Towards a Prospective Values semantics for a reversible Forth

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Abstract

We describe a "prospective values" semantics for Forth, including the backtracking extension provided by our reversible virtual machine RVM-Forth. We use S \diamond E to represent the value expression E would have were it to be evaluated after the execution of program S. We call this the prospective value of E after S. This form is expressive enough to describe the semantics of an extended form of guarded command language that incorporates backtracking and speculative computations. We give semantics for Forth stack commands, assignments, speculative computations, conditionals and loops. We sketch the work that remains to be done.

1 Introduction

We write $S \diamond E$ for the value expression E would have were it to be evaluated after the execution of program S. We call this the prospective value of E after S. In this paper, where we apply this idea to Forth, S is a Forth program, i.e. some self contained Forth code, and E is a mathematical expression.

For example $x + 1 + to x \Leftrightarrow 10 * x = 10 * (x + 1)$

Note the large equals \equiv is a very low priority equals symbol. The symbol \diamond is next lowest in priority.

We have developed the theory of prospective value semantics (PV semantics) in a series of papers, most recently in [DFM⁺23]. The presentation is via a guarded command language bGSL (backtracking generalised substitution language), and provides a formalism for describing backtracking and reversible computations. Our theory is developed as an extension of the B-Method [Abr96], and uses an unconventional version of set theory proposed by Eric Hehner [Heh93, Heh23]. The integration of Hehner's ideas into the set theory of B requires a new theory with its own logic, which we describe in [SDMZ24]. We have developed a reversible Forth [SZL10] to act as an implementation platform, and developed some compilation techniques that make special use of Forth's essential features, for example executing type tagged parse trees as Forth programs [RS10].

The limited semantics we present here has the same level of abstraction as our guarded command language bGSL. We do not deal with CREATE..DOES>, or with direct access to memory locations. We deal with "values" which are held on the stack after being obtained from obtained from named variables and data structures or calculated from other stack values, and which may be assigned to such variables and data structures. On the other hand the language we describe is much more expressive than a traditional guarded command language in that we describe program structures for backtracking and speculative computations. Indeed, a principle motivation for providing a PV semantics for RVM-Forth is to provide a means of checking the validity of the code produced by such a compiler for our backtracking guarded command language bGSL which uses our reversible Forth as its target language.

When constructing a PV semantics for Forth we have to take into account the following:

- The way Forth expressions are written, in an extended postscript notation with explicit stack manipulations, is so different from how expressions are written in mathematics that we will have to abandon the convenient and unspoken fiction that program expressions and mathematical expressions are one and the same.
- Forth has an explicit stack so we need a way to represent the stack as a mathematical expression,

2 The stack, part 1

Our semantics uses the typed set theory of B. A stack may hold items of different type, and in a typed theory this prevents us from representing it as a sequence. However, we can represent a stack containing different types of value as a tuple ¹.

We use the symbol ε to represent the empty parameter stack, and in our mathematical universe we give the parameter stack the name s.

Here are some examples showing the value taken by the stack following some simple Forth code. The operation SP! clears the stack to give us a defined starting state.

```
SP! \diamond s = \varepsilon

SP! 1 \diamond s = \varepsilon \mapsto 1

SP! 1 2 \diamond s = \varepsilon \mapsto 1 \mapsto 2

SP! 1 2 10 \diamond s = \varepsilon \mapsto 1 \mapsto 2 \mapsto 10

SP! 1 2 10 + \diamond s = \varepsilon \mapsto 1 \mapsto 12
```

Since the stack always consists of a tuple that commences with ε we can take the liberty of omitting the ε when the stack is non-empty and replacing the

¹This means the type of the stack will change every time we push or pop a value. Thus the stack has no identifiable type, but every state of the stack does have a type.

maplet symbol \mapsto by a space. This allows the above results to be expressed as follows.

```
SP! \diamond s = \varepsilon

SP! 1 \diamond s = 1

SP! 1 2 \diamond s = 1 2

SP! 1 2 10 \diamond s = 1 2 10

SP! 1 2 10 + \diamond s = 1 12
```

3 Expressions and the semantics of assignment

Let E be Forth code that's only effect is to leave one item on the stack, i.e. it causes no change of state of program variables or any memory; we will call such a fragment of code an "expression". We will want to use the value left by E in some of our semantic equations.

In the form S \diamond E, The text to the left of the diamond is Forth code, and that to the right is a mathematical expression, i.e. the diamond separates Forth code from mathematical text, and we need a notation to translate the Forth expression E into the mathematical world. We enclose E in semantic brackets $[\![E]\!]$ to represent this translation. Some examples will make this clear.

Suppose x is a Forth VALUE holding an integer. We translate x into the mathematical value x

$$[x] = x$$

Next consider the translation of a simple expression:

$$[x 10 +] = x + 10$$

In the next example we use a symbolic stack trace to perform the translation $[\![x \; DUP \; DUP \; * \; +]\!] \; = \; x^2 + x$

Forth commands	Stack
X	x
DUP DUP	x x x
*	$x x^2$
+	$x^{2} + x$

Here is an symbolic trace for an example where three arguments a b c are provided from the stack:

```
\llbracketa b c -- 2DUP * -ROT + SWAP -ROT * + 2* \rrbracket
```

```
Forth commands
                    Stack
a b c -- 2DUP
                    a \ b \ c \ b \ c
                    a \ b \ c \ b*c
-ROT
                    a \ b*c \ b \ c
                     a b*c b+c
SWAP
                     a b+c b*c
-ROT
                     b*c \ a \ b+c
                     b*c \ a*(b+c)
*
                     b*c + a*(b+c) = a*b + a*c + b*c
                     2*(a*b+a*c+b*c) = 2*ab+2*ac+2*bc
2*
```

4 Assignment

To avoid continual use of the semantic brackets $[\![..]\!]$ we will use a change in typeface, by which the Forth expression E is translated as the mathematical expression E.

The semantics of changing variable states is expressed in lambda notation. $(\lambda x \bullet F)E$ represents the rewriting of F with with the term E substituted for each occurrence of x in F. For example $(\lambda x \bullet 2 * x)(y + 10) = 2 * (y + 10)$.

In Forth, and with E an expression as defined above (i.e. Forth code that leaves a value on the parameter stack and causes no other change of state) E to x represent the assignment of the value left by E to the Forth VALUE x. We can give its semantics by describing its effect on a general expression F:

```
E to x \diamond F = (\lambda x \bullet F)E
```

For example:

```
x\ 10 + to\ x \diamond 2*x + y = by rule for assignment (\lambda x.2*x + y)[x\ 10 +] = by semantics of expression (\lambda x.2*x + y)(x + 10) = by lambda evaluation 2*(x+10) + y
```

5 The stack, part 2

We represent the stack mathematically as a tuples, so let us review tuple notation. We write $x \mapsto y$ for the tuple consisting of the pair of values x and y, $x \mapsto y \mapsto z$ for the tuple consisting of the triple of values x, y, and z. The tuple operator is a left associative binary operator, so $x \mapsto y \mapsto z = (x \mapsto y) \mapsto z$.

We can decompose a tuple into its first and second components with the functions L (left) and R (right).

In line with Forth usage in referring to the top and next from top elements of the stack we define the following functions. $top(s) \stackrel{\frown}{=} R(s)$ $next(s) \stackrel{\frown}{=} R(L(s))$

Unlike an assignment to a VALUE, e.g. 3 to X, which changes the whole of

X, stack operations may affect only part of s. So our approach will be to use "helper functions" to describe the whole new stack, and assign this whole new state.

For following are examples of these helper functions:

```
drop(s) \stackrel{\cong}{=} L(s)
twodrop(s) \stackrel{\cong}{=} L^2(s)
nip(s) \stackrel{\cong}{=} L^2(s) \mapsto R(s)
swap(s) \stackrel{\cong}{=} L^2(s) \mapsto top(s) \mapsto next(s)
plus(s) \stackrel{\cong}{=} L^2(s) \mapsto (next(s) + top(s))
minus(s) \stackrel{\cong}{=} L^2(s) \mapsto (next(s) - top(s))
```

and so on

Then to describe the value of expression E after a stack operation OP we have

$$OP \diamond E = (\lambda s. E) op(s)$$

Where E is a stack expression, such as L(s), or just s. An example in the next section should help to make this clear.

6 Sequential Composition

Our semantic rule for sequential composition is:

```
sequential composition ST \diamond E = S \diamond T \diamond E
```

Note that \diamond is right associative, so:

$$S \diamond T \diamond E = S \diamond (T \diamond E)$$

We can use this rule to show that the effect of NIP on the stack s is equivalent to that of SWAP DROP.

```
SWAP DROP \diamond s= by rule for sequential composition SWAP \diamond DROP \diamond s= by semantics of DROP SWAP \diamond (\lambda s \bullet s) drop(s)= by lambda evaluation SWAP \diamond drop(s)= by semantics of SWAP (\lambda s \bullet drop(s)) swap(s)= by lambda evaluation drop(swap(s))= applying swap drop(L^2(s)\mapsto top(s)\mapsto next(s))= applying drop L^2(s)\mapsto top(s)= semantics of NIP NIP \diamond s
```

It seems strange that we compute the effect of SWAP DROP on the stack by first computing the effect of DROP and then computing the effect of SWAP, but the intermediate result drop(swap(s)) in the above derivation shows the helper function for SWAP is applied before that of DROP in obtaining the result.

7 Guard, choice and backtracking

Let g be a condition test that leaves either a true flag or a false flag on the stack and has no other side effect. The construct g = > is a guarded no-op. If g leaves a true flag, the flag is removes and execution continues ahead. If g leaves a false flag, the effect is to reverse computation. In this case there is no state after g. Mathematically. we represent this as null, where null represents nothing. In our mathematical semantics we capture the idea of nothing by using Eric Hehner's Bunch Theory [Heh93]; this is a reformulation of set theory in which the collection and packaging of elements are orthogonal activities. This gives us access to unpackaged collections. We use $\sim S$ to represent the unpacking of set S. For example $\sim \{1,2\} = 1,2$ where 1,2 is an unpackaged collection. The comma in 1,2 is now a mathematical operator, known as bunch union. We obtain null by unpacking the empty set.

$$null = \sim \{ \}$$

Bunch union has the properties: S, T = T, S and S, null = S, and an additional property of null is $\{ null \} = \{ \}$.

Corresponding to the programming guard =>, we have a bunch guard \Rightarrow in our mathematical notation, defined by the following equations:

$$true \rightarrow E = E, false \rightarrow E = null$$

so the expression $x = 1 \implies x$ has the value 1 if x=1, and is equal to *null* for any other value of x.

Evidently, this is a very unconventional mathematical theory, and when we began to use it we has some papers rejected by referees who were concerned that Hehner's bunch theory had never been formally demonstrated to be a valid theory, in that it had never been given a "model" (a translation that re-expressed it in terms of standard set theory). These concerns lessened after a model for a version of bunch theory was published [MB01], and we have given a model for our version of bunch theory in [SDMZ24].

Our semantic rule for guard is

$$g => \diamond E = q \Rightarrow E$$

here g is the mathematical translation of the Forth guard g, which for any specific g we can represent more fully using our semantic brackets, e.g.

$$[\![\ \mathbf{x} \ 1 \ = \]\!] = x = 1$$

Guards combined with choice can describe control structures, including back-tracking.

We introduce a Forth choice operation. $S_1 \parallel S_2$ presents a choice between executing S_1 or S_2 . This choice has to be bracketed, rather like an IF construct, as

```
<CHOICE S_1 \parallel S_2 \parallel ... CHOICE>
```

The semantic rule for choice is:

$$S \mid \mid T \diamond E = (S \diamond E), (T \diamond E)$$

Here the comma on the RHS is the bunch union operator that we defined above. the rule does not say which choice is tried first.

For example:

```
<CHOICE 1 to x [] 2 to x CHOICE> \diamond x = 1, 2
```

The combination of choice and guard allows us to express backtracking. Consider:

```
<CHOICE 1 to x [] 2 to x CHOICE> x 2 = => \diamond x
```

This has the following operational interpretation: a choice is made to assign either 1 of 2 to x, then a guard checks if x=2. If it does computation continues ahead, otherwise we backtrack to the previous choice and continues ahead once more with the unused choice being selected. This time x will be set to 2 and the guard lets computation continue ahead. This simple example shows how we can use a guard to retrospectively select from two choices.

The semantic analysis goes as follows:

```
<
CHOICE 1 to x [] 2 to x CHOICE> x 2 = _ => 
 \diamond x _ = _ by semantics of sequential composition
```

<CHOICE 1 to x [] 2 to x CHOICE> \diamond x 2 = => \diamond x = by semantics of program guard

```
< CHOICE 1 to x [] 2 to x CHOICE \Rightarrow x = 2 \Rightarrow x = 0 by semantics of choice
```

1 to
$$x \diamond x = 2 \rightarrow x$$
, 2 to $x \diamond x = 2 \rightarrow x$ by semantics of assignment

$$1 = 2 \rightarrow 1$$
, $2 = 2 \rightarrow 2$ = by property of bunch guard

$$null, 2 =$$
by property of null

2.

7.1 Conditionals

We can think of g IF S ELSE T THEN \diamond E as a bunch union of two terms, corresponding to the two branches of the conditional, and with the term corresponding to the branch not taken being equal to null. In our semantics this is expressed as follows:

g IF S ELSE T THEN
$$\diamond$$
 $E = (g \rightarrow S \diamond E), (\neg g \rightarrow T \diamond E)$

Once again we note the change of typeface from g to g which represents the conversion of the program expression g , indicating code returning a flag, and the g in mathematical typeface, which represents the mathematical predicate corresponding to g.

8 Speculative computation

In our semantics $S \diamond E$ expresses the value E would take after executing S. We can use the same semantics to describe a speculative computation which executes S, evaluates and saves the result of E, then reverses, undoing any changes made in the forward execution of S. Thus we obtain, in our program, the value E would have after S but without incurring any of the side effects produced by executing S.

As with choice we needs brackets to express this:

```
<RUN S E RUN>
```

is a programming structure which adds to the stack the value E produces if executed after S, but without incurring the side effects that execution of S may produce. Its semantics is:

```
<RUN S E RUN> \diamond s = s \mapsto (S \diamond E)
```

If S contains choices there may be a plurality of values that E could take, and we can collect. If these are integer values the construct to do this is:

```
INT { <RUN S E RUN> }
```

In this case S \diamond E will be a bunch, and we have the following semantic rule, in which, once again, s is our mathematical representation of Forth's parameter stack.

INT {
$$\langle RUN S E RUN \rangle$$
 } $\diamond s = s \mapsto \{S \diamond E\}$

8.1 Example, Pythagorean triples, with a new concept of function application

We need to introduce some additional aspects of the RVM sets package.

The mathematical notation m..n where $n \ge m$, represents the set of numbers $\{m, m+1, ... n\}$ We provide this as a postfix operator in RVM Forth, used as, e.g.

```
1 4 .. .SET \langle cr \rangle {1,2,3,4} ok
```

We have CHOICE from a set, used as in the following example. CHOICE makes a provisional choice form a set that may be revised by backtracking.

INT {
$$<$$
RUN 1 4 .. CHOICE 10 * RUN $>$ } .SET $<$ cr $>$ {10,20,30,40} ok

We now consider a program to produce a set of Pythagorean triples $\{a, b, c\}$ where $a^2 + b^2 = c^2$. In the code we choose values for a and b, calculate $a^2 + b^2$ and then apply a perfect square root function PERF. This function illustrates the "new concept of function application" we mentioned above. The idea of

```
n PERF
```

is that it returns the perfect square root of n, if that exists, or otherwise triggers

backtracking. In the following examples we see that if backtracking continues back to the user console, we get the prompt ko rather than ok.

```
\begin{array}{l} 0 \ {\rm PERF} \ .{<} {\rm cr}{>} \ 0 \ {\rm ok} \\ 1 \ {\rm PERF} \ .{<} {\rm cr}{>} \ 1 \ {\rm ok} \\ 2 \ {\rm PERF} \ .{<} {\rm cr}{>} \ {\rm ko} \\ 3 \ {\rm PERF} \ .{<} {\rm cr}{>} \ {\rm ko} \\ 4 \ {\rm PERF} \ .{<} {\rm cr}{>} \ 2 \ {\rm ok} \\ \end{array}
```

This may seem a programming trick - we have just included the guard that triggers backtracking within the code for PERF. However, we have mathematical reason to claim that this is indeed a new idea of function application. Working with integers and using \sqrt{n} to represent the perfect integer square root of n, it is clear for example that no integer satisfies $\sqrt{2}$, and we capture this in our theory by saying $\sqrt{2} = null$. We also recall that from the semantics of guards, it is a null result that triggers backtracking. The new concept of function application is that a function application might represent "nothing", which we cannot express without the null of bunch theory. To express the stack effect of PERF we need to specify that if the stack input parameter n has an integer square root m than that will be the stack output parameter, otherwise there will be no stack after state. To do this we use null, as follows.

```
PERF ( n -- if \exists m \bullet m^2 = n then m else null end )
```

Now for the program to produce set of Pythagorean triples with perpendicular sides less than n. The set we are producing here is a set of sets of numbers, and its mathematical type is $\mathbb{P}(\mathbb{N})$. This is represented in our Forth sets package, in postfix, by the type signature INT POW. ²

In this code, A, B and C are global VALUEs. The COPRIME guard prevents similar triangles being included, for example {3,4,5} and {6,8,10}.

Here is an example run

```
100 TRIPLES .SET <cr> {{3,4,5},{5,12,13},{7,24,25},{8,15,17},{9,40,41}, {11,60,61},{12,35,37},{13,84,85},{16,63,65},{20,21,29},{20,99,101},{28,45,53}, {33,56,65},{36,77,85},{39,80,89},{48,55,73},{60,91,109},{65,72,97}}ok
```

²Whilst Forth is untyped, our sets package only supports the typed sets allowed in Abrial's set theory.

9 Preconditions

In general, in the field of formal semantics, operations are taken to have specific conditions which render them safe for use. These "preconditions" are there to protect us attempting to access the 20th element of a 10 element array, taking the square root of a negative number, dividing by zero etc. Unlike a guard, a precondition does not control whether an operation can take place, rather it is part of the instructions of using the operation. In Forth the situation with respect to pre-conditions is complex, because the programmer takes responsibility for an operation being meaningful in a particular context. For example, in 32 bit arithmetic, 7FFFFFFF 1 + violates a precondition of + if we are using signed arithmetic, but not for unsigned arithmetic. However, one universal precondition of + is that it requires at least two elements to be on the stack.

We use the symbol \bot to express the effect of violating a precondition. The idea is that \bot represents absolute unpredictability - more unpredictable than just allowing any possible result - there might be no result because the computation does not terminate, or the machine might blow up!

We use P \mid S to represent P as the pre-condition for S. Our rule for preconditions is:

$$P \mid S \diamond E = (P \rightarrow S \diamond E), (\neg P \rightarrow \bot)$$

We interpret \bot as a maximally non-deterministic bunch. We can think of the unpackaged collections of bunch theory as representing non-determinism or uncertainty, e.g. the bunch 1,2 representing a value that might be 1 or might be 2. In this knowledge based order the value \bot represents a value about which nothing can be known, not even whether it exists, and *null* can be taken as the object about which too much is known, to the point of contradicting its possible existence. It is at the other end of the scale from \bot .

10 Loops

We consider the treatment of a WHILE loop

BEGIN g WHILE S REPEAT

Here g is some Forth code which leaves a flag in the stack and otherwise leaves the program state unchanged.

Following the B-Method (and adapting it to Forth) the programmer is required to provide formal comments which identify a an invariant expression I and a variant expression V for the loop.

The invariant expression must have the property

$$S \diamond E = E$$

When the loop terminates the invariant expression will still have the same value, but the condition reported by g is false. This allows us to draw a conclusion about the effect of the loop.

The variant expression serves the purpose of ensuring that the loop *does* terminate. It has to be an expression that is greater than 0 and decreased by S. Obviously this cannot continue for ever, so the existence of such an expression implies that the loop must terminate. Its formal property is:

```
V > 0 \land (S \diamond V) < V
```

We illustrate this method using Euclid's algorithm for the calculation of the greatest common divisor of two numbers.

```
: GCD ( a b - c, a>0 \land b>0 | c = gcd(a,b) )
BEGIN (
INVARIANT gcd(top(s), next(s))
VARIANT top(s) + next(s) )
2DUP \neq
WHILE
2DUP > IF SWAP THEN
OVER -
REPEAT DROP ;
```

First note that we have a pre-condition that requires a>0 and b>0. Since a, b are names for the top two stack elements, this ensures that our variant property V>0 holds. Depending on the branch taken by the IF, we have S $\diamond V = top(s)$ or S $\diamond V = next(s)$, and since V = top(s) + next(s) in both cases we have S $\diamond V < V$. So the variant properties are satisfied and we can be sure the loop terminates.

That the loop invariant holds follows from the mathematical property $y > x \Rightarrow gcd(x,y) = gcd(x,y-x)$. When the loop terminates the loop condition tells us that next(s) = top(s) and the loop invariant tells us gcd(top(s), next(s) = gcd(a,b) Thus we have two copies of the required result on the stack and just have to drop one of them to complete the computation.

11 Pointers and immutable objects

We identify immutable objects with their pointers. This allows us to treat such pointers as values.

Consider this floating point interaction in RVM_FORTH.

```
2. DUP 1. F F. F. < cr > 3 \ 2 \ ok +
```

A floating point literal creates the floating point value in memory and leaves a pointer to that value on the parameter stack. Floating point operations work via these pointers.

Such an approach helps us formulate our semantics but entails a need for garbage collection: in the above interaction garbage values 1. 2. and 3. are left in memory when the computation is complete. We address this by collecting garbage during reverse computation, an idea first proposed by Henry Baker [Bak92].

12 Future work

Our account of prospective values in Forth is far from complete.

One area we have not discussed is the semantics of pointers which represent mutable objects. We recall that an array, for example, is implemented as a mutable object because we want the ability to individually modify one of its elements without creating a new instances of the whole array. Our semantics regards a reference as equivalent to the object referred to, and thus has no way of distinguishing the duplication of a reference to an object from the duplication of the object itself. Duplicating a reference to a mutable object invalidates our semantics, and we need to investigate restrictions, or "healthiness conditions" [HJ98] that ensure this does not happen in a given program text.

One reason we need references to mutable objects is to pass them as parameters. However, we recall that passing an array by reference is not the same as passing it as a value, because, when it is passed as a reference changes to the array occur on the original array, whereas changes to value parameters take place in the stack frame, which is discarded on exit. To keep our semantics consistent we must limit assignments to immutable reference parameters, and treat the passing of such parameters using call by name $[B^+60]$. Call by name can reserve surprises for the unwary, but Abrial [Abr96] has given a restricted call by name semantics for B.

It also remains to define the semantics of parameter passing in the presence of an explicit stack, to investigate how this may be affected by how local variables are implemented, and see whether we can define a semantics of parameter passing that is valid for diverse implementations.

It will be interesting to explore which problems can and cannot be efficiently solved using the reversible programming structures presented here, and to present example case studies. In [SDMZ24] we use a chess puzzle, the circular knight's tour, to show the power of prospective value calculations: these are used to implement a heuristic that chooses moves to the most tightly constrained squares. This is presented in our reversible guarded command language bGSL [DFM $^+$ 23], and needs to be complemented by case studies in our reversible Forth.

13 Conclusions

We have shown how prospective value semantics provides a description of stack based operations, speculative computations and backtracking, but a full description of Forth semantics, covering interpretation and compilation, memory access, and the definition of defining words, is beyond the scope of the theory presented here, even when it is extended as outlined under future work.

When transporting prospective value semantics from our usual B like environment to Forth, the extended postfix used in Forth forces us to distinguish more clearly between programming and mathematical notations. Forth has a finer grained semantics, where an expression is defined as as a sequence of opera-

tions, rather than in the mathematical notation of an expression sub-language. This additional detail can be captured in two ways by the semantics we investigate here. Either we can translate postfix expressions to infix in order to describe their effect (and this might require us to write our Forth in a particular way, and might be particularly useful in analysing the output of a compiler for our backtracking guarded command language bGSL [DFM⁺23]), or we can process them at the level of the individual Forth operations of which they are comprised. In both cases we can include the effect of stack manipulations in our analysis.

In formulating a semantics of prospective values, the mathematical expression of nothing as the constant *null* plays the key role of representing expression values arising from program branches that are not taken. We also use it to illustrate a new form of function application, in which a mathematical function application can yield *null* to indicate that the described object does not exist, with the matching operational interpretation being that such an application triggers backtracking.

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