PERs from Projections for Binding-time Analysis

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Abstract

First-order projection-based binding-time analysis has proven genuinely useful in partial evaluation [Lau91a, Lau91c]. There have been three notable generalisations of projection-based analysis to higher order. The first lacked a formal basis [Mog89]; the second used structures strictly more general that projections, namely partial equivalence relations (PERs) [HS91]; the third involved a complex construction that gave rise to impractically large abstract domains [Dav93]. This paper presents a technique free of these shortcomings: it is simple, entirely projection-based, satisfies a formal correctness condition, and gives rise to reasonably small abstract domains. Though the technique is cast in terms of projections, there is also an interpretation in terms of PERs. The principal limitation of the technique is the restriction to monomorphic typing.

1 Introduction and Background

We take as given that binding-time analysis is essential for good partial evaluation, and we do not address the issue of annotating programs according to the results of analysis. Numerous binding-time analysis techniques have been proposed and implemented; we greatly narrow the field of discussion by restricting attention to those for which there is a formally stated notion of correctness that the technique has been proven to satisfy.

Analysis techniques can usually be identified as being based on either a non-standard denotational semantics or a non-standard typing. Examples in the latter category include those of Gomard [Go92], Jensen [Jen92], the Nielsons [NN88], Schmidt [Sch88], and Henglein and Mossin [HM94]. Our focus is on those techniques based on non-standard interpretation, in particular, those using projections or partial equivalence relations (PERs) as the basic abstract values.

A domain projection is a continuous idempotent function that approximates the identity. Launchbury [Lau88] hit upon the idea of using projections to encode degrees of staticness of data. The basic idea is that a projection maps to \bot that part of a data structure that is dynamic (possibly not determined), and acts as the identity on that part which is static (definitely determined). Examples are the identity

ID, the greatest projection, which specifies that values are entirely static; the constant \bot function BOT, the least projection, which specifies that values are entirely dynamic; and projections FST and SND on product domains, defined by

$$FST(x,y) = (x, \perp)$$
, $SND(x,y) = (\perp, y)$,

specifying stationess in the first and second components of pairs, respectively. The nominal goal of analysis is, given function f denoted by some programming-language expression, and projection δ encoding the staticness of the argument of f, to determine γ satisfying the safety condition $\gamma \circ f \sqsubseteq f \circ \delta$. For example, taking γ to be SND satisfies $\gamma \circ swap \sqsubseteq swap \circ FST$ for swap defined by swap(x,y) =(y,x). Taking γ to be BOT always satisfies the safety condition but tells nothing; greater γ is more informative. Launchbury [Lau91a] showed that this safety condition satisfies, and in a sense which he formalises, is equivalent to the correctness condition for binding-time analysis in the general framework of Jones [Jon88]. Using projection-based analysis, Launchbury implemented both monomorphic and polymorphic versions of a partial evaluator for a first-order language. His work culminated in the first strongly-typed partial evaluator [Lau91c]—strong evidence for the value of the projection-based approach.

There have been three notable attempts to generalise Launchbury's techniques to higher order. The first was Mogensen's generalisation of the polymorphic technique [Mog89]. Though successfully implemented, there is no formal statement of what it means for the analysis to be correct; even if such a statement were made, proving correctness would likely be difficult because of the highly intensional nature of the analysis: the non-standard values associated with expressions are strongly dependent on their syntactic structure, and projections are encoded symbolically as abstract closures, with approximation performed algebraically 'on-the-fly' according to time and space considerations. Nonetheless, the experiment provided evidence for the practicality of the projection-based approach at higher order.

The second generalisation was Hunt and Sands', of the monomorphic technique to higher order [HS91]. Their observation was that a projection, regarded as a set of domain-range pairs, is an equivalence relation: given γ , values u and v are in the same equivalence class if $\gamma u = \gamma v$, and the canonical elements of the equivalence classes are the set of fixed points (range) of γ . Hunt showed that the safety condition $\gamma \circ f \sqsubseteq f \circ \delta$ holds iff f is related to itself by $\delta \to \gamma$ where \to is the standard operation on binary relations, so

$$\begin{array}{l} (\gamma \circ f \sqsubseteq f \circ \delta) \\ \Leftrightarrow (\forall \ u, v \ . \ \delta \ u = \delta \ v \ \Rightarrow \ \gamma \ (f \ u) = \gamma \ (f \ v)) \ . \end{array}$$

Then, for example, $(BOT \rightarrow ID)$ (f, f) asserts that f maps dynamic arguments to static results. In general $\delta \to \gamma$ is not an equivalence relation, but it is always a partial equivalence relation: it is symmetric and transitive but not necessarily reflexive. Unlike projections regarded as relations, PERs are closed under \rightarrow ; the result, as Hunt and Sands show, is that 'scaling up' to higher-order analysis is reasonably straightforward. One disadvantage of their method is that PER spaces are considerably larger than the projection spaces on the same domains, and it is not clear which PERs to choose for (finite) abstract domains. Here they borrowed heavily from the projection world, using standard abstract projection domains at ground types. Further, its practicality has not been demonstrated by implementation, and, because of the unfamiliar territory, a promising route to a polymorphic generalisation is obscure.

The third generalisation was ours, to an entirely projection-based, monomorphic, higher-order technique [Dav93]. One observation motivating the approach is that there is no meaningful abstraction of values to projections, only of functions f to projection transformers τ (functions from projections to projections) satisfying $(\tau \ \delta) \circ f \sqsubseteq f \circ \delta$ for all δ . To make this abstraction possible a semantics intermediate between the standard and analysis semantics was introduced. Moving from the standard to intermediate semantics involved a translation of each ground type T to a function type E -> T (for a fixed type E), the values of which, being functions, could then be abstracted. The result, while proven correct with respect to a formal safety condition, is probably not practicable because of the growth in the sizes of (usefully rich) abstract domains induced by the type translation.

This paper presents a technique far simpler technique than our previous one. No intermediate semantics is required, and the correctness condition and proof are much simpler. Because the translation of ground types to function types is avoided the abstract domains are much smaller. Though entirely projection-based, we show that there is a reading of the results in terms of PERs, intimating a close relationship with the PER-based technique.

2 Language and Standard Semantics

The source language is a simple, strongly typed, monomorphic, non-strict functional language. The grammar for the language of types and type definitions is given in Figure 1. Nullary product corresponds to the so-called *unit* type. A unary product (T) will always have the same semantics as T. The types used in the examples are defined as follows.

The grammar for expressions is given in Figure 2. Addition for integers is provided as typical of operations on flat data types in this setting. A unary tuple (e) will always have the same semantics as e. The (monomorphic) typing of expressions is entirely standard and is omitted.

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 \begin{split} \mathbf{T} & ::= \mathbf{A} & & [ \mathbf{Type \ Name} ] \\ | & \mathbf{Int} & & [ \mathbf{Integer} ] \\ | & & (\mathbf{T}_1 \ , \dots \ , \mathbf{T}_n) & [ \mathbf{Product}, \ n \geq 0 ] \\ | & & \mathbf{c}_1 \ \mathbf{T}_1 \ + \dots \ + \ \mathbf{c}_n \ \mathbf{T}_n & [ \mathbf{Sum}, \ n \geq 1 ] \\ | & & \mathbf{T}_1 \ -> \mathbf{T}_2 & [ \mathbf{Function} ] \\ \mathbf{D} & ::= \mathbf{A}_1 \ = \mathbf{T}_1 \ ; \ \dots \ ; \ \mathbf{A}_n \ = \mathbf{T}_n & [ \mathbf{Type \ Definitions} ] \\ \end{aligned}
```

Figure 1: Types and type definitions.

```
e ::= x
                                    [Variable]
                                    [Numeral]
       \mathbf{n}_i
                                    [Integer addition]
       e_1 + e_2
                                    [Function application]
       (e_1, \ldots, e_n)
                                    [Tuple construction]
       let (x_1, \ldots, x_n) = e_0
                                    [Tuple decomposition]
         in e_1
       c_i e
                                    [Sum construction]
       case e_0 of
         \{c_i x_i \rightarrow e_i\}
                                    [Sum decomposition]
       \x: T.e
                                    [Lambda abstraction]
       e_1 e_2
                                    [Function application]
       fix e
                                    [Fixed point]
```

Figure 2: Expressions.

2.1 Expression semantics

Since two different expression semantics will be given, following Abramsky [Abr90] we define a semantics \mathcal{E} parameterised by a set of defining constants. The semantics \mathcal{E} is defined in Figure 3; the defining constants are plus, sel_i , tuple, inc_i , $outc_i$, choose, mkfun, apply, and fix. The two instances of \mathcal{E} are distinguished by a superscript: \mathcal{E}^{S} for the standard semantics and \mathcal{E}^{P} for the non-standard semantics. The corresponding type semantics have the same superscripts, as do the defining constants.

It is useful to regard the free-variable environment of each expression as having some tuple type (T_1, \ldots, T_n) , and environment lookup as indexing (as in a categorical semantics, or De Bruijn indexing); variables are indexed implicitly or explicitly by their index in the free variable environment. Then for both versions of the semantics and all expressions e of type T with environment of type (T_1, \ldots, T_n) ,

$$\mathcal{E} \llbracket \, \mathbf{e} \, \rrbracket \; \in \; \mathcal{T} \llbracket \, (\mathtt{T}_1 \, , \, \ldots \, , \mathtt{T}_n) \, \rrbracket \; \rightarrow \; \mathcal{T} \llbracket \, \mathtt{T} \, \rrbracket \; .$$

Noting that $\rho[\![\mathbf{x}_i]\!]$ is short for $sel_i \ \rho$, environment update $\rho[\![\mathbf{x}_i \mapsto v]\!]$ is defined by

$$\mathcal{E}[\![\mathbf{x}_{i}]\!] \rho = \rho[\![\mathbf{x}_{i}]\!] = sel_{i} \rho$$

$$\mathcal{E}[\![\mathbf{e}_{1} + \mathbf{e}_{2}]\!] \rho = plus (\mathcal{E}[\![\mathbf{e}_{1}]\!] \rho, \mathcal{E}[\![\mathbf{e}_{2}]\!] \rho)$$

$$\mathcal{E}[\![(\mathbf{e}_{1}, \dots, \mathbf{e}_{n})]\!] \rho$$

$$= tuple (\mathcal{E}[\![\mathbf{e}_{1}]\!] \rho, \dots, \mathcal{E}[\![\mathbf{e}_{n}]\!] \rho)$$

$$\mathcal{E}[\![\mathbf{e}_{1} (\mathbf{x}_{1}, \dots, \mathbf{x}_{n})] = \mathbf{e}_{0} \text{ in } \mathbf{e}_{1}]\!] \rho$$

$$= \mathcal{E}[\![\mathbf{e}_{1}]\!] \rho[\mathbf{x}_{i} \mapsto sel_{i} (\mathcal{E}[\![\mathbf{e}_{0}]\!] \rho) \mid 1 \leq i \leq n]$$

$$\mathcal{E}[\![\mathbf{e}_{i} \|]\!] \rho = inc_{i} (\mathcal{E}[\![\mathbf{e}]\!] \rho)$$

$$\mathcal{E}[\![\mathbf{e}_{i} \|]\!] \rho = inc_{i} (\mathcal{E}[\![\mathbf{e}]\!] \rho)$$

$$\mathcal{E}[\![\mathbf{e}_{1} \|]\!] \rho[\mathbf{x}_{1} \mapsto outc_{1} (\mathcal{E}[\![\mathbf{e}_{0}]\!] \rho)],$$

$$\vdots$$

$$\mathcal{E}[\![\mathbf{e}_{1}]\!] \rho[\mathbf{x}_{1} \mapsto outc_{n} (\mathcal{E}[\![\mathbf{e}_{0}]\!] \rho)])$$

$$\mathcal{E}[\![\mathbf{x}, \mathbf{e}]\!] \rho = mkfun (\lambda x. \mathcal{E}[\![\mathbf{e}]\!] \rho[\mathbf{x} \mapsto x])$$

$$\mathcal{E}[\![\mathbf{e}_{1} \mathbf{e}_{2}]\!] \rho = apply (\mathcal{E}[\![\mathbf{e}_{1}]\!] \rho) (\mathcal{E}[\![\mathbf{e}_{2}]\!] \rho)$$

$$\mathcal{E}[\![\mathbf{fix} \mathbf{e}]\!] \rho = (fix \circ apply) (\mathcal{E}[\![\mathbf{e}]\!] \rho)$$

Figure 3: Parameterised semantics.

tuple
$$(sel_1 \ \rho, \ \ldots, \ sel_{i-1} \ \rho,$$
 $v,$
 $sel_{i+1} \ \rho, \ \ldots, \ sel_n \ \rho)$.

It is convenient to regard Int as being defined as the infinite sum

Int = ... +
$$n_{-1}$$
 () + n_0 () + n_1 () + ...

where in practice we write n_i as short for n_i ().

2.2 Standard semantics

The standard S type and expression semantics are defined in Figure 4. Function types give rise to lifted function spaces as in Abramsky's lazy lambda calculus [Abr89], and the semantics distinguishes those expressions of function type that have WHNF (have value $lift\ f$ for some f) and those that do not (have value \bot). Products are unlifted; a unary sumof-products gives a lifted product. Domain + is separated sum. Recursive type definitions give rise to recursive domain specifications which have the usual least-fixed-point solutions.

3 Domain Factorisation

A key observation of [Dav93] was that since there is no concept of stationess of the body of a lambda expression, there is no point in having projections on function spaces. Hence

$$\mathcal{T}^{\mathsf{S}}[\mathsf{Int}] = \mathit{Int} = \mathbf{Z}_{\perp}$$

$$\mathcal{T}^{\mathsf{S}}[(\mathsf{T}_{1}, \dots, \mathsf{T}_{n})] = \mathcal{T}^{\mathsf{S}}[\mathsf{T}_{1}] \times \dots \times \mathcal{T}^{\mathsf{S}}[\mathsf{T}_{n}]$$

$$\mathcal{T}^{\mathsf{S}}[\mathsf{c}_{1} \mathsf{T}_{1} + \dots + \mathsf{c}_{n} \mathsf{T}_{n}]$$

$$= \mathcal{T}^{\mathsf{S}}[\mathsf{T}_{1}] + \dots + \mathcal{T}^{\mathsf{S}}[\mathsf{T}_{n}]$$

$$\mathcal{T}^{\mathsf{S}}[\mathsf{T}_{1} \to \mathsf{T}_{2}] = (\mathcal{T}^{\mathsf{S}}[\mathsf{T}_{1}]] \to \mathcal{T}^{\mathsf{S}}[\mathsf{T}_{2}])_{\perp}$$

$$plus^{\mathsf{S}}(x, y) = x + y$$

$$tuple^{\mathsf{S}}(x_{1}, \dots, x_{n}) = (x_{1}, \dots, x_{n})$$

$$sel_{i}^{\mathsf{S}}(x_{1}, \dots, x_{n}) = x_{i}$$

$$inc_{i}^{\mathsf{S}} = in_{i} \circ lift$$

$$outc_{i}^{\mathsf{S}}(x_{1}, \dots, x_{n}) = x_{i}$$

$$choose^{\mathsf{S}}(\perp, x_{1}, \dots, x_{n}) = \perp$$

$$choose^{\mathsf{S}}(in_{i} v, x_{1}, \dots, x_{n}) = x_{i}$$

$$mkfun^{\mathsf{S}} = lift$$

$$apply^{\mathsf{S}} = drop$$

$$fix^{\mathsf{S}} = lfp \quad [Least fixed point]$$

Figure 4: Standard type and expression semantics.

domains are factored into their evaluable or data parts, and their unevaluable but applicable forward parts. For example, for $(T \to U)_\perp = \mathcal{T}^\mathsf{S} \llbracket \, \mathsf{T} \to \mathsf{U} \, \rrbracket$ we need only distinguish two degrees of definedness—between \bot and values of the form $\mathit{lift}\ f$. This may be encoded by $\mathbf{1}_\bot$ —the data part of $(T \to U)_\bot$ —on which there are precisely two projections, namely ID and BOT . Here the forward part is $T \to U$.

The data domain corresponding to type T is $\mathcal{D}[\![T]\!]$, where \mathcal{D} is defined exactly like \mathcal{T}^{S} except that function spaces are replaced by the one-point domain $\mathbf{1} = \{()\}$, that is, $\mathcal{D}[\![T_1 \rightarrow T_2]\!] = \mathbf{1}_{\perp}$. The function $data_T$ from values in $\mathcal{T}^{\mathsf{S}}[\![T]\!]$ to their data parts in $\mathcal{D}[\![T]\!]$ is a projection: it is like the identity except that values from function spaces are mapped into $\mathbf{1}$. The projection $data_T$ is defined in terms of the structure of T as follows.

The last definition uses function lifting, defined by $f_{\perp} \perp = \perp$ and f_{\perp} (lift x) = lift (f(x)). Recursive type definitions give rise to recursive function specifications with only one solution.

In the same style as $\mathcal{D}[\![T]\!]$ and $data_T$ we define $\mathcal{T}_{\ddagger}^S[\![T]\!]$ to give the forward domain for T, and fun_T to be the function mapping values in $\mathcal{T}^S[\![T]\!]$ to their forward parts in $\mathcal{T}_{\ddagger}^S[\![T]\!]$, as follows. Roughly, \mathcal{T}_{\ddagger}^S is like \mathcal{T}^S with all lifting removed and sum replaced by product.

$$\begin{split} \mathcal{T}_{t}^{\mathsf{S}} [\![\, \mathsf{Int} \,] \!] &= 1 \;, \\ \mathcal{T}_{t}^{\mathsf{S}} [\![\, (\mathsf{T}_{1} \,, \, \ldots \,, \mathsf{T}_{n}) \,] \!] &= \mathcal{T}_{t}^{\mathsf{S}} [\![\, \mathsf{T}_{1} \,] \; \times \; \ldots \; \times \; \mathcal{T}_{t}^{\mathsf{S}} [\![\, \mathsf{T}_{n} \,] \,] \;, \\ \mathcal{T}_{t}^{\mathsf{S}} [\![\, \mathsf{c}_{1} \, \, \mathsf{T}_{1} \,+ \; \ldots \, + \, \mathsf{c}_{n} \, \, \mathsf{T}_{n} \,] \!] \\ &= \mathcal{T}_{t}^{\mathsf{S}} [\![\, \mathsf{T}_{1} \,] \; \times \; \ldots \; \times \; \mathcal{T}_{t}^{\mathsf{S}} [\![\, \mathsf{T}_{n} \,] \,] \;, \\ \mathcal{T}_{t}^{\mathsf{S}} [\![\, \mathsf{T}_{1} \, - \! > \, \mathsf{T}_{2} \,] \!] &= \mathcal{T}^{\mathsf{S}} [\![\, \mathsf{T}_{1} \,] \!] \; \to \; \mathcal{T}^{\mathsf{S}} [\![\, \mathsf{T}_{2} \,] \!] \;. \end{split}$$

The mapping from standard values to their forward parts is defined by

$$\begin{array}{lll} fun_{\rm Int} & = & \lambda x.() \; , \\ fun_{({\rm T}_1, \ldots, {\rm T}_n)} & = & fun_{{\rm T}_1} \; \times \; \ldots \; \times \; fun_{{\rm T}_n} \; , \\ fun_{{\rm c}_1 \; {\rm T}_1 \; + \; \ldots \; + \; {\rm c}_n \; {\rm T}_n \; \bot} & = \; \bot \\ fun_{{\rm c}_1 \; {\rm T}_1 \; + \; \ldots \; + \; {\rm c}_n \; {\rm T}_n \; (in_i \; v) \\ & = \; (\bot, \ldots, \bot, v, \bot, \ldots, \bot) \quad [v \; {\rm in} \; i^{th} \; {\rm position}] \; , \\ fun_{{\rm T}_1 \vdash_i {\rm T}_2} & = \; drop \; . \end{array}$$

We write fac_{T} for $\lambda x.(data_{\mathrm{T}} \ x, \ fun_{\mathrm{T}} \ x)$. Then $\mathcal{D}[\![T]\!] \times \mathcal{T}_{\mathtt{f}}^{\mathsf{S}}[\![T]\!]$ is a factorisation of $\mathcal{T}^{\mathsf{S}}[\![T]\!]$, and

$$\mathit{fac}_{\mathrm{T}} \ \in \ \mathcal{T}^{\mathsf{S}}[\![\mathtt{T}]\!] \ \to \ (\mathcal{D}[\![\mathtt{T}]\!] \ \times \ \mathcal{T}_{\mathtt{f}}^{\mathsf{S}}[\![\mathtt{T}]\!])$$

is an embedding which determines the corresponding projection $unfac_{\mathbf{T}}$ (since they are related by $unfac_{\mathbf{T}} \circ fac_{\mathbf{T}} = id$ and $fac_{\mathbf{T}} \circ unfac_{\mathbf{T}} \sqsubseteq id$). Rather than give an explicit definition of $unfac_{\mathbf{T}}$ we give some examples. The factorisation of Int is $Int \times \mathbf{1}$; more generally, the factorisation of any domain D corresponding to a type not containing \Rightarrow is just $D \times \mathbf{1}$. If $T = \mathcal{T}^{\mathsf{S}} \llbracket \mathbf{T} \rrbracket$ and $U = \mathcal{T}^{\mathsf{S}} \llbracket \mathbf{U} \rrbracket$ then the factorisation of $(T \to U)_{\perp} = \mathcal{T}^{\mathsf{S}} \llbracket \mathbf{T} \to \mathbf{U} \rrbracket$ is $\mathbf{1}_{\perp} \times (T \to U)$ —note that factorisation 'stops' at function-space constructors. Now $fac_{T-\underline{\iota}U} \perp = (\bot, \bot)$, and $fac_{T-\underline{\iota}U} (lift\ f) = (lift\ (),\ f)$ for all f. In the other direction $unfac_{T-\underline{\iota}U} (\bot, f) = \bot$ and $unfac_{T-\underline{\iota}U} (lift\ (),\ f) = (lift\ f)$; this must be since in general $unfac_{T} \circ fac_{T}$ is the identity.

4 Projection Semantics

Standard values v and v' are related by nonstandard value (α, κ) when their data parts are related by α , and their forward parts are logically related by κ . At each type T the relation is $\mathcal{R}[T]((\alpha, \kappa), \cdot, \cdot)$, defined by

$$\begin{split} \mathcal{R} [\![\, \mathtt{T} \,]\!] \; & ((\alpha, \kappa), v, v') \\ &= (\alpha \; d = \alpha \; d') \; \wedge \; \mathcal{R}_{\ddagger} [\![\, \mathtt{T} \,]\!] \; (\kappa, f, f') \\ & \text{where} \\ & (d, f) \; = \; fac_{\mathrm{T}} \; v \\ & (d', f') \; = \; fac_{\mathrm{T}} \; v' \; , \end{split}$$

$$\begin{aligned} plus^{\mathsf{P}} & ((\alpha, ()), (\beta, ())) \\ &= \begin{cases} (ID, ()), & \text{if } \alpha = ID \text{ and } \beta = ID \\ (BOT, ()), & \text{otherwise} \end{cases} \\ tuple^{\mathsf{P}} & ((\alpha_1, \kappa_1), \dots, (\alpha_n, \kappa_n)) \\ &= ((\alpha_1 \times \dots \times \alpha_n), (\kappa_1, \dots, \kappa_n)) \\ sel_i^{\mathsf{P}} & ((\alpha_1 \times \dots \times \alpha_n), (\kappa_1, \dots, \kappa_n)) \\ inc_i^{\mathsf{P}} & (\alpha, \kappa) \\ &= (C_i \ \alpha, \ (\top, \dots, \top, \kappa, \top, \dots, \top)) \\ outc_i^{\mathsf{P}} & (\alpha, (\kappa_1, \dots, \kappa_n)) \\ &= (OUTC_i \ \alpha, \ \kappa_i) \\ choose^{\mathsf{P}} & ((\alpha, \kappa), x_1, \dots, x_n) \\ &= \begin{cases} \bot, & \text{if } \alpha \not\supseteq \sqcap_{1 \leq i \leq n} \ C_i \ BOT \\ x_1 \sqcap \dots \sqcap x_n, & \text{otherwise} \end{cases} \\ mkfun^{\mathsf{P}} & f \\ &= (ID, f) \\ apply^{\mathsf{P}} & (\alpha, f) \\ &= \begin{cases} \bot, & \text{if } \alpha = BOT \\ f, & \text{if } \alpha = ID \end{cases} \\ fix^{\mathsf{P}} &= gfp \quad [\text{Greatest fixed point}] \end{aligned}$$

Figure 5: Projection semantics.

where $\mathcal{R}_{\underline{1}}[\![T]\!]$ is defined by

$$\begin{split} & \mathcal{R}_{\ddagger} \llbracket \, \operatorname{Int} \, \rrbracket \, \left((), (), () \right) \; = \; \mathit{True} \; , \\ & \mathcal{R}_{\ddagger} \llbracket \, \left(\mathsf{T}_{1} \,, \ldots \,, \mathsf{T}_{n} \right) \, \rrbracket \; = \; \mathcal{R}_{\ddagger} \llbracket \, \mathsf{T}_{1} \, \rrbracket \; \times \; \ldots \; \times \; \mathcal{R}_{\ddagger} \llbracket \, \mathsf{T}_{n} \, \rrbracket \; , \\ & \mathcal{R}_{\ddagger} \llbracket \, \mathsf{c}_{1} \, \, \mathsf{T}_{1} \, + \; \ldots \; + \; \mathsf{c}_{n} \, \, \mathsf{T}_{n} \, \rrbracket \\ & = \; \mathcal{R}_{\ddagger} \llbracket \, \mathsf{T}_{1} \, \rrbracket \; \times \; \ldots \; \times \; \mathcal{R}_{\ddagger} \llbracket \, \mathsf{T}_{n} \, \rrbracket \; , \\ & \mathcal{R}_{\ddagger} \llbracket \, \mathsf{T}_{1} \; - > \; \mathsf{T}_{2} \, \rrbracket \; = \; \mathcal{R} \llbracket \, \mathsf{T}_{1} \, \rrbracket \; \to \; \mathcal{R} \llbracket \, \mathsf{T}_{2} \, \rrbracket \; . \end{split}$$

Here \times and \rightarrow are the standard operations on (ternary) relations: for relations R and S we have $(R \times S)((x,y),(x',y'),(x'',y''))$ iff R(x,x',x'') and S(y,y',y''), and $(R \to S)(f,g,h)$ iff for all x,y, and z such that R(x,y,z) we have S(fx,gy,hz). Here, recursive type definitions give recursive relation specifications, which have inclusive least-fixed-point solutions. (A relation is inclusive if, when it holds for each element of an ascending chain, it also holds at the limit. Such relations are sometimes called admissible or $chain\ complete$. Some work is required to show inclusivity of these recursively-defined relations.) Thus the P type semantics \mathcal{T}^{P} must be

$$\mathcal{T}^P[\![\![\hspace{.05em}\mathtt{T}\hspace{.05em}]\!] \;=\; |\hspace{.05em}\mathcal{D}[\![\![\hspace{.05em}\mathtt{T}\hspace{.05em}]\!]\hspace{.05em}| \;\times\; \mathcal{T}^P_{\!\sharp}[\![\hspace{.05em}\mathtt{T}\hspace{.05em}]\!] \;,$$

where $|\mathcal{D}[\![T]\!]|$ is the lattice of projections on domain $\mathcal{D}[\![T]\!]$, and \mathcal{T}_t^P is defined exactly like \mathcal{T}_t^S with superscript P everywhere replacing superscript S.

The defining constants for the projection semantics \mathcal{E}^{P} are given in Figure 5. The following notation is used for

specifying projections on the data domains. For sum type $c_1 T_1 + \ldots + c_n T_n$ with data domain $D_1 + \ldots + D_n$ define $C_i \alpha$ to be $ID + \cdots + ID + \alpha + ID + \cdots + ID$ where α is the i^{th} summand, $OUTC_i (\gamma_1 + \cdots + \gamma_n)$ to be γ_i , and $OUTC_i BOT$ to be BOT.

The Central Result. For expression e of type T with free-variable environment of type E, the functions $\mathcal{E}^{\mathsf{P}}[e]$, $\mathcal{E}^{\mathsf{S}}[e]$, and $\mathcal{E}^{\mathsf{S}}[e]$ are logically related by \mathcal{R} , that is

$$(\mathcal{R}[\![\mathtt{E}]\!] \to \mathcal{R}[\![\mathtt{T}]\!]) \ (\mathcal{E}^{\mathsf{P}}[\![\mathtt{e}]\!], \ \mathcal{E}^{\mathsf{S}}[\![\mathtt{e}]\!], \ \mathcal{E}^{\mathsf{S}}[\![\mathtt{e}]\!]) \ .$$

Further, $\mathcal{R}[\![T]\!]$ $((\alpha, \kappa), \cdot, \cdot)$ is a PER for all α and κ . \square

The bulk of proof is omitted; it consists of showing that the defining constants are similarly related, and a simple induction on the structure of expressions showing that if the defining constants are logically related, then so are the semantic functions. By way of example we consider the expression form $\mathbf{e}_1 + \mathbf{e}_2$, and the relevant defining constant plus. To show that plus and plus are correctly related we need to show that

$$\begin{split} ((\mathcal{R}[\![\mathtt{Int}]\!] \times \mathcal{R}[\![\mathtt{Int}]\!]) &\to \mathcal{R}[\![\mathtt{Int}]\!]) \; (\mathit{plus}^{\mbox{\sf P}}, \\ & \mathit{plus}^{\mbox{\sf S}}, \\ & \mathit{plus}^{\mbox{\sf S}}) \end{split}$$

that is, for all α_1 , α_2 , d_1 , d_2 , d'_1 , and d'_2 that

$$(ID \ d_1 = ID \ d'_1) \land (ID \ d_2 = ID \ d'_2)$$

 $\Rightarrow ID \ (d_1 + d_2) = ID \ (d'_1 + d'_2)$

and for $\alpha_1 \neq ID$ or $\alpha_2 \neq ID$ that

$$(\alpha_1 \ d_1 = \alpha_1 \ d'_1) \land (\alpha_2 \ d_2 = \alpha_2 \ d'_2)$$

 $\Rightarrow BOT \ (d_1 + d_2) = BOT \ (d'_1 + d'_2)$.

For the inductive case \mathbf{e}_1 + \mathbf{e}_2 with environment type E we need to show that if

$$(\mathcal{R}[\![\mathtt{E}]\!] \to \mathcal{R}[\![\mathtt{Int}]\!]) \ (\mathcal{E}^{\mathsf{P}}[\![\mathtt{e}_1]\!], \ \mathcal{E}^{\mathsf{S}}[\![\mathtt{e}_1]\!], \ \mathcal{E}^{\mathsf{S}}[\![\mathtt{e}_1]\!])$$

and

$$(\mathcal{R} \llbracket \mathtt{E} \rrbracket \to \mathcal{R} \llbracket \mathtt{Int} \rrbracket) \; (\mathcal{E}^{\mathsf{P}} \llbracket \mathtt{e}_2 \rrbracket, \; \mathcal{E}^{\mathsf{S}} \llbracket \mathtt{e}_2 \rrbracket, \; \mathcal{E}^{\mathsf{S}} \llbracket \mathtt{e}_2 \rrbracket)$$

then

$$\begin{split} (\mathcal{R}[\![\![\,E\,]\!] \to \mathcal{R}[\![\![\, \text{Int}\,]\!]\!]) & (\mathcal{E}^{\mbox{\sf P}}[\![\![\, e_1 + e_2\,]\!], \\ & \mathcal{E}^{\mbox{\sf S}}[\![\![\, e_1 + e_2\,]\!], \\ & \mathcal{E}^{\mbox{\sf S}}[\![\![\, e_1 + e_2\,]\!]\!]) & . \end{split}$$

Suppose $\mathcal{R}[\![E]\!]$ $(\rho^{\mathsf{P}}, \rho^{\mathsf{S}}, \rho'^{\mathsf{S}})$. By the induction hypothesis we have $\mathcal{R}[\![Int]\!]$ (α_i, v_i, v_i') , where $(\alpha_i, ()) = \mathcal{E}^{\mathsf{P}}[\![e_i]\!]$ ρ^{P} , $(v_i, ()) = \mathcal{E}^{\mathsf{P}}[\![e_i]\!]$ ρ^{S} , and $(v_i', ()) = \mathcal{E}^{\mathsf{P}}[\![e_i]\!]$ ρ'^{S} , for i = 1, 2.

$$\begin{split} \mathcal{R} \llbracket \, \mathtt{Int} \, \rrbracket \, (\mathcal{E}^{\mathsf{P}} \llbracket \, \mathtt{e}_1 \, + \, \mathtt{e}_2 \, \rrbracket \, \rho^{\mathsf{P}}, \\ \mathcal{E}^{\mathsf{S}} \llbracket \, \mathtt{e}_1 \, + \, \mathtt{e}_2 \, \rrbracket \, \rho^{\mathsf{S}}, \\ \mathcal{E}^{\mathsf{S}} \llbracket \, \mathtt{e}_1 \, + \, \mathtt{e}_2 \, \rrbracket \, \rho^{\mathsf{S}}) \end{split}$$

Figure 6: Inference rules for finite projection domains.

iff

$$\begin{split} \mathcal{R} \llbracket \, \mathtt{Int} \, \rrbracket \, & (plus \overset{\mathsf{P}}{\mathsf{P}} \, \left((\alpha_1, ()), (\alpha_2, ()) \right), \\ & plus \overset{\mathsf{S}}{\mathsf{S}} \, \left((v_1, ()), (v_2, ()) \right), \\ & plus \overset{\mathsf{S}}{\mathsf{S}} \, \left((v_1', ()), (v_2', ()) \right), \end{split}$$

which holds since plus P and plus P, and their various arguments, are correctly related.

5 Abstract Domains

At each type T we require a finite abstraction of $\mathcal{T}^{\mathsf{P}}[\![\mathsf{T}]\!]$. This abstract domain is $FProj_{\mathsf{T}} \times FFor_{\mathsf{T}}$, where $FProj_{\mathsf{T}}$ is a finite abstraction of the lattice $|\mathcal{D}[\![\mathsf{T}]\!]|$, and $FFor_{\mathsf{T}}$ is a finite abstraction of $\mathcal{T}^{\mathsf{P}}_{\sharp}[\![\mathsf{T}]\!]$. The definition of $FProj_{\mathsf{T}}$ is based on that in [Lau91a]. A projection γ is in $FProj_{\mathsf{T}}$ if γ **proj** T can be inferred from the rules given in Figure 6. For recursively-defined types the rules yield only those projections that act on each recursive instance of a data structure in the same way. Thus $FProj_{\mathsf{FunList}}$ comprises BOT and SPINE α for α ranging over BOT and ID, where

SPINE
$$\alpha = \mu \gamma.(NIL\ ID) \sqcap (CONS\ (\alpha \times \gamma))$$
,

so $SPINE\ BOT$ specifies static spines and dynamic elements, and $SPINE\ ID$ is the identity. More generally, the abstract list constructor is isomorphic to lifting. Similarly, $FProj_{\text{FunTree}}$ comprises BOT and $LBR\ \alpha$ for α ranging over BOT and ID, where

$$LBR \alpha = \mu \gamma . (LEAF \alpha) \sqcap (BRANCH (\gamma \times \gamma))$$
,

so LBR α specifies static branches and leaves, and α of the leaf nodes. Again, the abstract tree constructor is isomorphic to lifting. This compares favourably with BHA strictness analysis, for which the corresponding abstract constructors are typically double lifting [Wad87, Sew93].

Value κ is in $FFor_{\mathrm{T}}$ if κ fabsf T can be inferred from the following.

There is only one forward value at type Int.

() fabsf Int

For products and sums,

$$\frac{\kappa_1 \quad \mathbf{fabsf} \quad \mathsf{T}_1 \quad \cdots \quad \kappa_n \quad \mathbf{fabsf} \quad \mathsf{T}_n}{(\kappa_1, \dots, \kappa_n) \quad \mathbf{fabsf} \quad (\mathsf{T}_1, \dots, \mathsf{T}_n)}$$

$$\frac{\kappa_1 \text{ fabsf } T_1 \cdots \kappa_n \text{ fabsf } T_n}{(\kappa_1, \dots, \kappa_n) \text{ fabsf } c_1 T_1 + \dots + c_n T_n}$$

Function spaces consist of a set of step functions closed under lub.

$$\begin{array}{cccc} \tau_1 \in FTran_{\mathrm{T}_1} & \kappa_1 \text{ fabsf } \mathtt{T}_1 \\ & \tau_2 \in FTran_{\mathrm{T}_2} & \kappa_2 \text{ fabsf } \mathtt{T}_2 \\ \hline step \ ((\tau_1,\kappa_1),(\tau_2,\kappa_2)) & \mathbf{fabsf} & (\mathtt{T}_1 \to \mathtt{T}_2) \end{array},$$

where

$$step(v_1, v_2) x = v_2$$
, if $v_1 \sqsubseteq x$
 $step(v_1, v_2) x = \bot$, otherwise,

and

$$\frac{\kappa_1 \quad \mathbf{fabsf} \quad (T_1 \rightarrow T_2) \qquad \kappa_2 \quad \mathbf{fabsf} \quad (T_1 \rightarrow T_2)}{(\kappa_1 \sqcup \kappa_2) \quad \mathbf{fabsf} \quad (T_1 \rightarrow T_2)}$$

This gives the full space of monotonic functions on the abstract domains.

For recursively-defined types, roughly speaking, we choose those forward values that represent each component of the same type by the same value. Given type definitions $A_1 = T_1; \ldots; A_n = T_n$, which we will write $A_i = T_i (A_1, \ldots, A_n)$, $1 \le i \le n$, if by assuming κ_i fabsf A_i for $1 \le i \le n$ we may deduce $P_i(\kappa_1, \ldots, \kappa_n)$ fabsf $T_i(A_1, \ldots A_n)$ for $1 \le i \le n$, then

$$\mu(\kappa_1,\ldots,\kappa_n).(P_1(\kappa_1,\ldots,\kappa_n),\ldots,P_n(\kappa_1,\ldots,\kappa_n))$$

is a tuple $(\kappa_1, ..., \kappa_n)$ of values such that κ_i fabsf A_i for $1 \le i \le n$.

For all T the set $FProj_{\mathbf{T}} \times FFor_{\mathbf{T}}$ is a finite lattice containing the top and bottom elements of $\mathcal{T}^{\mathsf{P}}[T]$.

For T not containing \rightarrow the domain $\mathcal{T}_{\ddagger}^{\vec{P}}[\![T]\!]$ is isomorphic to 1, so $FFor_{\mathrm{Int}}$ is 1. For Int \rightarrow Int we have $\mathcal{T}_{\ddagger}^{\vec{P}}[\![T]\!]$ int \rightarrow Int we have $\mathcal{T}_{\ddagger}^{\vec{P}}[\![T]\!]$ int $[\![T]\!] = (|\mathcal{D}[\![T]\!] + 1) \rightarrow (|\mathcal{D}[\![T]\!] + 1)$, so $FFor_{\mathrm{Int-};\mathrm{Int}}$ is $(FProj_{\mathrm{Int}} \times 1) \rightarrow (FProj_{\mathrm{Int}} \times 1)$. A data structure of recursive type A=T(A) may be thought of as some (possibly infinite) number of elements of T(()). For example, the value cons (f, cons (g, nil ())) in the standard domain for FunList decomposes into cons (f, ()), cons (g, ()), and nil (). The (implicit) abstraction function maps such a data structure to the greatest lower bound of these elements, giving a safe abstraction of the nonstandard values of each element. Thus $FFor_{A=\mathrm{T}(A)} = FFor_{\mathrm{T}(())}$, so $FFor_{\mathrm{FunList}} \cong FFor_{\mathrm{FunTree}} \cong FFor_{\mathrm{Int-};\mathrm{Int}}$.

6 Examples of Analysis

For all closed expressions e the abstract value $\mathcal{E}^{\mathsf{P}}[\,\mathsf{e}\,]$ [] of e is of the form (ID,κ) , showing that closed expressions are always entirely static. For expressions of function type the abstract forward value κ is a function from abstract arguments of e to abstract results.

First we consider functions on lists. Let expression length denote usual length function:

The abstract forward value of length is of the form $\lambda(\alpha,\kappa).(\tau\,\alpha,())$, where τ maps $SPINE\ BOT$ and $SPINE\ ID$ to ID, and BOT to BOT. This reveals that the result of length is independent of the values of list elements, and gives a static result when the argument has a static spine.

Let append stand for the expression denoting the usual function for appending two lists:

The abstract value of append is

```
 \begin{aligned} &(ID, \ \lambda(\alpha_{\mathbf{x}\mathbf{s}}, \kappa_{\mathbf{x}\mathbf{s}}). \\ &(ID, \ \lambda(\alpha_{\mathbf{y}\mathbf{s}}, \kappa_{\mathbf{y}\mathbf{s}}). \\ &(\alpha_{\mathbf{x}\mathbf{s}} \sqcap \alpha_{\mathbf{y}\mathbf{s}}, \ \kappa_{\mathbf{x}\mathbf{s}} \sqcap \kappa_{\mathbf{y}\mathbf{s}}))) \ . \end{aligned}
```

This reveals that partial applications of append are static up to WHNF, and the abstract value of the result is the greatest lower bound of the two arguments. In general, the abstract value of a closed expression of the form $\xspace x_1 \xspace x_2 \xspace x_n \xspace$ ewill reveal that all partial applications of the expression are static up to WHNF.

Let reverse1 stand for the expression denoting the naive reverse function:

The abstract forward value of reverse1 is the identity, so the abstraction of the elements of a list doesn't change by reversing the list.

Let compose stand for $f.\g.\x.f$ (g x). The abstract value of compose is

$$\begin{split} &(\mathit{ID},\ \lambda(\alpha_{\mathrm{f}},\kappa_{\mathrm{f}}).\\ &(\mathit{ID},\ \lambda(\alpha_{\mathrm{g}},\kappa_{\mathrm{g}}).\\ &(\mathit{ID},\ \left\{ \begin{array}{ll} \bot, & \text{if}\ \alpha_{\mathrm{f}} = \mathit{BOT}\ \mathrm{or}\ \alpha_{\mathrm{g}} = \mathit{BOT}\\ \kappa_{\mathrm{f}} \circ \kappa_{\mathrm{g}}, & \text{otherwise} \end{array} \right\})))\ . \end{split}$$

Thus, the result of the application of the composition of two functions is dynamic, and maps all values to dynamic values, if either function is dynamic; otherwise, the result is given by the application of the composition of the abstract forward values to the abstract argument.

Let listcomp stand for the expression denoting the function that composes lists of functions:

The abstract value of listcomp is

$$\begin{array}{ll} (\mathit{ID}, \ \lambda(\alpha_{\mathrm{fs}}, \kappa_{\mathrm{fs}}). \\ (\mathit{ID}, \ \left\{ \begin{array}{ll} \bot, & \text{if } \alpha_{\mathrm{fs}} \neq \mathit{SPINE\ ID} \\ \sqcap_{i \geq 0}(\kappa_{\mathrm{fs}})^i, & \text{otherwise} \end{array} \right\})) \ . \end{array}$$

Since the abstract values of lists contain no information about the length of the lists of which they are abstractions, the abstract value of the composition of list elements is the glb of the composition over all lengths.

Let flatten stand for the expression denoting the function that flattens trees into lists:

The abstract value of flatten is

$$\begin{array}{l} (\mathit{ID}, \ \lambda(\alpha_{\mathrm{fs}}, \kappa_{\mathrm{fs}}). \\ (\tau \ \alpha, \ \left\{ \begin{array}{l} \bot, & \mathrm{if} \ \tau \ \alpha_{\mathrm{fs}} \neq \mathit{LBR} \ \mathit{ID} \\ \kappa_{\mathrm{fs}}, & \mathrm{otherwise} \end{array} \right\})) \ , \end{array}$$

where τ maps BOT to BOT, and LBR α to SPINE α for α ranging over ID and BOT.

The function denoted by compose listcomp flatten that composes trees of functions has abstract value

$$\begin{array}{ll} (\mathit{ID}, \ \lambda(\alpha_{\mathrm{fs}}, \kappa_{\mathrm{fs}}). \\ (\mathit{ID}, \ \left\{ \begin{array}{ll} \bot, & \text{if } \alpha_{\mathrm{fs}} \neq \mathit{LBR} \ \mathit{ID} \\ \sqcap_{i \geq 0}(\kappa_{\mathrm{fs}})^i, & \text{otherwise} \end{array} \right\})) \ . \end{array}$$

Similarly to the case for lists, the abstract values of trees contain no information about the structure of the trees of which they are abstractions, so the abstract value of the composition of the values of the leaves is the glb of the composition over all tree structures.

7 More on Abstract Domains

The sizes of the abstract domains and the representations of the abstract values can be considerably optimised. The non-standard semantics of application—embodied by $apply^{\mathsf{P}}$ —guarantees that the abstract values (BOT, f) and (BOT, f') from $\mathcal{T}^{\mathsf{P}}[\![T_1 \rightarrow T_2]\!]$, for all f and f', are effectively the

same: $apply^{\mathsf{P}}(BOT, f) = \bot$ for all f. A practical analyser would take advantage of this fact, identifying (BOT, f) over all f. More generally, for function types embedded within data structures, e.g. $(\mathsf{Int}, \mathsf{T}_1 \to \mathsf{T}_2)$, abstract values $((\alpha, ()), (BOT, f))$ would be identified over all f.

In the following we restrict attention to denotable values: at each type T those values that can be expressed as $\mathcal{E}[\![e]\!]$ [] for some e. For every value $v \in \mathcal{T}^{\mathsf{S}}[\![T]\!]$ there is a best abstraction—a greatest value $(\alpha, \kappa) \in \mathcal{T}^{\mathsf{P}_{\mathbb{Z}}^{\mathsf{T}}}$ $\mathbb{T}_{\mathbb{Z}}^{\mathsf{T}}$ such that $\mathcal{R}[\![\mathsf{T}]\!]((\alpha, \kappa), v, v)$. For types T_1 and T_2 not containing -> we $\mathrm{have}\; \mathcal{T}_{\ddagger}^{\, \mathsf{P}} \llbracket \, \mathtt{T}_1 \; \boldsymbol{\rightarrow} \; \mathtt{T}_2 \, \rrbracket \cong (|\, \mathcal{D}[\![\, \mathtt{T}_1 \,]\!] \, | \, \times \, \mathbf{1}) \to (|\, \mathcal{D}[\![\, \mathtt{T}_2 \,]\!] \, | \, \times \, \mathbf{1}), \; \mathrm{and}$ if $\kappa \in \mathcal{T}_{\downarrow}^{\mathsf{P}}[\![\mathsf{T}]\!]$ is greatest such that $\mathcal{R}_{\downarrow}[\![\mathsf{T}_1 \to \mathsf{T}_2]\!]$ (κ, f, f) for denotable f, then κ maps (ID, ()) to (ID, ()) and distributes over \sqcap . The subset of functions from $\mathcal{T}_{\ddagger}^{\mathsf{P}} \llbracket \mathsf{T}_1 \to \mathsf{T}_2 \rrbracket$ that map (ID,()) to (ID,()) and distribute over \sqcap forms a complete lattice, hence attention may be restricted to this subset. Not only does this reduce the number of abstract functions, it also reduces their representation: such functions are determined by their behaviour on the \sqcap -basis of the lattice $|\mathcal{D}[T_1]|$ —the set B of values such that every element of $|\mathcal{D}[T_1]|$ is the glb of some (possibly empty) subset of B, and no element of B can be expressed as the glb of some subset not containing that element. This optimisation can be generalised to higher order: $\mathcal{T}_{\frac{1}{2}}^{\mathsf{P}} \llbracket T_1 \to T_2 \rrbracket$ may be restricted to functions that map \top to \top and distribute over \sqcap , for all function types $T_1 \to T_2$. (These results follow from those shown in [Dav94].)

8 Related Work

Consel [Con90] describes a binding-time analysis for higherorder untyped languages. As in our analysis abstract values have two parts, the first describing the static/dynamic properties of values, and the second describing how (for function types) abstract arguments are mapped to abstract results; there appears to be an implicit domain factorisation similar to ours, based on implicit type information collected by analysis semantics. In this respect there are many superficial similarities between the two techniques. No formal relation to the standard semantics is given, making a formal comparison with our technique problematic.

9 Conclusion

We have successfully generalised Launchbury's monomorphic projection-based binding-time analysis to higher-order, using abstract domains smaller than those typically used in BHA strictness analysis.

The next step would be to generalise to handle Hindley-Milner polymorphism. This has been done with good results at first order for binding-time analysis [Lau91a], and for BHA strictness analysis at higher order [Bar91, Bar93]. We anticipate that the combined use of these theories will give a reasonably straightforward generalisation to polymorphism. In addition to making the analysis more widely applicable, this should also greatly reduce the run-time cost of analysis.

Though not developed here, using the same approach it is possible to give a strictness analysis technique, again closely related to Hunt's PER-based strictness analysis technique [Hun91].

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