

Programming Languages

Lecture 9 – Operational Semantics

Ulf Norell

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Syntax versus Semantics

► Syntax

- Which are the elements of the language?
- How can they be composed (to form programs or sentences)?

► Semantics

- What does (a syntactically correct) program *mean*?

► Examples

- Syntax *Which are the keywords of the language?*
- Syntax: *What can you write to the left of an assignment?*
- Type system: *Can you use an integer as the condition in an if-statement?*
- Semantics: *In which order does (+) evaluate its arguments?*
- Semantics: *Does program A produce the same result as program B?*

Specifying Semantics

- ▶ There are three ways to specify semantics:
 - By giving an implementation
 - Not a good way.
 - Bugs in the compiler become part of the language.
 - Informally
 - Using natural language.
 - Formally
 - Using some mathematical notation.

Informal Semantics

► Example:

*To execute **while** e **do** s , first evaluate e . If the result is true, execute s . Repeat this procedure until e no longer evaluates to true.*

► Advantages

- Well-known notation.

► Disadvantages

- Hard to get right.
- Easy to misunderstand, due to unclear language. Different compilers might make different interpretations.

Formal Semantics

- ▶ Exact mathematical description of the language.

- ▶ Example:

$$\frac{\langle e, \sigma \rangle \Downarrow \text{true} \quad \langle s, \sigma \rangle \Downarrow \sigma' \quad \langle \mathbf{while} \ e \ \mathbf{do} \ s, \sigma' \rangle \Downarrow \sigma''}{\langle \mathbf{while} \ e \ \mathbf{do} \ s, \sigma \rangle \Downarrow \sigma''}$$

$$\frac{\langle e, \sigma \rangle \Downarrow \text{false}}{\langle \mathbf{while} \ e \ \mathbf{do} \ s, \sigma \rangle \Downarrow \sigma}$$

- ▶ Advantages

- No ambiguities.
- Programs can be executed by hand (e.g. to verify the compiler).
- Can be used to prove properties of programs.

- ▶ Disadvantages

- Yet another notation to learn.
- A lot of work.

- ▶ Most larger languages does not have a formal semantics.

- ML does. Haskell doesn't.

Different Types of Formal Semantics

► There are three major categories of formal semantics:

- Operational semantics

- How is the program executed?
- What *operations* does it perform?

- Denotational semantics

- What does the program mean?
- What mathematical object does it *denote*?

- Axiomatic semantics

- Which logical propositions hold for a program?
- Example:

$$\{x = 4\} x := x + 1 \{x = 5\}$$

If $x = 4$ holds before executing $x := x + 1$ then $x = 5$ holds after.

► We will concentrate on operational semantics, and mostly ignore denotational and axiomatic semantics.

Operational Semantics

- ▶ Specifies *how* a program is executed.
- ▶ Defines an *abstract machine* (or abstract interpreter) that can run programs.
- ▶ We can do this in two different ways:
 - Small step semantics
 - Define one step of the abstract machine.
 - Example: $\langle 1 + (2 + 3), \sigma \rangle \rightarrow \langle 1 + 5, \sigma \rangle$
 - Big step semantics
 - Describe how the abstract machine computes the final result.
 - Example: $\langle 1 + (2 + 3), \sigma \rangle \Downarrow 6$.
- ▶ In the examples σ is the state of the abstract machine. It can contain, for instance, the values of the variables.

An Example Language

- ▶ Remember our small imperative language from lecture 6:

$$\begin{aligned} e &::= x \mid n \mid b \mid e + e \\ s &::= \mathbf{while} \ e \ \mathbf{do} \ s \mid \mathbf{if} \ e \ \mathbf{then} \ s \ \mathbf{else} \ s \\ &\quad \mid x := e \mid s; s \mid \mathbf{skip} \\ v &::= n \mid b \end{aligned}$$

- ▶ For reasons that will soon be revealed we add a statement **skip** that does nothing.
- ▶ We also add a category of *values* that represents expressions that cannot be further evaluated.
- ▶ To construct an abstract machine we first need to define its state:
 - The state is a set of variable-value pairs.
 - Looking up the value of a variable: $\sigma(x)$.
 - Updating the state: $\sigma[x \mapsto v]$

Small Step Semantics for Expressions

- For expressions we define a rewrite relation:

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

meaning that in the state σ , e can be rewritten to e' in one step.

- The rules:

$$\overline{\langle x, \sigma \rangle \rightarrow \langle \sigma(x), \sigma \rangle} \text{ (VAR)}$$

$$\frac{\langle e_1, \sigma \rangle \rightarrow \langle e'_1, \sigma \rangle}{\langle e_1 + e_2, \sigma \rangle \rightarrow \langle e'_1 + e_2, \sigma \rangle} \text{ (ADD.1)} \quad \frac{\langle e, \sigma \rangle \rightarrow \langle e', \sigma \rangle}{\langle v + e, \sigma \rangle \rightarrow \langle v + e', \sigma \rangle} \text{ (ADD.2)}$$

$$\frac{v \text{ is the sum of } v_1 \text{ and } v_2}{\langle v_1 + v_2, \sigma \rangle \rightarrow \langle v, \sigma \rangle} \text{ (ADD.3)}$$

- Remarks:

- Rewriting stops when it reaches a value.
- It isn't obvious from the form of the rules that expressions don't change the state. We have to check the individual rules to verify this.

Small Step Semantics for Statements

- ▶ Statements are allowed to change the state: $\langle s, \sigma \rangle \rightarrow \langle s', \sigma' \rangle$
- ▶ The rules:

$$\frac{\langle e, \sigma \rangle \rightarrow \langle e', \sigma \rangle}{\langle x := e, \sigma \rangle \rightarrow \langle x := e', \sigma \rangle} \text{ (ASSIGN.1)} \quad \frac{}{\langle x := v, \sigma \rangle \rightarrow \langle \mathbf{skip}, \sigma[x \mapsto v] \rangle} \text{ (ASSIGN.2)}$$

$$\frac{\langle e, \sigma \rangle \rightarrow \langle e', \sigma \rangle}{\langle \mathbf{if } e \mathbf{ then } s_1 \mathbf{ else } s_2, \sigma \rangle \rightarrow \langle \mathbf{if } e' \mathbf{ then } s_1 \mathbf{ else } s_2, \sigma \rangle} \text{ (IF)}$$

$$\frac{}{\langle \mathbf{if } \mathbf{true} \mathbf{ then } s_1 \mathbf{ else } s_2, \sigma \rangle \rightarrow \langle s_1, \sigma \rangle} \text{ (IFTTRUE)}$$

$$\frac{}{\langle \mathbf{if } \mathbf{false} \mathbf{ then } s_1 \mathbf{ else } s_2, \sigma \rangle \rightarrow \langle s_2, \sigma \rangle} \text{ (IFFALSE)}$$

$$\frac{\langle s_1, \sigma \rangle \rightarrow \langle s'_1, \sigma' \rangle}{\langle s_1; s_2, \sigma \rangle \rightarrow \langle s'_1; s_2, \sigma' \rangle} \text{ (SEQ)}$$

$$\frac{}{\langle \mathbf{skip}; s, \sigma \rangle \rightarrow \langle s, \sigma \rangle} \text{ (SEQSKIP)}$$

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

- ▶ A program terminates when it reaches $\langle \mathbf{skip}, \sigma \rangle$.

Evaluation Contexts

- ▶ We had lots of rules of the form

$$\frac{\langle t, \sigma \rangle \rightarrow \langle t', \sigma' \rangle}{\langle \dots t \dots, \sigma \rangle \rightarrow \langle \dots t' \dots, \sigma' \rangle}$$

- ▶ These are called context rules, and control the order of evaluation.
- ▶ A more compact way of writing these rules is by defining valid evaluation contexts:
 - An evaluation context is a term with a hole (\bullet) in it.
 - Example: **if** \bullet **then** $x := 0$ **else** $x := 1$
 - The hole tells you where it is allowed to do rewriting.
- ▶ Evaluation contexts for our language:

$$\begin{aligned} E &::= \bullet \mid E + e \mid v + E \\ S &::= \bullet \mid \text{if } E \text{ then } s \text{ else } s \mid x := E \mid S; s \end{aligned}$$

Complete Small Step Semantics

► Evaluation contexts:

$$\begin{aligned} E &::= \bullet \mid E + e \mid v + E \\ S &::= \bullet \mid \text{if } E \text{ then } s \text{ else } s \mid x := E \mid S; s \end{aligned}$$

► Rules:

$$\begin{aligned} &\frac{}{\langle x, \sigma \rangle \rightarrow \langle \sigma(x), \sigma \rangle} \text{ (VAR)} && \frac{v \text{ is the sum of } v_1 \text{ and } v_2}{\langle v_1 + v_2, \sigma \rangle \rightarrow \langle v, \sigma \rangle} \text{ (ADD)} \\ &\frac{}{\langle x := v, \sigma \rangle \rightarrow \langle \text{skip}, \sigma[x \mapsto v] \rangle} \text{ (ASSIGN)} && \frac{}{\langle \text{skip}; s, \sigma \rangle \rightarrow \langle s, \sigma \rangle} \text{ (SEQ)} \\ &\frac{}{\langle \text{if true then } s_1 \text{ else } s_2, \sigma \rangle \rightarrow \langle s_1, \sigma \rangle} \text{ (IFTRUE)} \\ &\frac{}{\langle \text{if false then } s_1 \text{ else } s_2, \sigma \rangle \rightarrow \langle s_2, \sigma \rangle} \text{ (IFFALSE)} \\ &\frac{}{\langle \text{while } e \text{ do } s, \sigma \rangle \rightarrow \langle \text{if } e \text{ then } s; \text{while } e \text{ do } s \text{ else skip}, \sigma \rangle} \text{ (WHILE)} \end{aligned}$$

Small Step Example

	$\left\langle \begin{array}{l} \text{while } x \text{ do } x := \text{false}; \\ y := 0 \end{array}, \{x \mapsto \text{true}\} \right\rangle$
(WHILE)	$\rightarrow \left\langle \begin{array}{ll} \text{if } x & \text{then } x := \text{false}; \text{ while } x \text{ do } x := \text{false} \\ & \text{else skip;} \end{array}, \{x \mapsto \text{true}\} \right\rangle$
(VAR)	$\rightarrow \left\langle \begin{array}{ll} \text{if true} & \text{then } x := \text{false}; \text{ while } x \text{ do } x := \text{false} \\ & \text{else skip;} \end{array}, \{x \mapsto \text{true}\} \right\rangle$
(IFTRUE)	$\rightarrow \left\langle \begin{array}{l} x := \text{false}; \\ \text{while } x \text{ do } x := \text{false}; \\ y := 0 \end{array}, \{x \mapsto \text{true}\} \right\rangle$
(ASSIGN), (SEQ)	$\rightarrow^* \left\langle \begin{array}{l} \text{while } x \text{ do } x := \text{false}; \\ y := 0 \end{array}, \{x \mapsto \text{false}\} \right\rangle$
(WHILE), (VAR), (IFFALSE)	$\rightarrow^* \langle \text{skip}; y := 0, \{x \mapsto \text{false}\} \rangle$
(SEQ)	$\rightarrow \langle y := 0, \{x \mapsto \text{false}\} \rangle$
(ASSIGN)	$\rightarrow \langle \text{skip}, \{x \mapsto \text{false}, y \mapsto 0\} \rangle$

Big Step Semantics

- ▶ Focus: the relation between the start state and the final state.

- ▶ We write

$$\langle P, \sigma \rangle \Downarrow \sigma'$$

to say that the program P terminates in the final state σ' when run in the state σ .

- ▶ Corresponds to $\langle P, \sigma \rangle \rightarrow^* \langle \mathbf{skip}, \sigma' \rangle$ in the small step semantics.

- ▶ For expressions we say

$$\langle e, \sigma \rangle \Downarrow v$$

meaning that the expression e evaluates to v in the state σ (corresponding to $\langle e, \sigma \rangle \rightarrow^* \langle v, \sigma \rangle$).

- ▶ We skip all the bothersome intermediate steps and jump directly to the conclusion (hence the name big step).

Our Example—Expressions

- The rules for expressions:

$$\begin{array}{c} \overline{\langle n, \sigma \rangle \Downarrow n} \text{ (INT)} \quad \overline{\langle b, \sigma \rangle \Downarrow b} \text{ (BOOL)} \quad \overline{\langle x, \sigma \rangle \Downarrow \sigma(x)} \text{ (VAR)} \\[1em] \frac{\langle e_1, \sigma \rangle \Downarrow v_1 \quad \langle e_2, \sigma \rangle \Downarrow v_2 \quad v \text{ is the sum of } v_1 \text{ and } v_2}{\langle e_1 + e_2, \sigma \rangle \Downarrow v} \text{ (PLUS)} \end{array}$$

- We need rules for integers and booleans, saying that they evaluate to themselves.
- It's not clear in which order the arguments to (+) are evaluated (in truth it doesn't matter, since expressions don't have side effects).

Our Example—Statements

- The rules for statements:

$$\frac{\langle e, \sigma \rangle \Downarrow v}{\langle x := e, \sigma \rangle \Downarrow \sigma[x \mapsto v]} \text{ (ASSIGN)}$$

$$\frac{\langle s_1, \sigma \rangle \Downarrow \sigma' \quad \langle s_2, \sigma' \rangle \Downarrow \sigma''}{\langle s_1; s_2, \sigma \rangle \Downarrow \sigma''} \text{ (SEQ)}$$

$$\frac{\langle e, \sigma \rangle \Downarrow \text{true} \quad \langle s_1, \sigma \rangle \Downarrow \sigma'}{\langle \text{if } e \text{ then } s_1 \text{ else } s_2, \sigma \rangle \Downarrow \sigma'} \text{ (IFTRUE)}$$

$$\frac{\langle e, \sigma \rangle \Downarrow \text{false} \quad \langle s_2, \sigma \rangle \Downarrow \sigma'}{\langle \text{if } e \text{ then } s_1 \text{ else } s_2, \sigma \rangle \Downarrow \sigma'} \text{ (IFFALSE)}$$

$$\frac{\langle e, \sigma \rangle \Downarrow \text{true} \quad \langle s, \sigma \rangle \Downarrow \sigma' \quad \langle \text{while } e \text{ do } s, \sigma' \rangle \Downarrow \sigma''}{\langle \text{while } e \text{ do } s, \sigma \rangle \Downarrow \sigma''} \text{ (WHILETRUE)}$$

$$\frac{\langle e, \sigma \rangle \Downarrow \text{false}}{\langle \text{while } e \text{ do } s, \sigma \rangle \Downarrow \sigma} \text{ (WHILEFALSE)}$$

$$\frac{}{\langle \text{skip}, \sigma \rangle \Downarrow \sigma} \text{ (SKIP)}$$

- Note that the (WHILETRUE)-rule is recursive (not surprisingly).

Example Derivation

- Let's revisit the example from the small step semantics

$$\begin{array}{c}
 \overline{\langle 0, \{x \mapsto false\} \rangle \Downarrow 0} \\
 (1) \quad \overline{\langle y := 0, \{x \mapsto false\} \rangle \Downarrow \{x \mapsto false, y \mapsto 0\}} \\
 \hline
 \left\langle \begin{array}{l} \text{while } x \text{ do } x := false; \\ y := 0 \end{array}, \{x \mapsto true\} \right\rangle \Downarrow \{x \mapsto false, y \mapsto 0\} \\
 \\
 \overline{\langle false, \{x \mapsto true\} \rangle \Downarrow false} \\
 (1) \quad \overline{\langle x, \{x \mapsto true\} \rangle \Downarrow true} \quad \overline{\langle x := false, \{x \mapsto true\} \rangle \Downarrow \{x \mapsto false\}} \quad (2) \\
 \hline
 \left\langle \begin{array}{l} \text{while } x \text{ do} \\ \quad x := false \end{array}, \{x \mapsto true\} \right\rangle \Downarrow \{x \mapsto false\} \\
 \\
 \overline{\langle x, \{x \mapsto false\} \rangle \Downarrow false} \\
 (2) \quad \overline{\left\langle \begin{array}{l} \text{while } x \text{ do} \\ \quad x := false \end{array}, \{x \mapsto false\} \right\rangle \Downarrow \{x \mapsto false\}}
 \end{array}$$

- This is less readable (and harder to write down) than the small step derivation.

Abstract Interpretations

- ▶ Let's change notation slightly:

$\sigma \vdash e \Downarrow v$ instead of $\langle e, \sigma \rangle \Downarrow v$

- ▶ Looks familiar?
- ▶ Compare the typing rule for addition with the evaluation rule:

$$\frac{\Gamma \vdash e_1 : \mathbf{int} \quad \Gamma \vdash e_2 : \mathbf{int}}{\Gamma \vdash e_1 + e_2 : \mathbf{int}}$$

$$\frac{\sigma \vdash e_1 \Downarrow v_1 \quad \sigma \vdash e_2 \Downarrow v_2}{\sigma \vdash e_1 + e_2 \Downarrow v_1 + v_2}$$

- ▶ The only difference is how precise the rule is (remember when I said that the type system could be seen as an approximation of what would happen when a program was executed?).
- ▶ These kinds of rules are called *abstract interpretations*.

Interpreters

- ▶ The judgement

$$\langle P, \sigma \rangle \Downarrow \sigma'$$

means that running the program P in state σ terminates in the state σ' .

- ▶ We can see the \Downarrow relation as a function

$$\Downarrow \in \text{Program} \times \text{State} \rightarrow \text{State}$$

- ▶ If we implement this function we get an interpreter for our language!
- ▶ This is possible because the semantics is deterministic.
 - There is at most one rule applicable at any given time.
 - Moreover, we can tell which one by looking at the structure of the program.
 - This was not the case for some of our advanced type systems.

Implementing an Interpreter

- First we have to define the abstract syntax:

```
type Var    = String
data Expr   = Var Var | Int Int | Bool Bool | Plus Expr Expr
data Stmt   = Assign Var Expr
              | If Expr Stmt Stmt
              | While Expr Stmt
              | Seq Stmt Stmt
              | Skip
data Value  = VInt Int | VBool Bool
```

- Next we define the state:

```
type State = [(Var, Value)]
```

```
lookupVar  :: State → Var → Value           —  $lookupVar\ \sigma\ x = \sigma(x)$ 
updateState :: State → Var → Value → State —  $updateState\ \sigma\ x\ v = \sigma[x \mapsto v]$ 
```

- We need two interpretation functions:

```
eval :: Expr → State → Value —  $eval\ e\ \sigma = v$  if  $\langle e, \sigma \rangle \Downarrow v$ 
exec :: Stmt → State → State —  $exec\ s\ \sigma = \sigma'$  if  $\langle s, \sigma \rangle \Downarrow \sigma'$ 
```

Implementing *eval*

► Evaluating expressions

$eval\ (Var\ x)\ \sigma = lookupVar\ \sigma\ x$

$$\overline{\langle x, \sigma \rangle \Downarrow \sigma(x)}$$

$eval\ (Int\ n)\ \sigma = VInt\ n$

$$\overline{\langle n, \sigma \rangle \Downarrow n}$$

$eval\ (Bool\ b)\ \sigma = VBool\ b$

$$\overline{\langle b, \sigma \rangle \Downarrow b}$$

$eval\ (Plus\ e_1\ e_2)\ \sigma = plus\ (eval\ e_1\ \sigma)\ (eval\ e_2\ \sigma)$

$$\frac{\langle e_1, \sigma \rangle \Downarrow v_1 \quad \langle e_2, \sigma \rangle \Downarrow v_2}{\langle e_1 + e_2, \sigma \rangle \Downarrow v_1 + v_2}$$

where $plus\ (VInt\ n_1)\ (VInt\ n_2) = VInt\ (n_1 + n_2)$

► Note the differences between the syntactic and semantic plusses (**Plus** vs. *plus*).

Implementing *exec*

exec (Assign *x e*) $\sigma =$
 updateState σ *x* (*eval e* σ)

$$\frac{\langle e, \sigma \rangle \Downarrow v}{\langle x := e, \sigma \rangle \Downarrow \sigma[x \mapsto v]}$$

exec (If *e s₁ s₂*) $\sigma =$
 case *eval e* σ **of**
 VBool True \rightarrow *exec s₁* σ
 VBool False \rightarrow *exec s₂* σ

$$\frac{\langle e, \sigma \rangle \Downarrow \text{true} \quad \langle s_1, \sigma \rangle \Downarrow \sigma'}{\langle \text{if } e \text{ then } s_1 \text{ else } s_2, \sigma \rangle \Downarrow \sigma'}$$

$$\frac{\langle e, \sigma \rangle \Downarrow \text{false} \quad \langle s_2, \sigma \rangle \Downarrow \sigma'}{\langle \text{if } e \text{ then } s_1 \text{ else } s_2, \sigma \rangle \Downarrow \sigma'}$$

exec (While *e s*) $\sigma =$
 case *eval e* σ **of**
 VBool True \rightarrow *exec* (While *e s*)
 (*exec s* σ)
 VBool False \rightarrow σ

$$\frac{\langle e, \sigma \rangle \Downarrow \text{true} \quad \langle s, \sigma \rangle \Downarrow \sigma' \quad \langle \text{while } e \text{ do } s, \sigma' \rangle \Downarrow \sigma''}{\langle \text{while } e \text{ do } s, \sigma \rangle \Downarrow \sigma''}$$

$$\frac{\langle e, \sigma \rangle \Downarrow \text{false}}{\langle \text{while } e \text{ do } s, \sigma \rangle \Downarrow \sigma}$$

exec (Seq *s₁ s₂*) $\sigma =$
 exec s₂ (*exec s₁* σ)

$$\frac{\langle s_1, \sigma \rangle \Downarrow \sigma' \quad \langle s_2, \sigma' \rangle \Downarrow \sigma''}{\langle s_1; s_2, \sigma \rangle \Downarrow \sigma''}$$

exec Skip $\sigma = \sigma$

$$\overline{\langle \text{skip}, \sigma \rangle \Downarrow \sigma}$$

Input/Output

► There are basically two ways of handling I/O in the semantics.

► Model it in the state

- $State = Input \times Output \times \mathcal{P}(Var \times Value)$
- Example:

$$\frac{\langle e, \langle \iota, o, \sigma \rangle \rangle \Downarrow v}{\langle \mathbf{print} \ e, \langle \iota, o, \sigma \rangle \rangle \Downarrow \langle \iota, o \cdot v, \sigma \rangle} \text{ (PRINT)} \quad \frac{}{\langle \mathbf{read} \ x, \langle v \cdot \iota, o, \sigma \rangle \rangle \Downarrow \langle \iota, o, \sigma[x \mapsto v] \rangle} \text{ (READ)}$$

► Labelled transition systems

- Most often used with small step semantics (works for big step as well).
- Each rewrite step can be *labelled* with an action.
- Example:

$$\frac{}{\langle \mathbf{print} \ v, \sigma \rangle \xrightarrow{\text{out}(v)} \langle \mathbf{skip}, \sigma \rangle} \text{ (PRINT)} \quad \frac{}{\langle \mathbf{read} \ x, \sigma \rangle \xrightarrow{\text{in}(v)} \langle \mathbf{skip}, \sigma[x \mapsto v] \rangle} \text{ (READ)}$$

Summary

- ▶ Three kinds of formal semantics
 - Operational semantics
 - How to execute a program.
 - Denotational semantics
 - What a program means.
 - Axiomatic semantics
 - What properties a program satisfies.
- ▶ Operational semantics
 - Small step
 - Step-by-step rewriting rules.
 - Big step
 - Corresponds to an interpreter.