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ABSTRACT

Usual algebraic specification techniques can be extended to treat partially ordered sorts. This allows the introduction of sub- and supersorts as well as overloaded operators, while pleasant features (e.g. existence of initial algebras and equivalence of algebraic and operational semantics) of the equational specification method are preserved. On this basis error and exception handling is studied. For each sort an ok and an error subsort is introduced and clean algebras (i.e. algebras which are ok/error-consistent and ok/error-complete) are considered. This new approach allows to prove an extension lemma for persistent parametric specifications which permit error handling.

1. INTRODUCTION

During the last years algebraic specifications proved to be a promising method for the specification of abstract data types in programming languages and software engineering. There are many approaches and philosophies for the algebraic semantics of such specifications. Among them are initial [ADJ 76, ADJ 81, EKMP 82, K1 84], final [Wa 79, WPPDB 83, Ga 83] and observational semantics [GGM 76, ST 85]. Research in the field led to the development of specification languages like OBJ [FGJM 85], ACT ONE [EFH 83], ASL [SW 83] and many others.

Partially ordered sorts first introduced in [Go 78] have been treated in a series of papers [Go 83, Po 84, GM 84, GJM 85, etc.]. They are the basis for our approach to error and exception handling, a topic which is studied extensively in the literature

[ADJ 76, Go 77, Go 78, BGP 82, GDLE 82, Bi 84, Po 84, BBC 86, etc.]. The fundamental new notions introduced here are that of clean algebras and clean specifications, where clean refers to ok/error-consistency and ok/error-completeness. This approach allows the use of pure error variables, which was not possible before. In the literature only [Po 84] considers parametric specifications in connection with error handling, which is quite important because special problems arise here. [Po 84] works with non persistent specifications, whereas we carry over persistency to the exception handling case. By this we can apply the Rextension lemma of [Eh 81] and use it for our clean algebra approach, guaranteeing the well definedness of the application of parametric specifications.

The paper is organized as follows. Chapter 2 introduces the basic ideas by means of some examples. Chapter 3 reviews the fundamental definitions and facts concerning subsorts in algebraic specifications. Chapter 4 treats clean algebras and clean specifications. Chapter 5 discusses parametrization and our extension lemma. Chapter 6 gives some short concluding remarks. Due to space limitations all proofs are omitted.

2. THE BASIC IDEA

Our main new concept for error and exception handling is that of a clean algebra. This means that our algebras have two subsorts for the ok and error part of each sort and the carriers are ok/error-consistent (there is no element which is both ok and error) and ok/error-complete (every element is either ok or error). The approach is explained best by an example. Here is our specification of the natural numbers.

spec NaturalNumbersWithErrorHandling =

sorts Nat

opns 0: -> Nat-Ok

Succ : Nat-Ok -> Nat-Ok

Error : -> Nat-Error

Succ, Pred: Nat -> Nat
Plus, Times: Nat Nat -> Nat

vars
n:Nat n+,m+:Nat-Ok n-:Nat-Error

eqns
Succ(n-) = nPred(0) = Error
Pred(Succ(n+)) = n+
Pred(n-) = nPlus(0,n+) = n+
Plus(Succ(n+),m+) = Succ(Plus(n+,m+))
Plus(n-,n) = Plus(n,n-) = nTimes(0,n+) = 0
Times(Succ(n+),m+) = Plus(Times(n+,m+),m+)
Times(n-,n) = Times(n,n-) = n-

end spec

The semantics of the specification is an algebra having as carriers for Nat-Ok the natural numbers and for Nat-Error one distinguished error constant. There are some peculiarities in the specification above worth to be mentioned. (1) The sort Nat implicitly the subsorts Nat-Ok and Nat-Error. (2) The function Succ is declared twice in the signature. The first occurrence assures that Succ yields an ok value when applied to such one. The second occurrence indicates that Succ may also be applied to all Nat values, but makes no statement about the nature of the result. (3) Three different kinds of variables corresponding to the three sorts and subsorts are used. (4) It is important to use an ok variable in the axiom Times(0,n+) = 0, otherwise this axiom would cause an error recovery. (5) The functions can be classified into constructors (line 1-3 of the opns-part) and derived functions (line 4-5 of the opns-part). (6) The error variable in Succ(n-) = n- assures error propagation for the function Succ. The use of pure error variables is essential for parametric specifications, as the next example shows.

spec ParametricBinaryTrees =

<u>parm</u> <u>sorts</u> Entry

opns NoEntry : -> Entry-Error

body sorts Tree

opns Leaf : Entry-Ok -> Tree-Ok

Node : Tree-Ok Tree-Ok -> Tree-Ok

NoTree : -> Tree-Error

Leaf : Entry -> Tree

Node : Tree Tree -> Tree

GetEntry : Tree -> Entry

GetRight, GetLeft: Tree -> Tree

vars e+:Entry-Ok e-:Entry-Error t:Tree t1+,t2+:Tree-Ok

egns Leaf(e-) = NoTree

Node(NoTree,t) = Node(t,NoTree) = NoTree

GetEntry(Leaf(e+)) = e+

GetEntry(Node(t1+,t2+)) = NoEntry

GetEntry(NoTree) = NoEntry

GetRight(Leaf(e+)) = GetLeft(Leaf(e+)) = NoTree

GetRight(Node(t1+,t2+)) = GetLeft(Node(t2+,t1+)) = t2+

GetRight(NoTree) = GetLeft(NoTree) = NoTree

end spec

The specification builds binary trees with given entries at the leaves when it is applied. The given parameter sort Entry persists in the resulting specification, especially because the function GetEntry is well defined. This can only be achieved by the use of the error variable e- in the axiom Leaf(e-) = NoTree. If one would specify only Leaf(NoEntry) = NoTree, then the construction would not be persistent for parameter algebras having more exceptions than the single error NoEntry. Again, lines 1-3 of the opns-part can be considered as the signature specification for the constructors and lines 4-7 for the derived functions. The ideas sketched above are now made precise in the following chapters.

3. REVIEW OF ALGEBRAIC SPECIFICATIONS WITH SUBSORTS

The following remarks review the fundamental definitions and facts and our notation concerning algebraic specifications and subsorts. Readers familar with [Go 78, Go 83, Po 84, GM 84, etc.] will find many common details.

3.1 Definition (Signature, Algebra, Morphism)

A <u>signature</u> (S, ζ, Σ) consists of (1) a set S of sorts, (2) a partial order ζ on S and (3) a family $\Sigma = \langle \Sigma_{W,S} \rangle_{W \in S}^*, s \in S$ of sets of function symbols such that (4) $\sigma: W \to S$, $V \leq W$ and $r \geq S$ implies $\sigma: V \to Y$. Name $(\Sigma) = \{\sigma^{W,S} | \sigma \in \Sigma_{W,S} \}$ denotes the <u>function names</u> and Symb $(\Sigma) = \{\sigma | \sigma \in \Sigma_{W,S} \}$ the <u>function symbols</u> of Σ .

A Σ -algebra (A,F) consists of (1) a family A= $\langle A_s \rangle_{s \in S}$ of sets such that (2) s $\leq r$ implies $A_s \subseteq A_r$ and (3) a family $F=\langle \sigma_A^{W_1S} \rangle_{\sigma}^{W_1S} \rangle_{\sigma}^{W_1S}$

A Σ -morphism f:A->B between Σ -algebras A and B is a family $\langle f_{S} \rangle_{SeS}$ of mappings such that (1) $f_{S} (\sigma_{A}^{W,S}(a)) = \sigma_{B}^{W,S} (f_{W}(a))$ for $a \in A_{W}$ and (2) $a \in A_{S} \cap A_{t}$ implies $f_{S} (a) = f_{t} (a)$.

3.2 <u>Definition</u> (Term algebra)

The $\underline{\Gamma}$ -term algebra (T_{Σ},F_{Σ}) has as carriers the least family $(T_{S})_{SES}$ of sets satisfying (1) σ :->s implies σ ET and (2) σ : s1...sn->s and tieT implies σ Ct1...tn) eT and the functions $(\sigma^{W},S)_{\sigma^{W},S}_{EName}(\Sigma)$ are determined by (3) σ^{λ}_{T},S := σ for σ :->s and (4) σ^{S1}_{T} ...Sn->s and tieT and tieT and tieT and σ^{S1}_{T} ...Sn->s and tieT and σ^{S1}_{T} .

3.3 Fact (Initiality of the term algebra)

The Σ -term algebra T_Σ is initial in the category ALG_Σ of all Σ -algebras with all Σ -morphisms between them.

3.4 <u>Definition</u> (Congruence, Quotient)

A Σ -congruence Ξ on a Σ -algebra A is a family $\langle\Xi_s\rangle_{s\in S}$ of relations Ξ_s on A_s such that (1) $\Xi_s = [\Xi_{EQ} \cap A_s \times A_s]$ and (2) at Ξ_{EQ} bi implies $\sigma_A^{s1} \cdots sn, s(a1...an) \Xi_{EQ} \sigma_A^{u1} \cdots un, r(b1...bn)$ for at, bi $\in A_{s1} \cap A_{u1}$, σ :s1...sn->s and σ :u1...un->r, where Ξ_{EQ} is the equivalence on $S_{eS} \cap A_s$ generated by Ξ .

The <u>quotient</u> A/\equiv of a Σ -algebra A by a Σ -congruence Ξ has (1) the carriers $A/\Xi_s = \{[a]|a \in A_s\}$, where $[a]=\{b \in S_s \in S_s | a \equiv_{EQ} b\}$, and (2) the functions $\{\sigma_A'' \equiv S_\sigma w, S_{eName}(\Sigma)\}$ with $\sigma_{A/\Xi}^{S1} = S_\sigma^{S1} = S$

3.5 Definition (Equation, Satisfaction, Specification)

A Σ -equation L=R is a pair of $\Sigma(V)$ -terms, where $\Sigma(V)$ is the signature Σ having additionally the variables V as constants. A Σ -algebra A satisfies L=R, if all evaluations of L and R coincide. A specification (Σ ,E) consists of a signature Σ and a set E of Σ -equations.

3.6 Fact (Induced Congruence)

A set of Σ -equations E induces uniquely a set of constant equations $E(T_{\Sigma})$, which again induces a least congruence $\Xi_{\overline{\Sigma}}$ on T_{Σ} containing $E(T_{\Sigma})$.

3.7 Fact (Initiality of the quotient term algebra)

The quotient term algebra T_{Σ}/\equiv_E is initial in the category $ALG_{\Sigma,E}$ of all (Σ,E) -algebras satisfying the equations E.

3.8 Example (Bitstrings avoiding error handling)

The following lines define bitstrings of arbitrary length (sort String *) having as subsorts non empty bitstrings (sort String $^+$) and single bits (sort Bit).

spec BitStringsAvoidingErrorHandling =

sorts Bit < String⁺ < String^{*}
opns 0,1 : -> Bit
 λ : -> String^{*}
 .|. : String^{*} String^{*} -> String^{*}
 .|. : String^{*} String^{*} -> String[†]
 .|. : String^{*} Bit -> String[†]
 First, Last : String[†] -> Bit

vars b:Bit s,s1,s2,s3:String^{*}
eqns s1|(s2|s3) = (s1|s2)|s3
 s|λ = λ|s = s
 First(b|s) = Last(s|b) = b

end spec

Please note that the specification part between the key words sorts and vars has not really to be a signature, but it uniquely determines a signature in the sense of our definition. Furthermore the functions First and Last returning the first respective-

ly last bit are well defined, because all applications syntactically allowed by the signature either yield 0 or 1.

3.9 Remark (Declarations)

One can also use so called declarations in specifications [Go 78, Go 83]. A declaration consists of a term and a sort, assuring that the term will always evaluate to an element of the given sort (e.g. i*i:NonNegative, where i is a variable of sort int).

4. CLEAN SPECIFICATIONS

- 4.1 <u>Definition</u> (Clean, ok/error-consistent, ok/error-complete) A signature (S, \leq , Σ) is called <u>(ok/error-)clean</u>, if S=S-MAINU S-OKUS-ERROR, S-OK= $\{s-Ok|seS-MAIN\}$, S-ERROR= $\{s-Error|seS-MAIN\}$ and \leq = $\{s\leq s|seS\}$ \cup (s-Ok \leq s,s-Error \leq s|seS-MAIN}. A Σ -algebra A with Σ a clean signature is called (1) <u>ok/error-consistent</u>, if A_{s-Ok} \cap $A_{s-Error} = \emptyset$, (2) <u>ok/error-complete</u>, if $A_{s-Ok} \cup A_{s-Error} = A_{s}$, and (3) <u>clean</u>, if A is ok/error-consistent and ok/error-complete. A specification (Σ , Σ) is called <u>clean</u>, if the initial (Σ , Σ)-algebra is clean. A set Σ of equations is called <u>clean</u>, if ee Σ (Σ) implies either ee Σ (Σ -Ok) or ee Σ (Σ -Error Σ -Error for a suitable sort s. Σ (Σ -CLEAN denotes the category of all clean (Σ , Σ)-algebras with all morphisms between them.
- 4.2 <u>Characterisation</u> (Specifications with clean term algebras) Given a specification (Σ,E) with a clean term algebra T_{Σ} , then the specification (Σ,E) is clean, if and only if the set E of equations is clean.
- 4.3 Characterisation (Clean specifications)

A specification (Σ, E) is clean, if and only if

- (1) $T_{\Sigma,E}$ is ok/error-consistent and
- (2) there is a subspecification ($\Sigma G, EG$) $\subseteq (\Sigma, E)$ with
- (a) ΣG containing all sorts and subsorts and all operations with ok or error result sorts and
- (b) EG containing all clean equations of E and

- (c) there is a unique surjective morphism $f:T_{\Sigma G,EG}^{-}>U_{\Sigma-}>_{\Sigma G}^{-}(T_{\Sigma,E})$.
- 4.4 Remark (Surjective morphism in (c) above)

If the morphism f is also injective, then (Σ,E) is an enrichment of $(\Sigma G,EG)$: $T_{\Sigma G,EG}$ and $U_{\Sigma \to \Sigma G}(T_{\Sigma,E})$ are isomorphic. If it is not injective, then there are terms t1 and t2 both ok or both error such that $T_{\Sigma G,EG} \models [t1] \neq [t2]$ and $T_{\Sigma,E} \models [t1] = [t2]$. But EG is a maximal set of equations applicable to ok and error terms, so the additional identification in $T_{\Sigma,E}$ is done via a term t3 neither ok nor error: $t3 \in T_S - (T_{S \to OK} \cup T_{S \to Error})$, t1 = t3 and t3 = t2. This identification can also be done choosing different equations involving only ok or error terms. It is also much smoother to rule out this case from a methodological point of view and to establish a clear distinction between ok and error constructors and derived functions.

4.5 Concept (Pragmatics for clean specifications)

A clean specification (Σ ,E) should have a subspecification (Σ G,EG) with T $_{\Sigma}$ G and EG clean such that (Σ ,E) is an enrichment of (Σ G,EG).

4.6 Example (Bitstrings with error handling)

This clean specification defines bitstrings of arbitrary length. Errors are introduced by the functions Head and Tail when applied to the empty string.

spec BitStrings =

sorts Bit, String

cons 0,1 : -> Bit-Ok

NoHead : -> Bit-Error

λ: -> String-Ok

. (. : String-Ok Bit-Ok -> String-Ok

NoTail : -> String-Error

funcs . (. : String Bit -> String

Head : String -> Bit

Tail : String -> String

vars s:String s+:String-Ok b:Bit b+,b1+,b2+:Bit-Ok

egns NoTail|b = s|NoHead = NoTail

Head(s+|b1+|b2+) = Head(s+|b1+) Head($\lambda|b+$) = b+Head(λ) = Head(NoTail) = NoHead Tail(s+|b1+|b2+) = Tail(s+|b1+)|b2+Tail($\lambda|b+$) = λ

 $Tail(\lambda) = Tail(NoTail) = NoTail$

end spec

The parts for the ok and error constructors and for the derived functions are indicated by the keywords cons and funcs. In general there will be an equation part for the constructors as well. For the subsorts the following equations hold: $T_{\Sigma,E,Bit-Ok} \cong (0,1)$, $T_{\Sigma,E,Bit-Error} \cong (NoHead)$, $T_{\Sigma,E,String-Ok} \cong (0,1)$ and $T_{\Sigma,E,String-Error} \cong (NoTail)$. On this basis the functions Head and Tail are defined such that the subsorts are respected.

5. CLEAN PARAMETRIC SPECIFICATIONS

5.1 Definition (Signature morphism, specification morphism)

A signature morphism $f:\Sigma i\to \Sigma 2$ between signatures $(S1, \le_{S1}, \Sigma 1)$ and $(S2, \le_{S2}, \Sigma 2)$ consists of mappings $f:S1\to S2$ and $f:Symb(\Sigma 1)\to Symb(\Sigma 2)$ such that $S\le_{S1}r$ implies $f(S)\le_{S2}f(r)$ and $de\Sigma 1_{W,S}$ implies $f(G)\in\Sigma 2_{f(W),f(S)}$. A signature morphism f is called strict, if $S\le_{S1}r$ implies $f(S)\le_{S2}f(r)$. A signature morphism f induces a forgetful functor $U_f:ALG_{\Sigma2}\to ALG_{\Sigma1}$. A signature morphism f is called specification morphism from $(\Sigma 1,E1)$ to $(\Sigma 2,E2)$, if every equation of E1, when translated by f, belongs to $E2:f(E1)\subseteq E2$. A specification morphism is called simple, if $S1\subseteq S2$, $Symb(\Sigma 1)\subseteq Symb(\Sigma 2)$ and $f:S1\to S2$ and $f:Symb(\Sigma 1)\to Symb(\Sigma 2)$ are inclusions.

5.2 Definition (Parametric specification, persistent)

A parametric specification consists of a parameter specification ($\Sigma P, EP$) and a body specification ($\Sigma B, EB$) such that $\Sigma P \Sigma B$ and $EP \Sigma B$. The semantics of a parametric specification is the free construction $F: ALG_{\Sigma P, EP}^{-} \rightarrow ALG_{\Sigma B, EB}$ [ADJ 78, Po 84]. A parametric specification is called <u>persistent</u>, if A and U(F(A)) are "naturally" [WE 85] isomorphic for all ($\Sigma P, EP$)-algebras A, where U is

the forgetful functor U:ALG $_{\Sigma B}$ ->ALG $_{\Sigma P}$ induced by the signatures ΣP and ΣB .

5.3 Definition (Application of a parametric specification)

The result of <u>applying</u> a parametric specification with parameter ($\Sigma P, EP$) and body ($\Sigma B, EB$) to an actual specification ($\Sigma A, EA$) by means of a specification morphism $h: (\Sigma P, EP) \rightarrow (\Sigma A, EA)$ is the specification ($\Sigma R, ER$), where $\Sigma R = \Sigma A + hR(\Sigma B)$, ER = EA + hR(EB), hR(S) = IF S = SP THEN h(S) ELSE S = FI and $hR(G) = IF S = SYMD(\Sigma P)$ THEN h(G) ELSE G = FI.



The result specification is the pushout of the actual specification ($\Sigma A, EA$) and the body specification ($\Sigma B, EB$) with respect to the parameter ($\Sigma P, EP$) and the specification morphisms h and s, where s is the simple specification morphism induced by the inclusion of the parameter in the body.

5.4 Definition (Clean parametric specification)

A parametric specification with parameter ($\Sigma P, EP$) and body ($\Sigma B, EB$) is called <u>clean</u>, if the signatures ΣP and ΣB are clean, the free construction F is persistent on $ALG_{\Sigma P,EP},CLEAN$ and the free construction F preserves cleanness: A E $ALG_{\Sigma P},EP,CLEAN$ implies F(A) E $ALG_{\Sigma B,EB},CLEAN$.

5.5 Extension Lemma (for clean parametric specifications)

Let there be given a clean parametric specification with parameter (ΣP ,EP) and body (ΣB ,EB), an actual clean specification (ΣA ,EA), a strict specification morphism h: (ΣP ,EP)->(ΣA ,EA) and the result specification (ΣR ,ER) as defined above.

(1) The resulting parametric specification with parameter (Σ A,EA) and body (Σ R,ER) is clean: FR is persistent on ALG Σ A,EA,CLEAN and it preserves cleanness.

(2) Fouh =
$$U_{hR}$$
 of.

$$ALG_{\Sigma P, EP, CLEAN} \xrightarrow{---E} ALG_{\Sigma B, EB, CLEAN}$$

$$\uparrow \qquad \qquad \uparrow \qquad \qquad \downarrow U_{hR}$$

$$ALG_{\Sigma A, EA, CLEAN} \xrightarrow{----FR} ALG_{\Sigma R, ER, CLEAN}$$

5.6 Remark (concerning the extension lemma)

The proof of our extension lemma applies the R-extension lemma of [Eh 81]. The restriction of $ALG_{\Sigma P,EP}$ to clean algebras can be expressed as predicate formula requirements. This restriction to clean algebras is essential for the underlying specification method, because one does not want to care about elements being neither ok nor error. The strictness of the parameter passing morphism h implies that ok or error operations of the formal parameter will also be ok or error operations in the actual parameter.

5.7 Concept (Pragmatics for clean parametric specifications) Analogously to the case without parameters a clear distinction between ok and error constructors and derived functions should be established. Therefore a clean parametric specification with parameter (ΣP ,EP) and body (ΣB ,EB) should have a subspecification (ΣP ,EP) § (ΣG ,EG) § (ΣB ,EB) with $T_{\Sigma G}(A)$ and EG clean such that G is persistent on $ALG_{\Sigma P}$,EP,CLEAN and EG is an enrichment of EG, for all EG and EG clean, where EG is the free construction induced by the parametric specification with parameter (EF,EF) and body (EG,EG).

5.8 Example (Parametric strings with error handling)

This clean parametric specification defines strings over an arbitrary parameter sort Char. Again errors are introduced by the functions Head and Tail when applied to the empty string.

<u>spec</u> ParametricStrings =

parm sorts Char

opns NoHead : -> Char-Error

body sorts String

cons λ : -> String-Ok

.(.: String-Ok Char-Ok -> String-Ok

NoTail : -> String-Error

funcs . [. : String Char -> String

Head : String -> Char

Tail : String -> String

vars s:String s+:String-Ok

c:Char c+,c1+,c2+:Char-Ok c-:Char-Error

eqns NoTail|c = s|c- = NoTail

Head(s+|c1+|c2+) = Head(s+|c1+)

 $Head(\lambda|c+) = c+$

 $Head(\lambda) = Head(NoTail) = NoHead$

Tail(s+|c1+|c2+) = Tail(s+|c1+)|c2+

 $Tail(\lambda|c+) = \lambda$

 $Tail(\lambda) = Tail(NoTail) = NoTail$

end spec

The parts for the parameter and the body are indicated by the keywords parm and body. In general there will be an equation part for the parameter and the constructors as well. Please note that it is essential for persistency to use the variable c- of sort Char-Error in the equation s|c-= NoTail. If a clean parameter algebra A with sets $A_{Char-Ok}$ and $A_{Char-Error}$ is given, then the resulting algebra F(A) will have the following carriers: $F(A)_{Char-Ok} \cong A_{Char-Ok}, \qquad F(A)_{Char-Error} \cong A_{Char-Error}, \\ F(A)_{String-Ok} \cong A_{Char-Ok}, \qquad F(A)_{String-Error} \cong A_{Char-Error}, \\ F(A)_{String-Error} \cong A_{Char-Ok}, \\ F(A)_{String-Error} \cong A_{C$

5.9 Remark (Pointed algebras and specifications)

All considerations presented here can be specialized to pointed algebras [Go 86], where there is only one error element for each sort. In this case error recovery is not supported too well, but especially error propagation can be done automatically.

6. CONCLUSION

The notion of a clean algebra is just a special case of an algebra satisfying certain sort equations which especially make sense in the context of partially ordered sorts and which can be considered as another construct for algebraic specification languages. For example in clean algebras the sort equations

are valid for all sorts s. A sort equation consists of a pair of sort terms built over the given set of sorts and set operations like union, intersection, difference, complement and empty set. An algebra satisfies a sort equation, if the set theoretic evaluations of the two expressions with respect to the given algebra coincide. This topic is subject to future research.

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