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]

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Syntax (review)

•	 Recall the abstract syntax for IMP
	 Abstract = trees, assume no parsing ambiguities
•	 Two metalanguages for "what trees are in the language"
	type exp = Int of int Var of string
	Plus of exp * exp Times of exp * exp
	type stmt = Skip Assign of string * exp
	Seq of stmt * stmt
	If of exp * stmt * stmt
	While of exp * stmt
	$e \rightarrow = c X e + e e + e$

 $e ::= c | x | e + e | e \wedge e$ s ::= skip | x := e | s; s | if e then selse s | while e s

 $\begin{array}{l} (x \text{ in } \{x1, x2, \ldots, y1, y2, \ldots, z1, z2, \ldots, ...\}) \\ (c \text{ in } \{\ldots, -2, -1, 0, 1, 2, \ldots\}) \end{array}$

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Expression semantics (review)

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

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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)

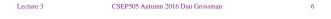
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Heap access (review)

- · 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



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
. sis While(e,s1)
. Semi-troubling circular definition

That is, interp_s might not terminate

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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
<pre>let empty_heap = []</pre>
<pre>let interp_prog s = lookup (interp_s empty_heap s) "ans"</pre>
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

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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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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)

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Example

	oncrete syntax, where each \rightarrow is one call to and heap maps everything to 0	
(x+3)+(y*z)) → (0+3)+(y*z)	
	→ 3+(y*z)	
	→ 3+(0*z)	
	→ 3+(0*0)	
	→ 3+0	
	→ 3	
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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)-> 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) -> 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

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

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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...

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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) 1 in loop (empty_heap,s)

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

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

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Where are we

Definition by interpretation

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

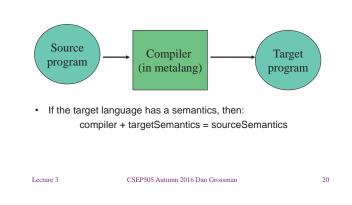
Now definition by translation

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

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In pictures and equations



What we're "doing"

· Meta and target can be the same language xlate e: - Unusual for a "real" compiler exp -> ((string->int)->int) - "given an exp, produce a function that given a function from Makes example harder to follow [®] strings to ints returns an int" · Our target will be a subset of OCaml - (string->int acts like a heap) - After translation, you could "unload" the AST definition - An expression "is" a function from heaps to ints • (in theory) • xlate_s: - An IMP while loop becomes a function stmt->((string->int)->(string->int)) · Not a piece of data that says "I'm a while loop" · Shows you can really think of loops, assignments, etc. as - A statement "is" a function from heaps to heaps "functions over heaps" · A "heap transformer" Lecture 3 CSEP505 Autumn 2016 Dan Grossman 21 Lecture 3 CSEP505 Autumn 2016 Dan Grossman 22

Goals

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Expression translation

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

<pre>let rec xlate_e (e match e with</pre>	:exp) =
	(fun h -> i)
Var str ->	$(fun h \rightarrow h str)$
Plus(e1,e2) ->	let f1 = xlate e e1 in
	let f2 = xlate_e e2 in
	$(fun h \rightarrow (f1 h) + (f2 h))$
Times(e1,e2) ->	<pre>let f1 = xlate_e e1 in</pre>
	<pre>let f2 = xlate_e e2 in</pre>
	$(fun h \rightarrow (f1 h) * (f2 h))$

What just happened

	<pre>(* an example *) let e = Plus(Int 3, Times(Var "x", Int 4)) let f = xlate_e e (* compile *) (* the value bound to f is a function whose body does not use any IMP abstract syntax! *) let ans = f (fun s -> 0) (* run w/ empty heap *)</pre>	Y
	 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) 	
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Wrong

· This produces a program not in our sublanguage:

• 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
  Skip
                   \rightarrow (fun h \rightarrow h)
  |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) ->
     let f2 = xlate s s2 in (* order irrelevant! *)
     let f1 = xlate_s s1 in
     (fun h \rightarrow f2 (f1 h)) (* order relevant *)
  I ...
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```

Statements, part 2

<pre>xlate_s:</pre>		
<pre>stmt->((string->int)->(string->int))</pre>		
<pre>let rec xlate_s (s:stmt) =</pre>		
match s with		
If(e,s1,s2) ->		
<pre>let f1 = xlate_s s1 in</pre>		
<pre>let f2 = xlate_s s2 in</pre>		
<pre>let f = xlate_e e in</pre>		
(fun h -> if (f h) $\langle \rangle$ 0 then f1 h else f2 h)		
While(e,s1) ->		
<pre>let f1 = xlate_s s1 in</pre>		
<pre>let f = xlate_e e in</pre>		
(*???*)		
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 <> 0
      then loop (f1 h)
      else h
   in loop

    Target language must have some recursion/loop!

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```

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!

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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

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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

Digression: Packet filters

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Where are we

Finished our first syntax definition and interpreter · If you're not a language semanticist, is this useful? Will quickly review Then a second "small-step" interpreter for same language A very simple view of packet filters: - Equivalent results, complementary as a definition Some bits come in off the wire · Then a third equivalent semantics via translation Some applications want the "packet" and some do not - Trickier, but worth seeing - e.g., port number • For safety, only the O/S can access the wire · Then quick overview of homework 2 Then a couple useful digressions For extensibility, the applications accept/reject packets ٠ - Packet filters and other code-to-data examples - State-passing style; monadic style Conventional solution goes to user-space for every packet and app that wants (any) packets. · Then start on lambda-calculus [if we have time] Faster solution: Run app-written filters in kernel-space Lecture 3 CSEP505 Autumn 2016 Dan Grossman 33 Lecture 3 CSEP505 Autumn 2016 Dan Grossman 34

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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!)

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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
 - ...

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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 Lecture 3 CSEP505 Autumn 2016 Dan Grossman 38

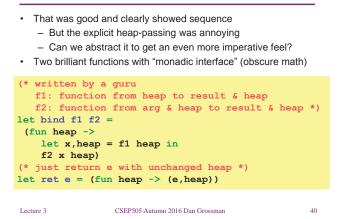
State-passing example

<pre>let empty_heap = [] let lookup str heap = ((try List.assoc str heap with> 0), heap) let update str v heap = ((),(str,v)::heap)</pre>
<pre>(* increment "z", if original "z" is positive set "x" to "y" else set "x" to 37 *) let example1 heap = (* take a heap *) let x1,heap = lookup "z" heap in let x2,heap = update "z" (x1+1) heap in let x3,heap = if x1>0</pre>

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From state-passing to monads



Back to example

<pre>let bind f1 f2 = (fun heap -> let x,heap = f1 heap in f2 x heap) let ret e = (fun heap -> (e,heap))</pre>						
Naively rewriting our example with bind and ret seems awful – But systematic from example1						
<pre>let example2 heap = (bind (fun heap -> lookup "z" heap) (fun x1 -></pre>						
<pre>(bind(fun heap -> update "z" (x1+1) heap) (fun x2 -></pre>						
(bind(fun heap -> if x1 > 0)						
then lookup "y" heap						
else ret 37 heap)						
(fun x3 ->						
<pre>(fun heap->update "x" x3 heap)))))</pre>						
heap						
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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))))
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More clean-up

Now let's just use "funny" indentation and line-breaks						
<pre>let example4 = bind (lookup "z") (fun x1 -> bind (update "z" (x1+1)) (fun x2 -> bind (if x1 > 0</pre>						
 This is imperative programming "in Hebrew" – Within a functional semantics 						
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Adding sugar

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()

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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Adding sugar

- F# supports this idea with workflows
 - Better branding than monads?? $\ensuremath{\textcircled{\sc o}}$ $\ensuremath{\textcircled{\sc o}}$
 - 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 } Lecture 3 CSEP505 Autumn 2016 Dan Grossman

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 Will quickly review
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 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]
 First motivate

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Where are we

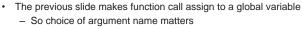
- To talk about functions more precisely, we need to define them
 as carefully as we did IMP's constructs
- First try adding functions & local variables to IMP "on the cheap"
 It won't work
- Then back up and define a language with *nothing* but functions
 And we'll be able to encode everything else

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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



- 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...

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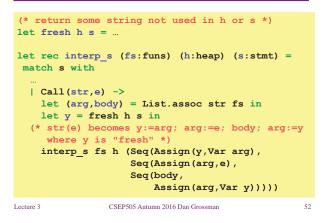
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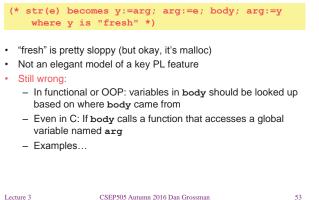
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2nd wrong try



Did that work?



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 \rightarrow f2(y); ans := x) ;
```

```
(fun f2 z \rightarrow x:=4) ]
```

```
f1(3);
```

 "Should" set ans to 3, but instead we get 4 because x is still fundamentally a global variable

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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 | λx. e | e e
Values: v ::= λx. e

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That's all of it!

Expressions: $e ::= x | \lambda x. e | e e$ Values: $v ::= \lambda x. e$ A program is an e.To call a function:substitute the argument for the bound variableThat's the key operation we were missing

Example substitutions:

 $\begin{aligned} & (\lambda x. x) (\lambda y. y) \rightarrow \lambda y. y \\ & (\lambda x. \lambda y. y x) (\lambda z. z) \rightarrow \lambda y. y (\lambda z. z) \\ & (\lambda x. x x) (\lambda x. x x) \rightarrow (\lambda x. x x) (\lambda x. x x) \end{aligned}$

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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
<pre>let subst e1_with e2_for x =(*to be discussed*)</pre>
<pre>let rec interp_large e =</pre>
match e with
<pre>Var> raise BadExp(* unbound variable *)</pre>
<pre>Lam -> e (* functions are values *)</pre>
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)
<pre> -> failwith "impossible" (* why? *)</pre>
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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

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Another interpreter

type exp = Var of string	
Lam of string*exp	
Apply of exp * exp	
exception BadExp	
<pre>let subst e1_with e2_for x =(*to be discus</pre>	sed*)
<pre>let rec interp_large2 e =</pre>	
match e with	
<pre>Var> raise BadExp(*unbound variable*)</pre>	
<pre>Lam -> e (*functions are values*)</pre>	
Apply(e1,e2) ->	
<pre>let v1 = interp_large2 e1 in</pre>	
(* we used to evaluate e2 to v2 here *)	
match v1 with	
Lam(x,e3) -> interp large2 (subst e3 e	2 x)
<pre> -> failwith "impossible" (* why? *)</pre>	
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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)

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