CSEP505: Programming Languages Lecture 3: Small-step operational semantics, semantics via translation, state-passing, introduction to lambda-calculus

> Dan Grossman Autumn 2016

Where are we

- Finished our first syntax definition and interpreter
 - Was "large-step"
- Now a "small-step" interpreter for same language
 - Equivalent results, complementary as a definition
- Then a third equivalent semantics via translation
 - Trickier, but worth seeing
- Then quick overview of Homework 2
- Then a couple useful digressions
- Then start on lambda-calculus [if we have time]

Syntax (review)

- Recall the abstract syntax for IMP
 - Abstract = trees, assume no parsing ambiguities
- Two metalanguages for "what trees are in the language"

e ::= c | x | e + e | e * e
s ::= skip | x := e | s; s | if e then s else s | while e s
(x in {x1,x2,...,y1,y2,...,z1,z2,....})
(c in {...,-2,-1,0,1,2,...})

Expression semantics (review)

• Definition by interpretation: Program means what an interpreter written in the metalanguage says it means

Statement semantics (review)

- In IMP, expressions produce numbers (given a heap)
- In IMP, statements change heaps, i.e., they produce a heap (given a heap)

Heap access (review)

- In IMP, a heap maps strings to values
- Yes, we could use mutation, but that is:
 - less powerful (old heaps do not exist)
 - less explanatory (interpreter passes current heap)

```
type heap = (string * int) list
let rec lookup h str =
  match h with
  [] -> 0 (* kind of a cheat *)
  |(s,i)::tl -> if s=str then i else lookup tl str
let update h str i = (str,i)::h
```

• As a *definition*, this is great despite terrible waste of space

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Meanwhile, while (review)

• Loops are *always* the hard part!

```
let rec interp_s (h:heap) (s:stmt) =
  match s with
  ...
| While(e,s1) -> if (interp_e h e) <> 0
    then let h2 = interp_s h s1 in
        interp_s h2 s
    else h
```

- s is While (e, s1)
- Semi-troubling circular definition
 - That is, interp_s might not terminate

Finishing the story

- Have interp_e and interp_s
- A "program" is just a statement
- An initial heap is (say) one that maps everything to 0

```
type heap = (string * int) list
let empty_heap = []
let interp_prog s =
   lookup (interp_s empty_heap s) "ans"
```

Fancy words: We have defined a large-step operational-semantics using OCaml as our metalanguage

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Fancy words

- Operational semantics
 - Definition by interpretation
 - Often implies metalanguage is "inference rules"
 (a mathematical formalism we'll learn in a couple weeks)
- Large-step
 - Interpreter function "returns an answer" (or doesn't)
 - So definition says nothing about intermediate computation
 - Simpler than small-step when that's okay

Language properties

- A semantics is *necessary* to prove language properties
- Example: Expression evaluation is *total* and *deterministic* "For all heaps h and expressions e, there is exactly one integer i such that interp_e h e returns i"
 - Rarely true for "real" languages
 - But often care about subsets for which it is true
- Prove for all expressions by induction on the tree-height of an expression

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 Equivalent results, complementary as a definition
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- Then a couple useful digressions
- Then start on lambda-calculus [if we have time]

Small-step

- Now redo our interpreter with small-step
 - An expression/statement "becomes a slightly simpler thing"
 - A less efficient interpreter, but has advantages as a definition (discuss after interpreter)

	Large-step	Small-step
interp_e	heap->exp->int	heap->exp->exp
interp_s	heap->stmt->heap	heap->stmt->(heap*stmt)

Example

Switching to concrete syntax, where each \rightarrow is one call to interp_e and heap maps everything to 0

$$(\mathbf{x+3}) + (\mathbf{y*z}) \rightarrow (0+3) + (\mathbf{y*z})$$
$$\rightarrow 3 + (\mathbf{y*z})$$
$$\rightarrow 3 + (0*z)$$
$$\rightarrow 3 + (0*0)$$
$$\rightarrow 3+0$$
$$\rightarrow 3$$

Small-step expressions

"We just take one little step"

```
exception AlreadyValue
let rec interp e (h:heap) (e:exp) =
match e with
  Int i -> raise AlreadyValue
 |Var str -> Int (lookup h str)
 |Plus(Int i1, Int i2) \rightarrow Int (i1+i2)
 |Plus(Int i1, e2) -> Plus(Int i1, interp_e h e2)
 |Plus(e1, e2) -> Plus(interp e h e1,e2)
 |Times(Int i1, Int i2) \rightarrow Int (i1*i2)
 |Times(Int i1, e2) -> Times(Int i1, interp e h e2)
 |Times(e1, e2) -> Times(interp e h e1,e2)
```

We chose "left to right", but not important

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Small-step statements

```
let rec interp s (h:heap) (s:stmt) =
match s with
  Skip
                    -> raise AlreadyValue
 |Assign(str,Int i)-> ((update h str i),Skip)
 |Assign(str,e) -> (h,Assign(str,interp_e h e))
 |Seq(Skip, s2) \rightarrow (h, s2)
 |Seq(s1,s2) \rightarrow let (h2,s3) = interp s h s1
                       in (h2, Seq(s3, s2))
 |If(Int i, s1, s2) \rightarrow (h, if i <> 0)
                            then s1
                            else s2)
 |If(e,s1,s2) \rightarrow (h, If(interp e h e, s1, s2))
 |While(e,s1) -> (*???*)
```

Meanwhile, while

• Loops are *always* the hard part!

```
let rec interp_s (h:heap) (s:stmt) =
  match s with
  ...
| While(e,s1) -> (h, If(e,Seq(s1,s),Skip))
```

- "A loop takes one step to its unrolling"
- s is While (e, s1)
- interp_s always terminates
- interp_prog may not terminate...

Finishing the story

- Have interp_e and interp_s
- A "program" is just a statement
- An initial heap is (say) one that maps everything to 0

```
type heap = (string * int) list
let empty_heap = []
let interp_prog s =
   let rec loop (h,s) =
      match s with
        Skip -> lookup h "ans"
        | _ -> loop (interp_s h s)
      in loop (empty_heap,s)
```

Fancy words: We have defined a small-step operational-semantics using OCaml as our metalanguage

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Small vs. large again

- Small is really inefficient
 - Descends and rebuilds AST at every tiny step
- But as a *definition*, it gives a trace of program states
 - A state is a pair heap*stmt
 - Can talk about them e.g., "no state has x>17..."
 - Infinite loops now produce infinite traces rather than OCaml just "hanging forever"
- Theorem: Total equivalence: interp_prog (large) returns i for s if and only if interp_prog (small) does
 - Proof is pretty tricky
- With the theorem, we can choose whatever semantics is most convenient for whatever else we want to prove

Where are we

Definition by interpretation

- We have abstract syntax and two interpreters for our source language IMP
- Our metalanguage is OCaml

Now definition by translation

- Abstract syntax and source language still IMP
- Metalanguage still OCaml
- *Target language* now "OCaml with just functions strings, ints, and conditionals"
 - tricky stuff?

In pictures and equations



 If the target language has a semantics, then: compiler + targetSemantics = sourceSemantics

What we're "doing"

- Meta and target can be the same language
 - Unusual for a "real" compiler
 - Makes example harder to follow ☺
- Our target will be a subset of OCaml
 - After translation, you could "unload" the AST definition
 - (in theory)
 - An IMP while loop becomes a function
 - Not a piece of data that says "I'm a while loop"
 - Shows you can really think of loops, assignments, etc. as "functions over heaps"

Goals

• xlate_e:

- "given an exp, produce a function that given a function from strings to ints returns an int"
- (string->int acts like a heap)
- An expression "is" a function from heaps to ints
- xlate_s:

stmt->((string->int)->(string->int))

- A statement "is" a function from heaps to heaps
 - A "heap transformer"

Expression translation

xlate_e: exp -> ((string->int)->int)

What just happened



- Our target sublanguage:
 - Functions (including + and *, not interp_e)
 - Strings and integers
 - Variables bound to things in our sublanguage
 - (later: if-then-else)
- Note: No lookup until "run-time" (of course)

Wrong

• This produces a program not in our sublanguage:

- OCaml evaluates function bodies when called (like YFL)
- Waits until run-time to translate Plus and Times children!

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Statements, part 1

```
xlate s:
        stmt->((string->int)->(string->int))
let rec xlate s (s:stmt) =
match s with
             \rightarrow (fun h \rightarrow h)
 Skip
 |Assign(str,e) ->
   let f = xlate e e in
   (fun h \rightarrow let i = f h in
              (fun s -> if s=str then i else h s))
 |Seq(s1,s2) \rightarrow
    let f2 = xlate s s2 in (* order irrelevant! *)
    let f1 = xlate s s1 in
    (fun h -> f2 (f1 h)) (* order relevant *)
 ...
```

Statements, part 2

```
xlate s:
       stmt->((string->int)->(string->int))
let rec xlate s (s:stmt) =
match s with ....
 |If(e,s1,s2) ->
   let f1 = xlate s s1 in
   let f2 = xlate s s2 in
   let f = xlate e e in
   (fun h \rightarrow if (f h) <> 0 then f1 h else f2 h)
 |While(e,s1) ->
   let f1 = xlate s s1 in
   let f = xlate e e in
   (*???*)
```

• Why is translation of **while** tricky???

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Statements, part 3

```
xlate s:
       stmt->((string->int)->(string->int))
let rec xlate s (s:stmt) =
match s with
 . . .
 |While(e,s1) ->
   let f1 = xlate s s1 in
   let f = xlate e e in
   let rec loop h = (* ah, recursion! *)
     if f h \ll 0
    then loop (f1 h)
    else h
   in loop
```

• Target language *must* have some recursion/loop!

Finishing the story

- Have xlate_e and xlate_s
- A "program" is just a statement
- An initial heap is (say) one that maps everything to 0

```
let interp_prog s =
  ((xlate_s s) (fun str -> 0)) "ans"
```

Fancy words: We have defined a "denotational semantics"

- But target was not math

Summary

- Three semantics for IMP
 - Theorem: they are all equivalent
- Avoided
 - Inference rules (for "real" operational semantics)
 - Recursive-function theory (for "real" denotational semantics)
- Inference rules useful for reading PL research papers
 - So we'll start using them some soon
- If we assume OCaml already has a semantics, then using it as a metalanguage and target language makes sense for IMP
- Loops and recursion are deeply connected!

HW2 Primer

- Problem 1:
 - Extend IMP with saveheap, restoreheap
 - Requires 10-ish changes to our *large-step interpreter*
 - Minor OCaml novelty: mutually recursive types
- Problem 2:
 - Syntax plus 3 semantics for a little Logo language
 - Intellectually transfer ideas from IMP
 - A lot of skeleton provided
- In total, less code than Homework 1
 - But more interesting code

HW2 Primer cont'd

e ::= home | forward f | turn f | for i lst
lst ::= [] | e::lst

- Semantics of a move list is a "places-visited" list
 - type: (float*float) list
- Program state = move list, x,y coordinates, and current direction
- Given a list, "do the first thing then the rest"
- As usual, loops are the hardest case

This is all in the assignment

With Logo description separated out

Where are we

- Finished our first syntax definition and interpreter
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- Then a second "small-step" interpreter for same language
 - Equivalent results, complementary as a definition
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 - Trickier, but worth seeing
- Then quick overview of homework 2
- Then a couple useful digressions
 - Packet filters and other code-to-data examples
 - State-passing style; monadic style
- Then start on lambda-calculus [if we have time]

Digression: Packet filters

• If you're not a language semanticist, is this useful?

A very simple view of packet filters:

- Some bits come in off the wire
- Some applications want the "packet" and some do not
 - e.g., port number
- For safety, only the O/S can access the wire
- For extensibility, the applications accept/reject packets

Conventional solution goes to user-space for every packet and app that wants (any) packets.

Faster solution: Run app-written filters in kernel-space

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What we need

• Now the O/S writer is defining the packet-filter language!

Properties we wish of (untrusted) filters:

- 1. Don't corrupt kernel data structures
- 2. Terminate within a reasonable time bound
- 3. Run fast (the whole point)

Sould we allow arbitrary C code and an unchecked API?

Should we make up a language and "hope" it has these properties?

Language-based approaches

- 1. Interpret a language
 - + clean operational semantics, portable
 - - *may* be slow (or not since specialized), unusual interface
- 2. Translate (JIT) a language into C/assembly
 - + clean denotational semantics, existing optimizers,
 - - upfront (pre-1st-packet) cost, unusual interface
- 3. Require a conservative subset of C/assembly
 - + normal interface
 - - too conservative without help
 - related to type systems (we'll get there!)

More generally...

Packet filters move the code to data rather than data to code

- General reasons: performance, security, other?
- Other examples:
 - Query languages
 - Active networks
 - Client-side web scripts

— ...

State-passing

- Translation of IMP produces programs that take/return heaps
 - You could do that yourself to get an imperative "feel"
 - Stylized use makes this a useful, straightforward idiom

```
(* functional heap interface written by a guru
    to encourage stylized state-passing *)
let empty_heap = []
let lookup str heap =
    ((try List.assoc str heap with _ -> 0), heap)
let update str v heap = ((),(str,v)::heap)
(* ... could have more operations ... *)
```

- Each operation:
 - Takes a heap (last)
 - returns a pair: an "answer" and a (new) heap

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State-passing example

let empty_heap = []
let lookup str heap =
 ((try List.assoc str heap with _ -> 0), heap)
let update str v heap = ((), (str,v)::heap)

From state-passing to monads

- That was good and clearly showed sequence
 - But the explicit heap-passing was annoying
 - Can we abstract it to get an even more imperative feel?
- Two brilliant functions with "monadic interface" (obscure math)

```
(* written by a guru
  f1: function from heap to result & heap
  f2: function from arg & heap to result & heap *)
let bind f1 f2 =
  (fun heap ->
    let x,heap = f1 heap in
    f2 x heap)
(* just return e with unchanged heap *)
let ret e = (fun heap -> (e,heap))
```

Back to example

```
let bind f1 f2 =
  (fun heap -> let x,heap = f1 heap in f2 x heap)
let ret e = (fun heap -> (e,heap))
```

Naively rewriting our example with **bind** and **ret** seems awful

But systematic from example1



Clean-up

- But **bind**, **ret**, **update**, and **lookup** are written "just right" so we can remove every explicit mention of a heap
 - All since (fun h -> e1 ... en h) is e1 ... en
 - Like in imperative programming!

```
let example3 =
bind (lookup "z")
   (fun x1 ->
        bind(update "z" (x1+1))
        (fun x2 ->
            bind(if x1 > 0
                then lookup "y"
               else ret 37)
        (fun x3 ->
                (update "x" x3))))
```

More clean-up

• Now let's just use "funny" indentation and line-breaks

```
let example4 =
  bind (lookup "z") (fun x1 ->
  bind (update "z" (x1+1)) (fun x2 ->
  bind (if x1 > 0
        then lookup "y"
        else ret 37) (fun x3 ->
        (update "x" x3))))
```

- This is imperative programming "in Hebrew"
 - Within a functional semantics

Adding sugar

- Haskell (not OCaml) then just has syntactic sugar for this "trick"
 - x <- e1; e2 desugars to bind e1 (fun x -> e2)
 - e1; e2 desugars to bind e1 (fun _ -> e2)

```
(*does not work in OCaml; showing Haskell
  sugar via pseudocode*)
let example5 =
  x1 <- (lookup "z") ;
  update "z" (x1+1) ;
  x3 <- if x1 > 0
        then lookup "y"
        else ret 37 ;
  update "x" x3
```

Adding sugar

- F# supports this idea with *workflows*
 - Better branding than monads?? © ©
 - Mostly just syntactic sugar (but exceptions and other corners)

```
(* F#, do once to define state computation *)
type HeapBuilder () =
  member this.Bind(susp, func) = bind susp func
  member this.Return(x) = ret x
  member this.ReturnFrom(x) = x
```

```
let heap_monad = new HeapBuilder()
```

Adding sugar

- F# supports this idea with *workflows*
 - Better branding than monads?? © ©
 - Mostly just syntactic sugar (but exceptions and other corners)

```
(* F#, example using heap_monad *)
let example5 =
    heap_monad {
    let! x1 = lookup "z"
    let! x2 = update "z" (x1+1)
    let! x3 = heap_monad {
        if x1 > 0 then lookup "y"
        else return 37
        }
    return! update "x" x3
}
```

What we did

We derived and used the state monad

Many imperative features (I/O, exceptions, backtracking, ...) fit into a functional setting via monads (bind + ret + other operations)

- Essential to Haskell, the modern purely functional language
- "Just" redefine bind and ret

A key topic to return to if/when we spend a week on Haskell!

Relevant tutorial (using Haskell):

Tackling the awkward squad: monadic input/output, concurrency, exceptions, and foreign-language calls in Haskell Simon Peyton Jones, MSR Cambridge

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- Then start on lambda-calculus [if we have time]
 - First motivate

Where are we

- To talk about functions more precisely, we need to define them as carefully as we did IMP's constructs
- First try adding functions & local variables to IMP "on the cheap"
 It won't work
- Then back up and define a language with *nothing* but functions
 - And we'll be able to encode everything else

Worth a try...

```
type exp = ... (* no change *)
type stmt = ... | Call of string * exp
(*prog now has a list of named 1-arg functions*)
type funs = (string*(string*stmt)) list
type prog = funs * stmt
```

```
let rec interp_s (fs:funs) (h:heap) (s:stmt) =
  match s with
```

```
| Call(str,e) ->
let (arg,body) = List.assoc str fs in
 (* str(e) becomes arg:=e; body *)
 interp_s fs h (Seq(Assign(arg,e),body))
```

• A definition yes, but one we want?

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The "wrong" definition

- The previous slide makes function call assign to a global variable
 - So choice of argument name matters
 - And affects caller
- Example (with IMP-like concrete syntax):

[(fun f x -> y:=x)]
x := 2; f(3); ans := x

• We could try "making up a new variable" every time...

2nd wrong try

```
(* return some string not used in h or s *)
let fresh h s = ...
```

```
let rec interp_s (fs:funs) (h:heap) (s:stmt) =
  match s with
```

Did that work?

(* str(e) becomes y:=arg; arg:=e; body; arg:=y
 where y is "fresh" *)

- "fresh" is pretty sloppy (but okay, it's malloc)
- Not an elegant model of a key PL feature
- Still wrong:
 - In functional or OOP: variables in body should be looked up based on where body came from
 - Even in C: If body calls a function that accesses a global variable named arg
 - Examples...

Examples

- Using higher-order functions
 - [(fun f1 x -> g := fun z -> ans := x + z)]
 f1(2); x:=3; g(4);
 - "Should" set ans to 6, but instead we get 7 because of "when/where" we look up x
- Using globals and function pointers
 - [(fun f1 x -> f2(y); ans := x) ;
 (fun f2 z -> x:=4)]
 - **f1(3)**;
 - "Should" set ans to 3, but instead we get 4 because x is still fundamentally a global variable

Let's give up

- Cannot properly model local scope via a global heap of integers
 - Functions are not syntactic sugar for assignments to globals
- So let's build a model of this key concept
 - Or just borrow one from 1930s logic
- And for now, drop mutation, conditionals, and loops
 - We won't need them!
- The Lambda calculus in BNF

Expressions: $e ::= x | \lambda x. e | e e$ Values: $v ::= \lambda x. e$

That's all of it!

Expressions: $e ::= x \mid \lambda x. e \mid e e$ Values: $v ::= \lambda x. e$

A program is an e. To call a function:

substitute the argument for the bound variable

That's the key operation we were missing

Example substitutions:

$$(\lambda x. x) (\lambda y. y) \rightarrow \lambda y. y$$

 $(\lambda x. \lambda y. y x) (\lambda z. z) \rightarrow \lambda y. y (\lambda z. z)$
 $(\lambda x. x x) (\lambda x. x x) \rightarrow (\lambda x. x x) (\lambda x. x x)$

Why substitution

- After substitution, the bound variable is gone
 - So clearly its name did not matter
 - That was our problem before
- Given substitution we can define a little programming language
 - (correct & precise definition is subtle; we'll come back to it)
 - This microscopic PL turns out to be Turing-complete

Full large-step interpreter

```
type exp = Var of string
         | Lam of string*exp
         | Apply of exp * exp
exception BadExp
let subst e1 with e2 for x = ...(*to be discussed*)
let rec interp large e =
 match e with
  Var -> raise BadExp(* unbound variable *)
 Lam -> e (* functions are values *)
 Apply(e1,e2) ->
    let v1 = interp_large e1 in
    let v_2 = interp large e2 in
   match v1 with
      Lam(x,e3) -> interp large (subst e3 v2 x)
    | -> failwith "impossible" (* why? *)
```

Interpreter summarized

- Evaluation produces a value
- Evaluate application (call) by
 - 1. Evaluate left
 - 2. Evaluate right
 - 3. Substitute result of (2) in body of result of (1)
 - And evaluate result

A different semantics has a different *evaluation strategy*:

- 1. Evaluate left
- 2. Substitute right in body of result of (1)
 - And evaluate result

Another interpreter

```
type exp = Var of string
         | Lam of string*exp
         | Apply of exp * exp
exception BadExp
let subst e1 with e2 for x = ...(*to be discussed*)
let rec interp large2 e =
 match e with
  Var -> raise BadExp(*unbound variable*)
 Lam -> e (*functions are values*)
 Apply(e1,e2) ->
    let v1 = interp large2 e1 in
    (* we used to evaluate e2 to v2 here *)
   match v1 with
      Lam(x,e3) -> interp_large2 (subst e3 e2 x)
    | -> failwith "impossible" (* why? *)
```

What have we done

- Syntax and two large-step semantics for the untyped lambda calculus
 - First was "call by value"
 - Second was "call by name"
- Real implementations don't use substitution
 - They do something *equivalent*
- Amazing (?) fact:
 - If call-by-value terminates, then call-by-name terminates
 - (They might both not terminate)