# EC3204: Programming Languages and Compilers

Functional Programming in OCaml

Sunbeom So Fall 2024

# Functional Programming?

- Functions are "First-class": functions are ordinary values.
  - can be stored in a variable.
  - can be passed as arguments of a function.
  - can be return values of other functions.
- Expression-oriented: computational steps are described by "expressions" without changing states (i.e., no side effects).
  - ▶ In imperative programming, computational steps are described by commands that change memory states.

```
int factorial (int n) {
  int i; int r = 1;
  for (i=0; i<n; i++)
    r = r * i;
  return r;
}

let rec fact n =
  if n = 0 then 1
  else n * fact (n-1)</pre>
```

	Functional Programming	Imperative Programming
Focus	what the program must accomplish	how to accomplish the given task
Use	expressions and recursion	commands and loops

# Why Functional Programming?

- Using functional languages, you can write programs more concisely.
  - Recursions, pattern matching, etc.
- Functional programming, as opposed to imperative programming, provides a new and important frame of thinking.
  - Basic knowledge that every SW major should have!
- Functional languages are increasingly widely used in industry and academia.





# Bloomberg













# cf) Isn't Recursion Expensive?

 In C and Java, we are encouraged to avoid recursion because function calls consume additional memory.

```
/* segmentation fault (due to stack overflow) */
void f() { f(); }
```

 This is not true in functional languages. The same program in ML iterates forever.

```
let rec f() = f()
```

 Interpreters and compilers of functional languages like ML, Scheme, Scala, and Haskell perform tail-call optimization.<sup>1</sup>

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https://peerdh.com/uk/blogs/programming-insights/ implementing-tail-call-optimization-in-ocaml

# cf) Tail-Call Optimization

Non-tail-recursive factorial:

```
let rec fact a =
  if a = 1 then 1 else a * fact (a - 1)
```

 Tail-recursive version that requires no additional computation and memory:

```
/* initialize 'acc' with 1 when invoking 'fact' */
let rec fact n acc =
  if n = 0 then acc else fact (n - 1) (n * acc)
```

# Why Functional Programming in OCaml?

OCaml, a French Dialect of ML, is a good programming language.

- functional programming: scala, java8, haskell, python, JavaScript, etc.
- static and sound type system: scala, haskell, etc.
  - "static": Type checking is done at compile-time.
  - "sound": Your program will never produce type errors.
- automatic type inference: scala, haskell, etc.
  - You do not need to manually annotate types.
- pattern matching: scala, etc.
  - You can do case-analysis concisely.
- algebraic data types, module system, etc

<sup>&</sup>lt;sup>2</sup>https://github.com/facebook/infer

<sup>3</sup>https://github.com/kupl/VeriSmart-public

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- pattern matching: scala, etc.
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### Examples of projects implemented in OCaml:

- INFER (Facebook): a tool for detecting memory leaks in Java,C++,Object-C, and C.<sup>2</sup>
- VERISMART: a tool for verifying safety of smart contracts.<sup>3</sup>

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# Topics to Cover

- Expressions
- Names
- Functions
- Pattern matching
- Type inference
- Tuples and lists
- Variants (union data types)
- Exceptions
- Modules

Try all examples by yourself!

# Basic Structure of OCaml Programs

An OCaml program is a sequence of definitions of expressions:

let 
$$x_1 = e_1$$
  
let  $x_2 = e_2$   
 $\vdots$   
let  $x_n = e_n$ 

- $e_1, e_2, \ldots, e_n$  are evaluated in order.
- Variable  $x_i$  refers to the value of  $e_i$ .

### Example

Hello World

```
let hello = "Hello"
let world = "World"
let helloworld = hello ^ " " ^ world
let _ = print_endline helloworld
```

Interpreter

```
$ ocaml helloworld.ml
Hello World
```

REPL (Read-Eval-Print-Loop)

```
$ ocaml
OCaml version 5.1.1

# let hello = "Hello";;
val hello : string = "Hello"
# let world = "World";;
val world : string = "World"
# let helloworld = hello ^ " " ^ world;;
val helloworld : string = "Hello World"
```

# Arithmetic Expressions

- Arithmetic expressions evaluate to numbers: e.g., 1+2\*3, 1+5, 7
- Evaluate expressions in the REPL:

```
# 1+2*3;;
- : int = 7
```

• Arithmetic operators on integers:

a + b	addition
a - $b$	subtraction
a*b	multiplication
a / b	divide $oldsymbol{a}$ by $oldsymbol{b}$ , returning the whole part
$oldsymbol{a} m{mod} \ oldsymbol{b}$	divide $a$ by $b$ , returning the remaining part

- Boolean expressions evaluate to boolean values (true, false).
- Evaluate boolean expressions.

```
# true;;
- : bool = true
# false;;
- : bool = false
# 1 > 2;;
- : bool = false
```

• Comparison operators produces boolean values:

```
a = b true if a and b are equal a <> b true if a and b are not equal a < b true if a is less than b a <= b true if a is less than or equal to b a > b true if a is greater than b a >= b true if a is greater than or equal to b
```

## **Boolean Operators**

Boolean expressions can be combined by boolean operators:

```
# true && false;;
- : bool = false
# true || false;;
- : bool = true
# (2 > 1) && (3 > 2);;
- : bool = true
```

# ML is a Statically Typed Language

If you try to evaluate an expression that does not make sense, OCaml rejects and does not evaluate the program. For example,

```
# 1 + true;;
```

Error: This expression has type bool but an expression was expected of type int

# Static Types and Dynamic Types

Programming languages are classified into:

- **Statically typed languages**: type checking is done at compile-time.
  - type errors are detected before program executions
  - ▶ C, C++, Java, ML, Scala, etc
- **Dynamically typed languages**: type checking is done at run-time.
  - type errors are detected during program executions
  - Python, JavaScript, Ruby, Lisp, etc

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  - type errors are detected during program executions
  - Python, JavaScript, Ruby, Lisp, etc

Statically typed languages are further classified into:

- Type-safe languages guarantee that compiled programs do not have type errors at run-time.
  - All type errors are detected at compile time.
  - Compiled programs do not stuck.
  - ML, Haskell, Scala
- Unsafe languages do not provide such a guarantee.
  - ▶ Some type errors remain at run-time.
  - ▶ C, C++

# cf) Which one is Better?

### Statically typed languages:

- (+) Type errors are caught early in the development cycle.
- (+) Program execution is efficient by omitting runtime checks.
- (-) Less flexible than dynamic languages.

### Dynamically typed languages:

- (—) Type errors appear at run-time, often unexpectedly.
- (+) Easy and fast prototyping.
- (+) Provide more flexible language features.

# Conversion between Different Types

• In OCaml, different types of values are distinguished.

```
# 3 + 2.0;;
Error: This expression has type float but an expression was expected of type int
```

Types must be explicitly converted.

```
# 3 + int_of_float 2.0;;
- : int = 5
```

• Operators for floating point numbers.

```
# 1.2 +. 2.3;;
- : float = 3.5
# 1.5 *. 2.0;;
- : float = 3.
# float_of_int 1 +. 2.2;;
- : float = 3.2
```

### Other Primitive Values

 OCaml provides six primitive values: integers, booleans, floating point numbers, characters, strings, and unit.

```
# 'c';;
- : char = 'c'
# "GIST";;
- : string = "GIST"
# ();;
- : unit = ()
```

• () is the only value of the unit type. The unit value is used to represent the value without useful meaning.

```
# print_endline "HI"
HI
- : unit = ()
```

```
if be then e_1 else e_2
```

- ullet If be is true, the value of the conditional expression is the value of  $e_1$ .
- If be is false, the value of the expression is the value of  $e_2$ .

```
# if 2 > 1 then 0 else 1;;
- : int = 0
# if 2 < 1 then 0 else 1;;
- : int = 1</pre>
```

- (Note 1) be must be a boolean expression.
- (Note 2) types of  $e_1$  and  $e_2$  must be equivalent.

```
# if 1 then 1 else 2;;
Error: ...
# if true then 1 else true;;
Error: ...
# if true then true else false;;
- : bool = true
```

### Names and Functions

Create a global variable with the let keyword:

```
# let x = 3 + 4;;
val x : int = 7
```

We say a variable x is bound to the value 7.

• You can refer to predefined global variables.

```
# let y = x + x;;
val y : int = 14
```

• Create a local variable with let ... in ... construct:

let 
$$x = e_1$$
 in  $e_2$ 

- x is bound to the value of  $e_1$ .
- the scope of x is  $e_2$ .
- lacktriangle the value of  $e_2$  becomes the final value of the entire expression.

```
• # let a = 1 in a;;
 -: int = 1
 # let a = 1 in a * 2;;
 -: int = 2
• # let a = 1 in
   let b = a + a in
   let c = b + b in
     c + c;;
 -: int = 8
• # let d =
     let a = 1 in
     let b = a + a in
     let c = b + b in
       c + c;;
  val d : int = 8
```

### **Functions**

Define a function with let: # let square x = x \* x;; val square : int -> int = <fun> • Apply the function: # square 2;; -: int = 4# square (2 + 5);; -: int = 49# square (square 2);; -: int = 16 • The body can be any expression: # let neg x = if x < 0 then true else false;;</pre> val neg : int -> bool = <fun> # neg 1;; - : bool = false # neg (-1);; - : bool = true

Functions with multiple arguments:

```
# let sum_of_squares x y = (square x) + (square y);;
val sum_of_squares : int -> int -> int = <fun>
# sum_of_squares 3 4;;
- : int = 25
```

• Recursive functions are defined with let rec construct:

```
# let rec factorial a =
    if a = 1 then 1 else a * factorial (a - 1);;
val factorial : int -> int = <fun>
# factorial 5;;
- : int = 120
```

- Many modern programming languages support nameless functions.
  - ▶ ML, Scala, Java8, JavaScript, Python, etc.
- In OCaml, a function can be defined without names:

```
# fun x -> x * x;;
- : int -> int = <fun>
```

Called nameless or anonymous functions.

• Apply nameless function as usual:

```
# (fun x -> x * x) 2;;
- : int = 4
```

A variable can be bound to functions:

```
# let square = fun x -> x * x;;
val square : int -> int = <fun>
```

The following are equivalent:

```
let square = fun x -> x * x
let square x = x * x
```

### Functions are First-Class in OCaml

In programming languages, a value is first-class, if the value can be

- stored in a variable,
- passed as an argument of a function, and
- returned from other functions.

A language is often called **functional**, if functions are first class values, e.g., ML, Scala, Java8, JavaScript, Python, Lisp, etc.

Functions can be stored in variables:

```
# let square = fun x -> x * x;;
# square 2;;
- : int = 4
```

Functions can be passed to other functions:

```
# let sum_if_true test first second =
     (if test first then first else 0)
     + (if test second then second else 0);;
val sum_if_true : (int -> bool) -> int -> int -> int = <fun>
# let even x = x mod 2 = 0;;
val even : int -> bool = <fun>
# sum_if_true even 3 4;;
- : int = 4
# sum_if_true even 2 4;;
- : int = 6
```

### Functions are First-Class in OCaml

• Functions can be also returned from a procedure:

```
# let plus_a a = fun b -> a + b;;
val plus_a : int -> int -> int = <fun>
# let f = plus_a 3;;
val f : int -> int = <fun>
# f 1;;
- : int = 4
# f 2;;
- : int = 5
```

Functions that manipulate functions are called higher-order functions.

- That is, functions that take as argument functions or return functions.
- This feature greatly increases the expressiveness of the language.

# Pattern Matching

- A very convenient way of doing case analysis.
- E.g., using pattern-matching, the factorial function

```
let rec factorial a =
   if a = 1 then 1 else a * factorial (a - 1)
can be written as follows:
let rec factorial a =
   match a with
   | 1 -> 1
   | _ -> a * factorial (a - 1)
```

where \_ is wildcard that represents a value that we do not care.

 You will better understand its advantages when manipulating lists or variant types.

```
The nested if-then-else expression
let isabc c = if c = 'a' then true
               else if c = 'b' then true
               else if c = 'c' then true
               else false
can be written using pattern matching:
let isabc c =
  match c with
  | 'a' -> true
  | 'b' -> true
  | 'c' -> true
  | _ -> false
or simply,
let isabc c =
  match c with
  | 'a' | 'b' | 'c' -> true
   -> false
```

```
In C or Java, types must be annotated:
public static int f(int n)
  int a = 2;
  return a * n;
In OCaml, type annotations are not mandatory:
# let f n =
    let a = 2 in
      a * n;;
val f : int -> int = <fun>
```

# Type Inference

OCaml can infer types, no matter how complex the program is:
# let sum\_if\_true test first second =
 (if test first then first else 0)
 + (if test second then second else 0);;
Q. What is the type of the function?

# Type Inference

OCaml can infer types, no matter how complex the program is:

```
# let sum_if_true test first second =
    (if test first then first else 0)
+ (if test second then second else 0);;
```

Q. What is the type of the function?

```
val sum_if_true : (int -> bool) -> int -> int -> int = <fun>
```

OCaml compiler infers the type through the following reasoning steps:

- the types of first and second must be int, because both branches of a conditional expression must have the same type,
- $oldsymbol{@}$  the type of test is a function type lpha 
  ightarrow eta, because test is used as a function,
- $oldsymbol{\circ}$  lpha must be of int, because test is applied to first, a value of int,
- $oldsymbol{0}$  must be of bool, because conditions must be boolean expressions,
- the return value of the function has type int, because the two conditional expressions are of int and their addition gives int.

# Type Annotation

Explicit type annotations are possible:

```
# let sum_if_true (test : int -> bool) (x : int) (y : int) : int =
    (if test x then x else 0) + (if test y then y else 0);;
val sum_if_true : (int -> bool) -> int -> int -> int = <fun>
Equivalently:
# let sum_if_true : (int -> bool) -> int -> int -> int
= fun test x y ->
  (if test x then x else 0) + (if test y then y else 0);;
If the annotation is wrong, OCaml finds the error and report it:
# let sum_if_true (test : int -> int) (x : int) (y : int) : int =
    (if test x then x else 0) + (if test y then y else 0);;
Error: The expression (test x) has type int but an expression
was expected of type bool
```

# Polymorphic Types

Q. What is the type of the program?let id x = x

# Polymorphic Types

• Q. What is the type of the program?

```
let id x = x
See how OCaml infers its type:
# let id x = x;;
val id : 'a -> 'a = <fun>
where 'a is a type variable that can be instantiated into any concrete type.
```

• The function works for values of any type:

```
# id 1;;
- : int = 1
# id "abc";;
- : string = "abc"
# id true;;
- : bool = true
```

• Such a function is called polymorphic.

# Polymorphic Types

```
(Exercise) What is the type of the function?
```

```
let first_if_true test x y =
  if test x then x else y
```

 An ordered collection of values, each of which can be a different types, e.g.,

```
# let x = (1, "one");;
val x : int * string = (1, "one")
# let y = (2, "two", true);;
val y : int * string * bool = (2, "two", true)
```

Extract each component using pattern-matching:

```
# let fst p = match p with (x,_) -> x;;
val fst : 'a * 'b -> 'a = <fun>
# let snd p = match p with (_,x) -> x;;
val snd : 'a * 'b -> 'b = <fun>
or equivalently,
# let fst (x,_) = x;;
val fst : 'a * 'b -> 'a = <fun>
# let snd (_,x) = x;;
val snd : 'a * 'b -> 'b = <fun>
```

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### **Tuples**

Pattern matching can be used in let as well:

```
# let p = (1, true);;
val p : int * bool = (1, true)
# let (x,y) = p;;
val x : int = 1
val y : bool = true
```

A finite sequence of elements, each of which has the same type, e.g.,

```
[1; 2; 3]
```

is a list of integers:

```
# [1; 2; 3];;
-: int list = [1; 2; 3]
```

- Note:
  - ▶ all elements must have the same type, e.g., [1; true; 2] is not a list,
  - ▶ the elements are ordered, e.g.,  $[1; 2; 3] \neq [2; 3; 1]$ , and
  - the first element is called head, the rest tail.
- []: the empty list, i.e., nil. What are head and tail of []?
- [5]: a list with a single element. What are head and tail of [5]?

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```
• # [1;2;3;4;5];;
  -: int list = [1; 2; 3; 4; 5]
  # ["OCaml"; "Java"; "C"];;
  - : string list = ["OCaml"; "Java"; "C"]
• # [(1, "one"); (2, "two"); (3, "three")];;
  -: (int * string) list = [(1, "one"); (2, "two"); (3, "three")]
 # [[1:2:3]:[2:3:4]:[4:5:6]]::
  -: int list list = [[1; 2; 3]; [2; 3; 4]; [4; 5; 6]]
• # [1; "OCaml"; 3] ;;
  Error: This expression has type string but an expression was
   expected of type int
```

# Two Built-in List Operators

```
• :: (cons): add a single element to the front of a list, e.g.,
# 1::[2;3];;
- : int list = [1; 2; 3]
# 1::2::3::[];;
- : int list = [1; 2; 3]
where [1; 2; 3] is a shorthand for 1::2::3::[]
• @ (append): combine two lists, e.g.,
# [1; 2] @ [3; 4; 5];;
- : int list = [1; 2; 3; 4; 5]
```

# Pattern Matching for Lists

Pattern matching is useful for manipulating lists.

A function to check if a list is empty:

```
# let isnil l =
    match l with
    |[] -> true
    | _ -> false;;
val isnil : 'a list -> bool = <fun>
# isnil [1];;
- : bool = false
# isnil [];;
- : bool = true
```

# Pattern Matching for Lists

• Implement a function that computes the length of lists:

```
# let rec length l = (* TODO *)
```

Implement a function that computes the length of lists:

```
# let rec length 1 =
    match 1 with
    | [] -> 0
    | h::t -> 1 + length t;;
val length : 'a list -> int = <fun>
# length [1;2;3];;
- : int = 3
```

We can replace pattern h by \_:

```
let rec length 1 =
  match 1 with
  | [] -> 0
  |_::t -> 1 + length t;;
```

# Variants (Union Data Types)

- Variants are used to represent a single type from multiple different types (or different forms of values).
- Constructors can be associated with values, e.g.,

```
# type shape = Rect of int * int | Circle of int;;
type shape = Rect of int * int | Circle of int
```

Construct values of the type:

```
# Rect (2,3);;
- : shape = Rect (2, 3)
# Circle 5;;
- : shape = Circle 5
```

• A function that manipulates the data:

# Variants (Union Data Types)

```
    Inductive data types, e.g.,

  # type mylist = Nil | List of int * mylist;;
  type mylist = Nil | List of int * mylist

    Construct values of the type:

  # Nil;;
  - : mylist = Nil
 # List (1, Nil);;
  - : mylist = List (1, Nil)
  # List (1, List (2, Nil));;
  - : mylist = List (1, List (2, Nil))

 A function that manipulates the data:

  # let rec mylength 1 =
      match 1 with
      | Nil -> 0
      | List (_,l') -> 1 + mylength l';;
  val mylength : mylist -> int = <fun>
  # mylength (List (1, List (2, Nil)));;
  -: int = 2
```

An exception means a run-time error: e.g.,

```
# let div a b = a / b;;
val div : int -> int -> int = <fun>
# div 10 5;;
- : int = 2
# div 10 0;;
Exception: Division_by_zero.
```

• The exception can be handled with try ... with constructs.

 User-defined exceptions: e.g., # exception Problem;; exception Problem # let div a b = if b = 0 then raise Problem else a / b;; val div : int -> int -> int = <fun> # div 10 5;; -: int = 2# div 10 0;; Exception: Problem. # try div 10 0 with Problem -> 0;; -: int = 0

# Module System

ML provides an elegant module system:

- **Structure** is a collection of types, exceptions, values, and functions, i.e., implementation details.
- **Signature** is the interface of the structure.

### Example

The interface of a queue data structure:

- empty: the empty queue
- isempty: the boolean-valued test of whether q is empty
- enq(q,x): the queue obtained by inserting x on the end of q
- deq(q): the queue obtained by removing the front element of q (also returns the front element)
- print(q): show the contents of q
- E: the exception raised by deq if the queue is empty

### Example

The signature of the queue data structure:

```
module type IntQueue =
sig
  type t
  exception E
  val empty : t
  val is_empty : t -> bool
  val enq : t -> int -> t
  val deq : t -> int * t
  val print : t -> unit
end
```

#### An implementation:

```
module IntQueue : IntQueue =
struct
  type t = int list
  exception E
  let empty = []
  let enq q x = q @ [x]
  let is_empty q = q = []
  let deq q = match q with [] -> raise E | h::t -> (h, t)
  let rec print q =
    match q with
    |[] -> print_string "\n"
    |h::t -> print_int h; print_string " "; print t
end
```

#### Example

The module can be used as follows:

```
let q0 = IntQueue.empty
let q1 = IntQueue.enq q0 1
let q2 = IntQueue.enq q1 2
let (_,q3) = IntQueue.deq q2
let _ = IntQueue.print q1
let _ = IntQueue.print q2
let _ = IntQueue.print q3
```

The program prints:

```
1
1 2
2
```

#### Example

The OCaml module system ensures the abstraction layer of the program:

let 
$$q4 = q1 @ [2]$$

produces a compile error:

```
Error: This expression has type IntQueue.t but an expression was expected of type 'a list
```

# Exercise 1: append

Implement a function that appends two lists:

```
# append [1; 2; 3] [4; 5; 6; 7];;
- : int list = [1; 2; 3; 4; 5; 6; 7]
# append [2; 4; 6] [8; 10];;
- : int list = [2; 4; 6; 8; 10]
let rec append l1 l2 = (* TODO *)
```

#### Exercise 2: reverse

Implement a function that reverses a given list:

```
val reverse : 'a list -> 'a list = <fun>
# reverse [1; 2; 3];;
- : int list = [3; 2; 1]
# reverse ["C"; "Java"; "OCaml"];;
- : string list = ["OCaml"; "Java"; "C"]
let rec reverse l = (* TODO *)
```

Implement a function that computes nth element of a list:

```
# nth [1;2;3] 0;;
-: int = 1
# nth [1;2;3] 1;;
-: int = 2
# nth [1;2;3] 2;;
-: int = 3
# nth [1;2;3] 3;;
Exception: Failure "list is too short".
let rec nth 1 n =
  match 1 with
  | [] -> raise (Failure "list is too short")
  | hd::tl -> (* TODO *)
```

Implement a function that removes the first occurrence of an element from a list:

```
# remove_first 2 [1; 2; 3];;
-: int list = [1; 3]
# remove_first 2 [1; 2; 3; 2];;
-: int list = [1; 3; 2]
# remove_first 4 [1;2;3];;
-: int list = [1; 2; 3]
# remove_first [1; 2] [[1; 2; 3]; [1; 2]; [2; 3]];;
-: int list list = [[1; 2; 3]; [2; 3]]
let rec remove_first a l =
  match 1 with
  | [] -> []
  | hd::tl -> (* TODO *)
```

Implement a function that inserts an element to a sorted list:

```
# insert 2 [1;3];;
-: int list = [1; 2; 3]
# insert 1 [2;3];;
-: int list = [1; 2; 3]
# insert 3 [1;2];;
-: int list = [1; 2; 3]
# insert 4 [];;
-: int list = \lceil 4 \rceil
let rec insert a 1 =
  match 1 with
  | [] -> [a]
  | hd::tl -> (* TODO *)
```

Implement a function that performs insertion sort:

```
let rec sort 1 =
  match 1 with
  | [] -> []
  | hd::tl -> insert hd (sort tl)
cf) Compare with "C-style" non-recursive version:
for (c = 1 ; c \le n - 1; c++) {
d = c:
while (d > 0 \&\& array[d] < array[d-1]) {
             = array[d];
   t.
   array[d] = array[d-1];
   array[d-1] = t;
   d--;
```

# Summary

We've gone through the basics of OCaml programming.

- Expressions
- Names
- Functions
- Pattern matching
- Type inference
- Tuples and lists
- Variants (union data types)
- Exceptions
- Modules