Formal Semantics

Principles of Programming Languages Lecture 15

Practice Problem

Show that the above grammar is ambiguous.

Answer

Outline

Discuss formal semantics in general

Look at small-step and big-step semantics with some examples

Learning Objectives

- ullet Determine the value of the expression e according to a given operational semantics
- Describe the difference between big step and small step semantics
- Derive $e \longrightarrow^{\star} e'$ or $e \Downarrow v$
- Determine the order of evaluation given by a set of semantics rules (when possible)
- What does this program print?

Introduction

```
x=3
function f () {
    x=2
}
fecho $x
```

```
x = 3
def f():
    x = 2
f()
print(x)
```

```
let x = 3
let f () =
   let x = 2 in
   ()
let _ = f ()
let _ = print_int x
```

Bash Python OCaml

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x=3
function f () {
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Bash
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Question. How do we know what will happen when a program executes?

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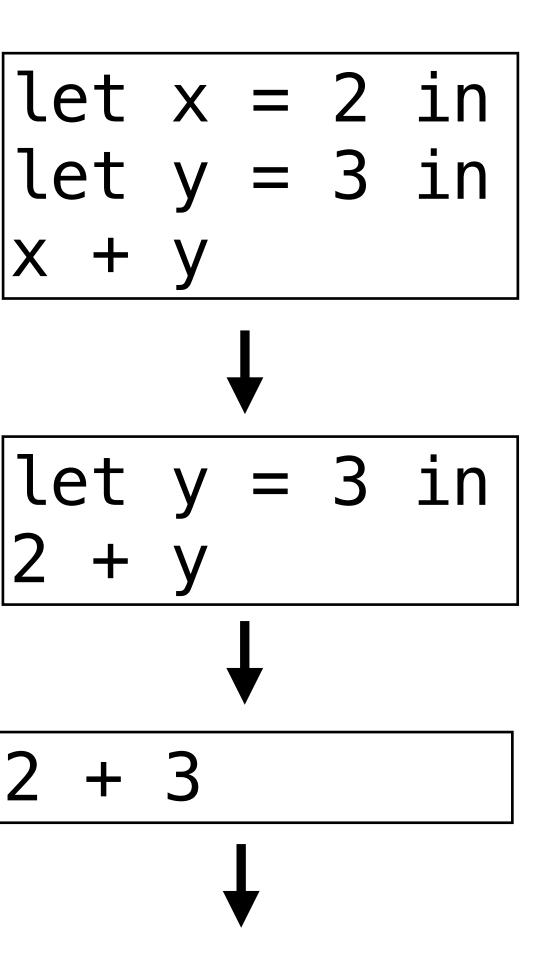
But many decisions about what it means to execute a program are arbitrary (or based on concerns like efficiency)

Syntax is interested in the form of a program

let
$$x = 2$$
 in let $y = 3$ in $x + y$

Syntax is interested in the form of a program

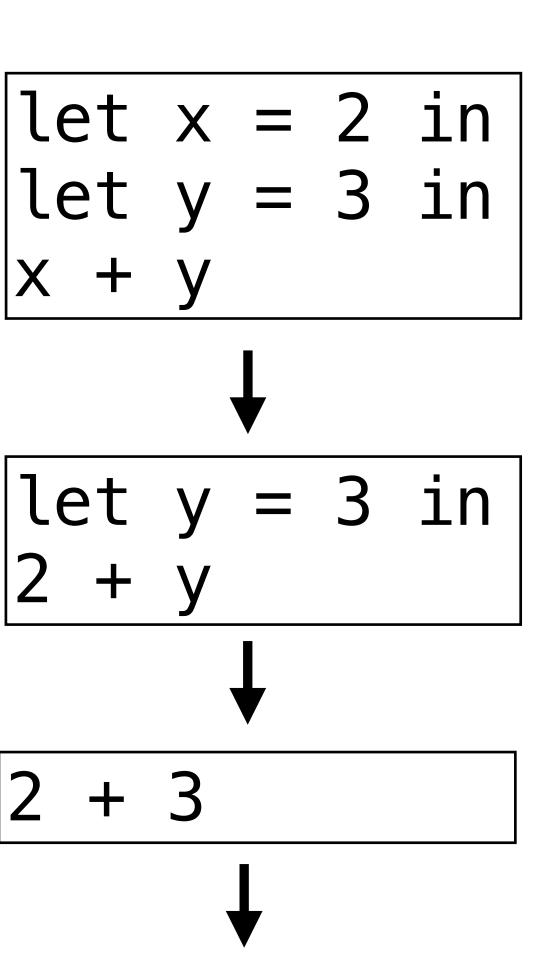
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Syntax is interested in the form of a program

Semantics is interested in the meaning of a program

What is the meaning of meaning?

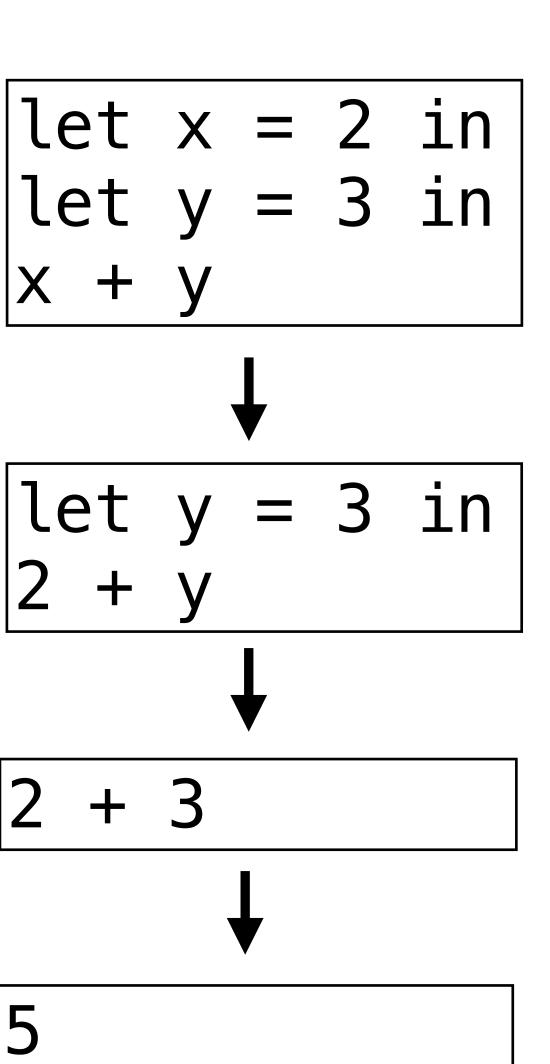


Syntax is interested in the form of a program

Semantics is interested in the meaning of a program

What is the meaning of meaning?

Formal semantics is the mathematical study of meaning



Denotational semantics is interested in what a syntactic object "denotes" i.e. in interpreting programs as objects in a mathematical space

$$1 + 2*3 + 4 = 11$$

 $1 + 12 - 2 = 11$

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$$1 + 2 * 3 + 4 \longrightarrow 1 + 6 + 4$$

$$\longrightarrow 7 + 4$$

$$\longrightarrow 11$$

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$$1 + 2 * 3 + 4 = 11$$

 $1 + 12 - 2 = 11$

Operational semantics is interested in how a programming language "operates" i.e. how a program behaves during execution

$$1 + 2 * 3 + 4 \longrightarrow 1 + 6 + 4$$

$$\longrightarrow 7 + 4$$

$$\longrightarrow 11$$

This course

Small-step operational semantics is interested in *program* transformation, i.e., how a program transforms "one step at a time"

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let x = 2 in
let y = 3 in
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Big-step operational semantics is interested in evaluation, i.e., what is the value of the program once a program has finished evaluating $2 \Downarrow 2$

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```

$$2 \downarrow 2 \qquad 3 \downarrow 3$$

$$3 \downarrow 3 \qquad \qquad 2 + 3 \downarrow 5$$

$$1et y = 3 in 2 + y \downarrow 5$$

let x = 2 in let y = 3 in $x + y \Downarrow 5$

Static semantics refers to the meaning given to a program before it is evaluated

```
% ocaml silly.py

File "./silly.py", line 1, characters 8-9:

1 | let x = 2 +. 3.

Characters 8-9:

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

float

Hint: Did you mean '2.'?
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```
utop # let x = 2 + 3;;
val x : int = 5
```

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Type checking

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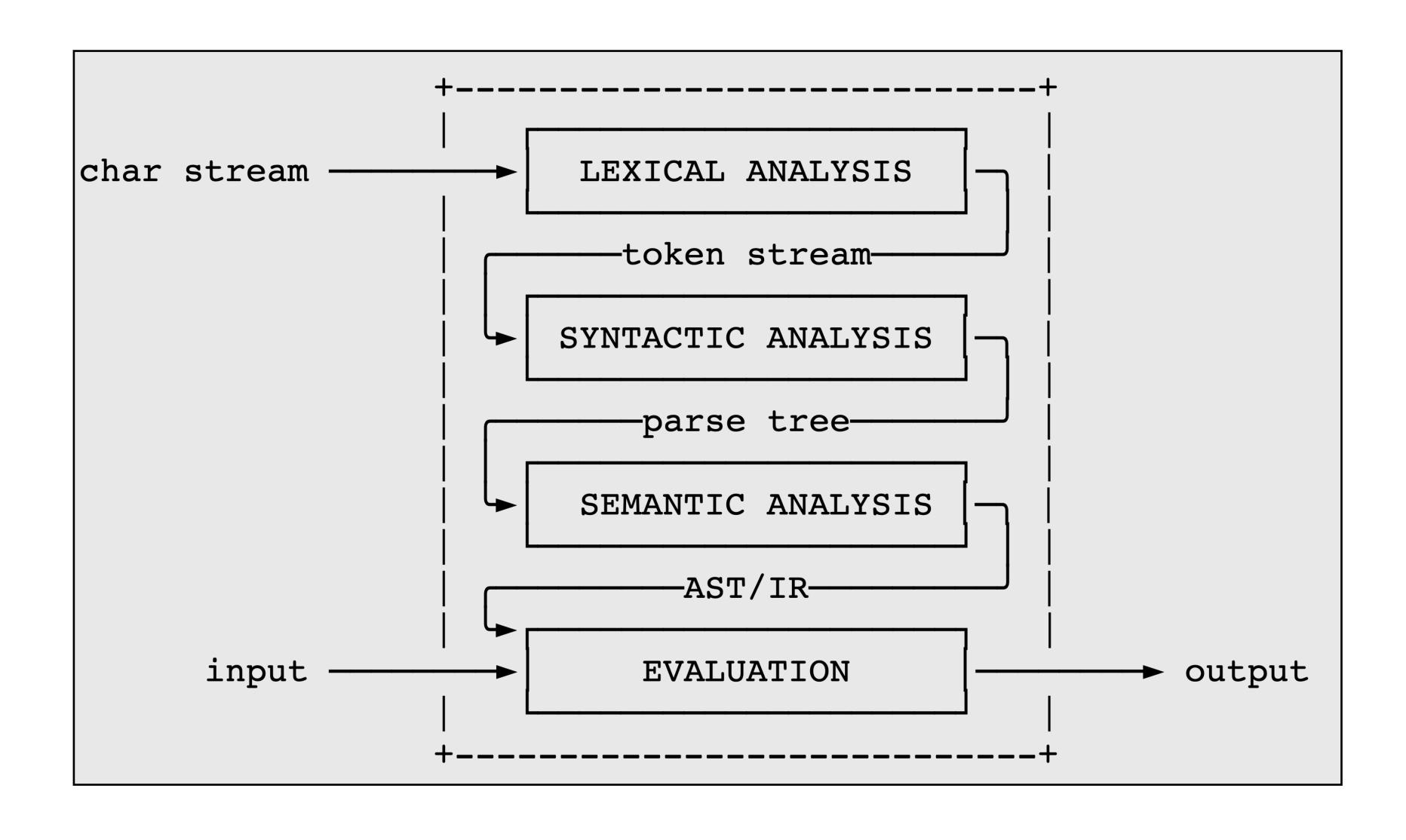
Type checking

Evaluation

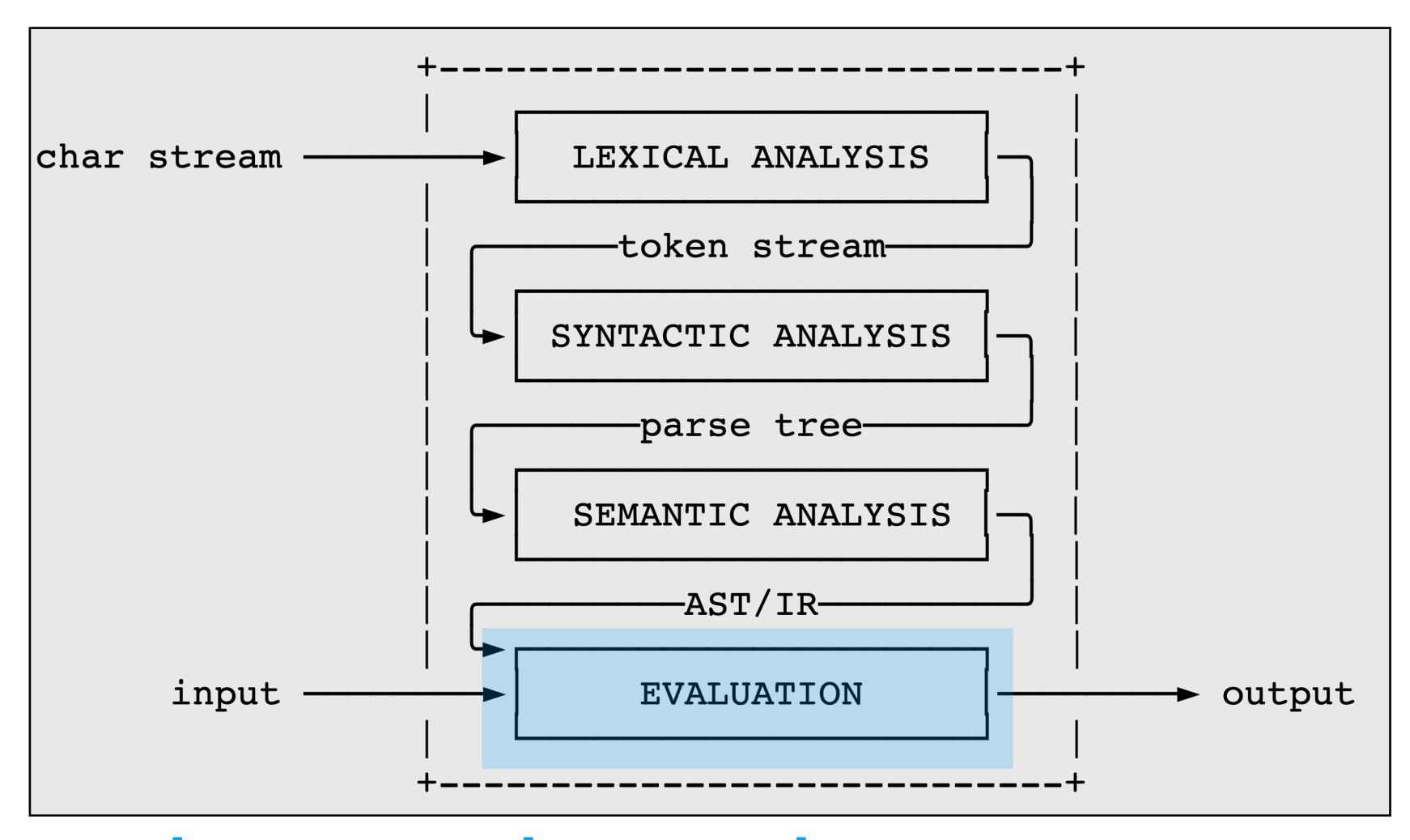
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Recall: The Picture

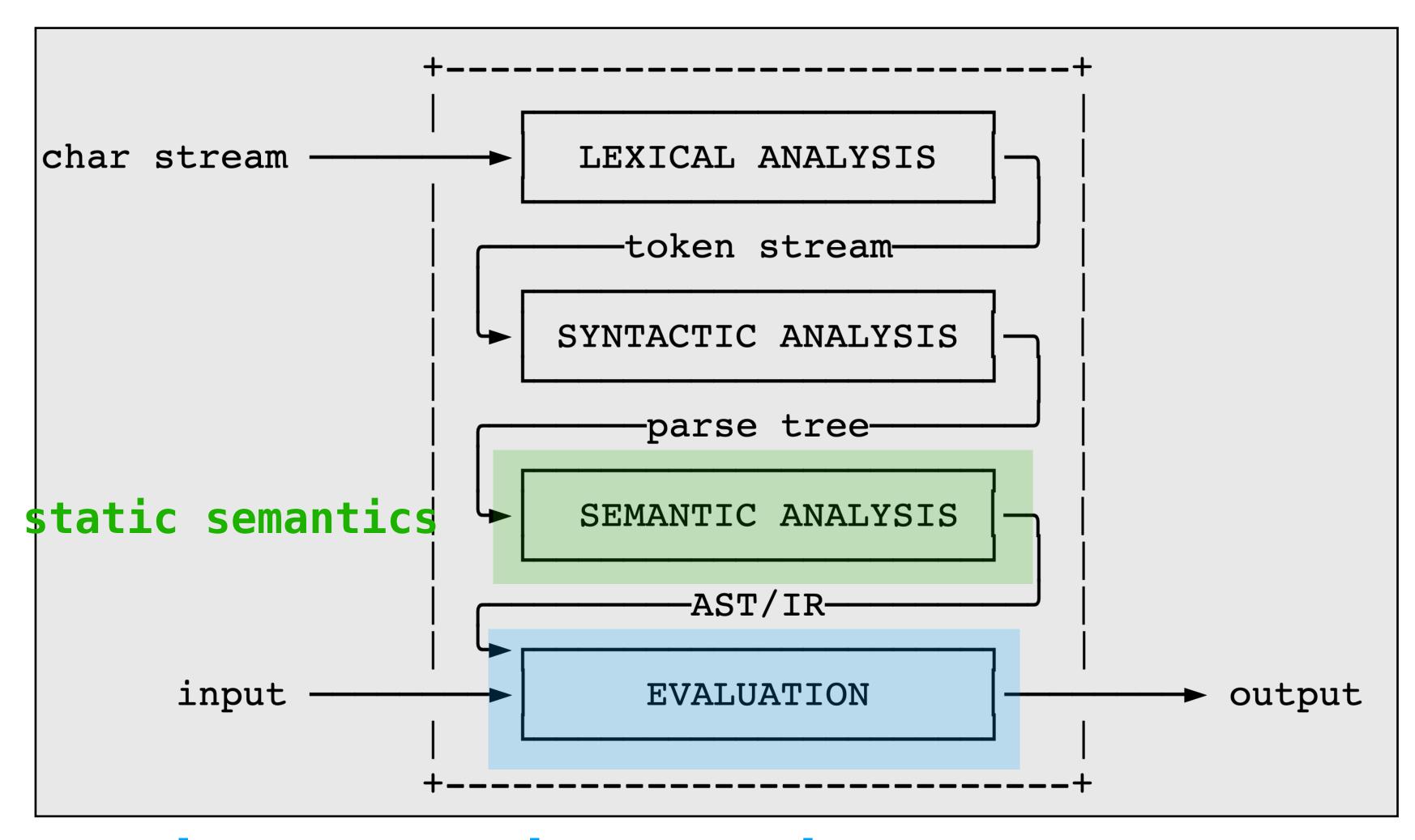


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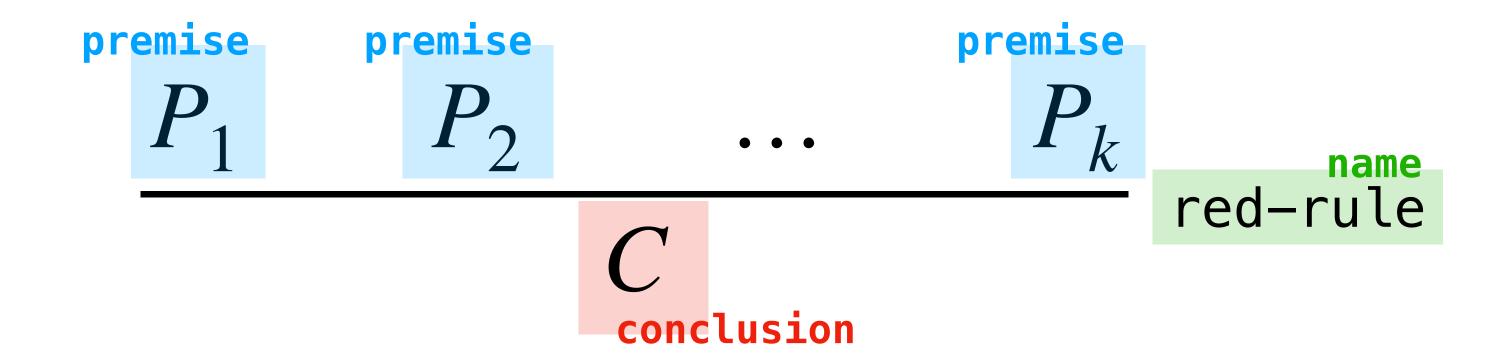
dynamic semantics (this week + next week)

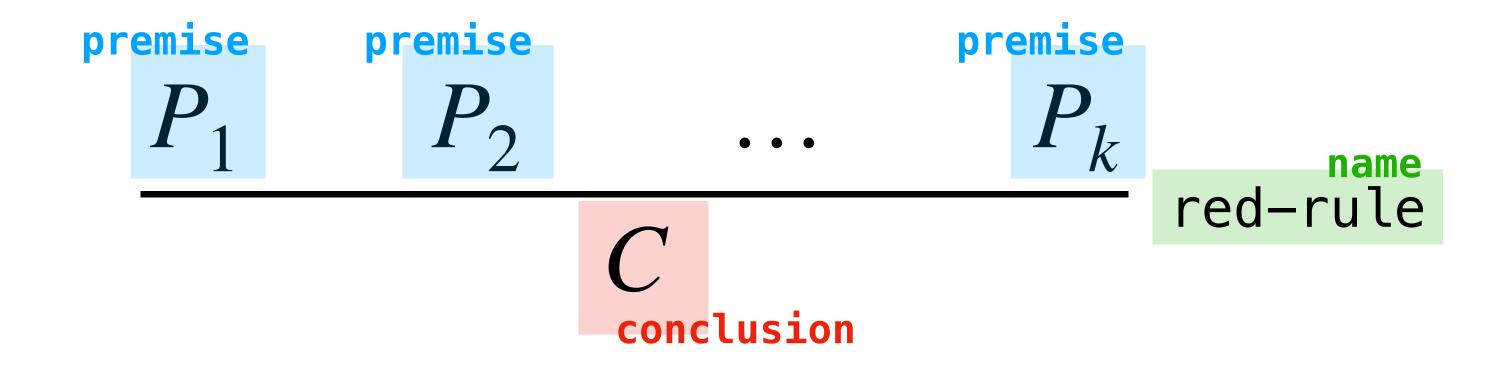
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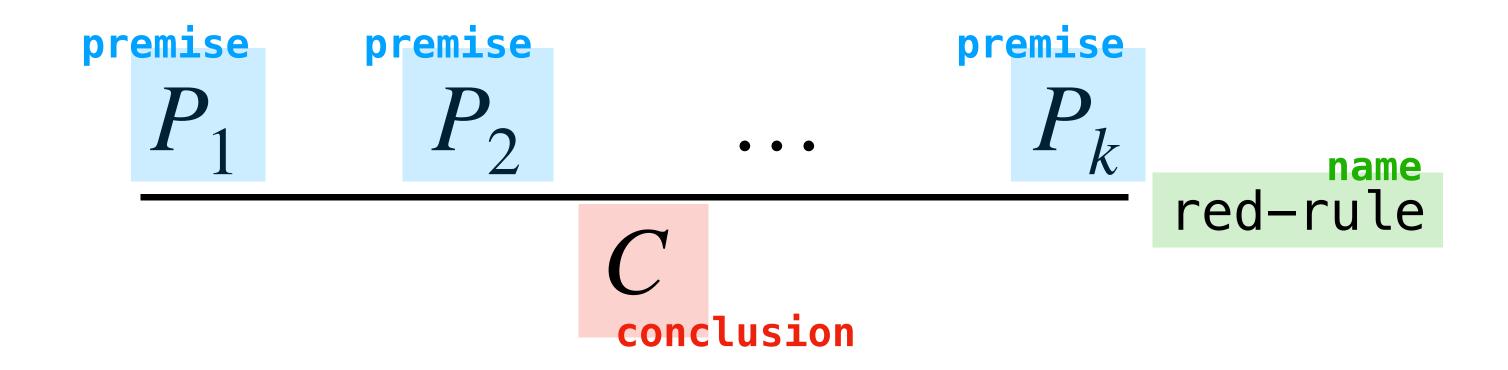
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Operational Semantics



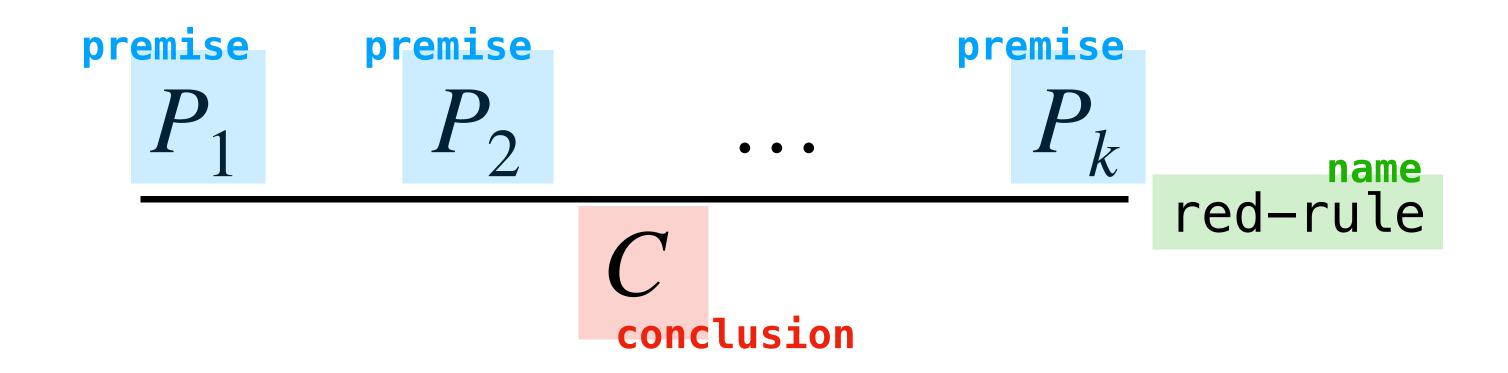


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Premises which are not of the same form as the conclusion are called **side-conditions**

Example

```
\begin{array}{c} e_1 \stackrel{\text{premise}}{\longrightarrow} e_1' \\ \text{(add } e_1 \ e_2) \longrightarrow \text{(add } e_1' \ e_2) \\ \text{conclusion} \end{array}
```

```
Example Programs:
(add 2 3)
(add (add 2 3) 5)
(eq (add 2 3) (sub 7 2))
(add true 2)
```

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\begin{array}{c} & \underset{e_1}{\overset{\text{premise}}{\longrightarrow}} e_1' \\ \text{(add } e_1 \ e_2) \longrightarrow \text{(add } e_1' \ e_2) \\ & \text{conclusion} \end{array}
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```
Example Programs:
(add 2 3)
(add (add 2 3) 5)
(eq (add 2 3) (sub 7 2))
(add true 2)
```

If e_1 reduces to e_1' in one step, then add e_1 e_2 reduces to add e_1' e_2 in one step

Another Example

is a number
$$n_2$$
 is a number n_2 is a number $n_1 + n_2$ add-ok

If n_1 and n_2 are numbers then (add n_1 n_2) reduces in one step to the number $n_1 + n_2$

In this case, the premises are side-conditions

We'll come back to these examples...

$$(S,p) \longrightarrow (S',p')$$

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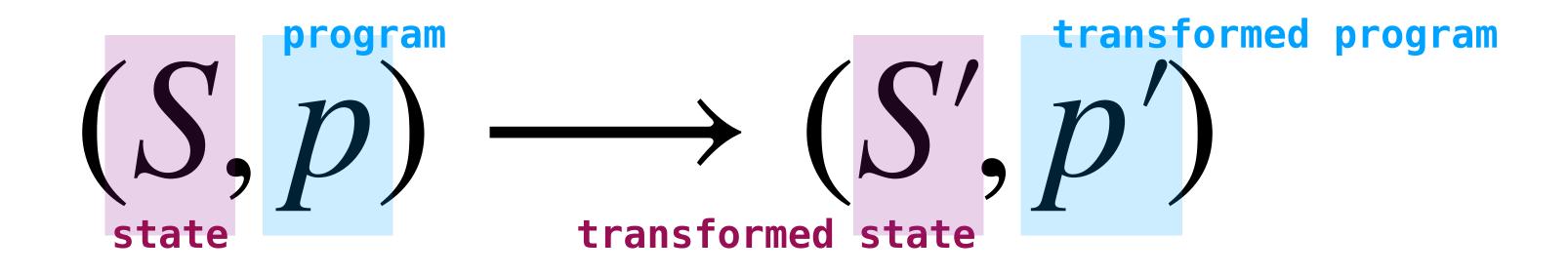
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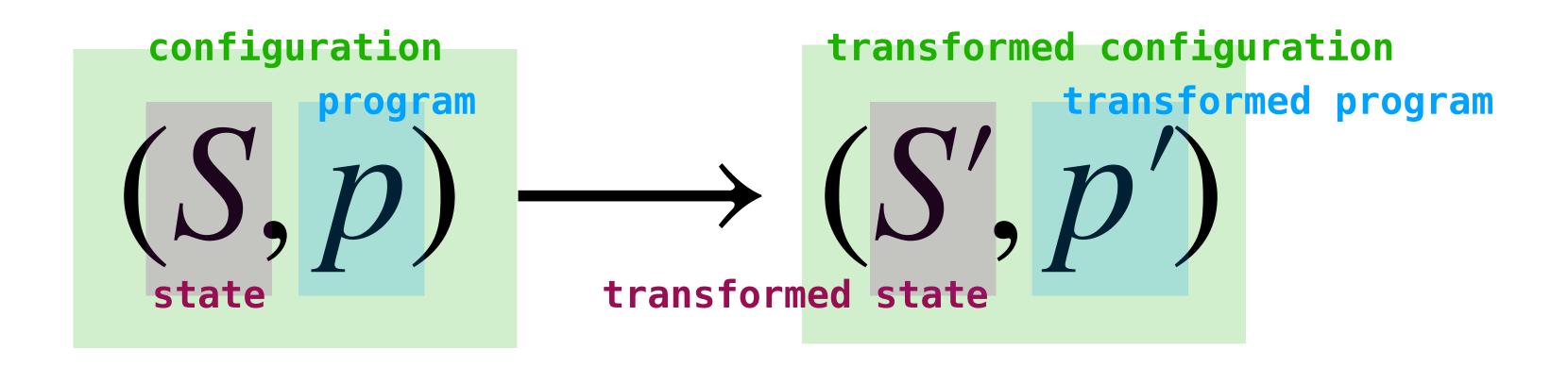
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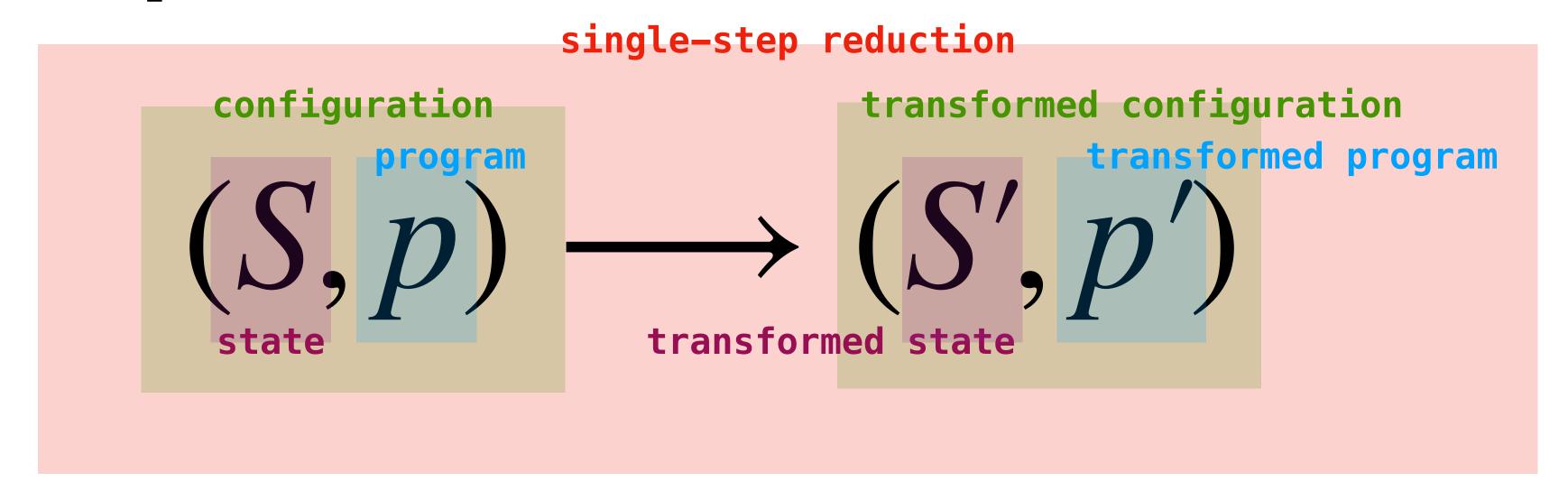
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Example: Arithmetic Expressions

$$(\varnothing, 10 \times (2+3)) \longrightarrow (\varnothing, 10 \times 5) \longrightarrow (\varnothing, 50)$$

State: none

Program: arithmetic expression

Example: (Fragment of) OCaml

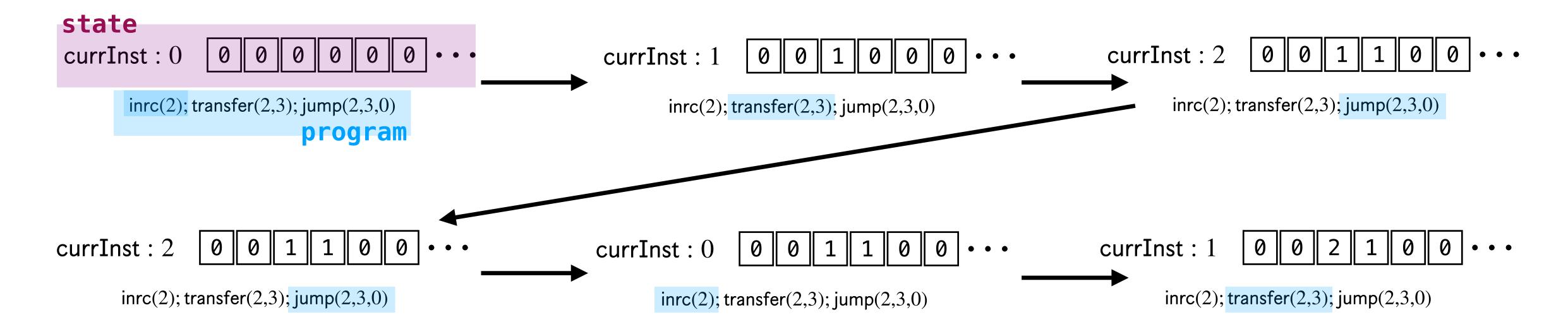
```
let x = 3 in if x > 10 then 4 else 5) \longrightarrow (\emptyset, if <math>3 > 10 then 4 else 5) \longrightarrow (\emptyset, if false then <math>4 else 5) \longrightarrow (\emptyset, 5)
```

State: none

Program: OCaml expression

For purely functional languages there is no state

Example: Unlimited Register Machines



<u>Program:</u> sequence of commands for updating registers values and current instruction

Example: Stack-Oriented Language

```
state program push 2; push 3; add)

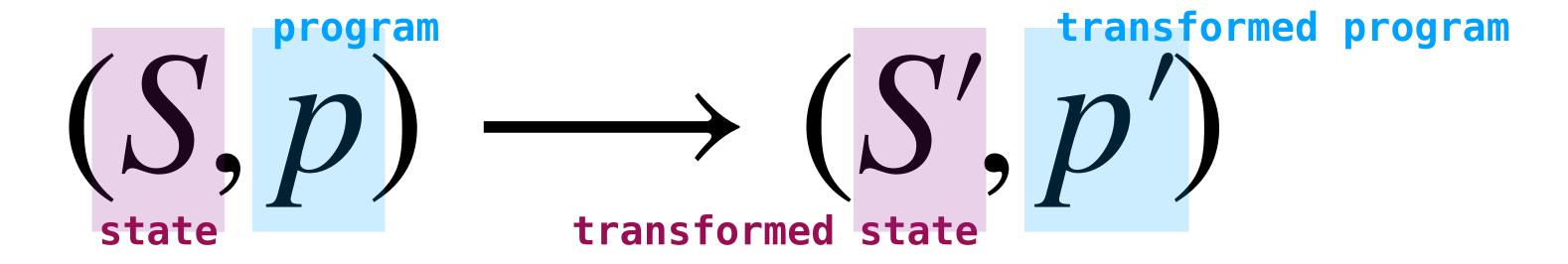
(2 :: \emptyset, push 3; add)

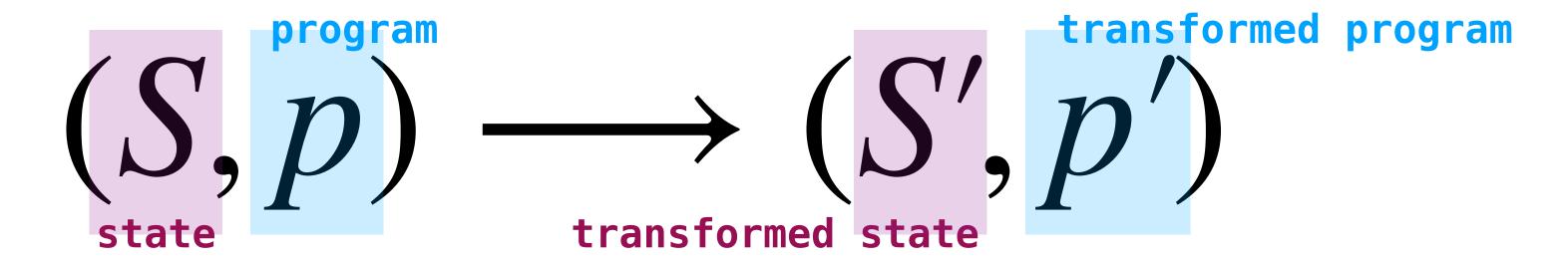
(3 :: 2 :: \emptyset, add)

(5 :: \emptyset, \epsilon)
```

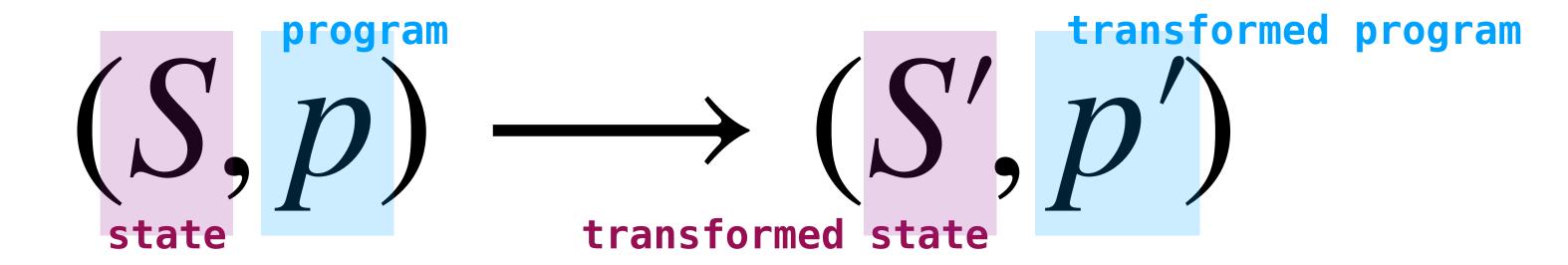
State: stack (i.e., list) of values

Program: sequence of commands for manipulating the stack



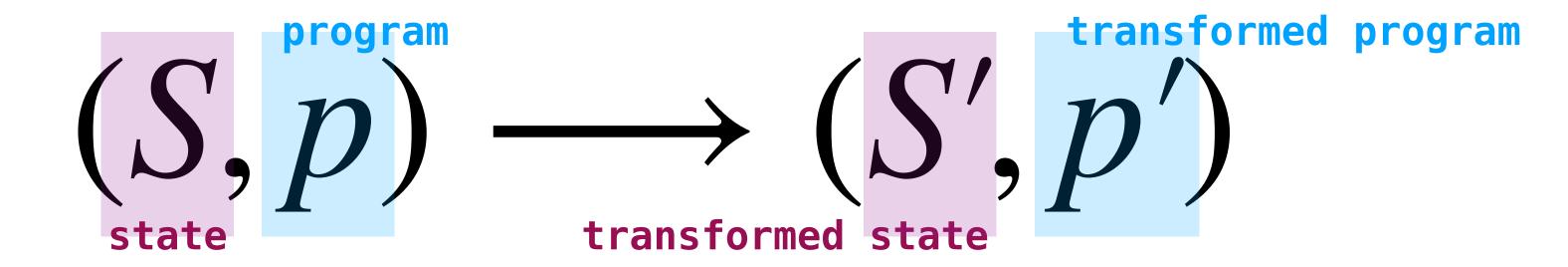


When we define the small-step semantics of a programming language, we need to define two things:



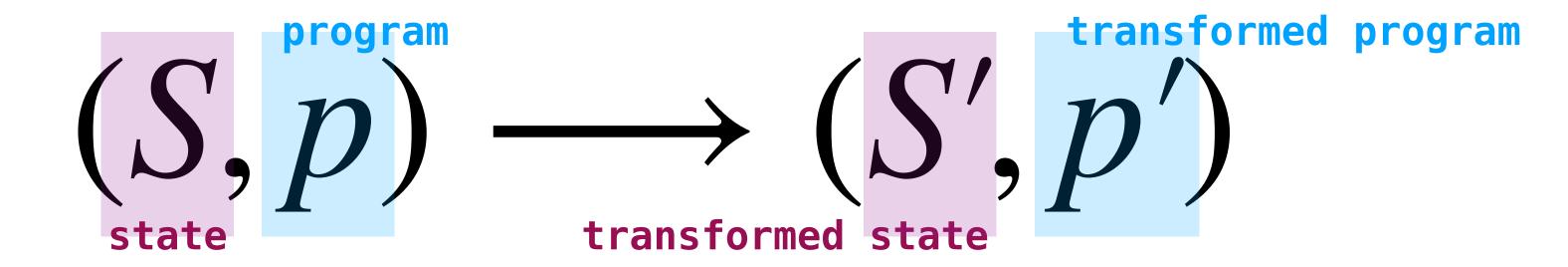
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- » What rules describe how to transform configurations?



When we define the small-step semantics of a programming language, we need to define two things:

- » What kind of state are we manipulating?
- » What rules describe how to transform configurations?

(we'll elide the state for most of this course)

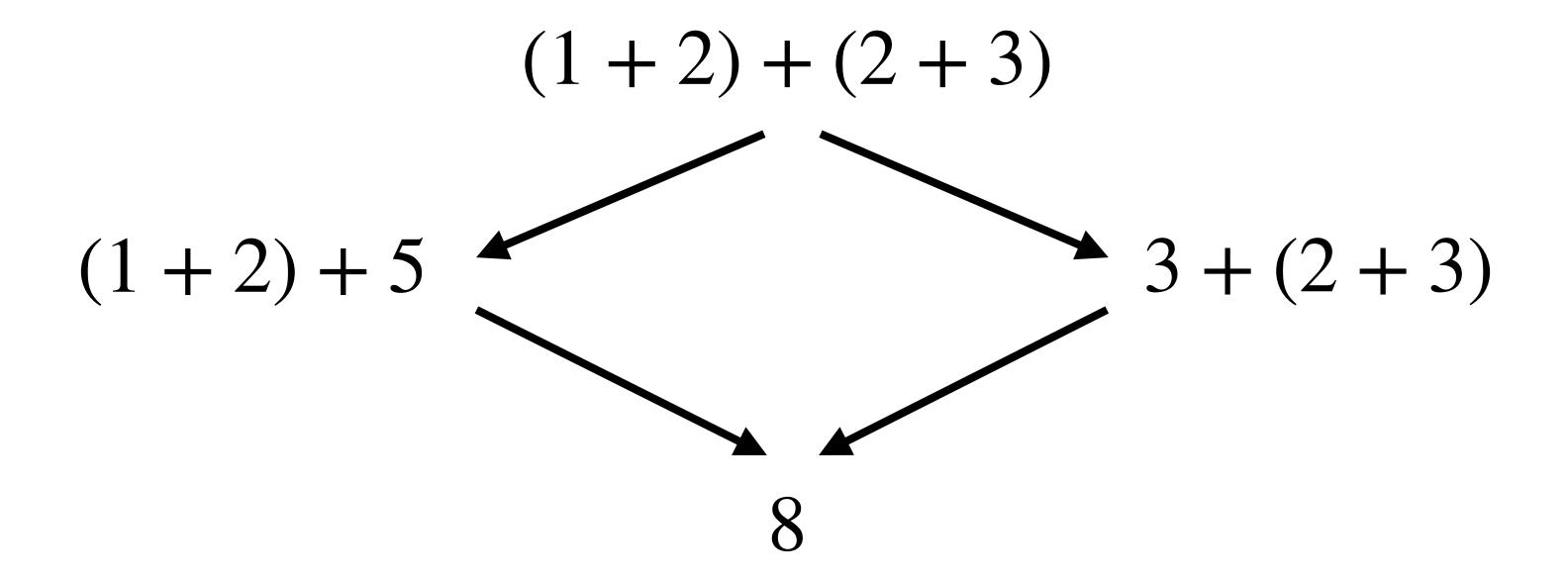
Example

$$\frac{e_1 \longrightarrow e_1'}{(\mathsf{add}\ e_1\ e_2) \longrightarrow (\mathsf{add}\ e_1'\ e_2)} \ ^{\mathsf{add-left}} \qquad \frac{e_2 \longrightarrow e_2'}{(\mathsf{add}\ e_1\ e_2) \longrightarrow (\mathsf{add}\ e_1\ e_2')} \ ^{\mathsf{add-right}}$$

$$\frac{n_1 \ \mathsf{is}\ \mathsf{a}\ \mathsf{number} \qquad n_2 \ \mathsf{is}\ \mathsf{a}\ \mathsf{number}}{(\mathsf{add}\ n_1\ n_2) \longrightarrow n_1 + n_2} \ ^{\mathsf{add-ok}}$$

$$\frac{e_1 \longrightarrow e_1'}{(\mathsf{sub}\ e_1\ e_2) \longrightarrow (\mathsf{sub}\ e_1'\ e_2)} \ \mathsf{sub-left} \\ \qquad \qquad \underbrace{(\mathsf{sub}\ e_1\ e_2) \longrightarrow (\mathsf{sub}\ e_1\ e_2')}_{} \ \mathsf{sub-right}$$

$$\frac{n_1}{sub-ok}$$
 is a number n_2 is a number sub-ok $(sub \ n_1 \ n_2) \longrightarrow n_1 - n_2$



It's important to recognize that **reduction is a relation**This means there may be multiple choices of reductions
When possible, we try do design our rules to avoid this

$$\frac{\mathsf{add}\ 1\ 2 \longrightarrow 3}{(\mathsf{add}\ (\mathsf{add}\ 1\ 2)\ (\mathsf{add}\ 2\ 3)) \longrightarrow (\mathsf{add}\ 3\ (\mathsf{add}\ 2\ 3))} \ \ ^{\mathsf{add-left}}$$

$$\frac{\mathsf{add}\ 2\ 3\longrightarrow 5}{(\mathsf{add}\ (\mathsf{add}\ 1\ 2)\ (\mathsf{add}\ 2\ 3))\longrightarrow (\mathsf{add}\ (\mathsf{add}\ 1\ 2)\ 5)}\ ^{\mathsf{add-right}}$$

There are two reductions from (add (add 1 2) (add 2 3)) in our current rule set.

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There are two reductions from (add (add 1 2) (add 2 3)) in our current rule set.

We can avoid this by breaking symmetry. We will enforce that the right argument can reduced only when the left argument is completely reduced.

Example: Addition

```
\frac{e_1 \longrightarrow e_1'}{(\mathsf{add}\ e_1\ e_2) \longrightarrow (\mathsf{add}\ e_1'\ e_2)} \ \mathsf{add-left}
```

$$\frac{v \text{ is a number}}{(\mathsf{add}\ v\ e_2) \longrightarrow (\mathsf{add}\ v\ e_2')} \overset{e_2}{\longrightarrow} \mathsf{add-right}$$

$$\frac{n_1 \text{ is a number}}{(\mathsf{add}\ n_1\ n_2) \longrightarrow n_1 + n_2} \overset{\mathsf{n_2 is a number}}{\longrightarrow} \overset{\mathsf{add-ok}}{\mathsf{add-ok}}$$

Enforcing an Evaluation Order

The new rule enforces that arguments of **add** are evaluated from left to right.

Practice Problem

Write down the reduction rules for **eq** (to the best of your ability) so that the left argument is evaluated before the right argument.

Answer

$$\begin{array}{c}
e_1 \longrightarrow e_1' \\
\hline
(eq e_1 e_2) \longrightarrow (eq e_1' e_2)
\end{array}$$

$$v$$
 is a num or bool $e_2 \longrightarrow e_2'$
$$(eq \ v \ e_2) \longrightarrow (eq \ v \ e_2')$$

$$b_1$$
 is a bool b_2 is a bool $(eq b_1 b_2) \longrightarrow b_1 = b_2$

$$n_1$$
 is a num n_2 is a num n_2 is a num $n_1 = n_2$

Answer

$$\begin{array}{c}
e_1 \longrightarrow e_1' \\
(eq e_1 e_2) \longrightarrow (eq e_1' e_2)
\end{array}$$

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Looks a lot like pattern matching.

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Derivations

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```
\frac{1 \text{ is a number}}{(\mathsf{add} \ 1 \ 2) \longrightarrow 3} \xrightarrow{\mathsf{add-left}} \frac{10 \text{ is a number}}{(\mathsf{add} \ (\mathsf{add} \ 1 \ 2) \ (\mathsf{add} \ 2 \ 3)) \longrightarrow (\mathsf{add} \ 3 \ (\mathsf{add} \ 2 \ 3)))} = \frac{\mathsf{add-left}}{(\mathsf{sub} \ 10 \ (\mathsf{add} \ (\mathsf{add} \ 1 \ 2) \ (\mathsf{add} \ 2 \ 3)))} \xrightarrow{\mathsf{sub-right}}
```

Definition (Informal): A **derivation** is a tree of reductions, gotten by applying reduction rules. The leaves are trivial premises.

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A derivation is a proof that the reduction step is valid in the operational semantics.

sub 10 (add (add 1 2) (add 2 3)) — sub 10 (add 3 (add 2 3))

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3))

We can build derivations from the ground up, applying rules in reverse.

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3))

sub 10 (add (add 1 2) (add 2 3)) — sub 10 (add 3 (add 2 3))

```
10 is a number (add (add 1 2) (add 2 3)) \longrightarrow (add 3 (add 2 3)) sub-right sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3))
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Two Questions

Once we have a small-step semantics, there are two questions we can ask (as PL designers and on the final exam):

- \gg Show that $C \longrightarrow C'$.
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Single-Step Evaluation

(sub 10 (add (add 1 2) (add 2 3))) \longrightarrow ???

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The more "realistic" situation is to be given a program and then try to figure out what it evaluates to in a single step.

This is why we want to be careful about how we design our rules: we don't want to get too caught up on which rule to apply.

 $(sub 10 (add (add 1 2) (add 2 3))) \longrightarrow ??$

We can perform a single evaluation step by again, build derivations from the ground up.

 $\frac{\mathsf{sub}\;n\;e}{(\mathsf{sub}\;10\;(\mathsf{add}\;(\mathsf{add}\;1\;2)\;(\mathsf{add}\;2\;3)))}\longrightarrow ??$

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Practice Problem

 $(sub 10 (add 3 (add 2 3))) \longrightarrow (sub 10 (add 3 5))$

Give a derivation of the above reduction

Answer

 $(sub 10 (add 3 (add 2 3))) \longrightarrow (sub 10 (add 3 5))$

Multi-Step Reduction Relation

$$\frac{C \longrightarrow C' \qquad C' \longrightarrow^{\bigstar} D}{C \longrightarrow^{\bigstar} C} \text{ trans}$$

Given any single-step reduction relation, we can derive the multi-step reduction relation:

- » Every \longrightarrow^* reduction can be extended by a single step (transitivity)

Two Questions (Again)

Once we have an operational semantics, there are two questions we can ask (as PL designers and on the final exam):

- \gg Show that $C \longrightarrow^{\star} C'$.
- » Given C, determine a configuration C' such that $C \longrightarrow^* C'$ and C' cannot be reduced.

Two Questions (Again)

Once we have an operational semantics, there are two questions we can ask (as PL designers and on the final exam):

- \gg Show that $C \longrightarrow^{\star} C'$.
- » Given C, determine a configuration C' such that $C \longrightarrow^* C'$ and C' cannot be reduced.

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow * 2 want to show

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sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3)) (we did this)

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow * 2 want to show

```
sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3)) (we did this) sub 10 (add 3 (add 2 3)) \longrightarrow sub 10 (add 3 5) (you did this)
```

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow * 2 want to show

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sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3)) (we did this) sub 10 (add 3 (add 2 3)) \longrightarrow sub 10 (add 3 5) (you did this) sub 10 (add 3 5) \longrightarrow sub 10 8 (exercise)
```

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow * 2 want to show

```
sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3)) (we did this) sub 10 (add 3 (add 2 3)) \longrightarrow sub 10 (add 3 5) (you did this) sub 10 (add 3 5) \longrightarrow sub 10 8 (exercise) sub 10 8 \longrightarrow 2
```

sub 10 (add (add 1 2) (add 2 3))
$$\longrightarrow$$
 2

- » Derive all necessary single-step evaluations
- » Combine them with the transitivity rule.

```
(we did this)
\vdots
s 10 (a (a 1 2) (a 2 3)) \longrightarrow s 10 (a 3 (a 2 3)) \qquad s 10 (a 3 (a 2 3)) \longrightarrow^{\star} 2
sub 10 (add (add 1 2) (add 2 3)) \longrightarrow^{\star} 2
```

- » Derive all necessary single-step evaluations
- » Combine them with the transitivity rule.

```
 \begin{array}{c} \text{(you did this)} \\ \vdots \\ \underline{s\ 10\ (a\ 3\ (a\ 2\ 3)) \longrightarrow s\ 10\ (a\ 3\ 5)} \\ \underline{s\ 10\ (a\ 3\ (a\ 2\ 3)) \longrightarrow s\ 10\ (a\ 3\ 5) \longrightarrow^{\star} 2}_{\text{trans}} \\ \underline{s\ 10\ (a\ dd\ (add\ 1\ 2)\ (add\ 2\ 3)) \longrightarrow^{\star} 2}_{\text{trans}} \\ \end{array}
```

- » Derive all necessary single-step evaluations
- » Combine them with the transitivity rule.

How To: Derivations of Multi-Step Reductions

```
(\text{you did this}) = (\text{y
```

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How To: Derivations of Multi-Step Reductions

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Two Questions (Again)

Once we have an operational semantics, there are two questions we can ask (as PL designers and on the final exam):

- \gg Show that $C \longrightarrow C'$.
- » Given C, determine a configuration C' such that $C \longrightarrow C'$ (and show that it holds).

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow^* ??

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If our rules are well defined, then should be easy:

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow^* ??

sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3)) sub 10 (add 3 (add 2 3)) \longrightarrow ??

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sub 10 (add (add 1 2) (add 2 3)) \longrightarrow sub 10 (add 3 (add 2 3)) sub 10 (add 3 (add 2 3)) \longrightarrow sub 10 (add 3 5) sub 10 (add 3 5) \longrightarrow sub 10 8 \longrightarrow 2

If our rules are well defined, then should be easy:

When are we done?

When evaluating, there are **three** cases "end" cases:

- » value: we reach the end of our computation and the value of our program
- » stuck: we reach an expression that cannot be reduced, but that is not a value
- » diverge: the computation never reaches a point where the expression is not reducible

moving onto big-step...

(sub 10 (add (add 1 2) (add 2 3))) \ \psi 2

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Big-step semantics deals only with a program and its value

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This is what we've been doing in this course so far

Example

```
\frac{n \text{ is a number}}{n \Downarrow n} \text{ numEval} \frac{e_1 \Downarrow v_1 \qquad e_2 \Downarrow v_2 \qquad v_1 \text{ is a number} \qquad v_2 \text{ is a number}}{(\text{add } e_1 \ e_2) \Downarrow v_1 + v_2} \text{addEval} \frac{e_1 \Downarrow v_1 \qquad e_2 \Downarrow v_2 \qquad v_1 \text{ is a number} \qquad v_2 \text{ is a number}}{(\text{sub } e_1 \ e_2) \Downarrow v_1 - v_2} \text{subEval}
```

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\frac{e_1 \Downarrow v_1 \qquad e_2 \Downarrow v_2 \qquad v_1 \text{ is a number} \qquad v_2 \text{ is a number}}{(\text{add } e_1 \ e_2) \Downarrow v_1 + v_2}
\frac{e_1 \Downarrow v_1 \qquad e_2 \Downarrow v_2 \qquad v_1 \text{ is a number} \qquad v_2 \text{ is a number}}{(\text{sub } e_1 \ e_2) \Downarrow v_1 - v_2} \text{ subEval}
```

we'll remove these side conditions once we have type-checking

Practice Problem

Write the rule for eq

Answer

Relation to Small-Step

$$e \longrightarrow^{\star} v \approx e \Downarrow v$$

The big-step relation "cuts out the middle steps" of a small-step relation

This means fewer and clearer rules, but less fine-grain control of the evaluation sequence

Note: We can't always have both small-step and big-step!

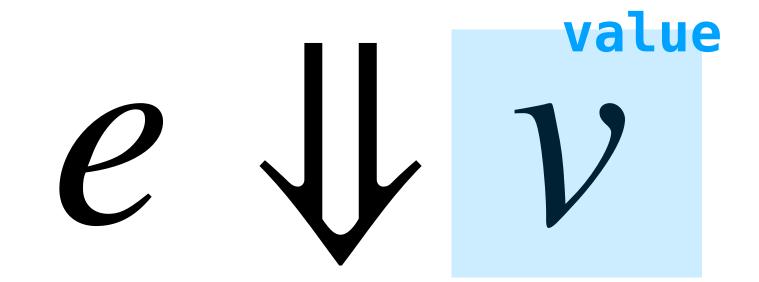
Order of Evaluation

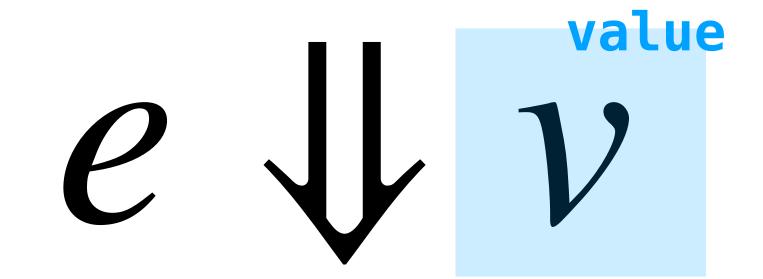
order of evaluation
$$e_1 \Downarrow v_1 \qquad e_2 \Downarrow v_2 \qquad v_1 \text{ is a number} \qquad v_2 \text{ is a number} \\ \text{ (add } e_1 \ e_2) \Downarrow v_1 + v_2$$

With small-step semantics, we can choose the order of evaluations based on the rules

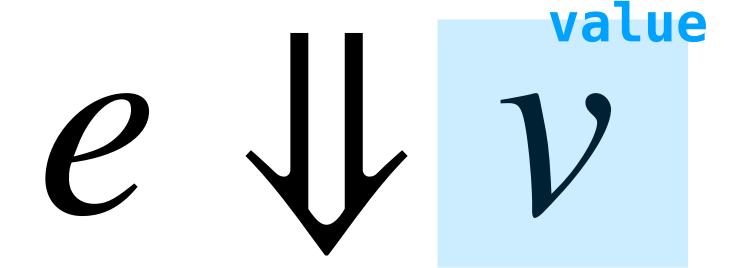
With big-step semantics, we can't because our relation only deals with the *final* value, nothing intermediate

We will take the order of operations to be from left to right



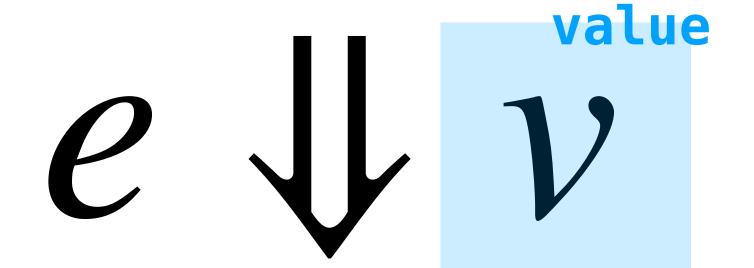


Anything we want it to be



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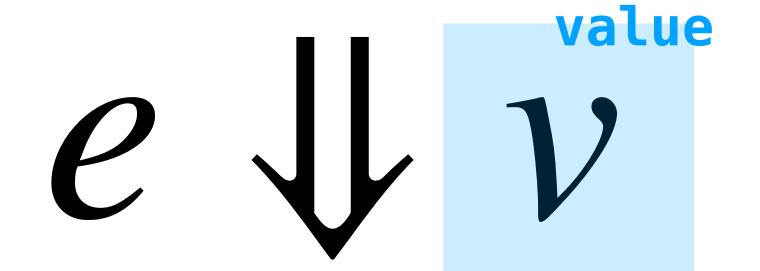
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But we get to **choose** what our values are (we will usually define them separately as an ADT)



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But we get to **choose** what our values are (we will usually define them separately as an ADT)

This will turn out to be very useful for mini-project 2

Taking Stock

big-step

 $e \parallel v$

e evaluates to v single-step

 $e \longrightarrow e'$

e reduces to e' in a single step

multi-step

 $e \longrightarrow \star e'$

e reduces to e' in many steps

demo

(how does this look in code)