

Lecture  
Models of Computation  
(DIT310, TDA184)

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# Today

$\lambda$ , a small functional language:

- ▶ Concrete and abstract syntax.
- ▶ Operational semantics.
- ▶ Several variants of the halting problem.
- ▶ Representing inductively defined sets.

# Concrete syntax

# Concrete syntax

$$\begin{array}{l} e ::= x \\ | (e_1 e_2) \\ | \lambda x. e \\ | c(e_1, \dots, e_n) \\ | \mathbf{case} e \mathbf{of} \{c_1(x_1, \dots, x_n) \rightarrow e_1; \dots\} \\ | \mathbf{rec} x = e \end{array}$$

Variables ( $x$ ) and constructors ( $c$ ) are assumed to come from two disjoint, countably infinite sets.

Sometimes extra parentheses are used, and sometimes parentheses are omitted around applications:  $e_1 e_2 e_3$  means  $((e_1 e_2) e_3)$ .

# Examples

$\chi$	Haskell
$\lambda x. e$	<code>\x -&gt; e</code>
<code>True()</code>	<code>True</code>
<code>Succ(n)</code>	<code>Succ n</code>
<code>Cons(x, xs)</code>	<code>x : xs</code>
<code>rec x = e</code>	<code>let x = e in x</code>

Note: Haskell is typed and non-strict,  $\chi$  is untyped and strict.

# Another example

$\lambda$ :

`case e of { Zero()  $\rightarrow$  x; Succ(n)  $\rightarrow$  y }`

Haskell:

```
case e of
  Zero    -> x
  Succ n  -> y
```

# And two more

```
rec add =  $\lambda m. \lambda n. \mathbf{case\ } n \mathbf{ of}$   
  { Zero()  $\rightarrow m$   
    ; Succ(n)  $\rightarrow \mathbf{Succ}(add\ m\ n)$   
  }
```

```
 $\lambda m. \mathbf{rec\ } add = \lambda n. \mathbf{case\ } n \mathbf{ of}$   
  { Zero()  $\rightarrow m$   
    ; Succ(n)  $\rightarrow \mathbf{Succ}(add\ n)$   
  }
```

What is the value of the following expression?

```
(rec foo = λ m. λ n. case n of {  
  Zero() → m;  
  Succ(n) → case m of {  
    Zero() → Zero();  
    Succ(m) → foo m n } })  
Succ(Succ(Zero())) Succ(Zero())
```

- ▶ Zero()
- ▶ Succ(Zero())
- ▶ Succ(Succ(Zero()))
- ▶ Succ(Succ(Succ(Zero())))

# Abstract syntax

# Abstract syntax

$$\frac{x \in Var}{\text{var } x \in Exp}$$

$$\frac{e_1 \in Exp \quad e_2 \in Exp}{\text{apply } e_1 e_2 \in Exp}$$

$$\frac{x \in Var \quad e \in Exp}{\text{lambda } x e \in Exp}$$

$$\frac{x \in Var \quad e \in Exp}{\text{rec } x e \in Exp}$$

*Var*: Assumed to be countably infinite.

# Abstract syntax

$$\frac{c \in \text{Const} \quad es \in \text{List Exp}}{\text{const } c \text{ } es \in \text{Exp}}$$

$$\frac{e \in \text{Exp} \quad bs \in \text{List Br}}{\text{case } e \text{ } bs \in \text{Exp}}$$

$$\frac{c \in \text{Const} \quad xs \in \text{List Var} \quad e \in \text{Exp}}{\text{branch } c \text{ } xs \text{ } e \in \text{Br}}$$

*Const*: Assumed to be countably infinite.

# Operational semantics

# Operational semantics

- ▶ The binary relation  $\Downarrow$  relates *closed* expressions.
- ▶ An expression is closed if it has no free variables.
- ▶  $e \Downarrow v$ :  $e$  terminates with the value  $v$ .

# Quiz

Which of the following expressions are closed?

- ▶  $y$
- ▶  $\lambda x. \lambda y. x$
- ▶ **case**  $x$  **of**  $\{ \text{Cons}(x, xs) \rightarrow x \}$
- ▶ **case**  $\text{Succ}(\text{Zero}())$  **of**  $\{ \text{Succ}(x) \rightarrow x \}$
- ▶ **rec**  $f = \lambda x. f$

# Operational semantics (1/3)

$$\overline{\text{lambda } x \ e \Downarrow \text{lambda } x \ e}$$
$$\frac{e_1 \Downarrow \text{lambda } x \ e \quad e_2 \Downarrow v_2 \quad e [x \leftarrow v_2] \Downarrow v}{\text{apply } e_1 \ e_2 \Downarrow v}$$
$$\frac{e [x \leftarrow \text{rec } x \ e] \Downarrow v}{\text{rec } x \ e \Downarrow v}$$

# Substitution

- ▶  $e [x \leftarrow e']$ : Substitute  $e'$  for every *free* occurrence of  $x$  in  $e$ .
- ▶ To keep things simple:  $e'$  must be closed.
- ▶ If  $e'$  is not closed, then this definition is prone to *variable capture*.

# Substitution

$$\text{var } x [x \leftarrow e'] = e'$$

$$\text{var } y [x \leftarrow e'] = \text{var } y \quad \text{if } x \neq y$$

$$\text{apply } e_1 e_2 [x \leftarrow e'] =$$

$$\text{apply } (e_1 [x \leftarrow e']) (e_2 [x \leftarrow e'])$$

$$\text{lambda } x e [x \leftarrow e'] = \text{lambda } x e$$

$$\text{lambda } y e [x \leftarrow e'] =$$

$$\text{lambda } y (e [x \leftarrow e']) \quad \text{if } x \neq y$$

And so on...

# Quiz

What is the result of

$(\text{rec } y = \text{case } x \text{ of } \{c() \rightarrow x; d(x) \rightarrow x\}) [x \leftarrow \lambda z. z]$ ?

- ▶  $\text{rec } y = \text{case } x \text{ of } \{c() \rightarrow x; d(x) \rightarrow x\}$
- ▶  $\text{rec } y = \text{case } x \text{ of } \{c() \rightarrow x; d(x) \rightarrow \lambda z. z\}$
- ▶  $\text{rec } y = \text{case } \lambda z. z \text{ of } \{c() \rightarrow \lambda z. z; d(x) \rightarrow x\}$
- ▶  $\text{rec } y = \text{case } \lambda z. z \text{ of } \{c() \rightarrow \lambda z. z; d(\lambda z. z) \rightarrow x\}$
- ▶  $\text{rec } y = \text{case } \lambda z. z \text{ of } \{c() \rightarrow \lambda z. z; d(x) \rightarrow \lambda z. z\}$

# Operational semantics (2/3)

$$\frac{es \Downarrow^* vs}{\text{const } c \text{ es} \Downarrow \text{const } c \text{ vs}}$$

$$\frac{}{\text{nil} \Downarrow^* \text{nil}}$$

$$\frac{e \Downarrow v \quad es \Downarrow^* vs}{\text{cons } e \text{ es} \Downarrow^* \text{cons } v \text{ vs}}$$

# An example

$$\frac{\frac{\text{lambda } x \text{ (var } x) \Downarrow}{\text{lambda } x \text{ (var } x)}}{\frac{\frac{\frac{\text{nil } \Downarrow^* \text{ nil}}{\text{const } c \text{ nil } \Downarrow}}{\text{const } c \text{ nil}} \quad \frac{\frac{\text{nil } \Downarrow^* \text{ nil}}{\text{var } x [x \leftarrow \text{const } c \text{ nil}] \Downarrow}}{\text{const } c \text{ nil}}}{\text{apply (lambda } x \text{ (var } x)) (\text{const } c \text{ nil)} \Downarrow \text{const } c \text{ nil}}}$$

# Operational semantics (3/3)

$$\frac{e \Downarrow \text{const } c \text{ vs} \quad \text{Lookup } c \text{ bs } xs \ e' \quad e' [xs \leftarrow vs] \mapsto e'' \quad e'' \Downarrow v}{\text{case } e \text{ bs } \Downarrow v}$$

# Operational semantics (3/3)

$$\frac{e \Downarrow \text{const } c \text{ vs} \quad \text{Lookup } c \text{ bs } xs \ e' \quad e' [xs \leftarrow vs] \mapsto e'' \quad e'' \Downarrow v}{\text{case } e \text{ bs } \Downarrow v}$$

The first matching branch, if any:

$$\frac{\text{Lookup } c \text{ (cons (branch } c \text{ } xs \ e) \text{ bs) } xs \ e}{c \neq c' \quad \text{Lookup } c \text{ bs } xs \ e}{\text{Lookup } c \text{ (cons (branch } c' \text{ } xs' \ e') \text{ bs) } xs \ e}$$

# Operational semantics (3/3)

$$\frac{e \Downarrow \text{const } c \text{ vs} \quad \text{Lookup } c \text{ bs } xs \ e' \quad e' [xs \leftarrow vs] \mapsto e'' \quad e'' \Downarrow v}{\text{case } e \text{ bs } \Downarrow v}$$

$e [xs \leftarrow vs] \mapsto e'$  holds iff

- ▶ there is some  $n$  such that  
 $xs = \text{cons } x_1 (\dots(\text{cons } x_n \text{ nil}))$  and  
 $vs = \text{cons } v_1 (\dots(\text{cons } v_n \text{ nil}))$ , and
- ▶  $e' = ((e [x_n \leftarrow v_n]) \dots) [x_1 \leftarrow v_1]$ .

# Operational semantics (3/3)

$$\frac{e \Downarrow \text{const } c \text{ } vs \quad \text{Lookup } c \text{ } bs \text{ } xs \text{ } e' \quad e' [xs \leftarrow vs] \mapsto e'' \quad e'' \Downarrow v}{\text{case } e \text{ } bs \Downarrow v}$$

$$\frac{}{e [\text{nil} \leftarrow \text{nil}] \mapsto e}$$

$$\frac{e [xs \leftarrow vs] \mapsto e'}{e [\text{cons } x \text{ } xs \leftarrow \text{cons } v \text{ } vs] \mapsto e' [x \leftarrow v]}$$

# Quiz

## Which of the following sets are inhabited?

- ▶ **case**  $c()$  **of**  $\{c() \rightarrow d(); c() \rightarrow c()\}$   $\Downarrow c()$
- ▶ **case**  $c()$  **of**  $\{c() \rightarrow d(); c() \rightarrow c()\}$   $\Downarrow d()$
- ▶ **case**  $c()$  **of**  $\{c(x) \rightarrow d(); c() \rightarrow d()\}$   $\Downarrow d()$
- ▶ **case**  $\text{Succ}(\text{False}())$  **of**  
     $\{\text{Zero}() \rightarrow \text{True}(); \text{Succ}(n) \rightarrow n\}$   $\Downarrow \text{False}()$
- ▶ **case**  $\text{Succ}(\text{False}())$  **of**  
     $\{\text{Zero}() \rightarrow \text{True}(); \text{Succ}() \rightarrow \text{False}()\}$   
     $\Downarrow \text{False}()$

Some  
properties

# Deterministic

The semantics is deterministic:

$e \Downarrow v_1$  and  $e \Downarrow v_2$  imply  $v_1 = v_2$ .

# Values

- ▶ An expression  $e$  is called a value if  $e \Downarrow e$ .
- ▶ Values can be characterised inductively:

$$\frac{}{\text{Value } (\text{lambda } x \ e)} \qquad \frac{\text{Values } es}{\text{Value } (\text{const } c \ es)}$$

$$\frac{}{\text{Values nil}} \qquad \frac{\text{Value } e \quad \text{Values } es}{\text{Value } (\text{cons } e \ es)}$$

- ▶  $\text{Value } e$  holds iff  $e \Downarrow e$ .
- ▶ If  $e \Downarrow v$ , then  $\text{Value } v$ .

# There is a non-terminating expression

- ▶ The following program does not terminate:  
 $\text{rec } x (\text{var } x).$

- ▶ Recall the rule for  $\text{rec}$ : 
$$\frac{e [x \leftarrow \text{rec } x e] \Downarrow v}{\text{rec } x e \Downarrow v}.$$

- ▶ Note that

$$\text{var } x [x \leftarrow \text{rec } x (\text{var } x)] = \text{rec } x (\text{var } x).$$

- ▶ Idea:

$$\begin{aligned} \text{rec } x (\text{var } x) & \rightarrow \\ \text{var } x [x \leftarrow \text{rec } x (\text{var } x)] & = \\ \text{rec } x (\text{var } x) & \rightarrow \\ \vdots & \end{aligned}$$

# There is a non-terminating expression

- ▶ If the program did terminate, then there would be a *finite* derivation of the following form:

$$\frac{\frac{\frac{\vdots}{\text{rec } x (\text{var } x) \Downarrow v}}{\text{rec } x (\text{var } x) \Downarrow v}}{\text{rec } x (\text{var } x) \Downarrow v}}$$

- ▶ Exercise: Prove more formally that this is impossible, using induction on the structure of the semantics.

# The halting problem

# The extensional halting problem

There is no closed expression *halts* such that, for every closed expression  $p$ ,

- ▶  $halts (\lambda x. p) \Downarrow \text{True}()$ , if  $p$  terminates, and
- ▶  $halts (\lambda x. p) \Downarrow \text{False}()$ , otherwise.

# The extensional halting problem

- ▶ Assume that *halts* can be defined.
- ▶ Define  $terminv \in Exp \rightarrow Exp$ :

$$terminv\ p = \mathbf{case\ } halts\ (\lambda x. p)\ \mathbf{of}$$
$$\quad \{ \mathbf{True}() \rightarrow \mathbf{rec\ } x = x$$
$$\quad \quad ; \mathbf{False}() \rightarrow \mathbf{Zero}()$$
$$\quad \}$$

- ▶ For any closed expression  $p$ :  
 $terminv\ p$  terminates iff  $p$  does not terminate.

# The extensional halting problem

- ▶ Now consider the closed expression *strange* defined by  $\mathbf{rec} \ p = \mathit{terminv} \ p$ .
- ▶ We get a contradiction:

$$\begin{array}{llll} (\exists v. \mathit{strange} & \Downarrow v) & \Leftrightarrow & \\ (\exists v. \mathbf{rec} \ p = \mathit{terminv} \ p & \Downarrow v) & \Leftrightarrow & \\ (\exists v. \mathit{terminv} \ p [p \leftarrow \mathit{strange}] & \Downarrow v) & \Leftrightarrow & \\ (\exists v. \mathit{terminv} \ \mathit{strange} & \Downarrow v) & \Leftrightarrow & \\ \neg (\exists v. \mathit{strange} & \Downarrow v) & & \end{array}$$

# The extensional halting problem

- ▶ Note that we apply *halts* to a program, not to the source code of a program.
- ▶ How can source code be represented?

Representing  
inductively  
defined sets

# Natural numbers

One method:

- ▶ Notation:  $\ulcorner n \urcorner \in Exp$  represents  $n \in \mathbb{N}$ .
- ▶ Representation:

$$\ulcorner \text{zero} \urcorner = \text{Zero}()$$

$$\ulcorner \text{suc } n \urcorner = \text{Succ}(\ulcorner n \urcorner)$$

# Natural numbers

One method:

- ▶ Notation:  $\ulcorner n \urcorner \in Exp$  represents  $n \in \mathbb{N}$ .
- ▶ Representation:

$$\begin{aligned}\ulcorner \text{zero} \urcorner &= \text{Zero}() \\ \ulcorner \text{suc } n \urcorner &= \text{Succ}(\ulcorner n \urcorner)\end{aligned}$$

- ▶ Note that the concrete syntax should be interpreted as abstract syntax:

$$\begin{aligned}\ulcorner \text{zero} \urcorner &= \text{const } \underline{\text{Zero}} \text{ nil} \\ \ulcorner \text{suc } n \urcorner &= \text{const } \underline{\text{Succ}} (\text{cons } \ulcorner n \urcorner \text{ nil})\end{aligned}$$

(For some distinct  $\underline{\text{Zero}}, \underline{\text{Succ}} \in \text{Const.}$ )

# Lists

If elements in  $A$  can be represented, then elements in  $List\ A$  can also be represented:

$$\ulcorner \text{nil} \urcorner = \text{Nil}()$$

$$\ulcorner \text{cons } x\ xs \urcorner = \text{Cons}(\ulcorner x \urcorner, \ulcorner xs \urcorner)$$

Many inductively defined sets can be represented using constructor trees in analogous ways.

# Variables, constants

- ▶ *Var*: Countably infinite.
- ▶ Thus each variable  $x \in Var$  can be assigned a unique natural number  $n \in \mathbb{N}$ .
- ▶ Define  $\ulcorner x \urcorner = \ulcorner n \urcorner$ .
- ▶ Similarly for constants.

# Source code

$\ulcorner \text{var } x \urcorner = \text{Var}(\ulcorner x \urcorner)$   
 $\ulcorner \text{apply } e_1 e_2 \urcorner = \text{Apply}(\ulcorner e_1 \urcorner, \ulcorner e_2 \urcorner)$   
 $\ulcorner \text{lambda } x e \urcorner = \text{Lambda}(\ulcorner x \urcorner, \ulcorner e \urcorner)$   
 $\ulcorner \text{rec } x e \urcorner = \text{Rec}(\ulcorner x \urcorner, \ulcorner e \urcorner)$   
 $\ulcorner \text{const } c es \urcorner = \text{Const}(\ulcorner c \urcorner, \ulcorner es \urcorner)$   
 $\ulcorner \text{case } e bs \urcorner = \text{Case}(\ulcorner e \urcorner, \ulcorner bs \urcorner)$   
 $\ulcorner \text{branch } c xs e \urcorner = \text{Branch}(\ulcorner c \urcorner, \ulcorner xs \urcorner, \ulcorner e \urcorner)$

# Example

- ▶ Concrete syntax:  $\lambda x. \text{Succ}(x)$ .
- ▶ Abstract syntax:

lambda  $\underline{x}$  (const Succ (cons (var  $\underline{x}$ ) nil))

(for some  $\underline{x} \in \text{Var}$  and Succ  $\in \text{Const}$ ).

- ▶ Representation (concrete syntax):

Lambda( $\ulcorner \underline{x} \urcorner$ ,  
          Const( $\ulcorner \text{Succ} \urcorner$ , Cons(Var( $\ulcorner \underline{x} \urcorner$ ), Nil()))))

- ▶ If  $\underline{x}$  and Succ both correspond to zero:

Lambda(Zero(),  
          Const(Zero(),  
                Cons(Var(Zero()), Nil()))))

# Example

Representation (abstract syntax):

```
const Lambda (  
  cons (const Zero nil) (  
    cons (const Const (  
      cons (const Zero nil) (  
        cons (const Cons (  
          cons (const Var (cons (const Zero nil) nil)) (  
            cons (const Nil nil)  
          nil)))  
        nil)))  
      nil)))  
    nil))  
  nil))
```

# Quiz

How is  $\text{rec } x = x$  represented?

Assume that  $x$  corresponds to 1.

- ▶  $\text{Rec}(X(), X())$
- ▶  $\text{Rec}(X(), \text{Var}(X()))$
- ▶  $\text{Equals}(\text{Rec}(X()), X())$
- ▶  $\text{Rec}(\text{Succ}(\text{Zero}()), \text{Succ}(\text{Zero}()))$
- ▶  $\text{Rec}(\text{Succ}(\text{Zero}()), \text{Var}(\text{Succ}(\text{Zero}())))$
- ▶  $\text{Equals}(\text{Rec}(\text{Succ}(\text{Zero}())), \text{Succ}(\text{Zero}()))$

The halting  
problem,  
take two

# The intensional halting problem (with self-application)

There is no closed expression *halts* such that,  
for every closed expression *p*,

- ▶  $halts \ulcorner p \urcorner \Downarrow \text{True}()$ , if  $p \ulcorner p \urcorner$  terminates, and
- ▶  $halts \ulcorner p \urcorner \Downarrow \text{False}()$ , otherwise.

# With self-application

- ▶ Assume that *halts* can be defined.
- ▶ Define the closed expression *terminv*:

$$\begin{aligned} \textit{terminv} = \lambda p. \textbf{case } \textit{halts} \textit{ p of} \\ \quad \{ \text{True}() \rightarrow \text{rec } x = x \\ \quad \quad ; \text{False}() \rightarrow \text{Zero}() \\ \quad \quad \} \end{aligned}$$

- ▶ For any closed expression *p*:  
*terminv*  $\ulcorner p \urcorner$  terminates iff  
*p*  $\ulcorner p \urcorner$  does not terminate.
- ▶ Thus *terminv*  $\ulcorner \textit{terminv} \urcorner$  terminates iff  
*terminv*  $\ulcorner \textit{terminv} \urcorner$  does not terminate.

# The intensional halting problem

There is no closed expression *halts* such that, for every closed expression *p*,

- ▶  $halts \ulcorner p \urcorner \Downarrow \text{True}()$ , if *p* terminates, and
- ▶  $halts \ulcorner p \urcorner \Downarrow \text{False}()$ , otherwise.

# The intensional halting problem

- ▶ Assume that *halts* can be defined.
- ▶ If we can use *halts* to solve the previous variant of the halting problem, then we have found a contradiction.

# The intensional halting problem

- ▶ Exercise:

Define a closed expression  $code$  satisfying:

- ▶ For any closed expression  $p$ ,

$$code \ulcorner p \urcorner \Downarrow \ulcorner \ulcorner p \urcorner \urcorner.$$

- ▶ Define the closed expression  $halts'$  by  $\lambda p. halts \text{ Apply}(p, code \ p)$ .

# The intensional halting problem

For any closed expression  $p$ :

$p \text{ } \ulcorner p \urcorner$ terminates		$\Rightarrow$
$halts \text{ } \ulcorner p \text{ } \ulcorner p \urcorner \urcorner$	$\Downarrow$ True()	$\Rightarrow$
$halts \text{ } \mathbf{Apply}(\ulcorner p \urcorner, \ulcorner \ulcorner p \urcorner \urcorner)$	$\Downarrow$ True()	$\Rightarrow$
$halts \text{ } \mathbf{Apply}(\ulcorner p \urcorner, code \text{ } \ulcorner p \urcorner)$	$\Downarrow$ True()	$\Rightarrow$
$halts' \text{ } \ulcorner p \urcorner$	$\Downarrow$ True()	

# The intensional halting problem

For any closed expression  $p$ :

$p \text{ } \ulcorner p \urcorner$ does not terminate		$\Rightarrow$
$halts \text{ } \ulcorner p \text{ } \ulcorner p \urcorner \urcorner$	$\Downarrow \text{False}()$	$\Rightarrow$
$halts \text{ } \text{Apply}(\ulcorner p \urcorner, \ulcorner \ulcorner p \urcorner \urcorner)$	$\Downarrow \text{False}()$	$\Rightarrow$
$halts \text{ } \text{Apply}(\ulcorner p \urcorner, code \text{ } \ulcorner p \urcorner)$	$\Downarrow \text{False}()$	$\Rightarrow$
$halts' \text{ } \ulcorner p \urcorner$	$\Downarrow \text{False}()$	

Thus  $halts'$  solves the previous variant of the halting problem, and we have found a contradiction.

# Summary

- ▶ Concrete and abstract syntax.
- ▶ Operational semantics.
- ▶ Several variants of the halting problem.
- ▶ Representing inductively defined sets.