

# A Reification Calculus for Model-Oriented Software Specification

by

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**Abstract.** This paper presents a transformational approach to the derivation of implementations from *model-oriented* specifications of abstract data types.

The purpose of this research is to reduce the number of formal proofs required in *model refinement*, which hinder software development. It is shown to be applicable to the transformation of models written in META-IV (the specification language of VDM) towards their refinement into, for example, PASCAL or relational DBMSs. The approach includes the automatic synthesis of retrieve functions between models, and data-type invariants.

The underlying algebraic semantics is the so-called *final* semantics “à la Wand”: a specification “is” a *model* (heterogeneous algebra) which is the final object (up to isomorphism) in the category of all its implementations.

The transformational *calculus* approached in this paper follows from exploring the properties of finite, recursively defined sets.

This work extends the well-known strategy of *program transformation* to *model transformation*, adding to previous work on a transformational style for operation-decomposition in META-IV. The *model-calculus* is also useful for improving model-oriented specifications.

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**Keywords:** Software engineering, Formal methods, Algebraic specification, Transformational design.

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## 1. Introduction

It is widely accepted nowadays that the industrial production of reliable software, at low cost, should be based on technologies which, at least, discuss such a reliability formally, ie. based on mathematically written *specifications*. Such technologies involve the additional notion of *refinement* (or *reification* [Jo86]), ie. any systematic process of building *implementations* from formal specifications.

Much research in this area has concentrated on devising languages and tools for formal specification. Well-known techniques for *algebraic* specification [G\*78, GH78, BW82] make it possible to define algebraic structures from which programs are developed, in the form of hierarchies of *abstract data types*. These correspond to algebras whose functionality (syntax) is fixed by a heterogeneous signature ( $\Sigma$ ), and whose theory (semantics) is a quotient  $W_\Sigma / \equiv$ , where  $W_\Sigma$  denotes the  $\Sigma$ -*word algebra* (ie. the “language” generated by  $\Sigma$ ). There are two standard ways of finitely presenting such a quotient.

In *property-oriented* specification,  $\equiv$  is the smallest  $\Sigma$ -congruence induced by a finite collection of  $\Sigma$ -equations [G\*78]. In *model-oriented* specification [Jo86], semantics are given by describing a model, ie. a  $\Sigma$ -algebra  $\mathcal{A}$ , and  $\equiv$  is then the kernel congruence relation induced by the unique homomorphism from  $W_\Sigma$  to  $\mathcal{A}$  [BW82].

This paper focusses on model-refinement (reification) technology, ie. on specification refinement in the model-oriented specification style.

An approach aiming at developing a *reification calculus* for software engineering is presented. When compared with the historical development of the scientific bases for other engineering areas (eg. mechanical and civil engineering etc.), the introduction of algebraic reification-calculi in *software engineering* appears to be a natural evolution, which may be (roughly) sketched as follows:

- Until the 1960s: Intuition and craft
- 1970s: *Ad hoc* (informal) methods
- 1980s: Formal methods
- 1990s: Formal calculi

Formal calculi are intended to scale up the scope of formal methods.

The reification-calculus put forward in this paper is specification-dialect independent. However, acquaintance with the VDM method and the META-IV notation [Jo80, Jo86] will help in understanding the examples. The approach was first presented in [Ol87] and further developed in [Ol88a]. Both these references resort to basic *category theory* [Ma71] following [MA86] and [Wa79], which should be read as contextual research. To improve readability in this paper, the category-theoretical notions are replaced by set-theoretical ones.

### 1.1. Overview of Open Problems

Formal specifications should be as *abstract* as possible, in the sense that they should record the *essence* of problems and ignore irrelevant details. By contrast, implementations are usually full of machine-dependences which explore a concrete machine-architecture for run-time efficiency. Refinement fills in the *abstraction gap* between specifications and implementations, by providing correctness arguments proving that the latter satisfy the former. In this sense, refinement is the “kernel” phase of software development using formal methods.

The standard techniques for data refinement assume that the software engineer has sufficient intuition to “guess” (efficient) low-level model-implementations. This is unlikely, in general. Moreover, two kinds of phenomenon occur wherever model-refinement is in progress: either one is led to more *redundant* data representations, or one has to filter *invalid* data-representations (or both).

In real-life software design, it is sometimes cumbersome to formally record the relationship between data-models, and prove facts (adequacy, invariant-preservation etc. [Jo80]) about them. Unfortunately, it may take a considerable effort to prove facts which are intuitively obvious.

For example, consider the following toy-example, a META-IV syntax for a very simple bank accounting system:

$$\begin{aligned} BAMS &= AccNr \xrightarrow{m} Status \\ Status &:: H : AccHolder\text{-set} \\ &\quad A : Amount \\ Amount &= Nat0 \end{aligned}$$

where the following data-type invariant should hold,

$$\text{inv-}BAMS(\sigma) \stackrel{\text{def}}{=} \forall n \in \text{dom } \sigma : H(\sigma(n)) \neq \emptyset$$

enforcing that every account has, at least, one account-holder.

A VDM practitioner may take a while to formally discuss the correctness of the following (obvious!) *relational-model* implementation, where BAMS is modelled in terms of two binary relations (vulg. “tables”):

$$\begin{aligned} BAMS1 &:: HT : Row1\text{-set} \quad /*table of account-holders */ \\ &\quad AT : Row2\text{-set} \quad /*table of amounts */ \\ Row1 &:: K : AccNr \quad H : AccHolder \\ Row2 &:: K : AccNr \quad A : Amount \end{aligned}$$

subject to the following data-type invariant,

$$\text{inv-}BAMS1(\text{mk-}BAMS1(ht, at)) \stackrel{\text{def}}{=} \text{dom}(at) = \text{dom}(ht) \wedge \text{dep}KA(at) \quad (1)$$

where

$$\begin{aligned} \text{dom} &: (A \ B)\text{-set} \longrightarrow A\text{-set} \\ \text{dom}(\rho) &\stackrel{\text{def}}{=} \{a \in A \mid \exists b \in B : \langle a, b \rangle \in \rho\} \end{aligned} \quad (2)$$

is a generic (*domain*) relational-operator, and predicate  $\text{dep}KA : (Row2\text{-set}) \longrightarrow Bool$ :

$$\text{dep}KA(\rho) \stackrel{\text{def}}{=} \forall r, s \in \rho : (K(r) = K(s) \Rightarrow A(r) = A(s))$$

expresses a  $K \rightarrow A$  *functional dependence*.

When toy-examples are scaled-up to real examples, formal proofs are either discarded (and the method no longer acceptable as formal), or they become a serious bottleneck in development. Moreover, no definite answers have been given to questions such as:

- how can we define an invariant as being “correct”, “too strong”, or “sufficient”?

- what is the “least” abstraction (*retrieve*) function [Jo80, Jo86] between two models?
- how can we keep data *redundancy* and *validity* easily under control?
- can we equationally *derive* low-level data-models from high-level data-models?

## 1.2. Main Objectives

Former work [Ol85] on alternative techniques in the area referred to above, is strengthened in this paper by presenting a basis for *transformational calculi* for the derivation of implementations of abstract data types. This adds to the well-known strategy of *program transformation* [BD77, Da82, BW82] insofar as *whole* data-models are synthesised by transformations.

In [Ol85] only the functional-part of specification-models is subject to transformations. It follows the strategy of developing operations on the concrete level from those on the abstract level by means of the abstraction function, cf. [BD77, Da82, H\*87]. A target of this paper is to show how retrieve-maps can themselves be obtained by transformations enabled by a simple calculus of data-models based on set-theory.

The basic idea is that *data-redundancy* is an ordering on data-models compatible with data-model building operators. This ordering is, in turn, relaxed to a *super-redundancy* ordering whereby data *validity* is taken into account. A model can be refined up to any of its super-redundant relatives. Since these orderings are preserved by all data-constructors, refinement may proceed in a structural, stepwise manner, according to an *algebra* of model-transformations.

The remainder of the paper is structured as follows: section 2 presents the underlying formalisms and overall strategy, illustrated by a simple example. The basic laws and theorems of the calculus are presented in section 3. Section 4 gives examples of calculated reification, illustrating the inference of retrieve-maps and data-type invariants. Finally, sections 5 and 6 draw conclusions and address technical issues for future work.

## 2. Formal Basis

### 2.1. Notation Background

The algebraic semantics underlying the formalisms below is the so-called *final semantics* [Wa79]<sup>1</sup>: a specification is given by a *model*, ie. a many-sorted  $\Sigma$ -algebra  $\mathcal{A}$  which is the *final* object (up to isomorphism) in the class of all its implementations (= “more redundant” models). This approach to abstract data type semantics is detailed below by presenting some standard definitions from the literature, cf. eg. [G\*78, Wa79, BW82].

Given a set  $\Omega$  of function symbols, and a set  $S$  of *sorts* (“types”), a *signature*  $\Sigma$  is a syntactical assignment  $\Sigma : \Omega \rightarrow (S^* \times S)$  of a functionality to each function symbol; as usual, we will write  $\sigma : s_1 \dots s_n \rightarrow s$  or  $s_1 \dots s_n \xrightarrow{\sigma} s$  as shorthands of  $\Sigma(\sigma) = \langle [s_1, \dots, s_n], s \rangle$ . Let *Sets* denote the class of all finite sets whose

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<sup>1</sup> Or *terminal semantics*, opposed to the standard *initial* interpretation, cf. [G\*78] for instance.

morphisms are set-theoretical functions. Let these be denoted by  $f : X \rightarrow Y$  or  $X \xrightarrow{f} Y$ , where  $X$  and  $Y$  are sets.

A  $\Sigma$ -algebra  $\mathcal{A}$  is a semantic assignment described by a *functor*

$$\mathbf{A} : \Sigma \longrightarrow \mathbf{Set}$$

that is,  $\mathcal{A} = \langle \mathcal{A}_\Omega, \mathcal{A}_S \rangle$  where  $\mathcal{A}_S$  maps sorts to corresponding carrier-sets,  $\mathcal{A}_\Omega$  maps operator-symbols to set-theoretical functions, and

$$\mathcal{A}_\Omega(\sigma) : \mathcal{A}_S(s_1) \times \dots \times \mathcal{A}_S(s_n) \rightarrow \mathcal{A}_S(s) \quad (3)$$

holds. Subscripts  $\Omega$  and  $S$  may be omitted wherever they are clear from the context, eg. by writing

$$\mathcal{A}(\sigma) : \mathcal{A}(s_1) \times \dots \times \mathcal{A}(s_n) \rightarrow \mathcal{A}(s)$$

instead of formula 3.

A particular  $\Sigma$ -algebra is the one whose carrier-set for each sort  $s \in S$  contains all the “words” (*terms*, or *morphisms*) that describe objects of that sort:

$$W_\Sigma(s) \stackrel{\text{def}}{=} C(s) \cup \{\sigma(t_1, \dots, t_n) \mid \sigma : s_1 \dots s_n \rightarrow s \wedge \forall 1 \leq i \leq n : t_i \in W_\Sigma(s_i)\}$$

where  $C(s) \stackrel{\text{def}}{=} \{\sigma \in \Omega \mid \Sigma(\sigma) = \langle [], s \rangle\}$  is the set of all “constants” of type  $s$ .

Given two algebras  $\mathbf{A}, \mathbf{B} : \Sigma \longrightarrow \mathbf{Set}$ ,  $\mathbf{B}$  is said to be an *implementation* of  $\mathbf{A}$  iff there is one and only one homomorphism (abstraction map) from  $\mathbf{B}$  to  $\mathbf{A}$ . In category-theoretical terminology,  $\mathbf{A}$  is said to be the *final* algebra in the category  $K_{\mathcal{A}}$  of all its implementations [Wa79]. In set-theoretical terminology, one has  $\mathcal{A} \sqsubseteq \mathcal{B}$  in the complete lattice of all  $\Sigma$ -algebras [BW82].

Finally, a semantic congruence  $\equiv$  is induced by  $\mathcal{A}$  into  $W_\Sigma$  such that, for all terms  $t, t' \in W_\Sigma$ ,  $t \equiv t'$  iff  $\mathcal{A}(t) = \mathcal{A}(t')$ . This approach to presenting such a congruence covers, implicitly, model-oriented (or constructive) specification such as in VDM [Jo80, Jo86], Z [Ha87, Sp89] or ME-TOO [He84].

## 2.2. Overall Strategy

The standard way of refining a model  $\mathbf{A} : \Sigma \longrightarrow \mathbf{Set}$  would lead us to:

- conjecture an implementation-model  $\mathbf{B} : \Sigma \longrightarrow \mathbf{Set}$ ;
- relate  $\mathbf{B}$  to  $\mathbf{A}$  via a *retrieve* function;
- finally, to use such a function in arguing that  $\mathbf{B}$  is a *valid* realization of  $\mathbf{A}$ .

The strategy put forward in this paper is different: one resorts to *Sets* to actually derive  $\mathbf{B}$  from  $\mathbf{A}$ . That is to say, “ $\mathbf{A}$  is *transformed* into  $\mathbf{B}$ ”, using a calculus which implicitly guarantees the correctness of such a derivation. This is based upon the definitions and theorems given in the sequel.

**Definition 1. (Redundancy Ordering in Sets)**  $X \preceq Y$  (read “ $X$  is less redundant than  $Y$ ”) is the cardinality ordering on *Sets*, that is, the ordering defined by:

$$X \preceq Y \stackrel{\text{def}}{=} \exists Y \xrightarrow{\alpha} X : \alpha \text{ is surjective} \quad (4)$$

Epimorphism  $\alpha$  will be referred to as being a (not unique, in general) “retrieve map” from  $Y$  to  $X$ .  $\square$

$$\begin{array}{ccc}
X & \xrightarrow{\phi} & Y \\
\alpha \uparrow & & \uparrow \beta \\
X' & \xrightarrow{\phi'} & Y'
\end{array}$$

**Fig. 1.** Morphism Refinement

For example, it can be stated that, for a finite set  $X$ ,

$$\mathcal{P}X \preceq X^* \quad (5)$$

( $\mathcal{P}X$  denotes the set of all finite subsets of  $X$ ) since  $\exists \text{elems} : X^* \rightarrow \mathcal{P}X$ , where

$$\text{elems}[a, \dots, b] = \{a, \dots, b\}$$

which is a well-known surjective function.

Note that  $\preceq$  is reflexive and transitive, and that  $\preceq$ -antisymmetry induces set-theoretical-isomorphism, ie. for all  $X, Y$  and  $Z$  in  $Sets$ , the following facts hold:

$$X \preceq X \quad (6)$$

$$X \preceq Y \wedge Y \preceq Z \Rightarrow X \preceq Z \quad (7)$$

$$X \preceq Y \wedge Y \preceq X \Rightarrow X \cong Y \quad (8)$$

**Definition 2. (Morphism Refinement)** Let  $X \xrightarrow{\phi} Y$ ,  $X' \xrightarrow{\alpha} X$  and  $Y' \xrightarrow{\beta} Y$  be morphisms in  $Sets$ . Let  $\alpha$  and  $\beta$  be epimorphisms ( $\Rightarrow X \preceq X' \wedge Y \preceq Y'$ ).

Then any morphism  $X' \xrightarrow{\phi'} Y'$  satisfying the equation

$$\beta \circ \phi' = \phi \circ \alpha \quad (9)$$

is said to be an  $\langle \alpha, \beta \rangle$ -refinement of  $\phi$ , cf. Figure 1.

If  $Y = Y'$  then  $\phi'$  is uniquely determined,

$$\phi' = \phi \circ \alpha$$

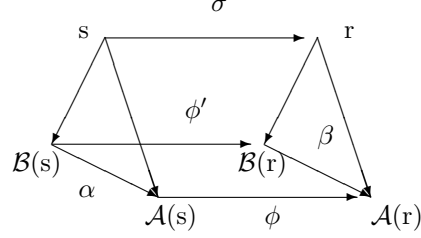
and is said to be the  $\alpha$ -refinement of  $\phi$ .  $\square$

Morphism-refinements may be regarded as algorithmic “implementations” induced by the introduction of data-redundancy. For example, let  $X = \mathcal{P}A$ ,  $X' = A^*$ ,  $Y = Y' = \mathbb{N}_0$ ,  $\alpha = \text{elems}$  and  $\phi = \text{card}$ , in Definition 2. Then

$$\phi' = \text{card} \circ \text{elems}$$

is the  $\alpha$ -refinement of  $\phi$ , and may be regarded as an “implementation” of  $\text{card}$ , at  $A^*$ -level.

**Theorem 1. (Refinement Theorem)** Let  $A : \Sigma \rightarrow \mathbf{Set}$  be a specification model. Any functor  $B : \Sigma \rightarrow \mathbf{Set}$  obtained from  $A$  by object-transformation into “more redundant” objects (Definition 1) and adoption of corresponding “morphism refinements” (Definition 2), is a valid realization of  $A$ , ie.  $A \sqsubseteq B$  in the complete lattice of all  $\Sigma$ -models [BW82].



**Fig. 2.** Refinement Diagram

**Proof:** Let  $s \xrightarrow{\sigma} r$  be a  $\Sigma$ -morphism, ie. a  $\Sigma$ -term denoting an abstract transaction from  $s$ -objects into  $r$ -objects (including primitive or derived  $\Sigma$ -operators) whose semantics are specified by the *Sets* morphism  $\phi = \mathcal{A}(\sigma)$ . Since  $\mathcal{B}$  is obtained from  $\mathcal{A}$  by object-transformation into more-redundant objects, we have:

$$\mathcal{A}(s) \preceq \mathcal{B}(s) \wedge \mathcal{A}(r) \preceq \mathcal{B}(r)$$

Let  $\mathcal{B}(s) \xrightarrow{h_s} \mathcal{A}(s)$  and  $\mathcal{B}(r) \xrightarrow{h_r} \mathcal{A}(r)$  be retrieve-maps which record such a relationship.  $\phi' = \mathcal{B}(\sigma)$  may be regarded as the “unknown” of our constructive proof. Let  $\phi'$  be a  $\langle h_s, h_r \rangle$ -refinement of  $\phi$ , ie.

$$h_r \circ \phi' = \phi \circ h_s$$

that is

$$h_r(\mathcal{B}(\sigma)(x)) = \mathcal{A}(\sigma)(h_s(x))$$

Since  $h_s$  and  $h_r$  are surjections, this clause means that  $h: \mathcal{B} \rightarrow \mathcal{A}$  ( $h = \{h_s\}_{s \in S}$ ) is a  $\Sigma$ -epimorphism. Thus  $\mathcal{A} \sqsubseteq \mathcal{B}$  in the complete lattice of all  $\Sigma$ -algebras, that is, algebra  $\mathcal{B}$  is an implementation of  $\mathcal{A}$ .

□

This theorem is illustrated by the commutative diagram of Figure 2, for all  $\Sigma$ -operators  $\sigma: s \rightarrow r$ , which means:

$$\beta \circ \mathcal{B}(\sigma) \equiv \mathcal{A}(\sigma) \circ \alpha \quad (10)$$

One may say that the function mapping  $s$  to  $\alpha$ ,  $r$  to  $\beta$ , and so on (for all  $\Sigma$ -objects and  $\Sigma$ -morphisms) is a *natural transformation* from  $\mathcal{B}$  to  $\mathcal{A}$  [Ol88a]. Note however, that this natural transformation is not explicitly derived; instead, retrieve-maps are found out first, and the  $\mathcal{B}$ -morphisms derived next so that the former become a natural-transformation.

A simple illustration of Theorem 1 follows.

### 2.3. An Example

Let  $\Sigma_{SPELL}$  be the syntax of a SPELLING module, with sorts  $\omega$  (word),  $\delta$  (dictionary) and  $\tau$  (truth values), involving an operation  $Ok: \omega \times \delta \rightarrow \tau$ . In terms of semantics,  $Ok$  is intended to test whether a given word is correctly spelled

according to a given finite dictionary. Let  $Words$  be the spelling vocabulary (ie. a set of words), and

$$\begin{aligned}\mathcal{A}(\omega) &= Words \\ \mathcal{A}(\delta) &= \mathcal{P}Words \\ \mathcal{A}(\tau) &= \{0, 1\} \\ \mathcal{A}(Ok) &= \lambda(w, d). w \in d\end{aligned}$$

be the specification-model  $\mathcal{A}$  for SPELL. Let

$$\begin{aligned}\mathcal{B}(\omega) &= Words \\ \mathcal{B}(\delta) &= Words^* \\ \mathcal{B}(\tau) &= \{0, 1\}.\end{aligned}$$

Let us apply Theorem 1 to the inference of  $\mathcal{B}(Ok)$ . We have

$$\begin{aligned}\alpha &= [id, elems] \\ \beta &= id\end{aligned}$$

adopting an FP-like [Ba78] notation for product-maps;  $id = 1_A$  (for every set  $A$ ) is a “polymorphic” identity operator. Clearly, for every sort  $s \in \Sigma_{SPELL}$ ,

$$\mathcal{A}(s) \preceq \mathcal{B}(s).$$

cf. equations 5 and 6. According to equation 10,  $\mathcal{B}(Ok)$  is any solution to the equation:

$$id \circ \mathcal{B}(Ok) \equiv (\lambda(w, d). w \in d) \circ [id, elems]$$

Since  $id \circ f = f$  for all  $f$ , we have

$$\begin{aligned}\mathcal{B}(Ok) &\equiv (\lambda(w, d). w \in d) \circ (\lambda(x, y). \langle x, elems y \rangle) \\ &\equiv \lambda(x, y). x \in elems y\end{aligned}$$

as expected.

The properties of the  $\langle \{0, 1\}; \vee, 0 \rangle$  monoid and the “fold/unfold” method [BD77, Da82] can be used to obtain algorithmic solutions for  $\mathcal{B}(Ok)$  (cf. [Ol88a] for details), for instance:

$$\begin{aligned}\mathcal{B}(Ok) &\equiv belongs \\ belongs(x, y) &\equiv beloop(x, y, 0) \\ beloop(x, y, b) &\stackrel{\text{def}}{=} \begin{array}{ll} \text{if } (y = []) \vee b & \text{then } b \\ & \text{else } beloop(x, tail\ y, (x = head\ y)) \end{array}\end{aligned}$$

which “is” the (expected) *while-loop*:

```
{ bool found = 0;
  list p;
  {
    p = y;
    while ((p! = <>) && not found)
      {p = tl(p);
       found = (x == hd(p))};
  }
}
```



encoded above in an *ad hoc*, “C-like” procedural notation.

Reference [Ol85] presents further examples of transformational operation-refinement in VDM, based on rule 10. A rather elaborate of these examples is the synthesis (towards PASCAL) of a procedural realization of the *apply* operation on *abstract mappings*, implied by the reification of these in terms of *binary trees* (cf. [Fi80]). However, this kind of transformational operation-refinement is strongly dependent on a known, formal relationship between the high-level and the low-level VDM-models — that is to say, a *retrieve-map* such as *elems* above. How does one “compute” such a relationship?

The remainder of this paper shows how retrieve-maps can themselves be obtained by transformations performed at *Sets*-level. In the SPELL-example, this amounts to showing how to transform  $\mathcal{A}(\delta)$  into  $\mathcal{B}(\delta)$ . In the example of section 1.1, instead of “guessing” the *BAMS1*-reification for *BAMS*, *BAMS1* should be actually “derived” from *BAMS*. A *Sets*-transformational *calculus* will be presented in the sequel which complements the technique described in [Ol85].

### 3. Introduction to the *Sets* Calculus

It is well-known that *Sets* has a “cartesian closed” structure, ie. it admits finite-products ( $A \times B$ ) and finite exponentiations ( $A^B$ ) for all finite *Sets*-objects  $A$  and  $B$ :

$$\begin{aligned} A \times B &\stackrel{\text{def}}{=} \{ \langle a, b \rangle \mid a \in A \wedge b \in B \} \\ A^B &\stackrel{\text{def}}{=} \{ f \mid f : B \rightarrow A \} \end{aligned}$$

The empty set  $\emptyset$  is said to be the *initial* object 0 of *Sets*. Any singleton set

$$\{0\} \cong \{1\} \cong \dots \cong \{x\} \tag{11}$$

can be abstracted by the *final* *Sets*-object 1<sup>2</sup>. Furthermore, *Sets* admits co-products ( $A + B$ ):

$$A + B \stackrel{\text{def}}{=} (\{1\} \times A) \cup (\{2\} \times B)$$

and solutions to most domain equations of the form

$$X \cong \mathcal{F}(X)$$

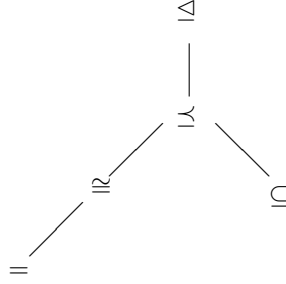
for functors  $\mathcal{F}$  involving such operations<sup>3</sup>. From exploring such a structure, we obtain useful laws for the transformations we want to perform at *Sets*-level [MA86]. The first set of laws,

$$A \times B \cong B \times A \tag{12}$$

$$A \times (B \times C) \cong (A \times B) \times C \tag{13}$$

<sup>2</sup> See [MA86] for technical details about the concept of an initial/final object, which will not be developed further in the sequel.

<sup>3</sup> In general,  $X \cong \mathcal{F}(X)$  does not always have solutions in *Sets* if exponentiation is allowed. A well known counter-example, due to Scott & Strachey, is  $X \cong A + X^X$ . [MA86] give a thorough discussion of this problem, which leads beyond sets to *domains*. However, functors  $\mathcal{F}(X)$  involving  $X$  in the exponent are unusual in data-type specification, and are of theoretical interest only. As pointed out by [MA86], one may stay with *Sets* in data-type definition, resorting to domains only in program specification.



**Fig. 3.** A hierarchy of relations on *Sets*

$$A \times 1 \cong A \quad (14)$$

$$A + B \cong B + A \quad (15)$$

$$A + (B + C) \cong (A + B) + C \quad (16)$$

$$A + 0 \cong A \quad (17)$$

$$A \times 0 \cong 0 \quad (18)$$

$$A \times (B + C) \cong (A \times B) + (A \times C) \quad (19)$$

establishes that *Sets*/ $\cong$  may be regarded as a commutative semiring under  $\times$  and  $+$ . Concerning exponentiation, one has:

$$A^1 \cong A \quad (20)$$

$$(A \times B)^C \cong A^C \times B^C \quad (21)$$

$$A^{B \times C} \cong (A^C)^B \quad (22)$$

$$1^A \cong 1 \quad (23)$$

$$A^{B+C} \cong A^B \times A^C \quad (24)$$

$$A^0 \cong 1 \quad (25)$$

The *Sets*-object 2

$$2 \cong 1 + 1$$

is our canonical denotation of  $Bool = \{TRUE, FALSE\}$ . Clearly,  $2 \cong Bool$ . At a lower level, other useful facts hold in *Sets*, for example:

$$2^A \cong \mathcal{P}A \quad (26)$$

$$A \cap B = \emptyset \Rightarrow A \cup B \cong A + B \quad (27)$$

$$A^B \cong A^X \times A^{B-X} \Leftarrow X \subseteq B \quad (28)$$

$$A^n \cong A \times A^{n-1} \quad (29)$$

$$n \neq m \Rightarrow A^n \cap A^m = \emptyset \quad (30)$$

Law 29 is mere instantiation of law 28, since  $n - 1 \subseteq n$  ( $n$  denotes the initial segment of  $\mathbb{N}$  whose cardinality is  $n$ ).

The *Sets*-relation hierarchy depicted in Figure 3<sup>4</sup> is based on the following

facts, for all  $A, B$  in  $Sets$ :

$$A = B \Rightarrow A \cong B \quad (31)$$

$$A \cong B \Rightarrow A \preceq B \quad (32)$$

$$A \subseteq B \Rightarrow A \preceq B \quad (33)$$

The following corollary establishes an obvious connection between Theorem 1 and the isomorphism laws 12 to 29.

**Corollary 1. (Object Isomorphism)** Theorem 1 holds for object-transformations within  $Sets$ -isomorphism.

**Proof:** fact 32.  $\square$

By the following theorem,  $Sets$  may be regarded as a  $\preceq$ -ordered algebra.

**Theorem 2. ( $\preceq$ -Monotonicity of  $Sets$  Operators)** The operators  $\times$ , exponentiation and  $+$  are *monotone* wrt. the redundancy-ordering of Definition 1, ie. given  $Sets$ -objects  $A, B, X, Y$  such that  $A \preceq X$  and  $B \preceq Y$ , then facts

$$A \times B \preceq X \times Y \quad (34)$$

$$A + B \preceq X + Y \quad (35)$$

$$A^B \preceq X^Y \quad (36)$$

hold.

**Proof (Outline):** Let  $X \xrightarrow{\alpha} A$  and  $Y \xrightarrow{\beta} B$  be the retrieve-maps corresponding to  $A \preceq X$  and  $B \preceq Y$ . Then

- equation 34 — the product-morphism  $[\alpha, \beta]$ ,

$$[\alpha, \beta](\langle x, y \rangle) \stackrel{\text{def}}{=} \langle \alpha(x), \beta(y) \rangle$$

is the retrieve-map between  $X \times Y$  and  $A \times B$ ;

- equation 35 — the coproduct-morphism  $\alpha \oplus \beta$ ,

$$\alpha \oplus \beta(x) \stackrel{\text{def}}{=} \begin{array}{l} \text{is-}X(x) \rightarrow \alpha(x) \\ \text{is-}Y(x) \rightarrow \beta(x) \end{array}$$

(where the “is-” predicates are the canonical projections associated to the arguments of a disjoint-union, cf. [Jo80]) is the retrieve-map between  $X + Y$  and  $A + B$ ;

- equation 36 — the retrieve-map  $\gamma$  between  $X^Y$  and  $A^B$  is such that, for each  $f \in X^Y$ ,

$$\alpha \circ f = \gamma(f) \circ \beta$$

$\square$

The following theorem extends  $\preceq$ -monotonicity towards recursively defined data domains.

**Theorem 3. ( $\preceq$ -Monotonicity of  $Sets$ -Recursion)** Let  $\mathcal{F}$  and  $\mathcal{G}$  be two functors in  $Sets$  built by composition of the  $\preceq$ -monotone operators of theorem 2. If

$$\mathcal{F}(X) \preceq \mathcal{G}(X) \quad (37)$$

<sup>4</sup> The meaning of relation  $\preceq$  will be explained later on, in section 4.1.

<i>Sets</i>	META-IV	Z	ME-TOO	<b>Description</b>
$2^A$	$A\text{-set}$	$\mathbf{PA}$	$\text{set}(A)$	Finite sets
$A^*$	$A\text{-list}$	$\text{seq } A$	$\text{seq}(A)$	Finite lists
$A \hookrightarrow B$	$A \xrightarrow{m} B$	$A \not\rightarrow B$	$\text{ff}(A,B)$	Finite Mappings
$A \times B$	$A \text{ B}$	$A \times B$	$\text{tup}(A,B)$	Tuples
$A + B$	$A \mid B$			Unions
$A + 1$	$[ A ]$			Omissions

**Table 1.** *Sets* versus Model-oriented Specification Notations

for any  $X$ , then the solution to domain equation

$$X \cong \mathcal{G}(X) \tag{38}$$

is a  $\preceq$ -refinement of the solution to

$$X \cong \mathcal{F}(X) \tag{39}$$

**Proof:** We will prove that any fixpoint solution  $X_{\mathcal{G}}$  to equation 38 is a  $\preceq$ -refinement of  $\mu\mathcal{F}$ , the least fixpoint solution to equation 39. Firstly, if  $X_{\mathcal{G}}$  is a solution of  $\mathcal{G}$ , then  $\mathcal{G}(X_{\mathcal{G}}) \cong X_{\mathcal{G}}$ , ie.  $\mathcal{G}(X_{\mathcal{G}}) \preceq X_{\mathcal{G}}$  cf. equation 32. Then

$$\mathcal{F}(X_{\mathcal{G}}) \preceq X_{\mathcal{G}} \tag{40}$$

by equation 37 and  $\preceq$ -transitivity (equation 8). Since  $\mathcal{F}$  involves only monotone operators,  $\mathcal{F}$  is also monotone [Ma74]. Then we may regard equation 40 as the antecedent of a fixpoint induction argument [Ma74], whose consequent is,

$$\mu\mathcal{F} \preceq X_{\mathcal{G}}$$

completing the proof.

□

By theorems 2 and 3, the components of each data domain of a *Sets* expression can be refined in isolation. This allows for the stepwise introduction of redundancy in formal models of software, towards implementation levels.

Finally, the  $\preceq$ -ordering is extended to models in the obvious way. Given a model  $\mathcal{A}$  whose syntax involves a sort  $s$ , and a set  $X$  such that  $\mathcal{A}(s) \preceq X$ , we will write

$$\mathcal{A}[X/s]$$

to denote the model obtained from  $\mathcal{A}$  by replacing  $X$  for  $\mathcal{A}(s)$  and adopting the corresponding morphism-refinements. Clearly,  $\mathcal{A}[X/s] \sqsupseteq \mathcal{A}$  in the lattice of all  $\Sigma$ -models (cf. Theorem 1).

### 3.1. *Sets*-Objects Useful in Specifications

Constructive (model-oriented) specification makes extensive use of *Sets*-constructs. Table 1 shows how some finite object constructions in *Sets* are written in the META-IV, Z and ME-TOO notations.

The definitions of  $A^*$  and  $A \leftrightarrow B$  are as follows:

$$A^* \cong \bigcup_{n=0}^{\infty} A^n \quad (41)$$

$$A \leftrightarrow B \cong \bigcup_{X \subseteq A} B^X \quad (42)$$

The *Sets*-denotation for META-IV *omission* is explained as follows,

$$\begin{aligned} [A] &= A \mid \{NIL\} \\ &\cong A \cup \{NIL\} \\ &\cong A + 1 \end{aligned}$$

from equations 11 and 27 (since  $NIL \notin A$  is assumed). Note that it may be convenient to think of mappings in terms of total functions, by introducing an *undefined* value  $\perp$ , ie.  $B$  in  $A \leftrightarrow B$  is extended to  $B \cup \{\perp\} \cong B + 1$ , and one may write:

$$A \leftrightarrow B \cong (B + 1)^A \quad (43)$$

#### 4. Examples of Calculated Reification

This section illustrates the purpose of the *transformational calculus* introduced in the previous sections, with a few examples. A small extension to the calculus will be shown to be necessary in order to accommodate reasoning about data-type invariants.

We begin with a simple example of object transformation geared towards a final encoding into PASCAL. It shows how to refine the META-IV domain  $A$ -list (ie.  $A^*$  in *Sets*, cf. Table 1 and equation 41) into its usual “linked-list” representation:

$$\begin{aligned} A^* &\cong \bigcup_{n=0}^{\infty} A^n \\ &\cong \sum_{n=0}^{\infty} A^n \\ &\cong 1 + A + A^2 + \dots \end{aligned} \quad (44)$$

$$\cong 1 + N \quad (45)$$

introducing a variable

$$N = A + A^2 + \dots$$

and resorting to laws 16, 30, 27, 25, 20, 35 and 32. Now,

$$\begin{aligned} N &\cong A \times 1 + A \times A + A \times A^2 + \dots \\ &\cong A \times (1 + A + A^2 + \dots) \\ &\cong A \times A^* \end{aligned} \quad (46)$$

resorting to laws 20,29,25 and an infinitary version of 19. Step 46 was obtained by “folding” through step 44. In summary,

$$\begin{aligned}
A^* &\cong L & (47) \\
\text{where } L &= 1 + N \\
N &\cong A \times L
\end{aligned}$$

or

$$A^* \cong 1 + A \times A^*$$

cf. steps 45 and 46. An alternative reading of this reasoning is:  $A^*$  is an *initial* solution to the equation

$$L \cong 1 + A \times L$$

cf. [MA86].

Finally, the transliteration of 47 into META-IV notation is:

$$\begin{aligned}
L &= [N] \\
N &:: C : A \\
&P : L
\end{aligned}$$

which leads to the following PASCAL code:

```

L = ^N;
N = record
  C: A;
  P: L
end;

```

□

The next example shows how to transform *binary relations* into *abstract mappings*, and vice-versa. This is one of a set of results which prove useful in model-refinement towards *relational database* systems. For each relation in the META-IV domain

$$A \overset{m}{\leftrightarrow} B \stackrel{\text{def}}{=} (A \ B)\text{-set}$$

we want to obtain a mapping in  $A \overset{m}{\rightarrow} (B\text{-set})$ . In *Sets*, one writes  $2^{A \times B}$  instead of  $A \overset{m}{\leftrightarrow} B$ . Moreover,

$$\begin{aligned}
2^{A \times B} &\cong 2^{B \times A} \\
&\cong (2^B)^A & (48)
\end{aligned}$$

cf. laws 12 and 22. Let  $2_+^B = 2^B - \{\lambda b.FAL\!SE\}$ , where  $\lambda b.FAL\!SE$  denotes the *everywhere FALSE* predicate on  $B$ , ie. the predicate which induces the empty set  $\emptyset$  on  $B$ . Therefore,

$$2_+^B \cong \mathcal{P}B - \{\emptyset\}$$

From facts 26,27 and 11 one draws:

$$\begin{aligned}
2^B &= 2_+^B \cup \{\lambda b.FAL\!SE\} \\
&\cong 2_+^B + 1
\end{aligned}$$

whereby equation 48 — combined with law 43 — rewrites to:

$$\begin{aligned}
2^{A \times B} &\cong (2_+^B + 1)^A \\
&\cong A \hookrightarrow 2_+^B & (49)
\end{aligned}$$

Equation 49 is an abstract-mapping-level counterpart of equation 22, whose isomorphism can be established by the following bijection (written in META-IV notation):

$$\begin{aligned} \text{collect} & : (A \xrightarrow{m} B) \longrightarrow (A \xrightarrow{m} (B\text{-set})) \\ \text{collect}(\rho) & \stackrel{\text{def}}{=} \{a \mapsto \{x \in B \mid a\rho x\} \mid \langle a, b \rangle \in \rho\} \end{aligned} \quad (50)$$

and its inverse *discollect*.

Note that  $A \hookrightarrow 2_+^B$  is less general a data-domain than  $A \hookrightarrow 2^B$  — which is our target, cf.  $A \xrightarrow{m} (B\text{-set})$  — since it does not allow for empty images in mappings. As a matter of fact,

$$2^{A \times B} \preceq A \hookrightarrow 2^B \quad (51)$$

since — extended to  $A \hookrightarrow 2^B$  — *collect* is no longer surjective, and *discollect* is no longer injective. This means that the data domain  $A \hookrightarrow 2^B$  can be accepted as a refinement of  $A \hookrightarrow 2_+^B$  provided that such a restriction is taken into account. This leads to the notion of a *data-type invariant*, which is discussed in the next section.

#### 4.1. Data-type Invariants

*Data-type invariants* are Boolean-valued morphisms (predicates) in *Sets* which are required wherever the mathematical definition of a class of data is too generic, and has to be restricted by a *validity predicate* (cf. *inv-BAMS* in the example of section 1.1). Data-refinement decisions may lead to adequate low-level data-domains which, however, may contain *invalid* data-representatives. In such cases, data-type invariants are not *intrinsic* to data-domain specification; they are *consequences* of data-refinement. In this context, the redundancy ordering ( $\preceq$ ) turns out to be too strong, and has to be extended to a “super-redundancy” ordering, defined by

$$X \trianglelefteq Y \stackrel{\text{def}}{=} \exists S \subseteq Y : X \preceq S \quad (52)$$

$X \trianglelefteq Y$  may be regarded as meaning that there is a partial surjection from  $Y$  to  $X$ .

The subset  $S \subseteq Y$  in equation 52 is our formal basis for data-type invariant definition and inference: one will say that an invariant, *inv-S*, has been induced upon the refinement of  $X$  into  $Y$ . Predicate *inv-S* is easy to define: it simply is the *characteristic function* of  $S$  in  $Y$ , ie.

$$\text{inv-}S(y) = \begin{cases} \text{TRUE} & \text{if } y \in S \\ \text{FALSE} & \text{if } y \in Y - S \end{cases}$$

Note that  $\preceq$  is a special case of  $\trianglelefteq$ , ie.

$$X \preceq Y \Rightarrow X \trianglelefteq Y$$

(make  $S = Y$  in equation 52), the induced invariant being the *everywhere TRUE* predicate on  $Y$ , and thus omitted in practice. In general, data-type invariants imply *partial* morphisms, which become *total* if restricted to *valid* data.

The following illustration of  $\trianglelefteq$ -reasoning is targetted at proving a law,

$$A \hookrightarrow (B \times C) \trianglelefteq (A \hookrightarrow B) \times (A \hookrightarrow C) \quad (53)$$

which is another example of specification-transformation useful in refining towards relational data-models (see example in section 4.2 later on). This distributive law is the counterpart of law 21, at  $\leftrightarrow$ -level. Our constructive-proof will encompass the inference of the associated low-level data-type invariant. We know that:

$$\begin{aligned} A \leftrightarrow (B \times C) &\cong \bigcup_{K \subseteq A} (B \times C)^K \\ &\cong \bigcup_{K \subseteq A} (B^K) \times (C^K) \\ &\cong \{\langle f, g \rangle \mid f \in B^K \wedge g \in C^K \wedge K \subseteq A\} \\ &= \{\langle f, g \rangle \mid f \in A \leftrightarrow B \wedge g \in A \leftrightarrow C \wedge \text{dom } f = \text{dom } g\} \end{aligned}$$

cf. Table 1 and law 21. Thus, there is  $S \subseteq (A \leftrightarrow B) \times (A \leftrightarrow C)$  such that:

$$A \leftrightarrow (B \times C) \cong S$$

and such that  $\text{inv-}S$  is:

$$\text{inv-}S(\langle f, g \rangle) \stackrel{\text{def}}{=} \text{dom } f = \text{dom } g \quad (54)$$

Therefore,

$$A \leftrightarrow (B \times C) \trianglelefteq (A \leftrightarrow B) \times (A \leftrightarrow C)$$

holds. The corresponding retrieve-map is:

$$\text{retr}(\langle f, g \rangle) = f \bowtie g \quad (55)$$

where  $\bowtie$  denotes the following “pairing” operator on mappings obeying to 54:

$$f \bowtie g \stackrel{\text{def}}{=} \{a \mapsto \langle f(a), g(a) \rangle \mid a \in \text{dom } f\} \quad (56)$$

□

Another basic result useful in relational-database transformations is:

$$A \leftrightarrow B \trianglelefteq 2^{A \times B} \quad (57)$$

which records the well-known fact that *every mapping “is” a relation*. Of course, not all relations are functions. This suggests that the associated invariant should express a functional-dependence. In fact,

$$\begin{aligned} A \leftrightarrow B &\cong \{\rho \subseteq A \times B \mid \forall \langle a, b \rangle, \langle a', b' \rangle \in \rho : (a = a' \Rightarrow b = b')\} \\ &= \{\rho \in 2^{A \times B} \mid \text{fdp}(\rho)\} \\ &\trianglelefteq 2^{A \times B} \end{aligned} \quad (58)$$

where a predicate  $\text{fdp}(\rho)$ , introduced as an abbreviation of the universal quantifier of equation 58, defines the induced invariant over  $2^{A \times B}$ . This is written in META-IV as follows:

$$\begin{aligned} \text{fdp} &: (A \xrightarrow{m} B) \longrightarrow \text{Bool} \\ \text{fdp}(\rho) &\stackrel{\text{def}}{=} \forall \langle a, b \rangle, \langle a', b' \rangle \in \rho : (a = a' \Rightarrow b = b') \end{aligned} \quad (59)$$

A valid retrieve-map for this  $\trianglelefteq$ -relationship is:

$$\text{mkf} : (A \xrightarrow{m} B) \longrightarrow (A \xrightarrow{m} B)$$



$$mkf(\rho) \stackrel{\text{def}}{=} \{a \mapsto b \mid a \in \text{dom}(\rho) \wedge b \in B \wedge a\rho b\} \quad (60)$$

which is well-defined for every relation  $\rho$  satisfying 59 ( $\text{dom}$  is the operator defined above by equation 2).

□

## 4.2. Systematic Inference of Retrieve Functions and Data-type Invariants

Similarly to the redundancy ordering ( $\preceq$ ), the super-redundancy ordering ( $\trianglelefteq$ ) introduced in section 4.1 is reflexive and transitive,

$$\begin{aligned} X &\trianglelefteq X \\ X \trianglelefteq Y \wedge Y \trianglelefteq Z &\Rightarrow X \trianglelefteq Z \end{aligned}$$

and compatible with *Sets*-operators, ie.:

$$A \times B \trianglelefteq X \times Y \quad (61)$$

$$A + B \trianglelefteq X + Y \quad (62)$$

$$A^B \trianglelefteq X^Y \quad (63)$$

for  $A \trianglelefteq X$  and  $B \trianglelefteq Y$  (the retrieve-maps and data-invariants being obtained in a way similar to theorem 2). This means that both data-type invariants and retrieve-maps can be inferred in a stepwise, structural manner. For a chain of  $n$   $\trianglelefteq$ -steps, involving  $n$  retrieve-maps  $\text{retr}_i (i = 1, \dots, n)$  and  $n$  invariants  $\text{inv}_i (i = 1, \dots, n)$ , the overall retrieve-map is obtained by:

$$\text{retr} = \bigcirc_{i=1}^n \text{retr}_i \quad (64)$$

and the overall invariant is obtained by:

$$\text{inv} = \lambda x. \bigwedge_{i=1}^n \text{inv}_i((\bigcirc_{j=i+1}^n \text{retr}_j)(x)) \quad (65)$$

In summary, the systematic inference of *retrieve-maps* (between models) is achieved by structural composition of morphisms implicit in the *Sets*-rules presented above. Wherever  $\trianglelefteq$ -reasoning is involved, data-type *invariants* are synthesised in a similar way, together with retrieve-maps. This is illustrated in the following, final example.

We want to transform *BAMS* into *BAMS1* (cf. section 1.1) and infer the corresponding retrieve-map and induced data-type invariant. The *Sets*-notation for the META-IV-syntax of *BAMS* is,

$$BAMS = \text{AccNr} \hookrightarrow (2_+^{\text{AccHolder}} \times \text{Amount})$$

where  $2_+^{\text{AccHolder}}$ , instead of  $2^{\text{AccHolder}}$ , takes inv-*BAMS* into account. Using laws 53, 49 and 57, *BAMS* is subject to transformational reasoning,

$$\begin{aligned} BAMS &= \text{AccNr} \hookrightarrow (2_+^{\text{AccHolder}} \times \text{Amount}) \\ &\trianglelefteq (\text{AccNr} \hookrightarrow 2_+^{\text{AccHolder}}) \times (\text{AccNr} \hookrightarrow \text{Amount}) \\ &\cong (2^{\text{AccNr} \times \text{AccHolder}}) \times (\text{AccNr} \hookrightarrow \text{Amount}) \\ &\trianglelefteq (2^{\text{AccNr} \times \text{AccHolder}}) \times (2^{\text{AccNr} \times \text{Amount}}) \\ &= BAMS1 \end{aligned}$$

which has led to *BAMS1* in an easy way. The first  $\leq$ -step induces an invariant:

$$\text{inv}_1(\langle f, g \rangle) \stackrel{\text{def}}{=} \text{dom } f = \text{dom } g$$

matching with the retrieve-map:

$$\text{retr}_1(\langle f, g \rangle) \stackrel{\text{def}}{=} \{a \mapsto \langle f(a), g(a) \rangle \mid a \in \text{dom } f\}$$

cf. equations 55 and 56. The subsequent  $\cong$ -step induces the retrieve-map:

$$\text{retr}_2 \stackrel{\text{def}}{=} [\text{collect}, \text{id}]$$

cf. equations 34 and 50. The last  $\leq$ -step induces invariant 59 on the second argument:

$$\text{inv}_3(\langle \rho, \sigma \rangle) \stackrel{\text{def}}{=} \text{fdp}(\sigma)$$

and the retrieve-map:

$$\text{retr}_3 \stackrel{\text{def}}{=} [\text{id}, \text{mkf}]$$

cf. equation 60. The overall retrieve-map is obtained by chained morphism-composition, cf. rule 64:

$$\begin{aligned} \text{retr}_1 \circ \text{retr}_2 \circ \text{retr}_3 &= \text{retr}_1 \circ \text{retr}_2 \circ [\text{id}, \text{mkf}] \\ &= \text{retr}_1 \circ [\text{collect}, \text{id}] \circ [\text{id}, \text{mkf}] \\ &= \text{retr}_1 \circ [\text{collect}, \text{mkf}] \\ &= \bowtie \circ [\text{collect}, \text{mkf}] \\ &= \lambda \langle \rho, \sigma \rangle. \text{ let } f = \text{collect}(\rho) \\ &\quad \text{in } \{a \mapsto \langle f(a), \text{mkf}(\sigma)(a) \rangle \mid a \in \text{dom } f\} \end{aligned}$$

The overall data-type invariant is obtained using rule 65. Writing  $\text{inv}(\langle \rho, \sigma \rangle)$  as a shorthand for  $\text{inv-BAMS1}(\text{mk-BAMS1}(\rho, \sigma))$ , one has:

$$\begin{aligned} \text{inv}(\langle \rho, \sigma \rangle) &= \text{inv}_1(\text{retr}_2(\text{retr}_3(\rho, \sigma))) \wedge \\ &\quad \text{inv}_2(\text{retr}_3(\rho, \sigma)) \wedge \\ &\quad \text{inv}_3(\rho, \sigma) \\ &= \text{inv}_1(\text{retr}_2(\rho, \text{mkf}(\sigma))) \wedge \\ &\quad \text{TRUE} \wedge \\ &\quad \text{fdp}(\sigma) \\ &= \text{inv}_1(\text{collect}(\rho), \text{mkf}(\sigma)) \wedge \\ &\quad \text{fdp}(\sigma) \\ &= (\text{dom } \text{collect}(\rho) = \text{dom } \text{mkf}(\sigma)) \wedge \\ &\quad \text{fdp}(\sigma) \\ &= (\text{dom}(\rho) = \text{dom}(\sigma)) \wedge \text{fdp}(\sigma) \end{aligned}$$

that is, the same invariant as postulated by equation 1. The last step above relies on two simple facts relating the relation-domain operator (equation 2) and the META-IV *dom* mapping-operator:

$$\begin{aligned} \text{dom } \text{collect}(\rho) &= \text{dom}(\rho) \\ \text{dom } \text{mkf}(\rho) &= \text{dom}(\rho) \end{aligned}$$

□

Note in passing that we were saved from writing explicit proofs for two standard VDM verification-steps about retrieve-maps, *adequacy* and *totality* over valid data, which are implicitly guaranteed by the whole transformational process.

## 5. Conclusions

The main motivation for the work described in this paper has been the need for “proof discharge” strategies in formal methods for software design. It is suggested that the *transformational paradigm* [BW82, Da82] should be extended to the refinement of model-oriented specifications, and shown how *program transformation* leads to *model transformation* in a natural way. A set-theoretical basis for a comprehensive *reification calculus* handling data-structure transformation is presented, whereby efficiency is gradually induced into algorithms, in a controlled way.

Such a transformational calculus is applicable to methodologies such as VDM, matching with a transformation-style formerly proposed, at operation-level, in [Ol85]. Following its rules in a structured way,

- retrieve-maps and lower-level data-type invariants are systematically synthesized;
- data-type invariants are deduced by formal reasoning instead of being stated in an *ad hoc* way; this means that there is little danger of over-strengthening them, in which case proofs may become over-complicated;
- standard proofs about retrieve-maps such as *adequacy* and *totality over valid data* are not required because they are implicitly guaranteed by the method.

It should be stressed that a formal notion of “model redundancy” (and associated calculus) is useful at specification-level itself. In fact, it enables the software engineer to decide upon “better models” for his/her specifications. For instance, suppose that two domains  $A$  or  $B$  seem adequate as the semantic domain  $\mathcal{A}(s)$  for some syntactic domain  $s$  (in a software model  $\mathcal{A}$ ), and that  $A \trianglelefteq B$ . Then  $\mathcal{A}[A/s]$  — the model obtained by making  $\mathcal{A}(s) = A$  — will be a “better” model than  $\mathcal{A}[B/s]$  — *mutatis mutandis*  $\mathcal{A}(s) = B$ . The latter model would require spurious data-type invariants and would involve too complex morphism-specifications. In this context,  $\trianglelefteq$ -reasoning proceeds in reverse order: given a rule  $L \trianglelefteq R$ , an instance of  $R$  is replaced by the corresponding instance of  $L$ , obtaining more abstract data-domains while removing unnecessary data-type invariants.

A “laboratory” version of our model-algebra has been successfully applied to a sizeable case-study [M\*88] for industry. Real examples such as this are relevant because theoretical results need feedback from practice. For example, new transformation rules were found out throughout the exercise reported in [M\*88]. Reference [Ol89a] shows how the calculus can be applied to the transformation of VDM-specification models into *object-oriented* modules.

## 6. Future Work

This is work under progress and requires further research in several respects:

- The calculus described in this paper is still in its infancy. Further laws and

results are required before it becomes a practical tool for imperative software development. For example, [O188b] refers to current research on laws for *recursion removal* from data-structures, by introduction of *pointers*, *keys* or *names* typical of imperative programming (including database design and object-oriented programming), for instance, the law

$$A \cong \mathcal{F}(A) \trianglelefteq K \times K \hookrightarrow \mathcal{F}(K)$$

which makes “pointers” ( $K$ ) to “heaps” ( $K \hookrightarrow \mathcal{F}(K)$ ) explicit. Such laws induce fairly elaborate invariants and retrieve functions, because of the danger of nontermination and/or pointer undefinedness.

The exercise reported in [M\*88] suggests that *normal-form theory* can perhaps be regarded as a sub-calculus of the reification calculus. This should be investigated.

A limitation of the calculus is developed so far is that all transformations are “context-free”, in that they do not take invariants into account. For instance, in the *BAMS1*-refinement of the *BAMS*-syntax (cf. section 1.1), the specifier might wish to save space in the amounts-table by removing all entries whose amount is 0:

$$\text{Row2} \quad :: \quad K : \text{AccNr} \quad A : (\text{Amount} - \{0\})$$

leading to a weaker version of formula 1:

$$\text{inv-}BAMS1(\text{mk-}BAMS1(ht, at)) \stackrel{\text{def}}{=} \text{dom}(at) \subseteq \text{dom}(ht) \wedge \text{dep}KA(at) \quad (66)$$

cf. [O188a]. The “invariant-sensitive” rule required by the transformation of (1) into (66) is the following: let  $S$  be the subset  $S \subseteq (A \hookrightarrow B) \times (A \hookrightarrow C)$  induced by invariant 54, and let  $R$  be the subset  $R \subseteq (A \hookrightarrow B) \times (A \hookrightarrow (C - \{c\}))$ , where  $c \in C$ , induced by

$$\text{inv-}R(\langle f, g \rangle) \stackrel{\text{def}}{=} \text{dom } f \supseteq \text{dom } g$$

Then  $S \preceq R$  with

$$\text{retr}(\langle f, g \rangle) \stackrel{\text{def}}{=} \langle f, g \sqcup \{a \mapsto c \mid a \in \text{dom } f - \text{dom } g\} \rangle$$

“Invariant-sensitive” transformations such as above seem to be common in VDM, and should be studied in detail.

- At operation-level, the *pre-/post-condition* style of specification (which is able to express non-deterministic behaviour) is dealt with by regarding such conditions as Boolean-valued morphisms. For instance, if

$$\text{post-}OP : \Sigma \ A \ \Sigma \longrightarrow \text{Bool}$$

is a post-condition on a class of  $\Sigma$ -states, accepting arguments in a class  $A$ , and  $\text{retr}_\Sigma$  and  $\text{retr}_A$  are (respectively) the retrieve-maps implicit in two given refinement decisions,  $\Sigma \preceq \Omega$  and  $A \preceq B$ , then the implied reification of  $OP$ ,

$$\text{post-}OP1 : \Omega \ B \ \Omega \longrightarrow \text{Bool}$$

is any solution to the equation

$$\text{post-}OP1(\omega, b, \omega') \Rightarrow \text{post-}OP(\text{retr}_\Sigma(\omega), \text{retr}_A(b), \text{retr}_\Sigma(\omega'))$$

However, it may be preferable to redefine the very notions of *signature* and

*model* in order to accommodate “procedural” formal specifications, cf. eg. [Ni86, Fi89, Ol89b].

[Ni86] generalizes the model-theoretic basis for data types from algebras to multi-algebras, introducing the notion of a *nondeterministic data type* and providing it with a basis for correctness of implementations. The relationship between abstract and concrete data is recorded in terms of *relations* rather than *functions*. At data-domain level, the calculus presented in this paper is applicable to this wider notion of an implementation. However, special attention should be paid to the implications of generalizing homomorphisms to behavioural *simulations*.

[Ol89b] resorts to CCS [Mi89] to incorporate behaviour in VDM-modules, approaching the expressive power of object-oriented specification. [Fi89] develops *modal logic* frameworks for algebraic, object-oriented specification.

- The rudimentary category-theoretical foundations of the original approach [Ol88a] should be better exploited. We believe that a more thorough support on category theory (following [MA86], for instance) may significantly improve it. In particular, the formalisms dependent on *Sets* should be generalized to other cartesian-closed categories with co-products. *Sets* is perhaps too restricted a category for formal specification of *imperative software* modelling. Alternative, *object-oriented* approaches to formal specification are being investigated, cf. eg. FOOPS [GM87]. Reference [S\*87] describes a categorical approach to object-oriented specification.
- Past work on *dataflow program semantics* [Ol84] showed the advantage of variable-less, function-level notations (such as FP [Ba78]) in program transformation, because of their compactness and associated *algebra of programs*. The present research has increased our interest on such notations, because of their strong connections with the “morphism-language” of category theory (see also the *f-NDP* notation of [Va87]).
- The relationship between this approach and Hoare [Ho87]’s categorical setting for data refinement should be investigated.

The introduction of algebraic *reification-calculi* in software engineering appears to be a natural evolution, when compared with the historical development of the scientific bases for other engineering areas (eg. civil and mechanical engineering etc.) which, some centuries ago, started omitting complicated geometrical proofs in favour of algebraic reasoning. The reader is left with the following quotation by a Portuguese mathematician of the 16<sup>th</sup> century, when classic algebra was emerging and started being applied to practical problems:

“Quien sabe por Algebra, sabe scientificamente.” *Pedro Nunes (1502-1578) in libro de algebra, 1567, fol 270v.*

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