

A simple imperative language

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The language *While*

We provide the syntax of a simple imperative language by means of a BNF grammar containing:

Booleans $b \in \mathbb{B}$ = $\{true, false\}$

Integers $n \in \mathbb{N}$ = $\{\dots, -1, 0, 1, \dots\}$

Locations $l \in \mathbb{L}$ = $\{1, l_0, l_1, l_2, \dots\}$

Operations op ::= $+$ | \geq

Expressions $e \in Exp$::= n | b | $e \ op \ e$ | $\text{if } e \text{ then } e \text{ else } e$
 | $l := e$ | $!l$ | $skip$ | $e; e$
 | $\text{while } e \text{ do } e$

Please, note the following:

- we consider abstract syntax; so our grammar defines syntactic trees
- integers are unbounded
- we have abstract locations; thus `!` means “the integer currently stored at location `l`” (for simplicity, we store only integers)
- untyped language, so have nonsensical expressions like `2 ≥ true`
- don't have expression/command distinctions
- doesn't really matter what basic operations we have
- distinguish metavariables `b, n, l, e, op` from program locations `l, l0, ...`

Some intuition

- **assignment**, “ $l := e$ ” evaluates e and then stores the result in the location l
- **conditional**, taking a boolean and two expressions and yielding a expression “if e then e_1 else e_2 ”
- **sequential composition**, written “ $e_1; e_2$ ”, takes two commands (the semicolon here is an *operator* joining two commands into one and not just a piece of punctuation at the end of a command)
- **do nothing**, denoted by the constant “*skip*”
- **loop constructor**, which takes a boolean and a command and yields a command, written “while e do e_1 ”.

Example program

A **program** in our language is given by a non-empty sequential composition of expressions $e_1; \dots; e_n$

```
l2 := 1;  
l3 := 0;  
while ¬(l1 = l2) do  
  l2 := l2 + 1;  
  l3 := l3 + 1;  
l1 := l3
```

How do we describe the behaviour of these programs?

How can we prescribe how these program should be executed?

Evaluating expressions

Value of expressions depend on current values in locations

- $!l_1 + !l_2 - 1$

In this case, the value depends on current values at locations l_1 and l_2 .

Values stored at locations changes as program are executed

So, our operational semantics should take into considerations those changes!

- How do we evaluate an expression $!!$?
- or what about an assignment $l := e$?

We need some more information about the state of the machine's *memory*.

Partial functions

$$f : A \rightarrow B$$

Meaning:

f returns an element of B for *some* elements of A

Convention:

- $\text{dom}(f)$ is the set of elements in the domain of f , formally $\text{dom}(f) = \{a \in A : \exists b \in B \text{ s.t. } f(a) = b\}$
- $\text{ran}(f)$ is the set of elements in in the range of f , formally $\text{ran}(f) = \{b \in B : \exists a \in A \text{ s.t. } f(a) = b\}$

So, $f(a)$ may not be defined for some a in A , that's why it's called partial! Furthermore, f could be undefined for all elements in A , i.e. a partial function can be empty, just $\{\}$.

Store

- In our language, **Store** is a set of *finite partial functions* from locations to integers

$$s : \mathbb{L} \rightarrow \mathbb{Z}$$

- For example : $\{l_1 \mapsto 3, l_2 \mapsto 6, l_3 \mapsto 7\}$
- **Updating**: The store $s[l \mapsto n]$ is defined by

$$s[l \mapsto n](l') = \begin{cases} n & \text{if } l = l' \\ s(l') & \text{otherwise} \end{cases}$$

- Behaviour of our programs is relative to a *store*
- The store changes as the execution of a program proceeds

Transition systems

Operational semantics in terms of a transition system.

A **transition system** consists of

- a set *Config*, of configurations, and
- a binary relation $\rightarrow \subseteq \text{Config} \times \text{Config}$.

In particular,

- the elements of *Config* are often called **configurations or states**
- the relation \rightarrow is called the **transition or reduction relation**
- we adopt an infix notation, so $c \rightarrow c'$ should be read as “configuration c can make a transition to the configuration c' ”
- complete execution of a program transforms an **initial state** into a **terminal state**.

A transition system is like an NFA^ϵ with an empty alphabet, except

- it can have infinitely many states
- we don't specify a start state or accepting states.

Operational semantics for our imperative language

Configurations are pairs $\langle e, s \rangle$ of an expression e and a store s . Our transition relation will have the form:

Judgements:

$$\langle e, s \rangle \rightarrow \langle e', s' \rangle$$

Meaning:

- starting from store s
- when evaluating expression e

one *step* of computation leads to

- store s'
- with expression e' remaining to be evaluated.

What is a step?

It depends...

What is a step?

Transitions are single computation steps. For example we will have:

- $\rightarrow \langle 1 := 2 + !1, \{1 \mapsto 3\} \rangle$
- $\rightarrow \langle 1 := 2 + 3, \{1 \mapsto 3\} \rangle$
- $\rightarrow \langle 1 := 5, \{1 \mapsto 3\} \rangle$
- $\rightarrow \langle \text{skip}, \{1 \mapsto 5\} \rangle$
- $\not\rightarrow$

Here, $\not\rightarrow$ is a unary operator on *Config* defined by $c \not\rightarrow$ iff $\neg \exists c'. c \rightarrow c'$.
We want to keep on until we get to a **value** v , an expression in

$$\mathbb{V} = \mathbb{B} \cup \mathbb{Z} \cup \{\text{skip}\}$$

Say $\langle e, s \rangle$ is **stuck** or in **deadlock** if e is not a value and $\langle e, s \rangle \not\rightarrow$.
For example, $3 + \text{false}$ is stuck!

Transition system: basic operations

$$(\text{op } +) \frac{}{\langle n_1 + n_2, s \rangle \rightarrow \langle n, s \rangle} \quad n = \text{add}(n_1, n_2)$$

$$(\text{op } \geq) \frac{}{\langle n_1 \geq n_2, s \rangle \rightarrow \langle b, s \rangle} \quad b = \text{geq}(n_1, n_2)$$

$$(\text{op1}) \frac{\langle e_1, s \rangle \rightarrow \langle e'_1, s' \rangle}{\langle e_1 \text{ op } e_2, s \rangle \rightarrow \langle e'_1 \text{ op } e_2, s' \rangle}$$

$$(\text{op2}) \frac{\langle e_2, s \rangle \rightarrow \langle e'_2, s' \rangle}{\langle v \text{ op } e_2, s \rangle \rightarrow \langle v \text{ op } e'_2, s' \rangle}$$

Observe that none of these **transition rules** introduces changes in the store.

Example

Suppose we want to find the sequence of transitions starting from the configuration $\langle (3 + 4) + (7 + 8), \emptyset \rangle$. Then,

$$\text{(op1)} \quad \frac{(\text{op } +) \frac{\quad}{\langle 3 + 4, \emptyset \rangle \rightarrow \langle 7, \emptyset \rangle}}{\langle (3 + 4) + (7 + 8), \emptyset \rangle \rightarrow \langle 7 + (7 + 8), \emptyset \rangle}$$

$$\text{(op2)} \quad \frac{(\text{op } +) \frac{\quad}{\langle 7 + 8, \emptyset \rangle \rightarrow \langle 15, \emptyset \rangle}}{\langle 7 + (7 + 8), \emptyset \rangle \rightarrow \langle 7 + 15, \emptyset \rangle}$$

$$(\text{op } +) \frac{\quad}{\langle 7 + 15, \emptyset \rangle \rightarrow \langle 22, \emptyset \rangle}$$

So, in three computation steps, $\langle (3 + 4) + (7 + 8), \emptyset \rangle \rightarrow \rightarrow \rightarrow \langle 22, \emptyset \rangle$.

Transition system: Dereferencing

What is the result of the evaluation of an expression $!l$ in a store s ?

Inference rule:

$$\text{(deref)} \frac{-}{\langle !l, s \rangle \rightarrow \langle n, s \rangle} \quad \text{if } l \in \text{dom}(s) \text{ and } s(l) = n$$

Transition rules: Assignment

How to execute one step of command $l := e$, relative to a store s ?

Intuition:

- Evaluate e relative to store s
- Update store s with resulting value

Inference rules:

$$\text{(assign1)} \frac{-}{\langle l := n, s \rangle \rightarrow \langle \text{skip}, s[l \mapsto n] \rangle} \quad \text{if } l \in \text{dom}(s)$$

$$\text{(assign2)} \frac{\langle e, s \rangle \rightarrow \langle e', s' \rangle}{\langle l := e, s \rangle \rightarrow \langle l := e', s' \rangle}$$

Transitions system: Conditional

How to execute one step of (if e then e_1 else e_2) relative to a store s ?

Intuition:

- Evaluate e relative to store s
- if *true* start evaluating e_1
- if *false* start evaluating e_2

Inference rules:

$$(If_tt) \frac{-}{\langle \text{if true then } e_1 \text{ else } e_2, s \rangle \rightarrow \langle e_1, s \rangle}$$

$$(If_ff) \frac{-}{\langle \text{if false then } e_1 \text{ else } e_2, s \rangle \rightarrow \langle e_2, s \rangle}$$

$$(If) \frac{\langle e, s \rangle \rightarrow \langle e', s' \rangle}{\langle \text{if } e \text{ then } e_1 \text{ else } e_2, s \rangle \rightarrow \langle \text{if } e' \text{ then } e_1 \text{ else } e_2, s' \rangle}$$

Transition system: Sequential computation

How to execute one step of $(e_1; e_2)$ relative to store s ?

Intuition:

- Execute one step of e_1 relative to state s
- If e_1 has terminated start executing e_2

skip indicates termination.

Inference rules:

$$\text{(Seq)} \frac{\langle e_1, s \rangle \rightarrow \langle e'_1, s' \rangle}{\langle e_1; e_2, s \rangle \rightarrow \langle e'_1; e_2, s' \rangle}$$

$$\text{(Seq.Skip)} \frac{-}{\langle \text{skip}; e_2, s \rangle \rightarrow \langle e_2, s \rangle}$$

Transitions system: While

How to execute one step of while e do e_1 relative to store s ?

Intuition:

- Evaluate e relative to s
- If *false* then terminate
- if *true* then execute one step of e_1 , etc...

Inference rule:

$$\text{(While)} \frac{}{\langle \text{while } e \text{ do } e_1, s \rangle \rightarrow \langle \text{if } e \text{ then } (e_1; \text{while } e \text{ do } e_1) \text{ else skip}, s \rangle}$$

This is **rewriting rule** also called “unwinding”, as it unfolds the while loop once: the semantics of while is given in terms of conditional and sequential composition.

Running programs

To run program P starting from a store s :

Find store s' such that

$$\langle P, s \rangle \rightarrow^* \langle v, s' \rangle$$

for $v \in \mathbb{V} = \mathbb{B} \cup \mathbb{Z} \cup \{\text{skip}\}$.

Configurations of the form $\langle v, s \rangle$ are said to be **terminal**.

Here, \rightarrow^* denotes the reflexive and transitive closure of the reduction relation \rightarrow .

Example:

See McGusker notes at section 4.1.1.

Language properties

A number of interesting properties on the behaviour of programs:

Theorem 1 (Strong normalisation)

For every store s and every program P there exists some store s' such that $\langle P, s \rangle \rightarrow^* \langle v, s' \rangle$, with $\langle v, s \rangle$

Theorem 2 (Determinacy)

If $\langle e, s \rangle \rightarrow \langle e_1, s_1 \rangle$ and $\langle e, s \rangle \rightarrow \langle e_2, s_2 \rangle$ then $\langle e_1, s_1 \rangle = \langle e_2, s_2 \rangle$.

Do these properties hold in our language?

How can we prove them?

The meaning/semantics of programs

Let us consider again the the fragment of code seen at the beginning of this lecture:

```
l2 := 1;  
l3 := 0;  
while  $\neg(l_1 = l_2)$  do  
    l2 := l2 + 1;  
    l3 := l3 + 1;  
l1 := l3
```

What does this program really do?

- Any program should transform an initial state into a terminal state
- But, for some initial states there may be no terminal state.

A semantic interpretation function

We can use our operational semantics to provide a formal semantics to the above program. Let

$$\llbracket - \rrbracket : Exp \rightarrow (Store \rightarrow Store)$$

where, given an arbitrary expression e , $\llbracket e \rrbracket$ is a **partial** function transforming an initial store s into a terminal store s'

Definition:

$$\llbracket e \rrbracket(s) = \begin{cases} s' & \text{if } \langle e, s \rangle \rightarrow^* \langle v, s' \rangle \\ \text{undefined} & \text{otherwise} \end{cases}$$

Determinacy ensures that the function $\llbracket - \rrbracket$ is properly defined.

Application

So, if P is the program mentioned before:

```
l2 := 1;  
l3 := 0;  
while ¬(l1 = l2) do  
    l2 := l2 + 1;  
    l3 := l3 + 1;  
l1 := l3
```

We can fully describe its behavior as follows:

$$\llbracket P \rrbracket(s)(l) = \begin{cases} s(l_1) - 1 & \text{if } l \in \{l_1, l_3\} \text{ and } s(l_1) > 0 \\ s(l_1) & \text{if } l = l_2 \text{ and } s(l_1) > 0 \\ s(l) & \text{if } l \notin \{l_1, l_2, l_3\} \text{ and } s(l_1) > 0 \end{cases}$$

Language design 1. Order of evaluation

For $(e_1 \text{ op } e_2)$ the rules of our operational semantics say that e_1 must be fully reduced to a value before we start reducing e_2 . This evaluation strategy is called **left-to-right**. For example,

$$\langle (1 := 1; 0) + (1 := 2; 0), \{1 \mapsto 0\} \rangle \rightarrow^5 \langle 0, \{1 \mapsto 2\} \rangle$$

Another possibility is to follow a **right-to-left** strategy by replacing rules (op1) and (op2) by

$$\text{(op1b)} \quad \frac{\langle e_2, s \rangle \rightarrow \langle e'_2, s' \rangle}{\langle e_1 + e_2, s \rangle \rightarrow \langle e_1 + e'_2, s' \rangle} \quad \text{(op2b)} \quad \frac{\langle e_1, s \rangle \rightarrow \langle e'_1, s' \rangle}{\langle e_1 + v, s \rangle \rightarrow \langle e'_1 + v, s' \rangle}$$

In a right-to-left evaluation strategy:

$$\langle (1 := 1; 0) + (1 := 2; 0), \{1 \mapsto 0\} \rangle \rightarrow^5 \langle 0, \{1 \mapsto 1\} \rangle$$

If you allow both strategies in your semantics you lose Determinacy!

Language design 2. Assignment results

$$\text{(assign1)} \frac{-}{\langle l := n, s \rangle \rightarrow \langle \text{skip}, s[l \mapsto n] \rangle} \quad \text{if } l \in \text{dom}(s)$$

$$\text{(Seq.Skip)} \frac{-}{\langle \text{skip}; e_2, s \rangle \rightarrow \langle e_2, s \rangle}$$

So

$$\langle (l := 1; l := 2), \{l \mapsto 0\} \rangle \rightarrow^* \langle \text{skip}, \{l \mapsto 2\} \rangle$$

However, in certain languages assignments result in expressions:

$$\text{(assign1b)} \frac{-}{\langle l := n, s \rangle \rightarrow \langle n, s[l \mapsto n] \rangle} \quad \text{if } l \in \text{dom}(s)$$

$$\text{(Seq.Skipb)} \frac{-}{\langle v; e_2, s \rangle \rightarrow \langle e_2, s \rangle}$$

And

$$\langle (l := 1; l := 2), \{l \mapsto 0\} \rangle \rightarrow^* \langle 2, \{l \mapsto 2\} \rangle.$$

Language design 3. Store initialisation

Recall that

$$\text{(deref)} \frac{\overline{\quad}}{\langle !l, s \rangle \rightarrow \langle n, s \rangle} \quad \text{if } l \in \text{dom}(s) \text{ and } s(l) = n$$

$$\text{(assign1)} \frac{\overline{\quad}}{\langle l := n, s \rangle \rightarrow \langle \text{skip}, s[l \mapsto n] \rangle} \quad \text{if } l \in \text{dom}(s)$$

Both require $l \in \text{dom}(s)$, otherwise the expressions are stuck.
Instead, we could

- 1 implicitly initialise all locations to 0, or
- 2 allow assignment to an $l \notin \text{dom}(s)$ to initialise that l .

Language design 4. Storable values

Recall stores s are finite partial functions from \mathbb{L} to \mathbb{Z} , with rules:

$$\text{(deref)} \quad \frac{-}{\langle !l, s \rangle \rightarrow \langle n, s \rangle} \quad \text{if } l \in \text{dom}(s) \text{ and } s(l) = n$$

$$\text{(assign1)} \quad \frac{-}{\langle l := n, s \rangle \rightarrow \langle \text{skip}, s[l \mapsto n] \rangle} \quad \text{if } l \in \text{dom}(s)$$

- We can store only integers: $\langle l := \text{true}, s \rangle$ is stuck! (we will introduce a type system to rule out programs that could reach a stuck expression)
- Why not allow storage of any value? of locations? of programs?
- Notice also that **store is statically defined**
- Later on we will consider programs that can create **new** locations.

Expressiveness

Is our language expressive enough to write interesting programs?

- **yes**: it's Turing-powerful (try coding an arbitrary register machine in it)
- **no**: there is no support for features like functions, branching, objects, etc...

Is our language *too expressive* (i.e. can we write too many program in it)?

- **yes**: We would like to forbid programs like “ $3 + true$ ” as early as possible, rather than let the program get stuck or give a runtime error. We'll do that by means of a **type system**.

Type systems

used for

- describing when programs make sense
- preventing certain kinds of errors
- structuring programs
- guiding language design
- providing information to compiler optimisers
- enforcing security properties
- etc etc...
- even to allow only polynomial-time computations.

In our small language, ideally, **well-typed programs don't get stuck!**

Type systems more formally

We will define a ternary relation

$$\Gamma \vdash e : T$$

read as “expression e has type T under assumptions Γ on the types of locations that may occur in e ”.

For example, according to the definition (coming up...):

$$\begin{array}{l} \{\} \quad \vdash \quad \text{if true then 2 else } 3 + 4 \quad : \quad \text{int} \\ l_1 : \text{intref} \quad \vdash \quad \text{if } !l_1 \geq 3 \text{ then } !l_1 \text{ else } 3 \quad : \quad \text{int} \\ \{\} \quad \not\vdash \quad 3 + \text{false} \quad : \quad T \quad \text{for any } T \\ \{\} \quad \not\vdash \quad \text{if } \textit{true} \text{ then } 3 \text{ else } \textit{false} \quad : \quad T \quad \text{for any } T \end{array}$$

Note that the last program is **ill-typed** despite the fact that when you execute it you'll always get an int: type systems define **approximations** to the behaviour of programs, often quite crude!

However, it has to be so! We generally would like them to be **decidable**, so that compilation is guaranteed to terminate!!!

Types for the language While

Types of expressions:

$$T ::= \text{int} \mid \text{bool} \mid \text{unit}$$

Types of locations:

$$T_{loc} ::= \text{intref}$$

- Write T and T_{loc} for the set of all terms of these grammars, ie $T = \{\text{int}, \text{bool}, \text{unit}\}$ and $T_{loc} = \{\text{intref}\}$
- Let Γ range over TypeEnv , the set of partial functions from \mathbb{L} to T_{loc}
- Notations: write a Γ as $l_1 : \text{intref}, \dots, l_k : \text{intref}$, instead of $\{l_1 \mapsto \text{intref}, \dots, l_k \mapsto \text{intref}\}$
- For now, there is only one type in T_{loc} , so a Γ can be thought of as just a set of locations (later, T_{loc} will be more interesting).

Defining the type judgement “ $\Gamma \vdash e : T$ ” (1 of 3)

$$\text{(int)} \frac{}{\Gamma \vdash n : \text{int}} \quad \text{for } n \in \mathbb{Z}$$

$$\text{(bool)} \frac{}{\Gamma \vdash b : \text{bool}} \quad \text{for } b \in \{\text{true}, \text{false}\}$$

$$\text{(op } +) \frac{\Gamma \vdash e_1 : \text{int} \quad \Gamma \vdash e_2 : \text{int}}{\Gamma \vdash e_1 + e_2 : \text{int}} \quad \text{(op } \geq) \frac{\Gamma \vdash e_1 : \text{int} \quad \Gamma \vdash e_2 : \text{int}}{\Gamma \vdash e_1 \geq e_2 : \text{bool}}$$

$$\text{(if)} \frac{\Gamma \vdash e_1 : \text{bool} \quad \Gamma \vdash e_2 : T \quad \Gamma \vdash e_3 : T}{\Gamma \vdash \text{if } e_1 \text{ then } e_2 \text{ else } e_3 : T}$$

How to use it!

To show that

$$\{\} \vdash \text{if } \textit{false} \text{ then } 2 \text{ else } 3 + 4 : \text{int}$$

we can give a **type derivation** like this:

$$\text{(if)} \frac{\text{(bool)} \frac{\overline{\quad}}{\{\} \vdash \textit{false} : \text{bool}} \quad \text{(int)} \frac{\overline{\quad}}{\{\} \vdash 2 : \text{int}} \quad \nabla}{\{\} \vdash \text{if } \textit{false} \text{ then } 2 \text{ else } 3 + 4 : \text{int}}$$

where ∇ is

$$\text{(op +)} \frac{\text{(int)} \frac{\overline{\quad}}{\{\} \vdash 3 : \text{int}} \quad \text{(int)} \frac{\overline{\quad}}{\{\} \vdash 4 : \text{int}}}{\{\} \vdash 3 + 4 : \text{int}}$$

Defining the type judgement “ $\Gamma \vdash e : T$ ” (2 of 3)

$$\text{(assign)} \quad \frac{\Gamma \vdash e : \text{int}}{\Gamma \vdash l := e : \text{unit}} \quad \text{if } \Gamma(l) = \text{intref}$$

$$\text{(deref)} \quad \frac{-}{\Gamma \vdash !l : \text{int}} \quad \text{if } \Gamma(l) = \text{intref}$$

Defining the type judgement “ $\Gamma \vdash e : T$ ” (3 of 3)

$$\text{(skip)} \frac{-}{\Gamma \vdash \text{skip} : \text{unit}}$$

$$\text{(seq)} \frac{\Gamma \vdash e_1 : \text{unit} \quad \Gamma \vdash e_2 : T}{\Gamma \vdash e_1; e_2 : T}$$

Here, we are making an implicit, precise choice about the semantics of $e_1; e_2$. Can you see it?

$$\text{(while)} \frac{\Gamma \vdash e_1 : \text{bool} \quad \Gamma \vdash e_2 : \text{unit}}{\Gamma \vdash \text{while } e_1 \text{ do } e_2 : \text{unit}}$$

Typing rules are **syntax-directed**: for each clause of the abstract syntax for expressions there is exactly one rule with a conclusion of that form.

Properties

Theorem 3 (Progress)

If $\Gamma \vdash e : T$ and $\text{dom}(\Gamma) \subseteq \text{dom}(s)$ then either e is a value or there exist e', s' such that $\langle e, s \rangle \rightarrow \langle e', s' \rangle$.

Theorem 4 (Type preservation)

If $\Gamma \vdash e : T$ and $\text{dom}(\Gamma) \subseteq \text{dom}(s)$ and $\langle e, s \rangle \rightarrow \langle e', s' \rangle$ then $\Gamma \vdash e' : T$ and $\text{dom}(\Gamma) \subseteq \text{dom}(s')$.

Merging them together we can assert that well-typed programs don't get stuck:

Theorem 5 (Safety)

If $\Gamma \vdash e : T$, $\text{dom}(\Gamma) \subseteq \text{dom}(s)$, and $\langle e, s \rangle \rightarrow^* \langle e', s' \rangle$ then either e' is a value or there exist e'', s'' such that $\langle e', s' \rangle \rightarrow \langle e'', s'' \rangle$.

Type checking, typeability, and type inference

Type checking problem

Given a type system, a type environment Γ , an expression e and a type T , is $\Gamma \vdash e : T$ derivable?

Type inference problem

Given a type system, a type environment Γ and an expression e , find a type T such that the type judgement $\Gamma \vdash e : T$ is derivable, or show there is none.

The second problem is usually harder than the first one. Solving it usually results in providing a **type inference algorithm**: computing a type T for an expression e , given a type environment Γ (or failing, if there is none).

However, for our type system both problems are quite easy to solve.

More properties

Theorem 6 (Type inference)

Given Γ , e , one can find T such that $\Gamma \vdash e : T$, or show that there is none.

Theorem 7 (Decidability of type checking)

Given Γ , e , T , one can decide $\Gamma \vdash e : T$.

Theorem 8 (Uniqueness of typing)

If $\Gamma \vdash e : T$ and $\Gamma \vdash e : T'$ then $T = T'$.