
CSEP505: Programming Languages
Lecture 4: Untyped Lambda-Calculus,
Formal Operational Semantics,

...

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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 didn't work [see last week]
- Now back up and define a language with *nothing* but functions
 - [started last week]
 - And then *encode* everything else

Review

- **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: $e ::= x \mid \lambda x. e \mid e e$

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

That's all of it! [More review]

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 [More review]

- After substitution, the bound variable is *gone*
 - So clearly its name didn't 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 v2 = 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 $\mathbf{Lam}(x, e3)$ if it terminates
- Evaluate application (call) by
 1. Evaluate left
 2. Evaluate right
 3. Substitute result of (2) in body of result of (1)
 4. Evaluate result of (3)

A different semantics has a different *evaluation strategy*:

1. Evaluate left
2. Substitute right in body of result of (1)
3. Evaluate result of (2)

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)

What will we do

- Go back to math metalanguage
 - Notes on concrete syntax (relates to OCaml)
 - Define semantics with inference rules
- Lambda encodings (show our language is mighty)
- Define substitution precisely
- Environments

Next time??

- Small-step
- Play with *continuations* (“very fancy” language feature)

Syntax notes

- When in doubt, put in parentheses
- Math (and OCaml) resolve ambiguities as follows:
 1. $\lambda x. e1 e2$ is $(\lambda x. e1 e2)$
 - *not* $(\lambda x. e1) e2$

General rule: Function body “starts at the dot” and “ends at the first *unmatched* right paren”

Example:

$(\lambda x. y (\lambda z. z) w) q$

Syntax notes

2. $e_1 e_2 e_3$ is $(e_1 e_2) e_3$
 - *not* $e_1 (e_2 e_3)$

General rule: Application “associates to the left”

So $e_1 e_2 e_3 e_4$ is $((e_1 e_2) e_3) e_4$

It's just syntax

- As in IMP, we really care about abstract syntax
 - Here, internal tree nodes labeled “ λ ” or “apply” (i.e., “call”)
- Previous 2 rules just reduce parens when writing trees as strings
- Rules may seem strange, but they're the most convenient
 - Based on 70 years experience
 - Especially with currying

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Inference rules

- A metalanguage for operational semantics
 - Plus: more concise (& readable?) than OCaml
 - Plus: useful for reading research papers
 - Plus: natural support for *nondeterminism*
 - *Definition* allowing observably different *implementations*
 - Minus: less tool support than OCaml (no compiler)
 - Minus: one more thing to learn
 - Minus: painful in Powerpoint

Informal idea

Want to know:

what values (0, 1, many?) an expression can evaluate to

So define a *relation* over pairs (e, v) :

- Where e is an expression and v is a value
- Just a subset of all pairs of expressions and values

If the language is deterministic, this *relation* turns out to be a *function* from expressions to values

Metalanguage supports defining relations

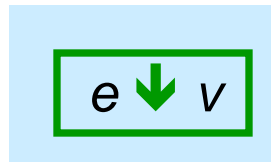
- Then prove a relation is a function (if it is)

Making up metasyntax

Rather than write (e, v) , we'll write $e \Downarrow v$.

- It's just *metasyntax* (!)
 - Could use $\text{interp}(e, v)$ or $\ll v \text{ ☯ } e \gg$ if you prefer
- Our metasyntax follows PL convention
 - Colors are not conventional (slides: **green** = metasyntax)
- And distinguish it from other relations

First step: define the *form* (arity and metasyntax) of your relation(s):



This is called a *judgment*

What we need to define

So we can write $e \Downarrow v$ for any e and v

- But we want such a thing to be “true” to mean e can evaluate to v and “false” to mean it cannot

Examples (before the definition):

- $(\lambda x. \lambda y. y x) ((\lambda z. z) (\lambda z. z)) \Downarrow \lambda y. y (\lambda z. z)$ in the relation
- $(\lambda x. \lambda y. y x) ((\lambda z. z) (\lambda z. z)) \Downarrow \lambda z. z$ not in the relation
- $\lambda y. y \Downarrow \lambda y. y$ in the relation
- $(\lambda y. y) (\lambda x. \lambda y. y x) \Downarrow \lambda y. y$ not in the relation
- $(\lambda x. x x) (\lambda x. x x) \Downarrow \lambda y. y$ not in the relation
- $(\lambda x. x x) (\lambda x. x x) \Downarrow (\lambda x. x x) (\lambda x. x x)$ metasyntactically bogus

Inference rules

$$e \Downarrow v$$
$$e\{v/x\} = e'$$
$$\frac{}{\lambda x. e \Downarrow \lambda x. e} \text{ [lam]}$$
$$e1 \Downarrow \lambda x. e3 \quad e2 \Downarrow v2 \quad e3\{v2/x\} = e4 \quad e4 \Downarrow v$$
$$\frac{}{e1 e2 \Downarrow v} \text{ [app]}$$

- Using definition of a set of 4-tuples for substitution
 - (exp * value * variable * exp)
 - Will define substitution later

Inference rules

$$e \Downarrow v$$
$$e\{v/x\} = e'$$
$$\frac{}{\lambda x. e \Downarrow \lambda x. e} \text{ [lam]}$$
$$e1 \Downarrow \lambda x. e3 \quad e2 \Downarrow v2 \quad e3\{v2/x\} = e4 \quad e4 \Downarrow v$$
$$\frac{}{e1 e2 \Downarrow v} \text{ [app]}$$

- Rule top: *hypotheses* (0 or more)
- Rule bottom: *conclusion*
- Metasemantics: If all hypotheses hold, then conclusion holds

Rule schemas

$$\frac{e1 \Downarrow \lambda x. e3 \quad e2 \Downarrow v2 \quad e3\{v2/x\} = e4 \quad e4 \Downarrow v}{e1 e2 \Downarrow v} \text{ [app]}$$

- Each rule is a schema you “instantiate consistently”
- So [app] “works” “for all” x , $e1$, $e2$, $e3$, $e4$, $v2$, and v
- But “each” $e1$ has to be the “same” expression
 - Replace *metavariables* with appropriate terms
 - Deep connection to logic programming (e.g., Prolog)

Instantiating rules

————— [lam]
 $\lambda x. e \Downarrow \lambda x. e$

- Two example legitimate instantiations:
 - $\lambda z. z \Downarrow \lambda z. z$
 - x instantiated with z, e instantiated with z
 - $\lambda z. \lambda y. y z \Downarrow \lambda z. \lambda y. y z$
 - x instantiated with z, e instantiated with $\lambda y. y z$
- Two example illegitimate instantiations:
 - $\lambda z. z \Downarrow \lambda y. z$
 - $\lambda z. \lambda y. y z \Downarrow \lambda z. \lambda z. Z$

Must get your rules “just right” so you don’t allow too much or too little

Derivations

- Tuple is “in the relation” if there exists a **derivation** of it
 - An upside-down (or not?!) tree where each node is an instantiation and leaves are **axioms** (no hypotheses)
- To show $e \Downarrow v$ for some e and v , *give a derivation*
 - But we rarely “hand-evaluate” like this
 - We’re just defining a semantics remember
- Let’s work through an example derivation for
 $(\lambda x. \lambda y. y x) ((\lambda z. z) (\lambda z. z)) \Downarrow \lambda y. y (\lambda z. z)$

Which relation?

So *exactly which* relation did we define

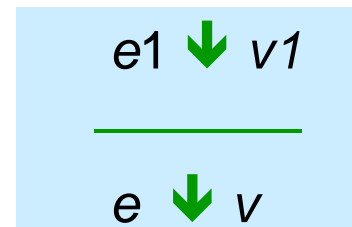
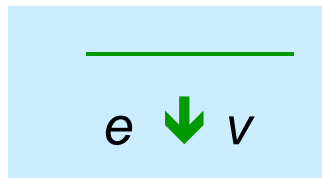
- The pairs at the *bottom of finite-height derivations*

Note: A derivation tree is like the tree of calls in a large-step interpreter

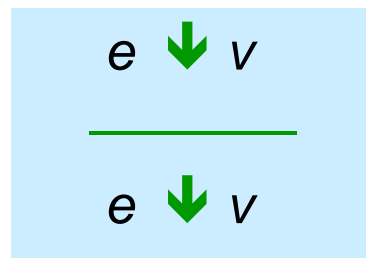
- [when relation is a function]
- Rule being instantiated is branch of the match-expression
- Instantiation is arguments/results of the recursive call

A couple extremes

- This rules are a **bad idea** because either one adds all pairs to the relation



- This rule is **pointless** because it adds no pairs to the relation



Summary so far

- Define judgment via a collection of inference rules
 - Tuple in the relation (“judgment holds”) if a derivation (tree of instantiations ending in axioms) exists

As an interpreter, could be “nondeterministic”:

- Multiple derivations, maybe multiple v such that $e \Downarrow v$
 - Our example language is deterministic
 - In fact, “syntax directed” (≤ 1 rule per syntax form)
- Still need rules for $e\{v/x\}=e'$
- Let’s do more judgments (i.e., languages) to get the hang of it...

Call-by-name large-step

$$e \Downarrow_N v$$

$$e\{v/x\} = e'$$

$$\frac{}{\lambda x. e \Downarrow_N \lambda x. e} \text{ [lam]}$$

$$\frac{e1 \Downarrow_N \lambda x. e3 \quad e3\{e2/x\} = e4 \quad e4 \Downarrow_N v}{e1 e2 \Downarrow_N v} \text{ [app]}$$

- Easier to see the difference than in OCaml
- Formal statement of amazing fact:
For all e , if there exists a v such that $e \Downarrow v$ then there exists a $v2$ such that $e \Downarrow_N v2$
(Proof is non-trivial & must reason about substitution)

IMP

- Two judgments $H;e \Downarrow i$ and $H;s \Downarrow H2$
- Assume $\text{get}(H,x,i)$ and $\text{set}(H,x,i,H2)$ are defined
- Let's try writing out inference rules for the judgments...

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Encoding motivation


- Fairly crazy: we left out integers, conditionals, data structures, ...
- Turns out we're Turing complete
 - We can **encode** whatever we need
 - (Just like assembly language can)
- Motivation for encodings
 - Fun and mind-expanding
 - Shows we are not oversimplifying the model
 ("numbers are syntactic sugar")
 - Can show languages are too expressive
 Example: C++ template instantiation
- Encodings are also just "(re)definition via translation"

Encoding booleans

The “Boolean Abstract Data Type (ADT)”

- There are 2 booleans and 1 conditional expression
 - The conditional takes 3 (curried) arguments
 - If 1st argument is one bool, return 2nd argument
 - If 1st argument is other bool, return 3rd argument
- Any set of 3 expressions meeting this specification *is* a proper encoding of booleans
- Here is one (of many):
 - “true” $\lambda x. \lambda y. x$
 - “false” $\lambda x. \lambda y. y$
 - “if” $\lambda b. \lambda t. \lambda f. b t f$

Example

- Given our encoding:
 - “true” $\lambda x. \lambda y. x$
 - “false” $\lambda x. \lambda y. y$
 - “if” $\lambda b. \lambda t. \lambda f. b t f$
- We can derive “if” “true” v1 v2  v1
- And every “law of booleans” works out
 - And every non-law does not
- By the way, this is OOP

But...


- Evaluation order matters!
 - With \Downarrow , our “if” is not YFL’s `if`

“if” “true” $(\lambda x. x)$ $(\lambda x. x x)$ $(\lambda x. x x)$ doesn’t terminate
but

“if” “true” $(\lambda x. x)$ $(\lambda z. (\lambda x. x x) (\lambda x. x x) z)$ terminates

- Such “thunking” is unnecessary using \Downarrow_N

Encoding pairs

- The “Pair ADT”
 - There is 1 constructor and 2 selectors
 - 1st selector returns 1st argument passed to the constructor
 - 2nd selector returns 2nd argument passed to the constructor
- This does the trick:
 - “make_pair” $\lambda x. \lambda y. \lambda z. z\ x\ y$
 - “first” $\lambda p. p\ (\lambda x. \lambda y. x)$
 - “second” $\lambda p. p\ (\lambda x. \lambda y. y)$
- Example:
 - “snd” (“fst” (“make_pair” (“make_pair” v1 v2) v3))  v2

Reusing Lambda

- Is it weird that the encodings of Booleans and pairs both used $(\lambda x. \lambda y. x)$ and $(\lambda x. \lambda y. y)$ for different purposes?
- Is it weird that the same bit-pattern in binary code can represent an int, a float, an instruction, or a pointer?
- Von Neumann: Bits can represent (all) code and data
- Church (?): Lambdas can represent (all) code and data
- Beware the “Turing tarpit”

Encoding lists

- Why start from scratch? Can build on booleans and pairs:
 - “empty-list” is “make_pair” “false” “false”
 - “cons” is $\lambda h. \lambda t. \text{“make_pair” “true” “make_pair” } h t$
 - “is-empty” is ...
 - “head” is ...
 - “tail” is ...
- Note:
 - Not too far from how lists are implemented
 - Taking “tail” (“tail” “empty”) will produce some lambda
 - Just like, without page-protection hardware ,
null->tail->tail would produce some bit-pattern

Encoding natural numbers

- Known as “Church numerals”
 - Will skip in the interest of time
- The “natural number” ADT is basically:
 - “zero”
 - “successor” (the add-one function)
 - “plus”
 - “is-equal”
- Encoding is correct if “is-equal” agrees with elementary-school arithmetic
- [Don’t need “full” recursion, but with “full” recursion, can also just do lists of Booleans...]

Recursion

- Can we write *useful* loops? Yes!

To write a recursive function:

- Write a function that takes an f and call f in place of recursion:

- Example (in enriched language):

- $\lambda f. \lambda x. \text{if } x=0 \text{ then } 1 \text{ else } (x * f(x-1))$

- Then apply “fix” to it to get a recursive function

- “fix” $\lambda f. \lambda x. \text{if } x=0 \text{ then } 1 \text{ else } (x * f(x-1))$

- Details, especially in CBV are icky; but it’s possible and need be done only once. *For the curious:*

- “fix” is $\lambda f. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y))$

More on “fix”

- “fix” is also known as the Y-combinator
- The informal idea:
 - “**fix**” ($\lambda f.e$) becomes something like
$$e\{\text{“fix” } (\lambda f.e) \ / \ f\}$$
 - That’s unrolling the recursion once
 - Further unrollings are delayed (happen as necessary)
- Teaser: Most type systems disallow “fix”
 - So later we’ll add it as a primitive
 - Example: OCaml can never type-check $(x \ x)$

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Our goal

Need to define

$$e1\{e2/x\} = e3$$

- Used in [app] rule
- Informally, “replace occurrences of x in $e1$ with $e2$ ”
- Shockingly subtle to get right (in theory or programming)
- (Under call-by-value, only need $e2$ to be a value, but that doesn't make it much easier, so define the more general thing.)

Try #1 [WRONG]

$$e1\{e2/x\} = e3$$

$$\frac{}{x\{e/x\} = e} \quad \frac{y \neq x}{y\{e/x\} = y} \quad \frac{e1\{e2/x\} = e3}{(\lambda y . e1)\{e2/x\} = \lambda y . e3}$$
$$\frac{ea\{e2/x\} = ea' \quad eb\{e2/x\} = eb'}{(ea \text{ } eb) \{e2/x\} = ea' \text{ } eb'}$$

- Recursively replace every x leaf with $e2$
- But the rule for substituting into (nested) functions is wrong: If the function's argument binds the same variable (shadowing), we should not change the function's body
- Example program: $(\lambda x . \lambda x . x) \ 42$

Try #2 [WRONG]

$$e1\{e2/x\} = e3$$

$$\frac{}{x\{e/x\} = e} \quad \frac{y \neq x}{y\{e/x\} = y} \quad \frac{e1\{e2/x\} = e3 \quad y \neq x}{(\lambda y . e1)\{e2/x\} = \lambda y . e3}$$

$$ea\{e2/x\} = ea' \quad eb\{e2/x\} = eb'$$

$$(ea \text{ eb}) \{e2/x\} = ea' \text{ eb}'$$

$$(\lambda x . e1)\{e2/x\} = \lambda x . e1$$

- Recursively replace every x leaf with e2, but respect shadowing
- Still wrong due to *capture* [actual technical term]:
 - Example: $(\lambda y . e1)\{y/x\}$
 - Example $(\lambda y . e1)\{(\lambda z . y/x)\}$
 - In general, if “y appears free in e2”

More on capture

- Good news: capture can't happen under CBV or CBN
 - *If* program starts with no unbound (“free”) variables
- Bad news: Can still result from “inlining”
- Bad news: It's still “the wrong definition” in general
 - My experience: The nastiest of bugs in language tools

Try #3 [Almost Correct]

- First define an expression's "free variables"
(braces here are set notation)
 - $FV(x) = \{x\}$
 - $FV(e1\ e2) = FV(e1) \cup FV(e2)$
 - $FV(\lambda y . e) = FV(e) - \{y\}$
- Now require "no capture":

$$\frac{e1\{e2/x\} = e3 \quad y \neq x \quad y \text{ not in } FV(e2)}{(\lambda y . e1)\{e2/x\} = \lambda y . e3}$$

Try #3 in Full

$$e1\{e2/x\} = e3$$

$$\begin{array}{c}
 \frac{}{x\{e/x\} = e} \quad \frac{y \neq x}{y\{e/x\} = y} \quad \frac{e1\{e2/x\} = e3 \quad y \neq x \quad y \text{ not in FV}(e2)}{(\lambda y . e1)\{e2/x\} = \lambda y . e3} \\
 \hline
 \frac{ea\{e2/x\} = ea' \quad eb\{e2/x\} = eb'}{(ea \text{ } eb) \{e2/x\} = ea' \text{ } eb'} \quad \frac{}{(\lambda x . e1)\{e2/x\} = \lambda x . e1}
 \end{array}$$

- No mistakes with what is here...
- ... but only a partial definition
 - What if *y* is in the free-variables of *e2*

Implicit renaming

$$e1\{e2/x\} = e3 \quad y \neq x \quad y \text{ not in } FV(e2)$$

$$(\lambda y . e1)\{e2/x\} = \lambda y . e3$$

- But this is a partial definition due to a “syntactic accident”, until...
- We allow “implicit, systematic renaming” of any term
 - In general, we never distinguish terms that differ only in variable names
 - A key language-design principle
 - Actual variable choices just as “ignored” as parens
 - Means rule above can “always apply” with a lambda
- Called “alpha-equivalence”: terms differing only in names of variables are *the same term*

Try #4 [correct]

- [Includes systematic renaming and drops an unneeded rule]

$$e1\{e2/x\} = e3$$

$$\frac{}{x\{e/x\} = e} \quad \frac{y \neq x}{y\{e/x\} = y} \quad \frac{e1\{e2/x\} = e3 \quad y \neq x \quad y \text{ not in } FV(e2)}{(\lambda y . e1)\{e2/x\} = \lambda y . e3}$$

$$ea\{e2/x\} = ea' \quad eb\{e2/x\} = eb'$$

$$\frac{}{(ea \text{ } eb) \{e2/x\} = ea' \text{ } eb'}$$

~~$$\frac{}{(\lambda x . e1)\{e2/x\} = \lambda x . e1}$$~~

More explicit approach

- While “everyone in the PL field”:
 - Understands the capture problem
 - Avoids it by saying “implicit systematic renaming”
you may find that unsatisfying...
... especially if you have to implement substitution
while avoiding capture

- So this more explicit version also works (“fresh z for y”):

$$z \text{ not in } FV(e1) \cup FV(e2) \cup \{x\} \quad e1\{z/y\} = e3 \quad e3\{e2/x\} = e4$$

$$(\lambda y . e1)\{e2/x\} = \lambda z . e4$$

- You have to “find an appropriate z”, but one always exists and
__`$$tmp` appended to a global counter “probably works”

Note on metasyntax

- Substitution often thought of as a metafunction, not a judgment
 - I've seen many nondeterministic languages
 - But never a nondeterministic definition of substitution
- So instead of writing:

$$\frac{e1 \Downarrow \lambda x. e3 \quad e2 \Downarrow v2 \quad e3\{v2/x\} = e4 \quad e4 \Downarrow v}{e1 e2 \Downarrow v} \text{ [app]}$$

- Just write:

$$\frac{e1 \Downarrow \lambda x. e3 \quad e2 \Downarrow v2 \quad e3\{v2/x\} \Downarrow v}{e1 e2 \Downarrow v} \text{ [app]}$$

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- **Environments**

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Where we're going

- Done: large-step for untyped lambda-calculus
 - CBV and CBN
 - Note: infinite number of other “reduction strategies”
 - Amazing fact: all equivalent if you ignore termination!
- Now other semantics, all equivalent to CBV:
 - With environments (in OCaml to prep for Homework 3)
 - Basic small-step (easy)
 - Contextual semantics (similar to small-step)
 - Leads to precise definition of *continuations*

Slide repeat...

```
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 v2 = interp_large e2 in
    match v1 with
    | Lam(x,e3) -> interp_large (subst e3 v2 x)
    | _ -> failwith "impossible" (* why? *)
```

Environments

- Rather than substitute, let's keep a map from variables to values
 - Called an **environment**
 - Like IMP's heap, but immutable and 1 not enough
- So a program "state" is now exp and environment
- A function body is evaluated under the environment where it was defined!
 - Use **closures** to store the environment
 - See also Lecture 1

No more substitution

```
type exp = Var of string
         | Lam of string * exp
         | Apply of exp * exp
         | Closure of string * exp * env
and env = (string * exp) list

let rec interp env e =
  match e with
  | Var s -> List.assoc s env (* do the lookup *)
  | Lam(s,e2) -> Closure(s,e2,env) (* store env! *)
  | Closure _ -> e (* closures are values *)
  | Apply(e1,e2) ->
    let v1 = interp env e1 in
    let v2 = interp env e2 in
    match v1 with
    | Closure(s,e3,env2) -> interp((s,v2)::env2) e3
    | _ -> failwith "impossible"
```

Worth repeating

- A closure is a pair of code and environment
 - Implementing higher-order functions is not magic or run-time code generation
- An okay way to think about OCaml
 - Like thinking about OOP in terms of vtables
- Need not store whole environment of course
 - See Homework 3

What will we do

- Go back to math metalanguage
 - Notes on concrete syntax (relates to OCaml)
 - Define semantics with inference rules
- Lambda encodings (show our language is mighty)
- Define substitution precisely
 - And revisit function equivalences
- Environments

Next time??

- Small-step
- Play with *continuations* (“very fancy” language feature)