A WHIRLWIND INTRODUCTION TO ALISP

MATTHIAS HÖLZL

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

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* \leadsto 123
*my-other-var* \leadsto 234
```

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

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

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

```
*my-var* \rightsquigarrow 345 
*my-other-var* \rightsquigarrow 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* \leadsto 345
*my-other-var* \leadsto 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:

This code also shows a comment; comments start after a semocolon (;) 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) \Rightarrow A, 1, NIL

(opt-arg 'a 'b) \Rightarrow A, B, NIL

(opt-arg 'a 'b 'c) \Rightarrow 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:

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 usin 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:

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:

```
(description '())
                                                  \Rightarrow A list
(description 123)
                                                  \Rightarrow A number
(description (make-simple-state))
                                                  \Rightarrow Our very own state
(description (make-instance < simple-env>)) \Rightarrow A simple environment
Note that methods can be defined on "primitive" types (such as number), on struc-
tures and on classes. It is even possible to define methods specialized on single
objects:
(defmethod description ((n (eql 0)))
  (print "Naught"))
(description 0)
                                                  \Rightarrow 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)
                                                     \rightsquigarrow (A B)
(multi 'a
                                                     \rightsquigarrow (A 1)
            1)
(multi 1
                                                     → 3
            2)
(multi '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.....
NTI.
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.)

XX0X1X2X3X4X5X6X7XXX OX XXOX 1X XX 1X 2XXXXX XX 2X ЗХ XX ЗХ 4X 4X rr5X 5X

Last observation was

XX0X1X2X3X4X5X6X7XXX

6X

Target: (0 0)
Action? nil

6X

7 X

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.
[\ldots]
Env state:
XX0X1X2X3X4X5X6X7XXX
OX
        XX
1X
        XX
                  1X
2XXXXX XXrr
                  2X
ЗХ
        XΧ
                  ЗХ
4X
                  4X
5X
                  5X
6X
                  6X
7X
                  7X
XX0X1X2X3X4X5X6X7XXX
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

without knowing the robot's position on the board or the walls adjacent to the robot's position so that it cannot develop a strategy that behaves sensibly if there are obstacles in the arena.) As a final example, let us try the second algorithm on a maze-like example:

```
SIMPLE-PROG> (learn-behavior :environment-type :maze :algorithm-names '(hordq-a-2))
Learning behavior using random exploration strategy
Learning
Episode
0......
NTI.
SIMPLE-PROG> (evaluate-performance)
Learning curves for HORDQ-A-2 are:
Evaluating policies.....
#((#(-7.63 -7.08 -4.17 -4.15 -2.31 -1.45
   -1.17 -0.27 0.75 0.82 1.61 2.89
   2.26 2.79 2.45 3.01 2.78 2.78 2.96
   2.94 2.78 2.8 2.9 2.89 2.77 2.66
   3.01 2.92 2.68 2.96 2.82 2.83 2.87
   2.87 2.92 2.64 2.77 2.87 2.59 2.75
   2.95 2.82 3.13 2.7 3.07 2.65 2.87 3.02 2.73 2.77)))
; No value
SIMPLE-PROG> (explore-policies)
[...]
XX0X1X2X3X4X5X6X7X8X9XXX
OX
     XX
1X
     XXXXXXXXXX XX1X
2XXXXX XX XX
               2X
ЗХ
     XX
       XXXXXXXX
              3X
4X XXXXXX
       XX
               4X
          XXXXXX5X
5X
        XΧ
6XXXXXXXXX
        XX
            rr
              6X
7X XX
        XXXX
               7X
8X
     XX
        XX XX
               8X
9X
     XX
               9X
XX0X1X2X3X4X5X6X7X8X9XXX
Target: (0 0)
```

Since the average path length in this environment is ≈ 14 steps, the policy is again close to the optimal one.

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. The system definition contains some administrative information and then a list of the source files that give rise to the program. The ones comprising the Simple-Waste example are the ones whose name starts with simple-; let us look at them in turn.

2.2.1. The File simple-package.lisp. This file contains few surprises: it defines two packages, simple-env for the definition of the environments, and simple-prog for the definition of the program and the example driver. The code is split into two packages, since ALisp defines some names with incompatible definition in several packages so that we cannot import all required packages from ALisp into a single package.

2.2.2. The File simple-env.lisp. The file simple-env.lisp contains the definition of the environmen, i.e., the Markov Decision Process on which the partial program operates. Although ALisp provides a more declarative way to define environments as a form of dynamic Bayesian networks (2TBNs), I have opted to implement the environment of the Simple-Waste example manually, so that its behavior is more immediately visible.

In ALisp the environment is a class derived from <env>, and if it is fully observable from the subclass <fully-observable-env>. The state of an environemnt is represented by a class whose instances are assumed to be immutable. Therefore we define a structure simple-state containing the state variables, and a class <simple-env> that inherits from <fully-observable-env> and provides the persistent information about the environment. Since we operate on a grid world, <simple-env> also inherits from <grid-world> so that it can make of the useful functionality predefined in that class, e.g., the computation of shortest paths according to Floyd's algorithm.

The structure *simple-state* contains three slots: the start location of the robot, the current location of the robot and a back-pointer to its environment. It defines methods for cloning states (clone), for equality testing (same) and a canonical representation (canonicalize). Furthermore its print-object method prints an ASCII-Representation of the grid-world when the variable *print-graphically* has a true value.

The class <simple-env> contains instance variables for the probability that a move succeeds (move-success-prob), for the cost of hitting a wall (wall-collision-cost), for the cost of each step irrespectively of the action (cost-of-living) for the target location (target-loc) and for the reward obtained when reaching the target location (final-reward). Additionally it contains a function that provides a randomly chosen, valid start location (start-loc-sampler) which, by default, is set to a function that uniformly choses from all valid locations.

The function reward computes the reward obtained by performing a single step. It uses the auxiliary functions is-terminal-state so that a zero reward is given for all steps taken after a process has entered a final state, and move-would-hit-wall-p to check whether a desired move would hit a wall. Similarly, the function compute-next-loc computes the next location, given an environment, a state and an action, taking into account the possibility that the robot may slip perpendicular to its intended direction.

The method sample-next combines the results of compute-next-loc and reward; this generic function is used to "drive" the MDP. The function sample-init returns a randomly chosen initial state. The functions make-simple-env-n create environments that can be used for experiments.

2.2.3. The File simple-prog.lisp. The program is very simple. It defines accessor functions robot-loc and robot-env for the location and environment of the robot, and a top-level function simple-robot-prog that simply calls the navigation strategy nav. The partial program nav repetedly moves in one of the four allowed directions until it has reached the desired location.

2.2.4. The File simple-features.lisp. This file defines several features that can be used for function approximations, and several "3-part-Q" featurizer that can be used to perform HORD-Q learning. The first featurizer, *simple-featurizer-0* extracts only the current choice, so that function approximations using this featurizer cannot base decisions on the location of the robot or on the walls adjacent to the robot's location. This featurizer almost always leads to very bad learning performance.

simple-featurizer-1 has slightly more information; in addition to the chosen action it can also access the valid target directions. This featurizer generally performs well in arena without obstacles but degrades significantly as soon as only a few obstacles are in the arena.

The third and fourth featurizer take the percise location of the robot into account; they work well in most cases, although they need significant training data.