) U output = disk • initial input

```
given
```

# end;

-- now the state transition functions

<u>then</u>

end;

serve[T,V,Q]

<u>then</u>

$$s' = repl s with$$
  
wait = wait - {q + wait(q)};

given

q = <u>any</u>(current\_queue)

end

end;

change\_move[T,V,Q]

search[T,V,Q]

s' = <u>repl</u> s <u>with</u> current = min(candidate, track\_order)

<u>end</u>

end;

end;

-- now the final instantiation

end;

=> lift[T,V,Q] ε halting\_system[state[T,V,Q]]

th[T,V,Q] end LIFT\_SYSTEM

#### 10.3 Garbage collectors

A classical example is now proposed. It has already been described in several papers, particularly the one by Dijkstra et al. (\*).

The informal description of this system will be given together with the formal text; however, a previous knowledge of the problem is probably necessary to comprehend fully the proposed development.

GARBAGE COLLECTORS =

#### def

/\* A first <u>class</u>, called "stateO[N]", describes the basic data structure of this system. It is generic with respect to N (for Node) \*/

stateO[N] = class

```
next : \mathbb{N} \leftrightarrow \mathbb{N};
```

free,root : subset(N)

given

reachable = closure(next)(root)

end;

/\* An acceptable state is one where free nodes are not reachable and have no successors \*/

state1[N] = subclass state0[N] where

```
free 0 reachable = <u>null;</u>
```

next(free) = null

end;

/\* One now describes three functions, together called the "mutator". They stand for the basic primitives at a user's disposal\*/

/\* The first primitive allows a user to extend the reachable nodes by connecting an already reachable node with one that is free. This node will, of course, lose this property \*/

(\*) On the Fly Garbage Collection: An Exercise in Cooperation, E.W. Dijkstra et al., CACM, Vol 21, No 11, Nov. 1978.

end;

/\* The second primitive allows a user to connect two already reachable nodes. This primitive requires that the set of free nodes be not empty, although this is not strictly necessary \*/

 $next = next U \{n \leftrightarrow n'\}$ 

end

end;

/\* The third primitive disconnects two reachable nodes (if they were already connected). A non empty free node set is also required \*/

 $\frac{\text{then}}{s' = \underline{\text{repl}} \ s \ \underline{\text{with}}}$   $next = next - \{n \leftrightarrow n'\}$   $\underline{end}$ 

end;

/\* Whenever the free set is empty any previous "mutator" activity ceases and another function, called the "collector", appends the non-reachable nodes (called "garbage") to the free set \*/

 $collectorl[N] = func s \rightarrow s' for$ 

s,s' : statel[N]

where

```
free(s) = null
```

then

```
s' = repl s with
```

free = free U garbage;

next = next - (garbage x next(garbage))

given

garbage = node - reachable

end

end;

/\* Note that the "mutator" and "collector" activities exclude each other. Note also that

next = next - (garbage x next(garbage))

ensures that the invariant of "statel[N]"

next(free) = null

always holds \*/

/\* The "collector" activity will now be decomposed into two phases

- a marking phase where reachable nodes are marked

- an appending phase where non marked nodes are appended to the free nodes.

In order to do this one extends "statel[N]" to introduce marked nodes \*/

```
J.R. ABRIAL ET AL.
state2[N] = subclass state1(N) class
               marked : subset(N)
            where
               marked < reachable;
               root < marked
            end;
/* The "mutator" primitives do not change. The first "collector"
primitive marks the nodes */
mark2[N] = func s \rightarrow s' for s,s' : state2[N] where
              next(s)(marked(s)) $\not marked(s);
              free(s) = null
           then
              s' = repl s with
                      marked = marked U next(marked)
                   end
           end;
/* The second "collector" primitive appends the non marked nodes to
the free set */
append2[N] = func s \rightarrow s' for s,s' : state2[N] where
                next(s)(marked(s)) \subset marked(s);
                free(s) = null
             then
                s' = repl s with
                         free = free U non marked;
                         next = next - (non marked x next(non marked));
                         marked = root
                     given
                         non marked = node - marked
                     end
             end;
/* Note that both "collector" primitives exclude each other (and
```

still exclude the "mutator" activities), and that the marking phase is usually performed by several invocations of the "mark" function. It is important to prove that this new "collector" does the same

thing as the previous one. In other words, we have to prove the following theorem \*/

th2[N] => forall s for s : dom(append2[N]) then
 marked(s) = reachable(s)

end;

/\* We have to prove

```
marked = closure(next)(root)
```

under the following hypothesis

H1 : root  $\subset$  marked  $\subset$  closure(next)(root)

coming from the definition of "state2[N]"

H2 :  $next(marked) \subset marked$ 

coming from the definition of "dom(append2[N])".

It is therefore sufficient to prove

 $closure(next)(root) \subset marked$ 

This is done by induction.

| step 0 : root ⊂ marked                  | (from H1)       |
|---|-----------------|
| step n : $next^n(root) \subset marked$  | (induction Hyp) |
| $next^{n+1}(root) \subset next(marked)$ |                 |
| $next^{n+1}(root) \subset marked$       | (from H2)       |

Q.E.D. \*/

/\* One now removes the constraint that "mutator" and "collector"
activities exclude each other. In other words, we allow the
"mutator" activities to be possibly performed between two invocations of the "mark" function. In order to do this, "statel[N]"
is extended by another component, a set of "pre\_marked" nodes, and
extra axioms \*/

state3[N] = subclass state1[N] class

marked, pre\_marked : subset(N)

where

marked ∩ pre\_marked = null; next(marked) ∩ non\_marked = null; root ∩ non\_marked = null

```
J.R. ABRIAL ET AL.
             given
                non_marked = node - (marked U pre_marked)
             end;
/* The "mutator" functions are, of course, different. In particular,
the "insert" and "remove" functions do no longer require that the
free set be non empty */
extend3[N] = func n, s + s' for
                  n : N; x, x' : state3[N]
              where
                  n \varepsilon reachable(s); free(s) \neq <u>null</u>
              then
                 repl s with
                     next = next U {n \leftrightarrow n'};
                     free = free - \{n'\};
                     pre_marked = pre_marked U ({n'} 0 non_marked)
                 given
                     n' = any(free)
                  end
              end;
/* Note that
     pre marked = pre_marked U (\{n'\} \cap non_marked)
ensures the conservation of
     next(marked) ∩ non_marked = null
which is an axiom of "state3[N]" whose importance will be clear
later. (See the proof of th3[N]) */
insert3[N] = func n,n',s + s' for
                  n,n': N; s,s': state3[N]
              where
                  n \varepsilon reachable(s); n' \varepsilon reachable(s)
              then
                  s' = repl s with
                           next = next U {n \leftrightarrow n'};
                           pre_marked = pre_marked U (\{n'\} \cap non_marked)
                       end
                                   394
               end;
```

/\* Note first that the "collector" activities still exclude each other. It is now necessary to prove that this third "collector" does the same thing as the previous one. This is not actually true: this new "collector" only collects part of the garbage as stated by the following theorem \*/

th3[N] => <u>forall</u> s <u>for</u> s : <u>dom</u>(append3[N]) <u>then</u> reachable(s) < marked(s)

end;

/\* By comparison with "th2[N]" above, one may figure out that when "append3[N]" is invoked, there exist some "marked" nodes that are no longer reachable. We have to prove that

closure(next)(root) ⊂ marked

under the following hypothesis

H1 : root  $\subset$  (marked U pre\_marked)

H2 : next(marked) ⊂ (marked U pre\_marked)

both coming from the definition of "state3[N]"

H3 : pre\_marked = null

coming from the definition of "<u>dom(append3[N])</u>".

## Proof:

(1) root  $\subset$  marked (by H1 and H3)

(2) next(marked)  $\subset$  marked (by H2 and H3)

(3) closure(next)(marked) = marked (by (2))

(4)  $closure(next)(root) \subset closure(next)(marked)$  (by (1))

(5)  $closure(next)(root) \subset marked (by (3) and (4))$ 

## Q.E.D.

Unfortunately, this theorem does not prove that this actual "collector" indeed collects anything. In other words, the set of "non\_marked" nodes might very well be empty when "append3[N]" is invoked. Let "old\_garbage" be the set of nodes that are reachable but still marked when "append3[N]" is invoked. One now proves that this "old\_garbage" will indeed be appended to the free set upon the next invocation of "append 3[N]". To do this, the following extension of "state3[N]" is performed \*/ l

```
state4[N] = subclass state3[N] class
        old_garbage : subset(N)
        <u>where</u>
        old_garbage ^ free = <u>null</u>;
        old_garbage ^ reachable = <u>null</u>;
        old_garbage < non_marked
        <u>end</u>
```

j h

> free = free U non\_marked; next = next - (non\_marked x next(non\_marked)) marked = <u>null;</u> pre\_marked = root; old\_garbage = marked - reachable

<u>end</u>

end;

/\* As "old\_garbage" is neither in the free set nor reachable, it so remains through the "mutator" activities, and neither does the interfering marking phase "paint" it. Therefore, the following theorem holds \*/

 $th4[N] \Rightarrow forall s for s : dom(append4[N]) then$ 

 $old_garbage(s) \subset free(s')$ 

given

s' = append4(s)

end;

/\* Note that "old\_garbage" is an "<u>auxiliary variable</u>" that has nothing to do with the system itself: it is only defined for the purpose of proving "th4[N]" \*/

/\* One now proceeds by decomposing the "mutator" activities one step further, thereby allowing more interferences to occur with the marking phase. Remember that the following was performed by "extend3[N]" and "insert3[N]"

pre\_marked = pre\_marked U ( $\{n'\} \cap non_marked$ )

By doing this, we possibly "shade" n'. This shading might be performed in a non-exclusive way. To do this, a new component called "param" is added, the purpose of which is to "store" the value of n' while other activities occur before its shading \*/

/\* In order to prove that th3[N] still holds, we introduce yet another <u>auxiliary variable</u> (\*) named "old\_next" that retain the value of "next" just before the possible invocation of the shading primitive \*/

```
state5[N] = <u>subclass</u> state1[N] <u>class</u>
    marked, pre_marked,param : <u>subset(N);</u>
    old_next : N ↔ N
    where
```

```
marked ∩ pre_marked = null;
next(marked) ⊂ (marked U pre_marked U param);
root ⊂ (marked U pre_marked);
free ⊂ marked;
param ⊂ old_reachable;
old_next(marked) ⊂ (marked U pre_marked)
```

given

non\_marked = node - (marked U pre\_marked);
old\_reachable = closure(old\_next)(root)

end;

```
/* It is interesting to note the difference from the axioms of "state3[N]":
```

```
"next(marked)" is no longer always "non_marked" as "param" may
be "non marked".
```

. We require that the free set be "marked".

The new "mutator" functions are the following \*/

extend5[N] = func n, s + s' for

n : N ; s,s' : state5[N]

where

```
n ε reachable(s);
free(s) ≠ <u>null</u>;
```

```
param(s) = null
```

<u>then</u>

```
s' = \underline{repl} s \underline{with}
next = next U {n \leftrightarrow n'};
```

```
free = free - \{n'\};
```

```
old_next = next U {n \leftrightarrow n'}
```

```
given
```

n' = any(free)

end

end;

<sup>(\*)</sup> Auxiliary variable technique was first introduced by S. Owicki in her thesis: Axiomatic Proof Technique For Parallel Programs, Dept. C.S., Cornell University, TR.251 (1975).

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/\* Note that n' need not be shaded as it is already "marked" because it belongs to "free" \*/

param(s) = null

then

```
s' = repl s with

next = next U {n \leftrightarrow n'};

param = {n'};

old_next = next
```

<u>end</u>

end;

/\* Note that after the invocation of insert5[N] the following still holds

```
param ⊂ old_reachable
old_next(marked) ⊂ (marked U pre_marked)
```

```
because n' was an element of "reachable" and "param" was empty
before the invocation */
```

end;

/\* Note that after the invocation of "shade5[N]", the invariant  $next(marked) \subset (marked U pre marked U param)$ still holds, since "pre marked" was possibly extended if "param" was "non marked". Note that this would not have been the case if "shade5[N]" had been performed before "insert5[N]" \*/ remove5[N] = func n, n', s  $\rightarrow$  s' for n,n' : N; s,s' : state[N] where n  $\varepsilon$  reachable(s); n'  $\varepsilon$  reachable(s); param(s) = nullthen s' = repl s with next = next -  $\{n \leftrightarrow n'\};$ old next = next -  $\{n \leftrightarrow n'\};$ end end; /\* Now the "collector" \*/ mark5[N]= func  $s \rightarrow s'$  for s,s' : state5[N] where pre\_marked *f* null thens' = repl s with marked = marked U pre\_marked; pre marked = next(marked)  $\cap$  non marked end end;  $append5[N] = func s \rightarrow s' for$ s,s': state5[N] where pre marked = null

then

## end

end;

/\* Of course, it is now important to prove that th3[N] still holds, namely:

forall s for s : dom(append5[N]) then
reachable(s) < marked(s)</pre>

end

ţ,

The only hypothesis of th3[N] that changes is H2, that was

H2 : next(marked)  $\subset$  (marked U pre\_marked)

which now becomes

```
H2 : next(marked) \subset (marked U pre_marked U param)
```

One proves that H2 indeed holds because of the following theorem \*/

th5[N] => forall s for s : dom(append5[N]) then

 $param(s) \subset marked(s)$ 

end

/\* One has to prove

param ⊂ marked

under the following hypotheses

Hl : param c closure(old\_next)(root)

H2 : root c (marked U pre\_marked)

H3 : old\_next(marked) < (marked U pre\_marked)

all three coming from the definition of "state5[N]"

H4 : pre\_marked = null

coming from the definition of "dom(append5)[N]"

Proof:

| (1) | root < marked   | (Ъу          | H2  | and | H4)    |
|-----|---|--------------|-----|-----|--------|
| (2) | old_next(marked < marked                                | (by          | H3  | and | H4)    |
| (3) | closure(old_next)(marked) = marked                      | ( b <b>y</b> | (2) | )   |        |
| (4) | closure(old_next)(root) < closure(old_next)<br>(marked) | (ъу          | (1) | )   |        |
| (5) | closure(old_next)(root) < marked                        | (by          | (3) | and | L (4)) |
| (6) | param ⊂ marked  | (by          | нı  | and | (5))   |
|     |   |              |     |     |        |

Q.E.D. \*/

end GARBAGE COLLECTORS

The reader is invited to pursue further decompositions of "extend", "mark", and "append". Note that the previous formalisation does not contain any proof that the marking phase ever terminates.

## 10.4 Algebraic language

Our last example is an attempt to specify a formal language (!) by defining its abstract syntax and semantics. We have chosen algebraic languages because they are simple enough and also because they are part of any programming language containing (boolean, arithmetic and so forth) "expressions". The specification is given at a general enough level so that any instantiation might be performed for a particular case of algebraic language: in this example, a boolean algebra.

An algebraic expression, as is well known, may be represented by a <u>tree structure</u>. For example, the following expression

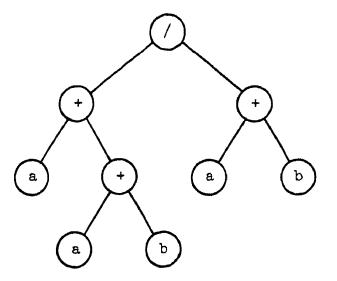
(a + (a+b)) / (a + b)

is pictured by

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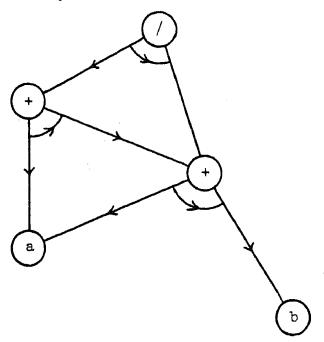
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In this drawing, each node represents a sub-expression made of an operator and a set of ordered edges leading to other subexpressions. The number of out-going edges depends upon a property of the corresponding operator called its <u>arity</u>, i.e., "/" and "+" have an arity of two, whereas "a" and "b" are considered as operators of 0 arity.

Algebraic expressions may contain several common subexpressions: therefore a new structure, here called a <u>double order</u>, is best suited to represent them. The above expression, for example, might be represented by



Such a structure is a "double" order because (i) it is a strict order relation, (ii) the out-going edges are also ordered. Before entering into the main definitions, a small "chapter" describes double orders.

DOUBLE ORDER =

def

double\_order[X] = <u>set</u> f <u>for</u> f : X → seq[X]

where

(closure(r) - ident[X]) ε strict-order[X]

given

$$r = \underline{rel} x \leftrightarrow x' \underline{for}$$

$$x, x' : X$$

$$\underline{where}$$

$$x' \in f(x)(NAT)$$

end

end;

/\* One now defines the evaluation of a function through a double order \*/

eval\_rel[X,Y] = rel g, f  $\leftrightarrow$  h for g : X x seq[Y]  $\rightarrow$  Y; f : X  $\rightarrow$  seq[X]; h : X  $\rightarrow$  Y where f  $\epsilon$  double\_order[X]; forall x for x : X then

 $h(x) = g(x, h \circ f(x))$ 

end

end;

th[X,Y] => eval\_rel[X,Y]  $\varepsilon$  functional(((X x seq[Y]  $\rightarrow$  Y))

 $x (X \rightarrow seq[X]), X \rightarrow Y))$ 

eval[X,Y] = function(eval\_rel[X,Y])

end DOUBLE\_ORDER

The chapter "ALGEBRAIC\_LANGUAGE" first defines a "program" as a class whose components are the operator and arguments of each subexpression. Another class defines an "algebra" as a class defining the application of an operator to a sequence of data as well as the arity of each operator. The semantics of a program with respect to an algebra defines the value of a sub-expression as the evaluation

of its arguments through the double order represented by the program. An instantiation of these classes finally defines a boolean expression "program" interpreted by a boolean algebra.

## ALGEBRAIC\_LANGUAGE =

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use DOUBLE ORDER def

program[EXP,OP] = class

operator : EXP + OP;

argument : EXP  $\rightarrow$  seq[EXP]

where

argument & double\_order[EXP]

end;

```
algebra[DATA,OP] = class
```

```
value : OP x seq[DATA] + DATA;
```

arity :  $OP \rightarrow NAT$ 

where

 $\underline{dom}(value) = \underline{set} op, s \underline{for}$ 

op : OP;

s : seq[DATA]

where

arity(op) = length(s)

end

end;

-- now an example

```
J.R. ABRIAL ET AL.
BOOL OP = {\land; \lor; \neg; true; false};
         = {true; false};
BOOL
boolean_algebra =
     cons algebra(BOOL,BOOL_OP) with
        value = {\land, <true; true> \rightarrow true;
                   \wedge, <true; false> \rightarrow false;
                    ∧, <false; true> → false;
                    ^, <false; false> > false;
                    v, <true; true> \rightarrow true;
                    v, <true; false> \rightarrow true;
                   v, <false; true> \rightarrow true;
                    v, <false; false> → false;
                   ¬, <true> → false;
                   \neg, <false> \rightarrow true;
                    true, <u>null</u> → true;
                    false, null + false};
         arity = {v \rightarrow 2;
                    ∧ → 2;
                    7
                          → 1;
                    true \rightarrow 0;
                    false \rightarrow 0 }
```

<u>end;</u>

```
e4 + <e5;e6>;
e5 + <u>null;</u>
e6 + <u>null</u>}
```

end;

th => semantics(example,boolean\_algebra,el) = false

end ALGEBRAIC LANGUAGE

APPENDIX: SUMMARY OF THE LANGUAGE

Utilisation sublanguage

chapter ::= id = [use id\_list] def body end id

id\_list ::= id{,id}

Statement sublanguage

body ::= clause{;clause}

```
clause ::= generic_name = set
```

generic name => bool

generic\_name = class

```
generic_name ::= id['['id_list']']
```

Set sublanguage

```
set ::= set id_list for spec end |
    any id_list for spec end |
    subset(set) |
    '{'set{;set}'}' |
    null |
    set_id |
    object |
    set{,set} |
    (set)
```

```
J.R. ABRIAL ET AL.
```

```
spec ::= decl[where cond[given def]]
decl ::= id_list : set{;id_list : set}
cond ::= bool{;bool}
def ::= id_list = set{;id_list = set}
set_id ::= [id.]id['['set{,set}']']
Boolean sublanguage
bool ::= not(bool) |
            bool or bool |
            set = set |
            set c set |
            finite(set) |
```

(bool)

Class sublanguage

class ::= <u>class[spec] end</u>

subclass class\_exp[class decl][where cond[given def]]

end

class\_id ::= set\_id

```
object ::= cons object_id[with def[given def]] end |
    repl object_id with def[given def] end
```

object id ::= set\_id

Statement sublanguage extensions

clause ::= operator\_generic\_name = set

operator\_generic\_name ::= <u>op(id)['['id\_list']']</u>

Boolean sublanguage extensions

```
bool
        ::= bool => bool
            bool and bool
            bool <=> bool
            set ≠ set |
            set ¢ set
            exist id list for spec end
            exist1 id_list for spec end
            forall id_list for decl[where cond] then cond
                                                     [given def] end
           bool{; bool}
Set sublanguage extensions
       ::= set{x set}
set
           any(set)
           set \leftrightarrow set
            set → set
            set / set
            dom(id)
            codom(id)
            <u>rel</u> id_list ↔ id_list <u>for</u> spec <u>end</u> |
            func id_list + id_list for decl[where cond]bind
                                                    [given def] end
            operator id
            id(set \leftrightarrow set)
            id(set)
             '{ 'set \leftrightarrow set {; set \leftrightarrow set }'}'
             '{'set → set {; set → set}'}'
            subst id with set + set{; set + set}[given def] end
```

bind ::= then def

when bool then def{when bool then def}[else def]

operator\_id ::= [id.] <u>op(id)['['set{,set}']']</u>

# Class sublanguage extension

class ::= '{'id\_list'}'

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