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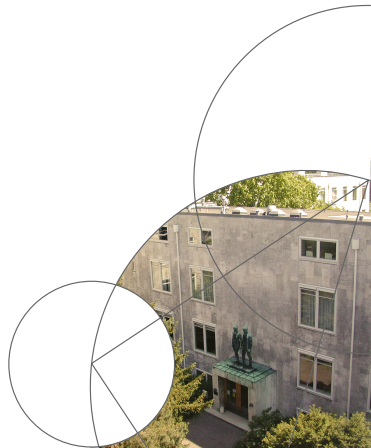


# Calculating Correct Compilers

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# Introduction

## Goals

- Derive compiler implementation from **denotational semantics**
- Derivation by **formal calculations**



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- Derivation by **formal calculations**
- Result: compiler + virtual machine + **correctness proof**

## Our approach

- simple, **goal-oriented** calculations
- little prior knowledge needed  
(e.g. “Target machine has a stack.”)
- full **correctness proof** as a byproduct
- wide variety of **language features**: arithmetic, exceptions, state, lambda calculi, loops, non-determinism, interrupts



# Calculate a Compiler in 3 Steps

- 1 Define **evaluation function** in compositional manner.



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- ① Define **evaluation function** in compositional manner.
- ② Calculate a version that uses a **stack and continuations**.



# Calculate a Compiler in 3 Steps

- 1 Define **evaluation function** in compositional manner.
- 2 Calculate a version that uses a **stack and continuations**.
- 3 **Defunctionalise** to produce a compiler and a virtual machine.



# Toy Example: Simple Arithmetic Language

## Step 1: Semantics of the language

### Syntax

**data**  $Expr = Val Int \mid Add Expr Expr$





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### Syntax

**data**  $Expr = Val\ Int \mid Add\ Expr\ Expr$

### Semantics

$eval \quad \quad \quad :: Expr \rightarrow Int$   
 $eval\ (Val\ n) \quad = n$   
 $eval\ (Add\ x\ y) = eval\ x + eval\ y$



## Step 2: Transformation into CPS

### Type Definitions

```
type Stack = [Int]  
type Cont = Stack → Stack
```



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**type**  $Stack = [Int]$

**type**  $Cont = Stack \rightarrow Stack$

$eval_C :: Expr \rightarrow Cont \rightarrow Cont$



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### Specification

$$eval_C e c s = c (eval e : s)$$


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**type**  $Stack = [Int]$   
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$$eval_C e c s = c (eval e : s)$$

**Constructive induction:** “prove” specification by induction on  $e$



## Step 2: Transformation into CPS

### Type Definitions

**type**  $Stack = [Int]$   
**type**  $Cont = Stack \rightarrow Stack$

$eval_C :: Expr \rightarrow Cont \rightarrow Cont$

### Specification

$$eval_C e c s = c (eval e : s)$$

**Constructive induction:** “prove” specification by induction on  $e$

$\rightsquigarrow$  definition of  $eval_C$



# The easy case: *Val*

$$\text{eval}_C (\text{Val } n) c s$$


# The easy case: *Val*

$$\begin{aligned} & \text{eval}_C (\text{Val } n) \text{ c } s \\ = & \quad \{ \text{specification of } \text{eval}_C \} \\ & \text{c } (\text{eval } (\text{Val } n) : s) \end{aligned}$$





# The easy case: *Val*

$$\begin{aligned} & \text{eval}_C (\text{Val } n) \ c \ s \\ = & \quad \{ \text{specification of } \text{eval}_C \} \\ & c (\text{eval } (\text{Val } n) : s) \end{aligned}$$

$$\text{eval}_C \ e \ c \ s = c (\text{eval } e : s)$$



# The easy case: *Val*

$$\begin{aligned} & eval_C (Val\ n)\ c\ s \\ = & \{ \text{specification of } eval_C \} \\ & c\ (eval\ (Val\ n) : s) \\ = & \{ \text{definition of } eval \} \\ & c\ (n : s) \end{aligned}$$



# The easy case: *Val*

$$\begin{aligned}
 & eval_C (Val\ n)\ c\ s \\
 = & \{ \text{specification of } eval \} \\
 & c\ (eval\ (Val\ n) : s) \\
 = & \{ \text{definition of } eval \} \\
 & c\ (n : s)
 \end{aligned}$$

*eval* (Val n) = n



# The easy case: *Val*

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# The interesting case: *Add*

$$\text{eval}_C (\text{Add } x \ y) \ c \ s$$


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# The interesting case: *Add*

$$\begin{aligned} & eval_C (Add\ x\ y)\ c\ s \\ = & \{ \text{specification of } eval_C \} \\ & c\ (eval\ (Add\ x\ y) : s) \end{aligned}$$

$$eval_C\ e\ c\ s = c\ (eval\ e : s)$$



# The interesting case: *Add*

$$\begin{aligned} & \text{eval}_C (\text{Add } x \ y) \ c \ s \\ = & \quad \{ \text{specification of } \text{eval}_C \} \\ & \ c \ (\text{eval } (\text{Add } x \ y) : s) \\ = & \quad \{ \text{definition of } \text{eval} \} \\ & \ c \ ((\text{eval } x + \text{eval } y) : s) \end{aligned}$$





# The interesting case: *Add*

$$\begin{aligned}
 & eval_C (Add\ x\ y)\ c\ s \\
 = & \{ \text{specification of } eval \} \\
 & c\ (eval\ (Add\ x\ y) : s) \\
 = & \{ \text{definition of } eval \} \\
 & c\ ((eval\ x + eval\ y) : s)
 \end{aligned}$$

$eval\ (Add\ x\ y) = eval\ x + eval\ y$



# The interesting case: *Add*

$$\begin{aligned}
 & eval_C (Add\ x\ y)\ c\ s \\
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 = & \{ \text{definition of } eval \} \\
 & c\ ((eval\ x + eval\ y) : s)
 \end{aligned}$$

## Induction Hypothesis

For all  $c'$  and  $s'$ :

$$eval_C\ x\ c'\ s' = c'\ (eval\ x : s')$$

$$eval_C\ y\ c'\ s' = c'\ (eval\ y : s')$$



# The interesting case: *Add*

$$\begin{aligned}
 & \text{eval}_C (\text{Add } x \ y) \ c \ s \\
 = & \quad \{ \text{specification of } \text{eval}_C \} \\
 & \ c \ (\text{eval } (\text{Add } x \ y) : s) \\
 = & \quad \{ \text{definition of } \text{eval} \} \\
 & \ c \ ((\text{eval } x + \text{eval } y) : s) \\
 = & \quad \{ \text{define: } \text{add } c \ (n : m : s) = c \ ((m + n) : s) \} \\
 & \ \text{add } c \ (\text{eval } y : \text{eval } x : s)
 \end{aligned}$$



# The interesting case: *Add*

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 = & \quad \{ \text{define: } \text{add } c \ (n : m : s) = c \ \text{eval}_C \ y \ c' \ s' = c' \ (\text{eval } y : s') \\
 & \ \text{add } c \ (\text{eval } y : \text{eval } x : s) \\
 = & \quad \{ \text{induction hypothesis for } y \} \\
 & \ \text{eval}_C \ y \ (\text{add } c) \ (\text{eval } x : s)
 \end{aligned}$$



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 & \quad c \ (\text{eval} \ (\text{Add } x \ y) : s) \\
 = & \quad \{ \text{definition of } \text{eval} \} \\
 & \quad c \ ((\text{eval } x + \text{eval } y) : s) \\
 = & \quad \{ \text{define: } \text{add } c \ (n : m : s) = c \ ((m + n) : s) \} \\
 & \quad \text{add } c \ (\text{eval } y : \text{eval } x : s) \\
 = & \quad \{ \text{induction hypothesis for } y \} \quad \text{eval}_C \ x \ c' \ s' = c' \ (\text{eval } x : s') \\
 & \quad \text{eval}_C \ y \ (\text{add } c) \ (\text{eval } x : s) \\
 = & \quad \{ \text{induction hypothesis for } x \} \\
 & \quad \text{eval}_C \ x \ (\text{eval}_C \ y \ (\text{add } c)) \ s
 \end{aligned}$$



## Step 2: Transformation into CPS (cont.)

### Derived definition

$$\text{eval}_C :: \text{Expr} \rightarrow \text{Cont} \rightarrow \text{Cont}$$
$$\text{eval}_C (\text{Val } n) \quad c \ s = \text{push } n \ c \ s$$
$$\text{eval}_C (\text{Add } x \ y) \ c \ s = \text{eval}_C \ x \ (\text{eval}_C \ y \ (\text{add } c)) \ s$$


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$$\text{eval}_C (\text{Add } x \ y) \ c = \text{eval}_C \ x \ (\text{eval}_C \ y \ (\text{add } c))$$
$$\text{push} :: \text{Int} \rightarrow \text{Cont} \rightarrow \text{Cont}$$
$$\text{push } n \ c \ s = c \ (n : s)$$
$$\text{add} :: \text{Cont} \rightarrow \text{Cont}$$
$$\text{add } c \ (n : m : s) = c \ ((m + n) : s)$$




## Step 2: Transformation into CPS (cont.)

### Derived definition

$$\mathit{eval}_C :: \mathit{Expr} \rightarrow \mathit{Cont} \rightarrow \mathit{Cont}$$

$$\mathit{eval}_C (\mathit{Val} \ n) \ c = \mathit{push} \ n \ c$$

$$\mathit{eval}_C (\mathit{Add} \ x \ y) \ c = \mathit{eval}_C \ x \ (\mathit{eval}_C \ y \ (\mathit{add} \ c))$$

$$\mathit{push} :: \mathit{Int} \rightarrow \mathit{Cont} \rightarrow \mathit{Cont}$$

$$\mathit{push} \ n \ c \ s = c \ (n : s)$$

$$\mathit{add} :: \mathit{Cont} \rightarrow \mathit{Cont}$$

$$\mathit{add} \ c \ (n : m : s) = c \ ((m + n) : s)$$

### Identity continuation

$$\mathit{eval}_S :: \mathit{Expr} \rightarrow \mathit{Cont}$$

$$\mathit{eval}_S \ e = \mathit{eval}_C \ e \ \mathit{halt}$$

$$\mathit{halt} :: \mathit{Cont}$$

$$\mathit{halt} \ s = s$$


## Step 3: Defunctionalisation

$eval_S :: Expr \rightarrow Cont$

$eval_S e = eval_C e \text{ halt}$

$eval_C :: Expr \rightarrow Cont \rightarrow Cont$

$eval_C (Val n) c = \text{push } n c$

$eval_C (Add x y) c = eval_C x (eval_C y (\text{add } c))$

$\text{halt} :: Cont$

$\text{push} :: Int \rightarrow Cont \rightarrow Cont$

$\text{add} :: Cont \rightarrow Cont$



## Step 3: Defunctionalisation

$$\text{eval}_S :: \text{Expr} \rightarrow \text{Cont}$$
$$\text{eval}_S e = \text{eval}_C e \text{ halt}$$
$$\text{eval}_C :: \text{Expr} \rightarrow \text{Cont} \rightarrow \text{Cont}$$
$$\text{eval}_C (\text{Val } n) \quad c = \text{push } n \ c$$
$$\text{eval}_C (\text{Add } x \ y) \ c = \text{eval}_C \ x \ (\text{eval}_C \ y \ (\text{add } c))$$

### **data Code where**

$$\text{HALT} :: \text{Code}$$
$$\text{PUSH} :: \text{Int} \rightarrow \text{Code} \rightarrow \text{Code}$$
$$\text{ADD} :: \text{Code} \rightarrow \text{Code}$$


## Step 3: Defunctionalisation

$$\text{eval}_S :: \text{Expr} \rightarrow \text{Cont}$$

$$\text{eval}_S e = \text{eval}_C e \text{ halt}$$

$$\text{eval}_C :: \text{Expr} \rightarrow \text{Cont} \rightarrow \text{Cont}$$

$$\text{eval}_C (\text{Val } n) \quad c = \text{push } n \ c$$

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$$\text{HALT} :: \text{Code}$$

$$\text{PUSH} :: \text{Int} \rightarrow \text{Code} \rightarrow \text{Code}$$

$$\text{ADD} :: \text{Code} \rightarrow \text{Code}$$

Or equivalently:

$$\mathbf{data} \ \text{Code} = \text{HALT} \mid \text{PUSH Int Code} \mid \text{ADD Code Code}$$


## Step 3: Defunctionalisation

$$\text{eval}_S :: \text{Expr} \rightarrow \text{Code}$$

$$\text{eval}_S e = \text{eval}_C e \text{ HALT}$$

$$\text{eval}_C :: \text{Expr} \rightarrow \text{Code} \rightarrow \text{Code}$$

$$\text{eval}_C (\text{Val } n) \quad c = \text{PUSH } n \ c$$

$$\text{eval}_C (\text{Add } x \ y) \ c = \text{eval}_C \ x \ (\text{eval}_C \ y \ (\text{ADD } c))$$

**data Code where**

$$\text{HALT} :: \text{Code}$$

$$\text{PUSH} :: \text{Int} \rightarrow \text{Code} \rightarrow \text{Code}$$

$$\text{ADD} :: \text{Code} \rightarrow \text{Code}$$

Or equivalently:

**data Code = HALT | PUSH Int Code | ADD Code Code**



## Step 3: Defunctionalisation

$\text{comp} :: \text{Expr} \rightarrow \text{Code}$

$\text{comp } e = \text{comp}' e \text{ HALT}$

$\text{comp}' :: \text{Expr} \rightarrow \text{Code} \rightarrow \text{Code}$

$\text{comp}' (\text{Val } n) \quad c = \text{PUSH } n \ c$

$\text{comp}' (\text{Add } x \ y) \ c = \text{comp}' x \ (\text{comp}' y \ (\text{ADD } c))$

**data Code where**

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$\text{comp}' (\text{Val } n) \quad c = \text{PUSH } n \ c$

$\text{comp}' (\text{Add } x \ y) \ c = \text{comp}' x \ (\text{comp}' y \ (\text{ADD } c))$

**data Code where**

$\text{HALT} :: \text{Code}$

$\text{PUSH} :: \text{Int} \rightarrow \text{Code} \rightarrow \text{Code}$

$\text{ADD} :: \text{Code} \rightarrow \text{Code}$

### Example

$\text{comp} (\text{Val } 1 \ \text{'Add'} \ \text{Val } 2) \rightsquigarrow \text{PUSH } 1 \ \$ \ \text{PUSH } 2 \ \$ \ \text{ADD} \ \$ \ \text{HALT}$



## Step 3: Defunctionalisation (cont.)

**data** *Code* **where**

*HALT* :: *Code*

*PUSH* :: *Int* → *Code* → *Code*

*ADD* :: *Code* → *Code*

Type *Code* represents the function type *Cont* (= *Stack* → *Stack*).





## Step 3: Defunctionalisation (cont.)

**data** *Code* **where**

*HALT* :: *Code*

*PUSH* :: *Int* → *Code* → *Code*

*ADD* :: *Code* → *Code*

Type *Code* represents the function type *Cont* (= *Stack* → *Stack*).

### Interpretation function

*exec* :: *Code* → *Cont*

*exec HALT* = *halt*

*exec (PUSH n c)* = *push n (exec c)*

*exec (ADD c)* = *add (exec c)*



## Step 3: Defunctionalisation (cont.)

**data** *Code* **where**

*HALT* :: *Code*

*PUSH* :: *Int* → *Code* → *Code*

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Type *Code* represents the function type *Cont* (= *Stack* → *Stack*).

### Interpretation function

*exec* :: *Code* → *Cont*

*exec HALT*                    *s* = *s*

*exec (PUSH n c)*            *s* = *exec c* (*n* : *s*)

*exec (ADD c) (n : m : s)* = *exec c* ((*m* + *n*) : *s*)



## Step 3: Defunctionalisation (cont.)

**data Code where**

*HALT* :: Code

*PUSH* :: Int → Code → Code

*ADD* :: Code → Code

Type *Code* represents the function type *Cont* (= *Stack* → *Stack*).

### Virtual Machine

*exec* :: Code → Cont

*exec HALT*                    *s* = *s*

*exec (PUSH n c)*            *s* = *exec c (n : s)*

*exec (ADD c) (n : m : s)* = *exec c ((m + n) : s)*



# Compiler Correctness

$$\text{eval}_C e c s = c (\text{eval } e : s) \quad (\text{Specification})$$



# Compiler Correctness

proved by constructive induction

$$\text{eval}_C e c s = c (\text{eval } e : s) \quad (\text{Specification})$$



# Compiler Correctness

$eval_C e c s = c (eval e : s)$  (Specification)

$exec (comp e) s = eval_S e s$  (Defunctionalisation)



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$eval_S e = eval_C e halt$  (Definition of  $eval_S$ )



# Compiler Correctness

$eval_C e c s = c (eval e : s)$  (Specification)

$exec (comp e) s = eval_S e s$  (Defunctionalisation)

$eval_S e = eval_C e halt$  (Definition of  $eval_S$ )

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$exec (comp e) s = eval e : s$  (Compiler correctness)





# A Language with Exceptions

[▶ Skip this](#)

**data**  $Expr = Val\ Int \mid Add\ Expr\ Expr$   
 $\mid Throw \mid Catch\ Expr\ Expr$



# A Language with Exceptions

▶ Skip this

$$\mathbf{data} \text{ Expr} = \text{Val Int} \mid \text{Add Expr Expr} \\ \mid \text{Throw} \mid \text{Catch Expr Expr}$$

$$\text{eval} :: \text{Expr} \rightarrow \text{Maybe Int}$$

$$\text{eval} (\text{Val } n) = \text{Just } n$$

$$\text{eval} (\text{Add } x \ y) = \mathbf{case} \ \text{eval } x \ \mathbf{of}$$

$$\text{Nothing} \rightarrow \text{Nothing}$$

$$\text{Just } n \rightarrow \mathbf{case} \ \text{eval } y \ \mathbf{of}$$

$$\text{Nothing} \rightarrow \text{Nothing}$$

$$\text{Just } m \rightarrow \text{Just } (n + m)$$

$$\text{eval} \ \text{Throw} = \text{Nothing}$$

$$\text{eval} (\text{Catch } x \ h) = \mathbf{case} \ \text{eval } x \ \mathbf{of}$$

$$\text{Nothing} \rightarrow \text{eval } h$$

$$\text{Just } n \rightarrow \text{Just } n$$


# A Language with Exceptions

▶ Skip this

$$\mathbf{data} \text{ Expr} = \text{Val Int} \mid \text{Add Expr Expr} \\ \mid \text{Throw} \mid \text{Catch Expr Expr}$$

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$$\text{eval} (\text{Val } n) = \text{Just } n$$

$$\text{eval} (\text{Add } x \ y) = \mathbf{case} \ \text{eval } x \ \mathbf{of}$$

$$\text{Nothing} \rightarrow \text{Nothing}$$

$$\text{Just } n \rightarrow \mathbf{case} \ \text{eval } y \ \mathbf{of}$$

$$\text{Nothing} \rightarrow \text{Nothing}$$

$$\text{Just } m \rightarrow \text{Just } (n + m)$$

$$\text{eval} \ \text{Throw} = \text{Nothing}$$

$$\text{eval} (\text{Catch } x \ h) = \mathbf{case} \ \text{eval } x \ \mathbf{of}$$

$$\text{Nothing} \rightarrow \text{eval } h$$

$$\text{Just } n \rightarrow \text{Just } n$$


# Partial Specifications

## Partial Type Definition

```
type Stack = [Elem]  
data Elem = VAL Int | ...
```



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## Partial Type Definition

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type Stack = [Elem]  
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## Partial Specification of $eval_C$

$$eval_C e c s = c (eval e : s)$$



# Partial Specifications

## Partial Type Definition

```
type Stack = [Elem]  
data Elem = VAL Int | ...
```

## Partial Specification of $eval_C$

$eval_C e c s = c (VAL n : s)$

$eval_C e c s = ??$

if  $eval e = Just n$

if  $eval e = Nothing$



# Partial Specifications

## Partial Type Definition

```
type Stack = [Elem]
data Elem = VAL Int | ...
```

## Partial Specification of $eval_C$

$$eval_C e c s = c (VAL n : s) \quad \text{if } eval e = Just n$$

$$eval_C e c s = fail s \quad \text{if } eval e = Nothing$$

where  $fail :: Stack \rightarrow Stack$  is left unspecified



# Resulting Compiler

$comp \quad \quad \quad :: Expr \rightarrow Code$   
 $comp \ e \quad \quad \quad = comp' \ e \ HALT$   
 $comp' \quad \quad \quad :: Expr \rightarrow Code \rightarrow Code$   
 $comp' (Val \ n) \ c \quad = PUSH \ n \ c$   
 $comp' (Add \ x \ y) \ c = comp' \ x \ (comp' \ y \ (ADD \ c))$   
 $comp' \ Throw \ c \quad = FAIL$   
 $comp' (Catch \ x \ h) \ c = MARK \ (comp' \ h \ c) \ (comp' \ x \ (UNMARK \ c))$





# Resulting Virtual Machine

$$\begin{array}{ll} \text{exec} & :: \text{Code} \rightarrow \text{Cont} \\ \text{exec } (\text{PUSH } n \ c) & s = \text{exec } c \ (\text{VAL } n : s) \\ \text{exec } (\text{MARK } h \ c) & s = \text{exec } c \ (\text{HAN } h : s) \\ & \vdots \\ \text{exec } \text{FAIL} & s = \text{fail } s \end{array}$$


# Resulting Virtual Machine

$$\begin{array}{ll}
 \text{exec} & :: \text{Code} \rightarrow \text{Cont} \\
 \text{exec } (\text{PUSH } n \ c) & s = \text{exec } c \ (\text{VAL } n : s) \\
 \text{exec } (\text{MARK } h \ c) & s = \text{exec } c \ (\text{HAN } h : s) \\
 & \vdots \\
 \text{exec } \text{FAIL} & s = \text{fail } s
 \end{array}$$

$$\begin{array}{ll}
 \text{fail} :: \text{Cont} \\
 \text{fail } (\text{VAL } n : s) & = \text{fail } s \\
 \text{fail } (\text{HAN } h : s) & = \text{exec } h \ s \\
 \text{fail } [] & = []
 \end{array}$$


# Summary

- simple, **goal-oriented** calculations; **no magic**
- little prior knowledge needed  
(by using **partial specifications**)
- full correctness proof
- formalisation in Coq
- scales to wide variety of **language features**



# Summary

- simple, **goal-oriented** calculations; **no magic**
- little prior knowledge needed  
(by using **partial specifications**)
- full correctness proof
- formalisation in Coq
- scales to wide variety of **language features**
  - arithmetic
  - exceptions (synchronous, asynchronous)
  - state (local, global)
  - lambda calculi (call-by-value, -name, -need)
  - loops (bounded, unbounded)
  - non-determinism



# Future work

- Simplify reasoning for “cyclic” features (fixed points, loops)
- Simplify reasoning register machines
- Support for sharing (i.e. graph structures)
- Derivation of compilers for fixed instruction sets

