



9-6
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Today's Cunning Plan

- Review, Truth, and Provability
- Large-Step Opsem Commentary
- **Small-Step Contextual Semantics**
 - Reductions, Redexes, and Contexts
- Applications and Recent Research

Survey Results

- ++++ humor in lectures, lecture style
- +++ quick presentation speed
- +++ PPT presentations are lucid
- ++ enthusiasm
- ++ material is interesting / want to learn material
- + summary slides
- + random trivia
- + lecture setup: class=theory, hw/reading=practice
- + professor
- + participation is encouraged
- + candy / trivia

- lecture is too fast / pause more
- fix HW0/HW1 typo
- reverse order of lectures 2 and 3
- nothing
- more background before BLAST paper
- BLAST does not compile on Mac
- want dataflow, reachability, feasibility, alias analysis
- want more info on GCC
- CS615 should cover quals
- should throw candy more consistently
- throw chicken wings instead of candy
- do not like trivia or candy

60 Second Summary - Semantics

- A formal semantics is a system for assigning meanings to programs.
- For now, programs are IMP commands and expressions
- In operational semantics the meaning of a program is “what it evaluates to”
- Any opsem system gives rules of inference that tell you how to evaluate programs

Summary - Judgments

- Rules of inference allow you to derive judgments (“something that is knowable”) like

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

- In state σ , expression e evaluates to n

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

- After evaluating command c in state σ the new state will be σ'

- State σ maps variables to values ($\sigma : L \rightarrow Z$)
- Inferences equivalent up to variable renaming:

$$\langle c, \sigma \rangle \Downarrow \sigma' \quad === \quad \langle c', \sigma_7 \rangle \Downarrow \sigma_8$$

Notation: Rules of Inference

- We express the evaluation rules as rules of inference for our judgment
 - called the derivation rules for the judgment
 - also called the evaluation rules (for operational semantics)
- In general, we have **one rule for each language construct**:

$$\frac{\langle e_1, \sigma \rangle \Downarrow n_1 \quad \langle e_2, \sigma \rangle \Downarrow n_2}{\langle e_1 + e_2, \sigma \rangle \Downarrow n_1 + n_2}$$

This is the only rule for $e_1 + e_2$

Evaluation By Inversion

- We must find n_1 and n_2 such that $e_1 \Downarrow n_1$ and $e_2 \Downarrow n_2$ are derivable
 - This is done **recursively**
- If there is exactly one rule for each kind of expression we say that the rules are syntax-directed
 - At each step at most one rule applies
 - This allows a simple evaluation procedure as above (recursive tree-walk)
 - True for our Aexp but not Bexp.

Summary - Rules

- Rules of inference list the hypotheses necessary to arrive at a conclusion

$$\frac{}{\langle x, \sigma \rangle \Downarrow \sigma(x)} \quad \frac{\langle e_1, \sigma \rangle \Downarrow n_1 \quad \langle e_2, \sigma \rangle \Downarrow n_2}{\langle e_1 - e_2, \sigma \rangle \Downarrow n_1 \text{ minus } n_2}$$

- A derivation involves interlocking (well-formed) instances of rules of inference

$$\frac{\frac{\langle 4, \sigma_3 \rangle \Downarrow 4 \quad \langle 2, \sigma_3 \rangle \Downarrow 2}{\langle 4 * 2, \sigma_3 \rangle \Downarrow 8} \quad \langle 6, \sigma_3 \rangle \Downarrow 6}{\langle (4 * 2) - 6, \sigma_3 \rangle \Downarrow 2}$$

Operational Semantics

Small-Step Semantics



Sherlock saw the man using binoculars.



Sherlock saw the man using binoculars.

Provability



- Given an opsem system, $\langle e, \sigma \rangle \Downarrow n$ is provable *if there exists* a well-formed derivation with $\langle e, \sigma \rangle \Downarrow n$ as its conclusion
 - “well-formed” = “every step in the derivation is a valid instance of one of the rules of inference for this opsem system”
 - “ $\vdash \langle e, \sigma \rangle \Downarrow n$ ” = “it is provable that $\langle e, \sigma \rangle \Downarrow n$ ”
- We would *like* truth and provability to be closely related

Truth?

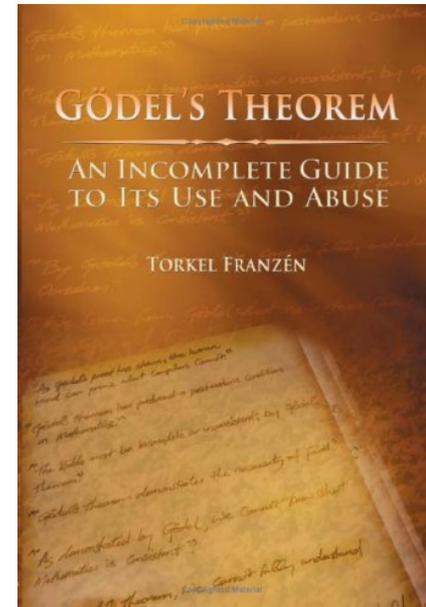
- “A Vorlon said understanding is a three-edged sword. Your side, their side and the **truth**.”
 - Sheridan, Babylon 5, *Into The Fire*
- We will **not formally define** “**truth**” yet
- Instead we appeal to your **intuition**
 - $\langle 2+2, \sigma \rangle \Downarrow 4$ -- *should be* true
 - $\langle 2+2, \sigma \rangle \Downarrow 5$ -- *should be* false

Completeness

- A proof system (like our operational semantics) is complete if every true judgment is provable.
- If we *replaced* the subtract rule with:

$$\frac{\langle e_1, \sigma \rangle \Downarrow n \quad \langle e_2, \sigma \rangle \Downarrow 0}{\langle e_1 - e_2, \sigma \rangle \Downarrow n}$$

- Our opsem would be incomplete:
 $\langle 4-2, \sigma \rangle \Downarrow 2$ -- true but not provable



Consistency

- A proof system is consistent (or sound) if every provable judgment is true.
- If we **replaced** the subtract rule with:

$$\frac{\langle e_1, \sigma \rangle \Downarrow n_1 \quad \langle e_2, \sigma \rangle \Downarrow n_2}{\langle e_1 - e_2, \sigma \rangle \Downarrow n_1 + 3}$$

- Our opsem would be inconsistent (or unsound):
 - $\langle 6-1, \sigma \rangle \Downarrow 9$ -- false but provable

“A foolish consistency is the hobgoblin of little minds, adored by little statesmen and philosophers and divines.”
-- Ralph Waldo Emerson, *Essays. First Series. Self-Reliance.*

Desired Traits

- Typically a system (of operational semantics) is always **complete** (unless you forget a rule)
- If you are not careful, however, your system may be **unsound**
- Usually that is **very bad**
 - A paper with an unsound type system is usually rejected
 - Papers often prove (sketch) that a system is sound
 - Recent research (e.g., Engler, ESP) into useful but unsound systems exists, however
- In this class **your work should be complete and consistent** (e.g., on homework problems)

Dr. Peter Venkman: I'm a little fuzzy on the whole "good/bad" thing here. What do you mean, "bad"?

Dr. Egon Spengler: Try to imagine all life as you know it stopping instantaneously and every molecule in your body exploding at the speed of light.

With That In Mind

- We now return to opsem for IMP

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

Def: $\sigma[x := n](x) = n$
 $\sigma[x := n](y) = \sigma(y)$

$$\frac{\langle b, \sigma \rangle \Downarrow \text{false}}{\langle \text{while } b \text{ do } c, \sigma \rangle \Downarrow \sigma}$$

$$\frac{\langle b, \sigma \rangle \Downarrow \text{true} \quad \langle c; \text{while } b \text{ do } c, \sigma \rangle \Downarrow \sigma'}{\langle \text{while } b \text{ do } c, \sigma \rangle \Downarrow \sigma'}$$

Command Evaluation Notes

- The order of evaluation is important
 - c_1 is evaluated **before** c_2 in $c_1; c_2$
 - c_2 is **not** evaluated in “if true then c_1 else c_2 ”
 - c is **not** evaluated in “while false do c ”
 - b is evaluated **first** in “if b then c_1 else c_2 ”
 - this is explicit in the evaluation rules
- Conditional constructs (e.g., $b_1 \vee b_2$) have multiple evaluation rules
 - but only one can be applied at one time

Command Evaluation Trials

- The evaluation rules are not syntax-directed
 - See the rules for **while**, **^**
 - The evaluation **might not terminate**
- Recall: the evaluation rules suggest an interpreter
- Natural-style semantics has two big disadvantages (continued ...)

Disadvantages of Natural-Style Operational Semantics

- It is hard to talk about commands whose evaluation does **not terminate**
 - i.e., when there is **no** σ' such that $\langle c, \sigma \rangle \Downarrow \sigma'$
 - But that is true also of ill-formed or erroneous commands (in a richer language)!
- It does not give us a way to talk about **intermediate states**
 - Thus we cannot say that on a parallel machine the execution of two commands is interleaved (= **no modeling threads**)

Semantics Solution



- Small-step semantics addresses these problems
 - Execution is modeled as a (possible infinite) **sequence of states**
- Not quite as easy as large-step natural semantics, though
- Contextual semantics is a small-step semantics where the atomic execution step is a rewrite of the program

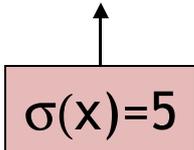
Contextual Semantics

- We will define a relation $\langle c, \sigma \rangle \rightarrow \langle c', \sigma' \rangle$
 - c' is obtained from c via an **atomic rewrite step**
 - Evaluation terminates when the program has been rewritten to a **terminal program**
 - one from which we cannot make further progress
 - For IMP the terminal command is “skip”
 - As long as the command is not “skip” we can make further progress
 - some commands *never* reduce to skip (e.g., “while true do skip”)

Contextual Derivations

- In small-step contextual semantics, derivations are not tree-structured
- A contextual semantics derivation is a sequence (or list) of atomic rewrites:

$$\langle x+(7-3), \sigma \rangle \rightarrow \langle x+(4), \sigma \rangle \rightarrow \langle 5+4, \sigma \rangle \rightarrow \langle 9, \sigma \rangle$$



What is an Atomic Reduction?

- What is an atomic reduction step?
 - Granularity is a choice of the semantics designer
- How to select the next reduction step, when several are possible?
 - This is the **order of evaluation** issue



Q: Movies (346 / 842)

- This 1986 James Cameron science fiction movie also starring Bill Paxton features lines such as *"It's a bughunt"* , *"I may be synthetic, but I'm not stupid"*, and *"Oh, Game Over man, Game Over!"*

Correcting English Prose

4. Lizzy drank in the sight of him like a thirst craven man consumes water.
421. "I go here, silly," said Kimi with a proud expression. "And how I might ask? Your scores were not legible for this school."
312. Every member of the Thespians, or anyone who has ever acted in one of our school plays was a pre-Madonna, mellow-dramatic; over-actor and I didn't want to be one of them.
198. Nobody goes into Donovan's Layer, For they sence evil. But Livvy doesn't she see's something no one else does.

Q: Events (615 / 842)

- This Egyptian-born United Nations Secretary-General served from 1992 to 1996. He was criticized for, among other things, failing to act during the 1994 Rwandan genocide and during the continuing Angolan civil war.

Redexes

- A redex is a syntactic expression or command that **can be reduced** (transformed) **in one atomic step**
- Redexes are defined via a grammar:

$r ::= x \quad (x \in L)$

| $n_1 + n_2$

| $x := n$

| skip; c

| if true then c_1 else c_2

| if false then c_1 else c_2

| while b do c

- For brevity, we mix exp and command redexes
- Note that $(1 + 3) + 2$ is **not** a redex, but $1 + 3$ is

Local Reduction Rules for IMP

- One for each redex: $\langle r, \sigma \rangle \rightarrow \langle e, \sigma' \rangle$
 - means that in state σ , the redex r can be *replaced in one step* with the expression e

$$\langle x, \sigma \rangle \rightarrow \langle \sigma(x), \sigma \rangle$$

$$\langle n_1 + n_2, \sigma \rangle \rightarrow \langle n, \sigma \rangle \quad \text{where } n = n_1 \text{ plus } n_2$$

$$\langle n_1 = n_2, \sigma \rangle \rightarrow \langle \text{true}, \sigma \rangle \quad \text{if } n_1 = n_2$$

$$\langle x := n, \sigma \rangle \rightarrow \langle \text{skip}, \sigma[x := n] \rangle$$

$$\langle \text{skip}; c, \sigma \rangle \rightarrow \langle c, \sigma \rangle$$

$$\langle \text{if true then } c_1 \text{ else } c_2, \sigma \rangle \rightarrow \langle c_1, \sigma \rangle$$

$$\langle \text{if false then } c_1 \text{ else } c_2, \sigma \rangle \rightarrow \langle c_2, \sigma \rangle$$

$$\langle \text{while } b \text{ do } c, \sigma \rangle \rightarrow$$

$$\langle \text{if } b \text{ then } c; \text{ while } b \text{ do } c \text{ else skip}, \sigma \rangle$$

The Global Reduction Rule

- General idea of contextual semantics
 - **Decompose** the current expression into the **redex**-to-reduce-next and the remaining program
 - The remaining program is called a context
 - Reduce the redex “r” to some other expression “e”
 - The resulting (reduced) expression consists of “e” with the original context

As A Picture (1)

(Context)

...

`x := 2+2 ;`

`print x`

Step 1: Find The Redex

As A Picture (2)

(Context)

...

```
x := 2+2 (redex) ;
```

```
print x
```

Step 1: Find The Redex

Step 2: Reduce The Redex

As A Picture (3)

(Context)

...

x := 2+2 (redex) ;

print x



4 (reduced)

Step 1: Find The Redex

Step 2: Reduce The Redex

As A Picture (4)

(Context)

...

x := 4 ;

print x

Step 1: Find The Redex

Step 2: Reduce The Redex

Step 3: Replace It In The Context

Contextual Analysis

- We use H to range over **contexts**
- We write $H[r]$ for the expression obtained by placing redex r in context H
- Now we can define a small step

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

then $\langle H[r], \sigma \rangle \rightarrow \langle H[e], \sigma' \rangle$

Contexts

- A context is like an expression (or command) with a marker • in the place where the **redex** goes
- Examples:
 - To evaluate “ $(1 + 3) + 2$ ” we use the redex $1 + 3$ and the context “ $\bullet + 2$ ”
 - To evaluate “if $x > 2$ then c_1 else c_2 ” we use the redex x and the context “if $\bullet > 2$ then c_1 else c_2 ”

Context Terminology

- A context is also called an “expression with a hole”
- The marker \bullet is sometimes called a hole
- $H[r]$ is the expression obtained from H by replacing \bullet with the redex r

“Avoid context and specifics; generalize and keep repeating the generalization.”
-- Jack Schwartz

Contextual Semantics Example

- $x := 1 ; x := x + 1$ with initial state $[x:=0]$

<Comm, State>	Redex •	Context
<$x := 1 ; x := x+1, [x := 0]$>	$x := 1$	•; $x := x+1$
<$skip ; x := x+1, [x := 1]$>	$skip ; x := x+1$	•
<$x := x+1, [x := 1]$>	x	$x := • + 1$
What happens next?		

Contextual Semantics Example

- $x := 1 ; x := x + 1$ with initial state $[x:=0]$

<Comm, State>	Redex •	Context
<x := 1; x := x+1, [x := 0]>	$x := 1$	$\bullet ; x := x+1$
<skip; x := x+1, [x := 1]>	$\text{skip}; x := x+1$	\bullet
<x := x+1, [x := 1]>	x	$x := \bullet + 1$
<x := 1 + 1, [x := 1]>	$1 + 1$	$x := \bullet$
<x := 2, [x := 1]>	$x := 2$	\bullet
<skip, [x := 2]>		

More On Contexts

- **Contexts** are defined by a grammar:

$$\begin{aligned} H ::= & \bullet \mid n + H \\ & \mid H + e \\ & \mid x := H \\ & \mid \text{if } H \text{ then } c_1 \text{ else } c_2 \\ & \mid H; c \end{aligned}$$

- A context has **exactly one** \bullet marker
- A redex is never a value

What's In A Context?

- Contexts specify precisely how to find the next redex
 - Consider $e_1 + e_2$ and its decomposition as $H[r]$
 - If e_1 is n_1 and e_2 is n_2 then $H = \bullet$ and $r = n_1 + n_2$
 - If e_1 is n_1 and e_2 is not n_2 then $H = n_1 + H_2$ and $e_2 = H_2[r]$
 - If e_1 is not n_1 then $H = H_1 + e_2$ and $e_1 = H_1[r]$
 - In the last two cases the decomposition is done recursively
 - Check that in each case the solution is unique

Unique Next Redex: Proof By Handwaving Examples

- e.g. $c = "c_1; c_2"$ - either
 - $c_1 = \text{skip}$ and then $c = H[\text{skip}; c_2]$ with $H = \bullet$
 - or $c_1 \neq \text{skip}$ and then $c_1 = H[r]$; so $c = H'[r]$ with $H' = H; c_2$
- e.g. $c = "if\ b\ \text{then}\ c_1\ \text{else}\ c_2"$
 - either $b = \text{true}$ or $b = \text{false}$ and then $c = H[r]$ with $H = \bullet$
 - or b is not a value and $b = H[r]$; so $c = H'[r]$ with $H' = \text{if}\ H\ \text{then}\ c_1\ \text{else}\ c_2$

Context Decomposition

- Decomposition theorem:

If **c** is not “skip” then there exist unique **H** and **r** such that **c** is **H[r]**

- “Exist” means progress
- “Unique” means determinism



Short-Circuit Evaluation

- What if we want to express **short-circuit** evaluation of \wedge ?
 - Define the following **contexts**, **redexes** and **local reduction rules**
$$H ::= \dots \mid H \wedge b_2$$
$$r ::= \dots \mid \text{true} \wedge b \mid \text{false} \wedge b$$
$$\langle \text{true} \wedge b, \sigma \rangle \rightarrow \langle b, \sigma \rangle$$
$$\langle \text{false} \wedge b, \sigma \rangle \rightarrow \langle \text{false}, \sigma \rangle$$
 - the local reduction kicks in **before b_2 is evaluated**

Contextual Semantics Summary

- Can view • as representing the **program counter**
- The advancement rules for • are non-trivial
 - At each step the **entire command** is decomposed
 - This makes contextual semantics **inefficient to implement directly**
- The major advantage of contextual semantics: it allows a *mix* of local and global reduction rules
 - For IMP we have only local reduction rules: only the redex is reduced
 - Sometimes it is useful to work on the context too
 - We'll do that when we study **memory allocation**, etc.

Reading Real-World Examples

- Cobbe and Felleisen, POPL 2005
- Small-step contextual opsem for Java
- Their rule for object field access:

$$\frac{P \vdash \langle E[obj.fd], S \rangle \hookrightarrow \langle E[\mathcal{F}(fd)], S \rangle}{\text{where } \mathcal{F} = \text{fields}(S(obj)) \text{ and } fd \in \text{dom}(\mathcal{F})}$$

$$P \vdash \langle E[obj.fd], S \rangle \rightarrow \langle E[F(fd)], S \rangle$$

- where $F = \text{fields}(S(obj))$ and $fd \in \text{dom}(F)$

- They use “E” for context, we use “H”
- They use “S” for state, we use “ σ ”

Lost In Translation

- $P \vdash \langle H[\text{obj.fd}], \sigma \rangle \rightarrow \langle H[F(\text{fd})], \sigma \rangle$
 - Where $F = \text{fields}(\sigma(\text{obj}))$ and $\text{fd} \in \text{dom}(F)$
- They have “ $P \vdash$ ”, but that just means “it can be proved in our system given P ”
- $\langle H[\text{obj.fd}], \sigma \rangle \rightarrow \langle H[F(\text{fd})], \sigma \rangle$
 - Where $F = \text{fields}(\sigma(\text{obj}))$ and $\text{fd} \in \text{dom}(F)$

Lost In Translation 2

- $\langle H[\mathbf{obj}.fd], \sigma \rangle \rightarrow \langle H[F(fd)], \sigma \rangle$
 - Where $F = \text{fields}(\sigma(\mathbf{obj}))$ and $fd \in \text{dom}(F)$
- They model objects (like \mathbf{obj}), but we do not (yet) - let's just make fd a variable:
- $\langle H[fd], \sigma \rangle \rightarrow \langle H[F(fd)], \sigma \rangle$
 - Where $F = \sigma$ and $fd \in L$
- Which is just our variable-lookup rule:
- $\langle H[fd], \sigma \rangle \rightarrow \langle H[\sigma(fd)], \sigma \rangle$ (when $fd \in L$)

“Sleep On It”

“The Semantics Pillow”

1.
$$\frac{e_0 \rightarrow e'_0}{e_0 + e_1 \rightarrow e'_0 + e_1}$$
2.
$$\frac{e_1 \rightarrow e'_1}{m_0 + e_1 \rightarrow m_0 + e'_1}$$
3.
$$m_0 + m_1 \rightarrow m_2$$

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“Learn while you sleep!”

Homework

- Homework 1 Due Thursday
- Read Winskel Chapter 3
- Want an extra opsem review?
 - *Natural deduction* article
 - Plotkin Chapter 2
- Optional Philosophy of Science article