

A WHIRLWIND INTRODUCTION TO ALISP

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1. LISP

1.1. Values. Lisp contains most of the usual kinds of values: numbers, strings, characters, etc. Some literals are written differently than in other languages. Fig. 1 shows some examples.

The boolean values are written `nil` and `t`; in conditionals, values of an arbitrary type can appear, and every value different from `nil` counts as a true value. Proper lists are either the empty list or a pair consisting of a first value (called the `car` of the list) and a second value which is itself a list (called the `cdr` and pronounced “could-er”). A peculiarity of Common Lisp is that the empty list `()` is identical to the false value `nil` (which is also a symbol). Furthermore, the empty list always evaluates to itself. Therefore `()` and `nil` can be used interchangeably, but it is good style to write `()` when the value is used as list and `nil` to denote the boolean value.

Common Lisp uses packages to partition the namespace. Packages can export symbols, thereby making them visible to other packages. There is always a notion of the “current package” which is the package that is used to intern symbols that do not include a package prefix.

Symbols are similar to “interned strings” in Java or “unique strings” in other programming languages, except that symbols are interned in packages. Like strings, symbols consist of a sequence of characters; unlike strings, symbols are immutable and two symbols in the same package are identical whenever their lexical representation is the same. To access an exported symbol in a package that is not directly visible from the current package it can be prefixed with the package name, i.e., to access the symbol `bar` in package `foo`, write `foo:bar`. If a symbol is not exported, it can still be accessed by separating the symbol and package names with two colons: `foo::bar` accesses symbol `bar` in package `foo` even when it is not exported. (This should only be used for debugging purposes).

Typically, symbols are written without any delimiters; they can contain a wide range of characters: letters, number, `-`, `+`, `*`, etc. However, if a symbol contains spaces (or other whitespace) it must be enclosed in vertical bars (`|`) otherwise it would be interpreted as several consecutive symbols. Unless a symbol is enclosed in vertical bars, the Lisp reader converts all letters in the symbol to upper case; therefore Lisp behaves like a case insensitive language (even though it is in reality case sensitive).

Symbols and lists play an important role in Common Lisp: In Lisp, programs are themselves represented as Lisp data, with symbols and lists serving as representations for variables and function calls, respectively.

1.2. Evaluation. The source code of a Lisp program is stored in files, typically with the suffix `.lisp` or `.cl`. When the Lisp system processes a file it first converts

Type	Example Literals
Boolean	<code>nil, t</code>
Number	<code>1, -123, 1.23e2</code>
String	<code>"This is a string"</code>
Symbol	<code>print, a-1, *var*, Symbol with space </code>
Symbol in Package <code>a</code>	<code>a:my-symbol, a::internal</code>
Keyword	<code>:my-keyword</code>
Character	<code>#\A, #\Newline</code>
List	<code>() , (1 2 3), (print "Hello")</code>
Vector/Array	<code> #(1 2 3), #((1 2) (3 4))</code>

FIGURE 1. Values

the textual representation into a Lisp data structure; this data structure is then evaluated according to the following rules:¹

- All objects except lists and symbols evaluate to themselves.
- Symbols represent (global or local) variables and are looked up in the variable environment.
- Lists represent function calls, macros or applications of built-in operators (so-called *special forms*). Function calls are evaluated in the following manner:
 - Each element of the list is recursively evaluated. If the first element of the list is a symbol, its value is looked up in the *function environment*, all other symbols directly appearing in the list are looked up in the *variable environment*.
 - When all elements of the list are evaluated, the value of the first argument (a function) is applied to the other arguments.
 - The evaluation of a function call results in zero, one or more values.
- Each special form has its own evaluation rules. For example, `lambda`-forms evaluate to functions.

To prevent a symbol or list from being evaluated it can be prefixed by an apostrophe (`'`). For example `'x` evaluates to the symbol `x`, not to the value of the variable `x`. Similarly `'(print "x")` evaluates to a list with two elements (the symbol `print` and the string `"x"`), not to a function call. As a rule, lists that are used as data structures must always be preceded by an apostrophe: `'(1 2 3)` evaluates to a list consisting of three integers, `(1 2 3)` leads to an error message, since Lisp tries to evaluate this form as a function call and `1` is not a valid function name.

1.3. Global Variables and Functions. Global variables are defined with the operators `defvar` and `defparameter`. By convention, the names of global variables start and end with an asterisk (`*`). For example:

```
(defvar *my-var* 123)
(defparameter *my-other-var* 234)
*my-var*           ⇨ 123
*my-other-var*     ⇨ 234
```

The value of global variables can be changed with the `setf` operator:

```
(setf *my-var* 345)
(setf *my-other-var* 456)
```

¹These rules are not really correct, but they should be precise enough to understand most programs.

```
*my-var*           ↪ 345
*my-other-var*     ↪ 456
```

The difference between `defvar` and `defparameter` is that a `defvar`-form does not overwrite an existing value for the variable whereas `defparameter` does. Thus, if we continue the example:

```
(defvar *my-var* 123)
(defparameter *my-other-var* 234)
*my-var*           ↪ 345
*my-other-var*     ↪ 234
```

Local variables can be bound with `let` and `let*` forms. The difference between these forms is that `let` binds all variables in parallel (so that none of the freshly introduced bindings is visible on the right hand sides) whereas `let*` binds the variables sequentially:

```
(let ((x 1)
      (y 2))
  (list x y))           ↪ (1 2)

(let* ((x 1)
       (y (+ x 1)) ; not possible with let
       (list x y))     ↪ (1 2)
```

This code also shows a comment; comments start after a semicolon (`;`) and end at the end of the line.

Functions are defined using the `defun` form:

```
(defun my-fun (x)
  (print x))
```

This expression defines a function called `my-fun` (i.e., it binds the function variable `my-fun` to the corresponding function object), that takes one argument. When this function is called it calls the `print` function to print the value of its argument:

```
(my-fun 123)
⇒ 123
↪ 123
```

Each function returns the last value in its body; since the `print` function returns its argument after printing it, a call to `my-fun` also returns its argument. The `values` special operator can be used to return zero, one or more values:

```
(defun zero-values (x y)
  (print x)
  (print y)
  (values))

(defun three-values (x y)
  (print x)
  (print y)
  (values x y x))
```

Calling `zero-values` with arguments 1 and 2, i.e., `(zero-values 1 2)`, prints 1 and 2 and returns no values, a call `(three-values 1 2)` prints 1 and 2 and returns the three values 1, 2 and 1. Multiple values can be bound with the form `multiple-value-bind`:

```
(multiple-value-bind (a b c) (three-values 1 2)
  (print a))
```

```
(print b)
(print c))
```

This code will print 5 lines of output: 1, 2, 1, 2 and 1. The first two lines are from the call to `three-values`, the last three lines from the `print` statements in the body of `multiple-value-bind`.

In addition to the required arguments, functions can take **optional**, **keyword** and **rest** arguments. Optional arguments need not be provided by the caller. The function definition can specify a default value for optional elements that are not provided, if no default value is specified, `nil` is used:

```
(defun opt-arg (x &optional (y 1) z)
  (format t "~&~A, ~A, ~A" x y z))
(opt-arg 'a)           ⇒ A, 1, NIL
(opt-arg 'a 'b)        ⇒ A, B, NIL
(opt-arg 'a 'b 'c)     ⇒ A, B, C
```

The function `format` prints formatted output to a stream. Here the stream is specified as `t`, denoting the standard output. The format directive `~&` is a (conditional) newline, `~A` takes the next unprocessed argument and prints it. In the first call to `opt-arg`, the call provides no values for the variables `y` and `z`, so their default values are used. In the second call a value is provided for `y` but not for `z`, in the last call, all variables are provided values by the caller.

If a function takes many arguments, calls to the function can be rather confusing. Keyword arguments can be used to clarify the roles of the arguments: like optional arguments keyword arguments need not be provided by the caller, but in calls, keyword arguments are explicitly named by a keyword and can therefore be provided in any order:

```
(defun key-arg (x &key (y 1) z)
  (format t "~&~A, ~A, ~A" x y z))
(key-arg 'a)           ⇒ A, 1, NIL
(key-arg 'a :y 'b)      ⇒ A, B, NIL
(key-arg 'a :y 'b :z 'c) ⇒ A, B, C
(key-arg 'a :z 'c :y 'b) ⇒ A, B, C
```

1.4. Structs and Classes. Common Lisp contains CLOS (Common Lisp Object System), an extremely powerful object system. There are two different class-like data types: Structures (also called structure-classes) and classes. Structures as well as classes contain only data members; methods are defined outside of the user-defined data types.

Structures have several restrictions that make them much less flexible than classes. For example, classes can be redefined (and existing instances using the old class definition can be upgraded to the new class definition), classes support multiple inheritance, and the class of a class-instance can be changed dynamically. Structures provide none of these features, but they can therefore be implemented more efficiently than classes. Therefore it is advisable to use structure types only in situation where performance considerations are paramount.

Unfortunately, for historic reasons, the syntactic for of class and structure definitions is quite different. Structures are defined in the following way:

```
(defstruct (simple-state (:conc-name #:simple-))
  (start-loc '(0 0) :type list)
  robot-loc
  env)
```

This defines a structure-class `simple-state` with three instance variables that can be accessed using functions called `simple-start-loc`, `simple-robot-loc` and

`simple-env`. The prefix of the instance accessors is defined by the `:conc-name` struct-option. Instances are created using the constructor `make-simple-state` which takes a keyword argument for each instance variable. The instance variable `start-loc` is additionally provided with a default value and restricted to values of type `list`. The call

```
(make-simple-state :start-loc '(1 2) :end-loc '(5 7) :env *my-env*)
```

creates a new instance of type `simple-state` in which the instance variables (which are typically called *slots* in Lisp) are initialized to the given values.

A class definition has the following form:

```
(defclass <simple-env> (<fully-observable-env> <grid-world>)
  ((move-success-prob :type float
                      :initarg :move-success-prob :initform 0.95
                      :accessor move-success-prob)
   (wall-collision-cost :initarg :wall-collision-cost :initform 0.5
                       :accessor wall-collision-cost)))
```

This defines a class `<simple-env>` (the use of angle brackets around the class name is a convention that is used in ALisp and has no further significance). This class inherits from two superclasses, `<fully-observable-env>` and `<grid-world>` and has two slots `move-success-prob` and `wall-collision-cost`. The name of the accessor functions and the keyword arguments for the constructor have to be explicitly specified using the `:accessor` and `:initarg` keyword arguments in the slot specification; furthermore each slot specifies a default value (`:initform`); the `move-success-prob` slot additionally specifies the type of values it can store. The accessors of classes defined with `defclass` are used as specified, no prefix is appended.

Instances of classes are created using the `make-instance` function, which takes the keywords specified in the class definition and the keywords inherited from superclasses. For example:

```
(make-instance '<simple-env> :move-success-prob 0.8)
```

(Note that we pass the *name* of the class as first argument to `make-instance`, i.e., the first argument to `make-instance` is typically quoted.)

1.5. Generic Functions and Methods. Methods do not belong to classes, instead they are grouped into *generic functions*. A generic function can explicitly be defined with `defgeneric` or implicitly by a method definition.

The code

```
(defgeneric description (thing))
```

defines a generic function `description` that takes a single argument. Methods can be specialized on this argument:

```
(defmethod description (thing)
  (print "Some unspecified thing"))
(defmethod description ((l list))
  (print "A list"))
(defmethod description ((n number))
  (print "A number"))
(defmethod description ((st simple-state))
  (print "Our very own state"))
(defmethod description ((env <simple-env>))
  (print "A simple environment"))
```

```
(description "Foo")
```

⇒ Some unspecified thing

```

(description '())           ⇒ A list
(description 123)          ⇒ A number
(description (make-simple-state)) ⇒ Our very own state
(description (make-instance <simple-env>)) ⇒ A simple environment

```

Note that methods can be defined on “primitive” types (such as number), on structures and on classes. It is even possible to define methods specialized on single objects:

```

(defmethod description ((n (eql 0)))
  (print "Naught"))
(description 0)           ⇒ Naught

```

Generic functions support multi-dispatch, i.e., they can be specified on several arguments:

```

(defmethod multi (x y)
  (list x y))
(defmethod multi ((x number) (y number))
  (+ x y))
(defmethod multi ((x string) (y string))
  (concatenate 'string x y))
(multi 'a 'b)           ~> (A B)
(multi 'a 1)            ~> (A 1)
(multi 1 2)             ~> 3
(multi 'a "b")          ~> (A "b")
(multi "a" 'b)          ~> ("a" B)
(multi "a" "b")         ~> "ab"

```

2. THE SIMPLE-WASTE EXAMPLE

The Simple-Waste example is meant to introduce ALisp using the simple scenario of a robot moving toward a target in an arena in which there may be some obstacles. The following sections assume that your Lisp environment is already correctly set up.

2.1. Running the Simple-Waste Example. In the Lisp listener (REPL), evaluate the following forms:

```

CL-USER> (asdf:load-system :waste)
[...]
CL-USER> (in-package :simple-prog)
#<PACKAGE "SIMPLE-PROG">
SIMPLE-PROG> (explore-environment)
Welcome to the simple robot example.

```

This environment demonstrates a robot that moves around on a rectangular grid, until it reaches a target area. X's on the map represent walls, blank spaces are roads. The robot is represented by 'r'. You can move by entering N, E, S, W. To quit the environment, enter NIL. (All input can be in lower or upper case.)

```

Last observation was
XXOX1X2X3XXX
OX          OX
1X  rr     1X
2X          2X
XXOX1X2X3XXX

```

Target: (0 0)

Action?

The `load-system` form loads the `:waste` system definition which contains, among others, the code for the Simple-Waste example. The `explore-environment` runs a function that allows you to interactively explore the environment. The start position of the robot is randomly generated and may be different for each execution. After completing an episode or entering `nil` at the prompt, you can start the reinforcement learner by calling `learn-behavior`:

```
SIMPLE-PROG> (learn-behavior)
Learning behavior using random exploration strategy
Learning
Episode 0.
NIL
```

The `learn-behavior` function calls the primitive `learn` function with parameters that are controlled by its keyword arguments and some global variables. After learning is completed, you can evaluate the performance of the learned policy against environments with randomly generated robot start positions:

```
SIMPLE-PROG> (evaluate-performance)
```

Learning curves for HORDQ-A-1, HORDQ-A-2 are:

```
Evaluating policies.....
Evaluating policies.....
#((#(-2.36 4.71 4.71 4.72 4.73 4.7 4.7
    4.73 4.72 4.72 4.71 4.73 4.73 4.71
    4.71 4.72 4.69 4.72 4.71 4.69 4.7
    4.71 4.72 4.71 4.68 4.71 4.7 4.7
    4.72 4.72 4.71 4.73 4.72 4.72 4.73
    4.69 4.71 -9.66 -8.93 -8.96 4.72
    4.71 4.72 4.71 4.74 4.7 4.72 4.71 4.71 4.71))
(#(-3.52 1.31 3.66 4.53 2.06 0.86 1.27
    2.62 4.74 4.72 4.72 4.71 4.69
    4.72 4.7 4.69 4.65 4.72 4.67 4.68
    4.67 4.68 4.68 4.69 4.72 4.7 4.71
    4.7 4.72 4.73 4.73 4.72 4.72 4.69
    4.71 4.72 4.71 4.71 4.69 4.72 4.73
    4.72 4.72 4.71 4.69 4.69 4.72 4.72 4.71 4.71)))
; No value
```

The function `learn-behavior` stores copies of the policies learned after having completed 2%, 4%, ..., 100% of the steps in the training run. `evaluate-performance` runs each of these policies against randomly generated examples and returns a vector of the resulting scores. In the example, the reward for reaching the target field is 5.0 and the cost for each step is 0.1. The cost for bumping into a wall is 0.5. To complicate the problem, the robot only moves into the desired direction with 90% probability, and perpendicular to this direction otherwise. Hence, the best expected score in the environment is ≈ 4.7 , which both algorithms achieve frequently. Not that the first algorithm rapidly achieves this score for most of the runs, but several runs toward the end of the learning curve show severely degraded performance. The second algorithm converges less rapidly, but consistently stays near the maximum performance after about a quarter of all tries. We will see why the algorithms exhibit this behavior when we look at their implementation.

Let's try a slightly more involved example:

```
SIMPLE-PROG> (learn-behavior :environment-type :medium
                           :use-complex-environment t)
```

Learning behavior using random exploration strategy

Learning

Episode 0.....

NIL

```
SIMPLE-PROG> (evaluate-performance)
```

Learning curves for HORDQ-A-1, HORDQ-A-2 are:

Evaluating policies.....

Evaluating policies.....

```
#((#(-6.85 -21.16 -3.87 -3.01 -3.48 -4.41
      -3.73 -21.15 -4.03 -21.56 -4.09
      -4.51 -3.82 -23.64 -24.11 -4.12 -3.19
      -4.31 -3.65 -3.09 -3.83 -2.48
      -2.56 -3.94 -2.68 -3.86 -2.29 -21.24
      -4.26 -4.21 -4.51 -4.51 -3.49
      -21.61 -3.23 -2.07 -2.98 -2.04 -2.33
      -2.46 -2.03 -2.93 -2.41 -4.12
      -4.35 -3.94 -4.61 -2.89 -4.6 -4.12))
  (#(-6.56 -6.23 -4.18 -4.44 -4.35 -4.28
      -4.07 -4.02 -4.12 -4.32 -4.02
      -3.73 -4.04 -0.16 -0.54 0.04 -0.47
      0.42 -0.37 1.08 1.1 1.39 0.26 0.7
      0.35 -0.66 0.49 1.07 2.91 3.95 2.96
      2.61 2.5 3.67 3.1 3.05 3.36 3.57
      3.49 3.99 2.84 3.82 3.69 3.9 3.58
      3.97 3.98 4.08 3.97 4.02)))
```

; No value

```
SIMPLE-PROG> (explore-environment)
```

Welcome to the simple robot example.

This environment demonstrates a robot that moves around on a rectangular grid, until it reaches a target area. X's on the map represent walls, blank spaces are roads. The robot is represented by 'r'. You can move by entering N, E, S, W. To quit the environment, enter NIL. (All input can be in lower or upper case.)

Last observation was

```
XXOX1X2X3X4X5X6X7XXX
```

```
0X      XX      0X
```

```
1X      XX      1X
```

```
2XXXXX XX      2X
```

```
3X      XX      3X
```

```
4X      rr      4X
```

```
5X      5X
```

```
6X      6X
```

```
7X      7X
```

```
XXOX1X2X3X4X5X6X7XXX
```

Target: (0 0)

Action? nil

Here we explore a medium-sized environment with a slightly more complex structure, with the same reward structure as before. To compensate for this increased complexity, `learn-behavior` runs the experiment with a larger number of steps, as can be seen from its output (a dot is printed for every 2500 steps). The evaluation shows that in this case the first algorithm does not learn a useful behavior, whereas the second algorithm again converges to a nearly optimal policy (taking into account the increased size of the arena and the additional movement steps necessary to drive around the wall when starting in the upper right quadrant). To investigate the behaviors of policies it is sometimes useful to observe them in action. This can be done by calling `(explore-policies)`:

```
SIMPLE-PROG> (explore-policies)
Welcome to the simple robot example.
[...]
Env state:
XXOX1X2X3X4X5X6X7XXX
0X      XX      0X
1X      XX      1X
2XXXXX XXrr     2X
3X      XX      3X
4X              4X
5X              5X
6X              6X
7X              7X
XXOX1X2X3X4X5X6X7XXX
Target: (0 0)
Stack: ((NAV NAVIGATE-CHOICE ((LOC 0 0))) (TOP NAV NIL))>
Set of available choices is (N E S W)
-----
Advisor 0:
Componentwise Q-values are
  #((N (Q -74.13) (QR -0.2) (QC -73.93) (QE 0.0))
    (E (Q -74.1) (QR -0.17) (QC -73.93) (QE 0.0))
    (S (Q -74.03) (QR -0.11) (QC -73.93) (QE 0.0))
    (W (Q -74.03) (QR -0.1) (QC -73.93) (QE 0.0)))
Recommended choice is W
-----
Advisor 1:
Componentwise Q-values are
  #((N (Q -0.79) (QR -0.1) (QC -0.69) (QE 0.0))
    (E (Q -0.79) (QR -0.1) (QC -0.69) (QE 0.0))
    (S (Q -0.61) (QR -0.1) (QC -0.51) (QE 0.0))
    (W (Q -0.71) (QR -0.1) (QC -0.61) (QE 0.0)))
Recommended choice is S
-----
Please enter choice, or nil to terminate.
```

Like `explore-environment`, the function `explore-policies` allows us to interact with the environments. In addition it shows the Q -functions computed by the different learning algorithms and their choice. After following the advice of the first algorithm for a few steps we see why it performs badly on many examples: even though the robot bumps into the wall when moving west, the algorithm repeatedly suggests this move. The second algorithm, in contrast, correctly suggests moving south. (When looking at the code we will see that the first algorithm operates

```
SIMPLE-PROG> (learn-behavior :environment-type :maze :algorithm-names '(hordq-a-2))
Learning behavior using random exploration strategy
Learning
Episode
0.....
. ....
. ....
. ....
. ....
. ....
. ....
. ....
NIL
```

```
SIMPLE-PROG> (explore-policies)
[...]
```

XX0X1X2X3X4X5X6X7X8X9XXX		
0X	XX	0X
1X	XXXXXXXXXX	XX1X
2XXXXX	XX XX	2X
3X	XX XXXXXXXX	3X
4X	XXXXXX XX	4X
5X	XX XXXXXX5X	
6XXXXXXXXXX	XX rr	6X
7X XX	XXXX	7X
8X XX XX	XX XX	8X
9X	XX	9X
XX0X1X2X3X4X5X6X7X8X9XXX		

```
Target: (0 0)
```

2.2. Diving into the Code. Let us now look at the code of the Simple-Waste example. The system definition is in the file `Sources/waste.asd`.