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# COS 326 Functional Programming: An elegant weapon for the modern age

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Princeton University



Alonzo Church, 1903-1995  
Princeton Professor, 1929-1967

In 1936, Alonzo Church invented the lambda calculus. He called it a logic, but it was a language of pure functions -- the world's first programming language.

He said:

*"There may, indeed, be other applications of the system than its use as a logic."*



Greatest technological  
understatement of the 20<sup>th</sup>  
century?

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*"There may, indeed, be other  
applications of the system than  
its use as a logic."*

Alonzo Church, 1903-1995  
Princeton Professor, 1929-1967



Alonzo Church  
1934 -- developed lambda calculus



*Programming Languages*



Alan Turing (PhD Princeton 1938)  
1936 -- developed Turing machines



*Computers*

*Optional reading: **The Birth of Computer Science at Princeton in the 1930s***  
by Andrew W. Appel, 2012. <http://press.princeton.edu/chapters/s9780.pdf>

# A few designers of functional programming languages



Alonzo Church:  
 $\lambda$ -calculus, 1934



John McCarthy  
(PhD Princeton 1951)  
LISP, 1958



Guy Steele & Gerry Sussman:  
Scheme, 1975

# A few designers of functional programming languages



Alonzo Church:  
 $\lambda$ -calculus, 1934



Robin Milner  
ML, 1978



Appel & MacQueen: SML/NJ, 1988



Xavier Leroy: Ocaml, 1990's

# They were younger than they appear...



Alonzo Church:  
 $\lambda$ -calculus, 1934  
Photo ~1960



John McCarthy  
(PhD Princeton 1951)  
LISP, 1958  
Photo ~1975



Robin Milner  
ML, 1978  
Photo ~2005



Luca Cardelli  
Edinburgh ML, 1981  
Photo ~1995



Guy Steele & Gerry Sussman:  
Scheme, 1975  
Photo ~1995 Photo ~1995

## Implementations:

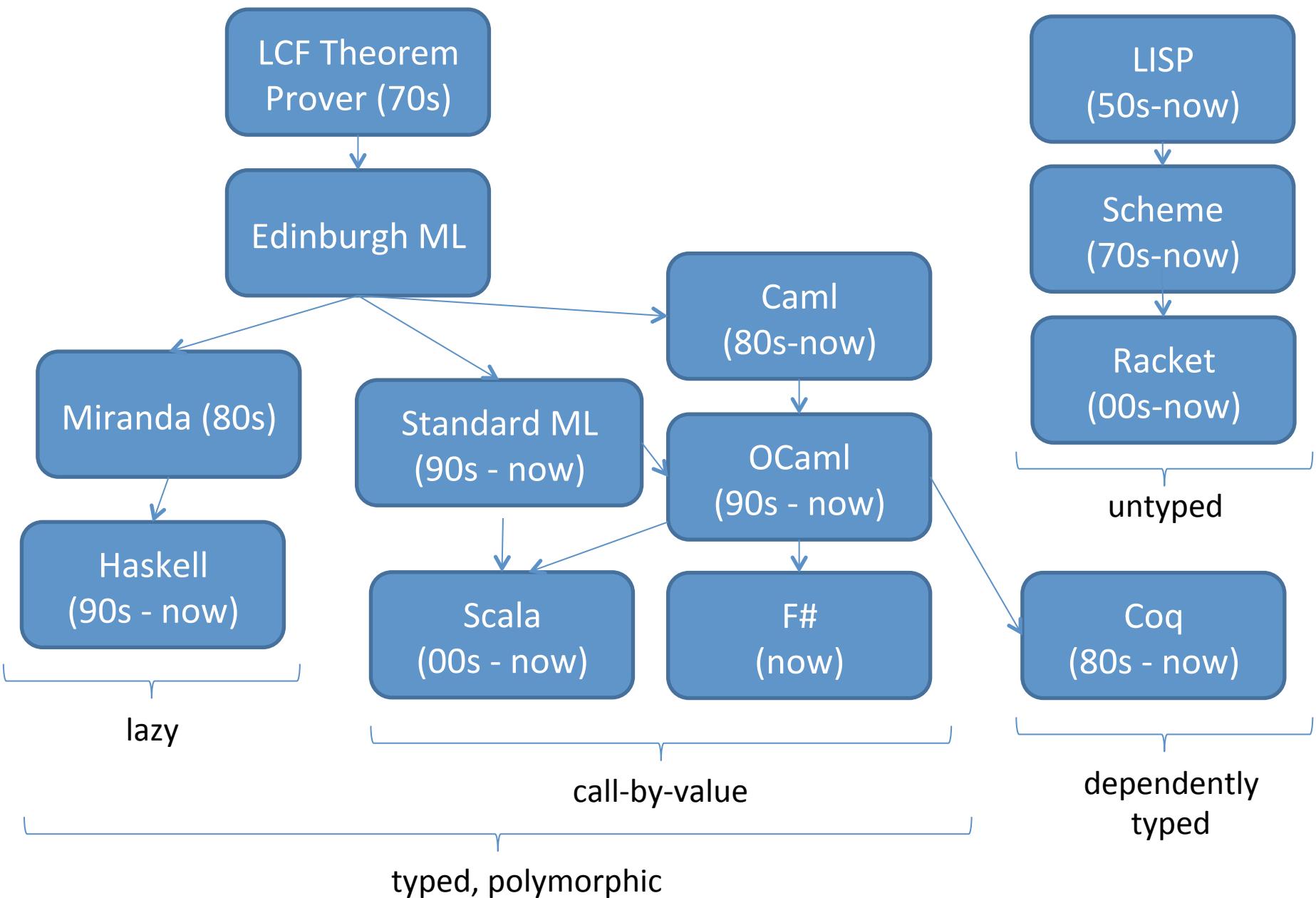


Appel & MacQueen: SML/NJ, 1988  
Photo 2005 Photo ~2000

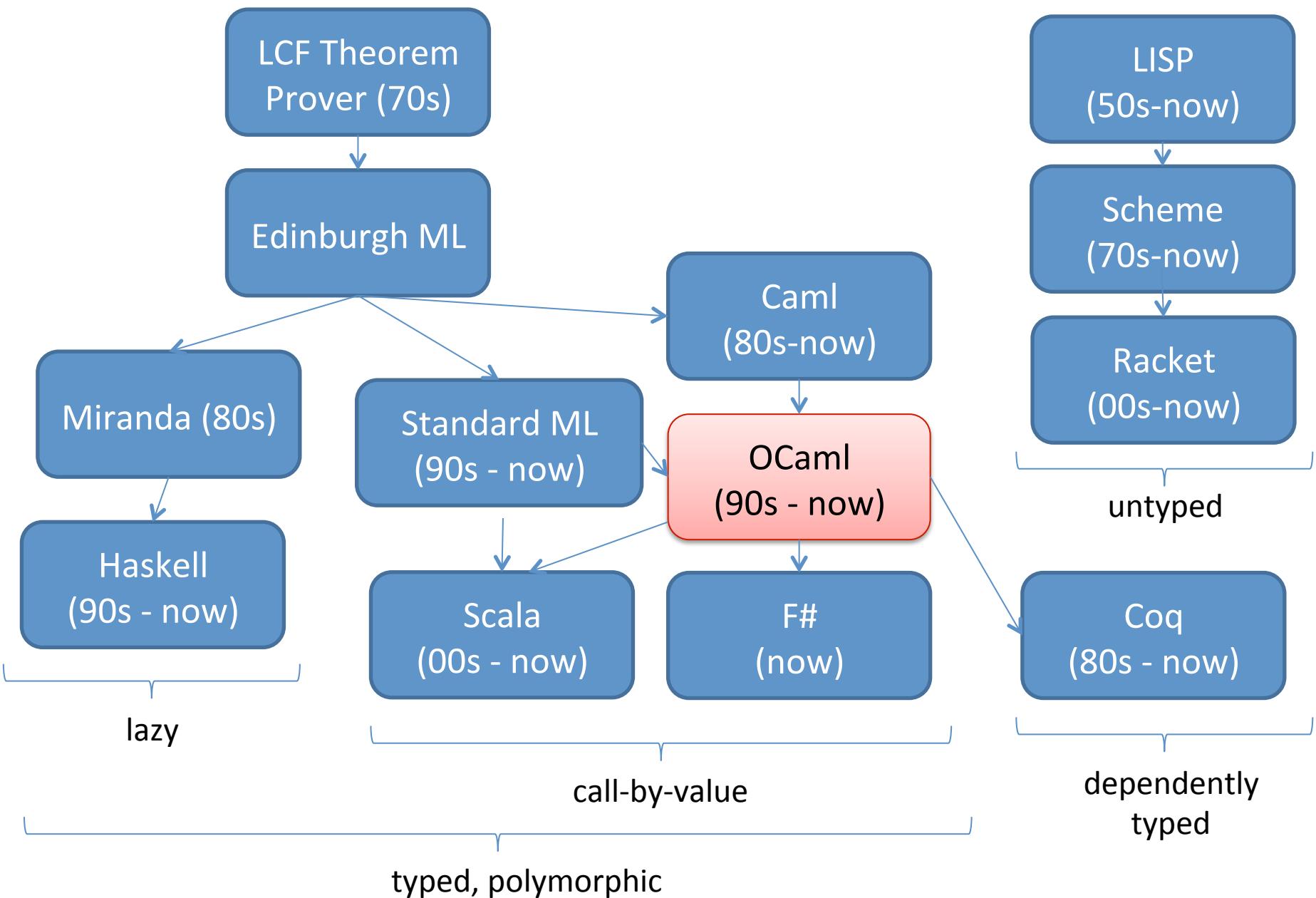


Xavier Leroy:  
Ocaml, 1990's  
Photo ~2005

# Vastly Abbreviated FP Genealogy



# Vastly Abbreviated FP Genealogy



# But Why Functional Programming Now?

- Functional programming will introduce you to new ways to *think about* and *structure* your programs:
  - new reasoning principles
  - new abstractions
  - new design patterns
  - new algorithms
  - elegant code
- Technology trends point to increasing parallelism:
  - multicore, gpu, data center
  - functional programming techniques such as map-reduce provide a plausible way forward for many applications

# Functional Languages: Who's using them?

map-reduce in their data centers



Scala for correctness, maintainability, flexibility



F# in Visual Studio



Erlang for concurrency, Haskell for managing PHP

mathematicians



Coq (re)proof of 4-color theorem



Haskell to synthesize hardware

[www.artima.com/scalazine/articles/twitter\\_on\\_scala.html](http://www.artima.com/scalazine/articles/twitter_on_scala.html)  
[gregosuri.com/how-facebook-uses-erlang-for-real-time-chat](http://gregosuri.com/how-facebook-uses-erlang-for-real-time-chat)  
[www.janestcapital.com/technology/ocaml.php](http://www.janestcapital.com/technology/ocaml.php)  
[msdn.microsoft.com/en-us/fsharp/cc742182](http://msdn.microsoft.com/en-us/fsharp/cc742182)  
[labs.google.com/papers/mapreduce.html](http://labs.google.com/papers/mapreduce.html)  
[www.haskell.org/haskellwiki/Haskell\\_in\\_industry](http://www.haskell.org/haskellwiki/Haskell_in_industry)

Haskell for specifying equity derivatives

# Functional Languages: Join the crowd

- Elements of functional programming are showing up all over
  - **F#** in Microsoft Visual Studio
  - **Scala** combines ML (a functional language) with Objects
    - runs on the JVM
  - **C#** includes “delegates”
    - delegates == functions
  - **Python** includes “lambdas”
    - lambdas == more functions
  - **Javascript**
    - find tutorials online about using functional programming techniques to write more elegant code
  - **C++** libraries for map-reduce
    - enabled functional parallelism at Google
  - **Java** has generics and GC
  - ...

# COURSE LOGISTICS

# Course Staff



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# Resources

- Web:
  - <http://www.cs.princeton.edu/~cos326>
- Lecture schedule and readings:
  - `$(coursehome)/lectures.php`
- Assignments:
  - `$(coursehome)/assignments.php`
- Precepts
  - useful if you want to do well on exams and homeworks
- Install OCaml: `$(coursehome)/resources.php`

# Collaboration Policy

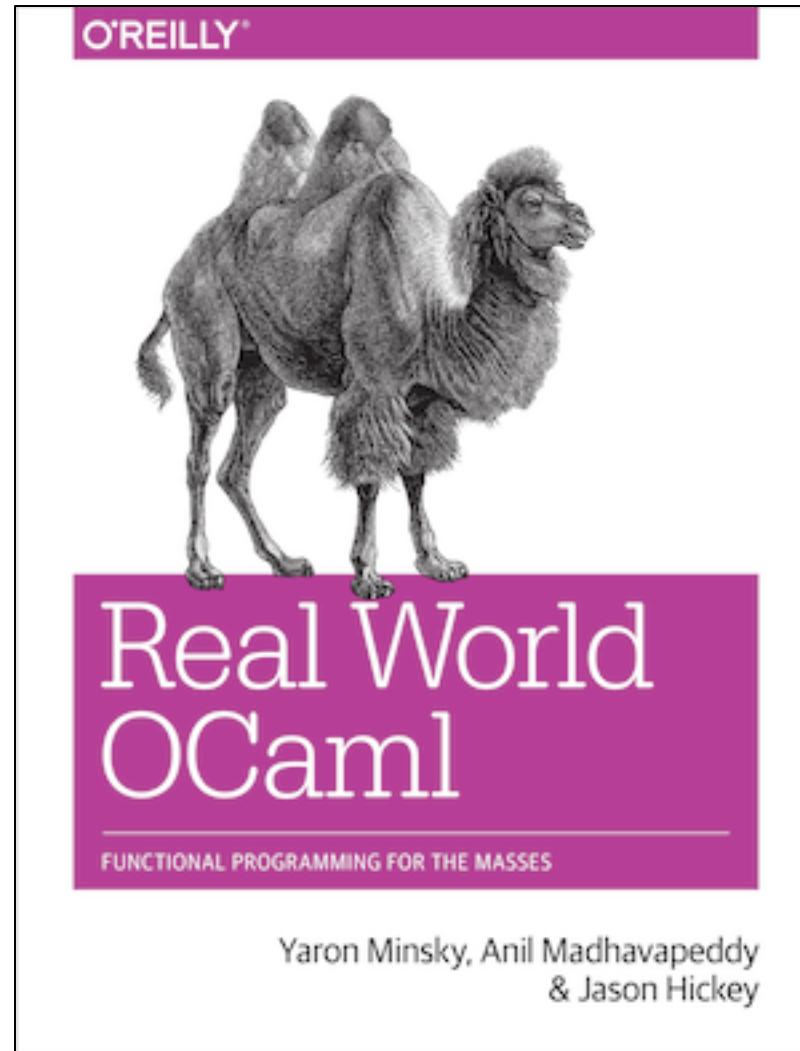
The COS 326 collaboration policy can be found here:

<http://www.cs.princeton.edu/~cos326/info.php#collab>

Read it in full prior to beginning the first assignment.

Please ask questions whenever anything is unclear, at any time during the course.

# Course Textbook



<http://realworldocaml.org/>

# Exams

Minterm: Wednesday of midterm week:

Wednesday, October 25

There will be a final exam, in exam period  
(January — Make your travel plans accordingly)

# Assignment 0

Figure out how to download and install the latest version of OCaml  
on your machine by the time precept begins tomorrow.  
(or, how to use OCaml by ssh to Princeton University servers)

Resources Page:

<http://www.cs.princeton.edu/~cos326/resources.php>

**Hint:**

ocaml.org

# Public Service Announcement

## **The Pen is Mightier than the Keyboard: Advantages of Longhand Over Laptop Note Taking**

Pam Mueller (Princeton University)

Daniel Oppenheimer (UCLA)

Journal of Psychological Science, June 2014, vol 25, no 6

<http://pss.sagepub.com/content/25/6/1159.fullkeytype=ref&siteid=sppss&ijkey=CjRAwmrlURGNw>

- You learn conceptual topics better by taking notes by hand.
- Instagram and World of Warcraft distract your classmates.

# A Functional Introduction

# Thinking Functionally

In Java or C, you get (most) work done by *changing* something

```
temp = pair.x;  
pair.x = pair.y;  
pair.y = temp;
```



commands *modify* or *change* an existing data structure (like pair)

In ML, you get (most) work done by *producing something new*

```
let  
  (x,y) = pair  
in  
  (y,x)
```



you *analyze* existing data (like pair) and you *produce* new data (y,x)

This simple switch in perspective can change the way you  
*think*  
about programming and problem solving.

# Thinking Functionally

pure, functional code:

```
let (x,y) = pair in  
(y,x)
```

imperative code:

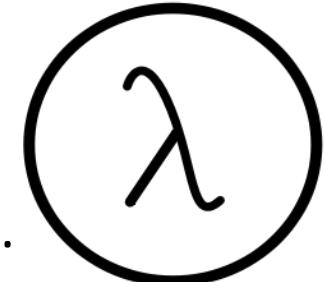
```
temp = pair.x;  
pair.x = pair.y;  
pair.y = temp;
```

- *outputs are everything!*
- *output is function of input*
- *data properties are stable*
- *repeatable*
- *parallelism apparent*
- *easier to test*
- *easier to compose*
- *outputs are irrelevant!*
- *output is not function of input*
- *data properties change*
- *unrepeatable*
- *parallelism hidden*
- *harder to test*
- *harder to compose*

# Why OCaml?

Small, *orthogonal* core based on the *lambda calculus*.

- Control is based on (recursive) functions.
- Instead of for-loops, while-loops, do-loops, iterators, etc.
  - can be defined as library functions.
- Makes it easy to define semantics



Supports *first-class, lexically-scoped, higher-order* procedures

- a.k.a. first-class functions or closures or lambdas.
- **first-class**: functions are data values like any other data value
  - like numbers, they can be stored, defined anonymously, ...
- **lexically-scoped**: meaning of variables determined statically.
- **higher-order**: functions as arguments and results
  - programs passed to programs; generated from programs

These features also found in Racket, Haskell, SML, F#, Clojure, ....

# Why OCaml?

**Statically typed:** debugging and testing aid

- compiler catches many silly errors before you can run the code.
  - A type is worth a thousand tests (start at 6:20):
    - <https://www.youtube.com/watch?v=q1Yi-WM7XqQ>
- Java is also strongly, statically typed.
- Scheme, Python, Javascript, etc. are all strongly, *dynamically typed* – type errors are discovered while the code is running.

**Strongly typed:** compiler enforces type abstraction.

- cannot cast an integer to a record, function, string, etc.
  - so we can utilize *types as capabilities*; crucial for local reasoning
- C/C++ are *weakly-typed* (statically typed) languages. The compiler will happily let you do something smart (*more often stupid*).

**Type inference:** compiler fills in types for you

Integer	Functor	Ord	Char
Either			Monad
Bool			Enum
Int		[...]	
->			Eq
Num			Read
Bounded			(...,)
Integral	()		IO Show
Maybe		String	Ratio Float

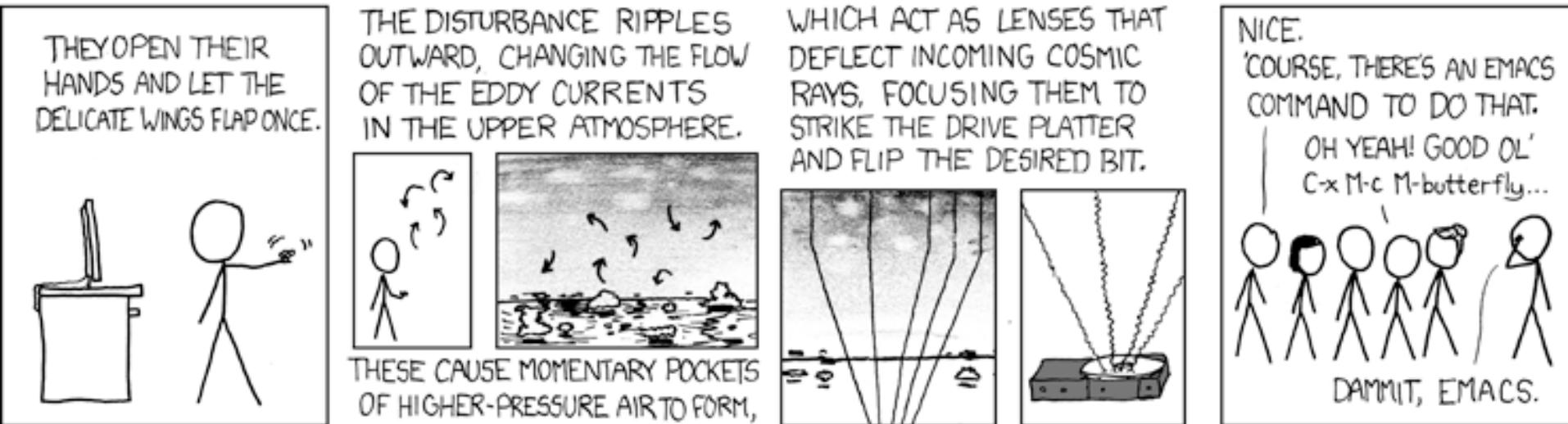
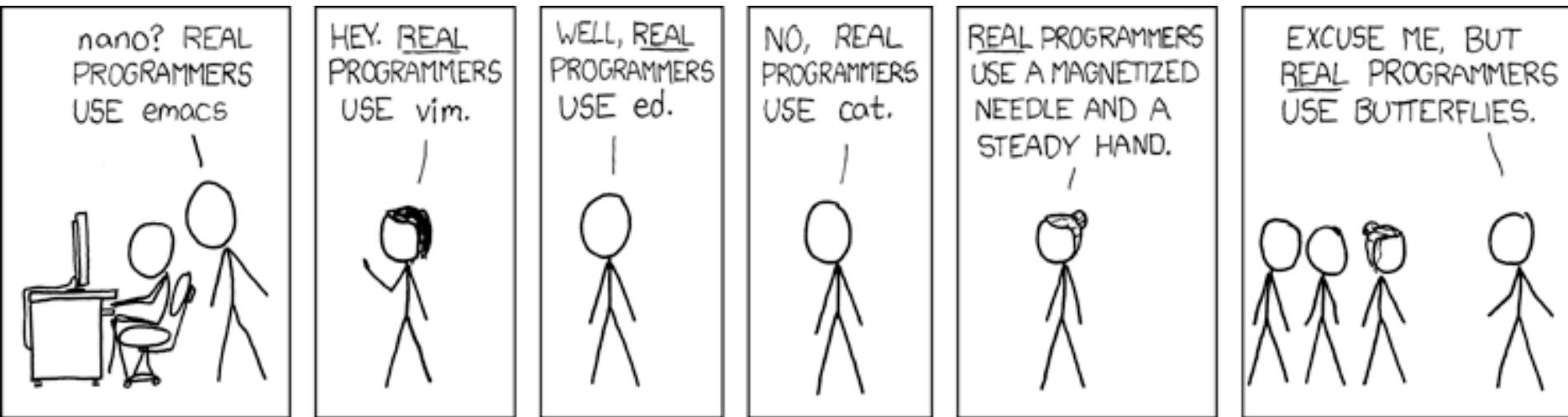
# Installing, running Ocaml

- OCaml comes with compilers:
  - “ocamlc” – fast bytecode compiler
  - “ocamlopt” – optimizing, native code compiler
  - “ocamlbuild – a nice wrapper that computes dependencies
- And an interactive, top-level shell:
  - occasionally useful for trying something out.
  - “ocaml” at the prompt.
  - *but use the compiler most of the time*
- And many other tools
  - e.g., debugger, dependency generator, profiler, etc.
- See the course web pages for installation pointers
  - also OCaml.org

# Editing Ocaml Programs

- Many options: pick your own poison
  - Emacs
    - what I'll be using in class.
    - good but not great support for OCaml.
    - I like it because it's what I'm used to
    - (extensions written in elisp – a functional language!)
  - OCaml IDE
    - integrated development environment written in Ocaml.
    - haven't used it much, so can't comment.
  - Eclipse
    - I've put up a link to an Ocaml plugin
    - I haven't tried it but others recommend it
  - Sublime, atom
    - A lot of students seem to gravitate to this

# XKCD on Editors



# **AN INTRODUCTORY EXAMPLE (OR TWO)**

# OCaml Compiler and Interpreter

- Demo:
  - emacs
  - ml files
  - writing simple programs: hello.ml, sum.ml
  - simple debugging and unit tests
  - ocamlc compiler

# A First OCaml Program

hello.ml:

```
print_string "Hello COS 326!!\n";;
```

# A First OCaml Program

hello.ml:

```
print_string "Hello COS 326!!\n"
```

a function

its string argument  
enclosed in "..."

no parens. normally call a function f like this:

f arg

(parens are used for grouping, precedence  
only when necessary)

a program  
can be nothing  
more than  
just a single  
expression  
(but that is  
uncommon)

# A First OCaml Program

hello.ml:

```
print_string "Hello COS 326!!\n"
```

compiling and running hello.ml:

```
$ ocamlbuild hello.d.byte  
$ ./hello.d.byte  
Hello COS 326!!  
$
```

.d for debugging  
(other choices .p for profiled; or none)

.byte for interpreted bytecode  
(other choices .native for machine code)

# A First OCaml Program

hello.ml:

```
print_string "Hello COS 326!!\n"
```

interpreting and playing with hello.ml:

```
$ ocaml  
      Objective Caml Version 3.12.0  
#
```

# A First OCaml Program

hello.ml:

```
print_string "Hello COS 326!!\n"
```

interpreting and playing with hello.ml:

```
$ ocaml
          Objective Caml Version 3.12.0
# 3 + 1;;
- : int = 4
#
```

# A First OCaml Program

hello.ml:

```
print_string "Hello COS 326!!\n"
```

interpreting and playing with hello.ml:

```
$ ocaml
          Objective Caml Version 3.12.0
# 3 + 1;;
- : int = 4
# #use "hello.ml";;
hello cos326!!
- : unit = ()
#
```

# A First OCaml Program

hello.ml:

```
print_string "Hello COS 326!!\n"
```

interpreting and playing with hello.ml:

```
$ ocaml
          Objective Caml Version 3.12.0
# 3 + 1;;
- : int = 4
# #use "hello.ml";;
hello cos326!!
- : unit = ()
# #quit;;
$
```

# A Second OCaml Program

sumTo8.ml:

```
(* sum the numbers from 0 to n
   precondition: n must be a natural number
*)
let rec sumTo (n:int) : int =
  match n with
  | 0 -> 0
  | n -> n + sumTo (n-1)

let _ =
  print_int (sumTo 8);
  print_newline()
```

a comment  
(\* ... \*)

# A Second OCaml Program

the name of the function being defined

sumTo8.ml:

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```

the keyword “let” begins a definition; keyword “rec” indicates recursion

# A Second OCaml Program

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let _ =
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  print_newline()
```

result type int  
argument  
named n  
with type int

# A Second OCaml Program

deconstruct the value n  
using pattern matching

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let _ =
  print_int (sumTo 8);
  print_newline()
```

data to be  
deconstructed  
appears  
between  
key words  
“match” and  
“with”

# A Second OCaml Program

vertical bar "|" separates the alternative patterns

sumTo8.ml:

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   precondition: n must be a natural number
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    | 0 -> 0
    | n -> n + sumTo (n-1)
let _ =
  print_int (sumTo 8);
  print_newline()
```

deconstructed data matches one of 2 cases:

- (i) the data matches the pattern 0, or (ii) the data matches the variable pattern n

# A Second OCaml Program

Each branch of the match statement constructs a result

sumTo8.ml:

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let _ =
  print_int (sumTo 8);
  print_newline()
```

construct  
the result 0

construct  
a result  
using a  
recursive  
call to sumTo

# A Second OCaml Program

sumTo8.ml:

```
(* sum the numbers from 0 to n
   precondition: n must be a natural number
*)
let rec sumTo (n:int) : int =
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    0 -> 0
  | n -> n + sumTo (n-1)

let _ =
  print_int (sumTo 8);
  print_newline()
```

print the  
result of  
calling  
sumTo on 8

print a  
new line

# **OCAML BASICS: EXPRESSIONS, VALUES, SIMPLE TYPES**

# Terminology: Expressions, Values, Types

- **Expressions** are computations
  - $2 + 3$  is a computation
- **Values** are the results of computations
  - $5$  is a value
- **Types** describe collections of values and the computations that generate those values
  - `int` is a type
  - values of type `int` include
    - $0, 1, 2, 3, \dots, \text{max\_int}$
    - $-1, -2, \dots, \text{min\_int}$

# Some simple types, values, expressions

Type:	Values:	Expressions:
int	-2, 0, 42	42 * (13 + 1)
float	3.14, -1., 2e12	(3.14 +. 12.0) *. 10e6
char	'a', 'b', '&'	int_of_char 'a'
string	"moo", "cow"	"moo" ^ "cow"
bool	true, false	if true then 3 else 4
unit	()	print_int 3

For more primitive types and functions over them,  
see the OCaml Reference Manual here:

<http://caml.inria.fr/pub/docs/manual-ocaml/libref/Pervasives.html>

# Not every expression has a value

## Expression:

42 * (13 + 1)	<b>evaluates to</b>	588
(3.14 +. 12.0) *. 10e6	↪	151400000.
int_of_char 'a'	↪	97
"moo" ^ "cow"	↪	"moocow"
if true then 3 else 4	↪	3
print_int 3	↪	()
1 + "hello"	<b>does not evaluate!</b>	

# Language Definition

- There are a number of ways to define a programming language
- In this class, we will briefly investigate:
  - Syntax
  - Evaluation
  - Type checking
- Standard ML, a very close relative of OCaml, has a full definition of each of these parts and a number of proofs of correctness
  - For more on this theme, see COS 441/510
- The OCaml Manual fleshes out the syntax, evaluation and type checking rules informally

# **OCAML BASICS:**

# **CORE EXPRESSION SYNTAX**

# Core Expression Syntax

The simplest OCaml expressions **e** are:

- values *numbers, strings, bools, ...*
- id *variables (x, foo, ...)*
- $e_1 \text{ op } e_2$  *operators (x+3, ...)*
- id  $e_1 e_2 \dots e_n$  *function call (foo 3 42)*
- **let** id =  $e_1$  **in**  $e_2$  *local variable decl.*
- **if**  $e_1$  **then**  $e_2$  **else**  $e_3$  *a conditional*
- (e) *a parenthesized expression*
- (e : t) *an expression with its type*

# A note on parentheses

In most languages, arguments are parenthesized & separated by commas:

`f(x,y,z)`      `sum(3,4,5)`

In OCaml, we don't write the parentheses or the commas:

`f x y z`      `sum 3 4 5`

But we do have to worry about *grouping*. For example,

`f x y z`  
`f x (y z)`

The first one passes three arguments to `f` (`x`, `y`, and `z`)

The second passes two arguments to `f` (`x`, and the result of applying the function `y` to `z`.)

# OCAML BASICS: TYPE CHECKING

# Type Checking

- Every value has a type and so does every expression
- This is a concept that is familiar from Java but it becomes more important when programming in a functional language
- The type of an expression is determined by the type of its subexpressions
- We write  $(e : t)$  to say that expression  $e$  has type  $t$ . eg:

$2 : \text{int}$

$"\text{hello}" : \text{string}$

$2 + 2 : \text{int}$

$"\text{I say } " \wedge "\text{hello} " : \text{string}$

# Type Checking Rules

- There are a set of **simple rules** that govern type checking
  - programs that do not follow the rules will not type check and O'Caml will refuse to compile them for you (the nerve!)
  - at first you may find this to be a pain ...
- But types are a great thing:
  - they *help us think* about *how to construct* our programs
  - they help us *find stupid programming errors*
  - they help us track down compatibility errors quickly when we edit and *Maintain our code*
  - they allow us to *enforce powerful invariants* about our data structures

# Type Checking Rules

- Example rules:

- (1) 0 : int (and similarly for any other integer constant n)
- (2) "abc" : string (and similarly for any other string constant "...")

# Type Checking Rules

- Example rules:

- (1)  $0 : \text{int}$  (and similarly for any other integer constant n)
- (2)  $\text{"abc"} : \text{string}$  (and similarly for any other string constant "...")
- (3) if  $e1 : \text{int}$  and  $e2 : \text{int}$   
then  $e1 + e2 : \text{int}$
- (4) if  $e1 : \text{int}$  and  $e2 : \text{int}$   
then  $e1 * e2 : \text{int}$

# Type Checking Rules

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- (5) if  $e1 : \text{string}$  and  $e2 : \text{string}$   
then  $e1 ^ e2 : \text{string}$
- (6) if  $e : \text{int}$   
then  $\text{string\_of\_int } e : \text{string}$

# Type Checking Rules

- Example rules:

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- Using the rules:

$2 : \text{int}$  and  $3 : \text{int}$ . (By rule 1)

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Therefore,  $(2 + 3) : \text{int}$  (By rule 3)

# Type Checking Rules

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- Using the rules:

$2 : \text{int}$  and  $3 : \text{int}$ . (By rule 1)

Therefore,  $(2 + 3) : \text{int}$  (By rule 3)

$5 : \text{int}$  (By rule 1)

# Type Checking Rules

- Example rules:

(1)  $0 : \text{int}$  (and similarly for any other integer constant n)

(2)  $\text{"abc"} : \text{string}$  (and similarly for any other string constant " ")

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then  $e_1 + e_2 : \text{int}$

(5) if  $e_1 : \text{string}$  and  $e_2 : \text{string}$   
then  $e_1 \wedge e_2 : \text{string}$

FYI: This is a *formal proof*  
that the expression is well-typed!

string\_or\_int e : string

- Using the rules:

$2 : \text{int}$  and  $3 : \text{int}$ . (By rule 1)

Therefore,  $(2 + 3) : \text{int}$  (By rule 3)

$5 : \text{int}$  (By rule 1)

Therefore,  $(2 + 3) * 5 : \text{int}$  (By rule 4 and our previous work)

# Type Checking Rules

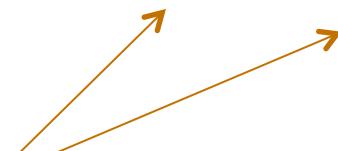
- Example rules:

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- (2)  $\text{"abc"} : \text{string}$  (and similarly for any other string constant "...")
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- (6) if  $e : \text{int}$   
then  $\text{string\_of\_int } e : \text{string}$

- Another perspective:

rule (4) for typing expressions  
 says I can put any expression  
 with type int in place of the ????

???? \* ????: int



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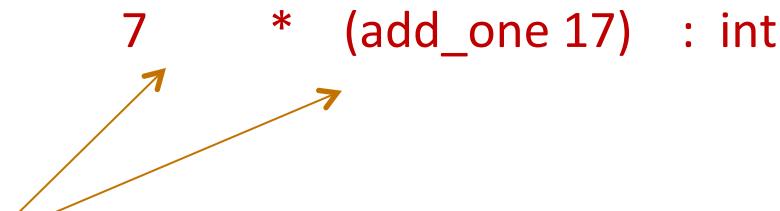
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# Type Checking Rules

- You can always start up the OCaml interpreter to find out a type of a simple expression:

```
$ ocaml  
          Objective Caml Version 3.12.0  
#
```

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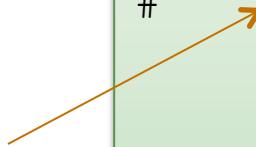
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- : int = 4
#
```

press  
return  
and you  
find out  
the type  
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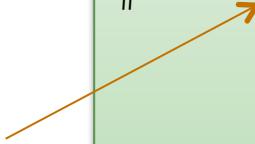


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- You can always start up the OCaml interpreter to find out a type of a simple expression:

```
$ ocaml
          Objective Caml Version 3.12.0
# 3 + 1;;
- : int = 4
# "hello " ^ "world";;
- : string = "hello world"
#
```

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# Type Checking Rules

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$ ocaml
          Objective Caml Version 3.12.0
# 3 + 1;;
- : int = 4
# "hello " ^ "world";;
- : string = "hello world"
# #quit;;
$
```

# Type Checking Rules

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- Violating the rules:

$\text{"hello"} : \text{string}$  (By rule 2)

$1 : \text{int}$  (By rule 1)

$1 + \text{"hello"} : ??$  (NO TYPE! Rule 3 does not apply!)

# Type Checking Rules

- Violating the rules:

```
# "hello" + 1;;
```

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

- The type error message tells you the type that was **expected** and the type that it **inferred** for your subexpression
- By the way, this was one of the nonsensical expressions that did not evaluate to a value
- It is a **good thing** that this expression does not type check!

*“Well typed programs do not go wrong”*

*Robin Milner, 1978*

# Type Checking Rules

- Violating the rules:

```
# "hello" + 1;;
Error: This expression has type string but an
expression was expected of type int
```

- A possible fix:

```
# "hello" ^ (string_of_int 1);;
- : string = "hello1"
```

- *One of the keys to becoming a good ML programmer is to understand type error messages.*

# Type Checking Rules

- What about this expression:

```
# 3 / 0 ;;  
Exception: Division_by_zero.
```

- Why doesn't the ML type checker do us the favor of telling us the expression will raise an exception?

# Type Checking Rules

- What about this expression:

```
# 3 / 0 ;;  
Exception: Division_by_zero.
```

- Why doesn't the ML type checker do us the favor of telling us the expression will raise an exception?
  - In general, detecting a divide-by-zero error requires we know that the divisor evaluates to 0.
  - In general, deciding whether the divisor evaluates to 0 requires solving the halting problem:

```
# 3 / (if turing_machine_halts m then 0 else 1);;
```

- There are type systems that will rule out divide-by-zero errors, but they require programmers supply proofs to the type checker

# Isn't that cheating?

*“Well typed programs do not go wrong”*

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(3 / 0) is well typed. Does it “go wrong?” Answer: No.

“Go wrong” is a technical term meaning, “have no defined semantics.” Raising an exception is perfectly well defined semantics, which we can reason about, which we can handle in ML with an exception handler.

So, it’s not cheating.

*(Discussion: why do we make this distinction, anyway?)*

# Type Soundness

*“Well typed programs do not go wrong”*

Programming languages with this property have *sound* type systems. They are called *safe* languages.

Safe languages are generally *immune* to buffer overrun vulnerabilities, uninitialized pointer vulnerabilities, etc., etc. (but not immune to all bugs!)

Safe languages: ML, Java, Python, ...

Unsafe languages: C, C++, Pascal

# Well typed programs do not go wrong



Robin Milner

## Turing Award, 1991

“For three distinct and complete achievements:

1. **LCF**, the mechanization of Scott's Logic of Computable Functions, probably the first theoretically based yet practical tool for machine assisted proof construction;
2. **ML**, the first language to include polymorphic type inference together with a type-safe exception-handling mechanism;
3. **CCS**, a general theory of concurrency.

In addition, he formulated and strongly advanced full abstraction, the study of the relationship between operational and denotational semantics.”

*“Well typed programs do not go wrong”*

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# **OVERALL SUMMARY: A SHORT INTRODUCTION TO FUNCTIONAL PROGRAMMING**

# OCaml

OCaml is a *functional* programming language

- Java gets most work done by *modifying* data
- OCaml gets most work done by producing *new, immutable* data

OCaml is a *typed* programming language

- the *type* of an expression *correctly predicts* the kind of *value* the expression will generate when it is executed
- types help us *understand* and *write* our programs
- the type system is *sound*; the language is *safe*