CMSC 330: Organization of Programming Languages

Operational Semantics

Formal Semantics of a Prog. Lang.

- Mathematical description of the meaning of programs written in that language
 - What a program computes, and what it does

- Three main approaches to formal semantics
 - Operational ← this course
 - > Often on an abstract machine (mathematical model of computer)
 - > Analogous to interpretation
 - Denotational
 - Axiomatic

Operational Semantics

- We will show how an operational semantics may be defined for Micro-Ocaml
 - And develop an interpreter for it, along the way
- Approach: use rules to define a judgment

 $e \Rightarrow v$

Says "e evaluates to v"

e: expression in Micro-OCaml

v: value that results from evaluating e

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Definitional Interpreter

- Rules for judgment e ⇒ v can be easily turned into idiomatic OCaml code for an interpreter
 - The language's expressions e and values v have corresponding
 OCaml datatype representations exp and value
 - The semantics is represented as a function

```
eval: exp -> value
```

- This way of presenting the semantics is referred to as a definitional interpreter
 - The interpreter defines the language's meaning

Abstract Syntax Tree spec. via "Grammar"

We use a grammar for e to directly describe an expression's abstract syntax tree (AST), i.e., e's structure

```
e := x \mid n \mid e + e \mid \text{let } x = e \text{ in } e
corresponds to (in definitional interpreter)
```

We are *not* concerned about the process of **parsing**, i.e., from text to an AST. We can thus ignore issues of ambiguity, etc. and focus on the **structure** of the AST given by the grammar

Micro-OCaml Expression Grammar

$$e := x \mid n \mid e + e \mid \text{let } x = e \text{ in } e$$

- **Le**, **x**, **n** are **meta-variables** that stand for categories of syntax (like non-terminals in a CFG)
 - x is any identifier (like z, y, foo)
 - n is any numeral (like 1, 0, 10, -25)
 - e is any expression (here defined, recursively!)
- ▶ Concrete syntax of actual expressions in black
 - Such as let, +, z, foo, in, ... (like terminals in a CFG)
 - •::= and | are *meta-syntax* used to define the syntax of a language (part of "Backus-Naur form," or BNF)

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Micro-OCaml Expression Grammar

$$e := x \mid n \mid e + e \mid let x = e in e$$

Examples

- 1 is a numeral n which is an expression e
- 1+z is an expression e because
 - > 1 is an expression e,
 - > z is an identifier x, which is an expression e, and
 - > e + e is an expression e
- let z = 1 in 1+z is an expression e because
 - > z is an identifier x,
 - > 1 is an expression e,
 - > 1+z is an expression e, and
 - > let x = e in e is an expression e

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Values

▶ A value v is an expression's final result

$$\mathbf{v} = \mathbf{n}$$

- Just numerals for now
 - In terms of an interpreter's representation:
 type value = int
 - In a full language, values v will also include booleans (true, false), strings, functions, ...

Defining the Semantics

- ► Use rules to define judgment e ⇒ v
- Judgments are just statements. We use rules to prove that the statement is true.
 - 1+3 ⇒ 4
 - > 1+3 is an expression e, and 4 is a value v
 - > This judgment claims that 1+3 evaluates to 4
 - > We use rules to prove it to be true
 - let foo=1+2 in foo+5 \Rightarrow 8
 - let f=1+2 in let z=1 in $f+z \Rightarrow 4$

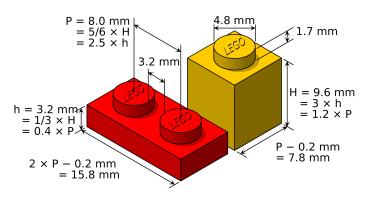
Rules as English Text

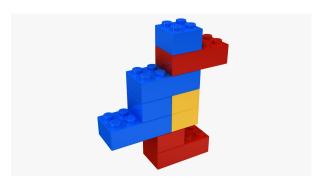
- Suppose e is a numeral n
 - Then **e** evaluates to itself, i.e., $n \Rightarrow n$
- Suppose e is an addition expression e1 + e2
 - If **e1** evaluates to **n1**, i.e., **e1** ⇒ **n1**
 - And if **e2** evaluates to n2, i.e., $e2 \Rightarrow n2$
 - Then e evaluates to n3, where n3 is the sum of n1 and n2
 - l.e., $e1 + e2 \Rightarrow n3$
- Suppose e is a let expression let x = e1 in e2
 - If e1 evaluates to v1, i.e., e1 ⇒ v1
 - And if $e2\{v1/x\}$ evaluates to v2, i.e., $e2\{v1/x\} \Rightarrow v2$
 - \rightarrow Here, e2 {v1/x} means "the expression after substituting occurrences of x in e2 with v1"
 - Then e evaluates to v2, i.e., let x = e1 in $e2 \Rightarrow v2$

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No rule when e is x

Rules are Lego Blocks







Rules of Inference

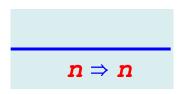
- We can use a more compact notation for the rules we just presented: rules of inference
 - Has the following format

$$H_1 \dots H_n$$

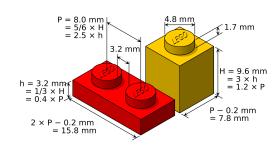
- Says: if the conditions H₁ ... H_n ("hypotheses") are true, then the condition C ("conclusion") is true
- If n=0 (no hypotheses) then the conclusion automatically holds; this is called an axiom
- We are using inference rules where C is our judgment about evaluation, i.e., that $e \Rightarrow v$

Rules of Inference: Num and Sum

- Suppose e is a numeral n
 - Then e evaluates to itself, i.e., n ⇒ n



- Suppose e is an addition expression e1 + e2
 - If e1 evaluates to n1, i.e., e1 ⇒ n1
 - If e2 evaluates to n2, i.e., e2 ⇒ n2
 - Then e evaluates to n3, where n3 is the sum of n1 and n2, i.e., $e1 + e2 \Rightarrow n3$



```
e1 \Rightarrow n1 e2 \Rightarrow n2 n3 is n1+n2
e1 + e2 \Rightarrow n3
```

Rules of Inference: Let

- Suppose e is a let expression let x = e1 in e2
 - If e1 evaluates to \mathbf{v} , i.e., e1 \Rightarrow \mathbf{v} 1
 - If $e2\{v1/x\}$ evaluates to v2, i.e., $e2\{v1/x\} \Rightarrow v2$
 - Then e evaluates to v2, i.e., let x = e1 in $e2 \Rightarrow v2$

```
e1 \Rightarrow v1 e2\{v1/x\} \Rightarrow v2
let x = e1 in e2 \Rightarrow v2
```

Derivations

- When we apply rules to an expression in succession, we produce a derivation
 - It's a kind of tree, rooted at the conclusion
- Produce a derivation by goal-directed search
 - Pick a rule that could prove the goal
 - Then repeatedly apply rules on the corresponding hypotheses
 - \rightarrow Goal: Show that let x = 4 in $x+3 \Rightarrow 7$

Derivations

$$e1 \Rightarrow n1 \qquad e2 \Rightarrow n2 \qquad n3 \text{ is } n1+n2$$

$$e1 + e2 \Rightarrow n3$$

$$e1 \Rightarrow v1 \qquad e2\{v1/x\} \Rightarrow v2$$

$$1et x = e1 \text{ in } e2 \Rightarrow v2$$

$$e2 \Rightarrow v2 \qquad e3 \Rightarrow v3 \Rightarrow 7$$

$$4 \Rightarrow 4 \qquad 3 \Rightarrow 3 \qquad 7 \text{ is } 4+3$$

$$4 \Rightarrow 4 \qquad 4+3 \Rightarrow 7$$

$$1 \text{ let } \mathbf{x} = 4 \text{ in } \mathbf{x}+3 \Rightarrow 7$$

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Quiz 1

What is derivation of the following judgment?

$$2 + (3 + 8) \Rightarrow 13$$

```
(a)

2 \Rightarrow 2   3 + 8 \Rightarrow 11

-----

2 + (3 + 8) \Rightarrow 13
```

```
(b)

8 \Rightarrow 8
3 \Rightarrow 3
11 \text{ is } 3+8
-----

2 \Rightarrow 2  3 + 8 \Rightarrow 11  13 \text{ is } 2+11
------

2 + (3 + 8) \Rightarrow 13
```

Quiz 1

What is derivation of the following judgment?

$$2 + (3 + 8) \Rightarrow 13$$

```
(a)

2 \Rightarrow 2   3 + 8 \Rightarrow 11

2 + (3 + 8) \Rightarrow 13
```

```
(b)

8 \Rightarrow 8

3 \Rightarrow 3

11 \text{ is } 3+8

-----

2 \Rightarrow 2  3 + 8 \Rightarrow 11  13 \text{ is } 2+11

-----

2 + (3 + 8) \Rightarrow 13
```

Definitional Interpreter

The style of rules lends itself directly to the implementation of an interpreter as a recursive function

```
let rec eval (e:exp):value =
  match e with
    Ident x -> (* no rule *)
     failwith "no value"
   Num n \rightarrow n
  | Plus (e1,e2) ->
     let n1 = eval e1 in
     let n2 = eval e2 in
     let n3 = n1+n2 in
     n3
  | Let (x,e1,e2) ->
     let v1 = eval e1 in
     let e2' = subst v1 \times e2 in
     let v2 = eval e2' in v2
```

```
n \Rightarrow n
e1 \Rightarrow n1 \qquad e2 \Rightarrow n2 \qquad n3 \text{ is } n1+n2
e1 + e2 \Rightarrow n3
```

$$e1 \Rightarrow v1$$
 $e2\{v1/x\} \Rightarrow v2$
let $x = e1$ in $e2 \Rightarrow v2$

Derivations = Interpreter Call Trees

$$4 \Rightarrow 4 \qquad 3 \Rightarrow 3 \qquad 7 \text{ is } 4+3$$

$$4 \Rightarrow 4 \qquad 4+3 \Rightarrow 7$$

$$1 \text{ let } x = 4 \text{ in } x+3 \Rightarrow 7$$

Has the same shape as the recursive call tree of the interpreter:

```
eval Num 4 \Rightarrow 4 eval Num 3 \Rightarrow 3 7 is 4+3

eval (subst 4 "x"

eval Num 4 \Rightarrow 4 Plus(Ident("x"), Num 3)) \Rightarrow 7

eval Let("x", Num 4, Plus(Ident("x"), Num 3)) \Rightarrow 7
```

Semantics Defines Program Meaning

- e ⇒ v holds if and only if a proof can be built
 - Proofs are derivations: axioms at the top, then rules whose hypotheses have been proved to the bottom
 - No proof means there exists no v for which e ⇒ v
- Proofs can be constructed bottom-up
 - In a goal-directed fashion
- ▶ Thus, function eval $e = \{v \mid e \Rightarrow v\}$
 - Determinism of semantics implies at most one element for any e
- So: Expression e means v

Environment-style Semantics

- So far, semantics used substitution to handle variables
 - As we evaluate, we replace all occurrences of a variable x with values it is bound to
- An alternative semantics, closer to a real implementation, is to use an environment
 - As we evaluate, we maintain an explicit map from variables to values, and look up variables as we see them

Environments

- Mathematically, an environment is a partial function from identifiers to values
 - If A is an environment, and x is an identifier, then A(x) can either be
 - > a value **v** (intuition: the value of the variable stored on the stack)
 - undefined (intuition: the variable has not been declared)
- An environment can visualized as a table
 - If A is

ld	Val
x	0
У	2

then A(x) is 0, A(y) is 2, and A(z) is undefined

Notation, Operations on Environments

- is the empty environment
- A,x:v is the environment that extends A with a mapping from x to v
 - We write x:v instead of •,x:v for brevity
 - NB. if A maps x to some v', then that mapping is shadowed by in A,x:v
- ▶ Lookup A(x) is defined as follows

•(x) = undefined

$$(A, y:v)(x) = \begin{cases} v & \text{if } x = y \\ A(x) & \text{if } x <> y \text{ and } A(x) \text{ defined} \\ \text{undefined} & \text{otherwise} \end{cases}$$

Definitional Interpreter: Environments

```
type env = (id * value) list

let extend env x v = (x,v)::env

let rec lookup env x =
  match env with
  [] -> failwith "undefined"
  | (y,v)::env' ->
  if x = y then v
  else lookup env' x
```

An environment is just a list of mappings, which are just pairs of variable to value - called an association list

Semantics with Environments

The environment semantics changes the judgment

 $e \Rightarrow v$

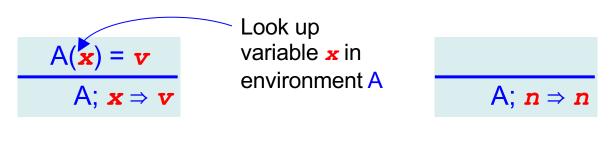
to be

A;
$$e \Rightarrow v$$

where A is an environment

- Idea: A is used to give values to the identifiers in e
- A can be thought of as containing declarations made up to e
- Previous rules can be modified by
 - Inserting A everywhere in the judgments
 - Adding a rule to look up variables x in A
 - Modifying the rule for let to add x to A

Environment-style Rules



A;
$$e1 \Rightarrow v1$$
 A, $x : v1$; $e2 \Rightarrow v2$ environment A with mapping from x to $v1$

A;
$$e1 \Rightarrow n1$$
 A; $e2 \Rightarrow n2$ $n3$ is $n1+n2$
A; $e1 + e2 \Rightarrow n3$

Definitional Interpreter: Evaluation

```
let rec eval env e =
 match e with
    Ident x -> lookup env x
   Num n \rightarrow n
  | Plus (e1,e2) ->
     let n1 = eval env e1 in
     let n2 = eval env e2 in
     let n3 = n1+n2 in
     n3
  | Let (x,e1,e2) ->
     let v1 = eval env e1 in
     let env' = extend env x v1 in
     let v2 = eval env' e2 in v2
```

Quiz 2

What is a derivation of the following judgment?

•; let x=3 in $x+2 \Rightarrow 5$

```
(a)

x \Rightarrow 3  2 \Rightarrow 2  5 is 3+2

3 \Rightarrow 3  x+2 \Rightarrow 5

----

let x=3 in x+2 \Rightarrow 5
```

```
(b) x:3; x \Rightarrow 3 \quad x:3; 2 \Rightarrow 2 \quad 5 \text{ is } 3+2

•; 3 \Rightarrow 3 \quad x:3; \quad x+2 \Rightarrow 5

•; let x=3 in x+2 \Rightarrow 5
```

Quiz 2

What is a derivation of the following judgment?

•; let x=3 in $x+2 \Rightarrow 5$

```
(c)

x:2; x⇒3 x:2; 2⇒2 5 is 3+2

•; let x=3 in x+2 ⇒ 5
```

```
(b) x:3; x \Rightarrow 3 \quad x:3; 2 \Rightarrow 2 \quad 5 \text{ is } 3+2

•; 3 \Rightarrow 3 \quad x:3; \quad x+2 \Rightarrow 5

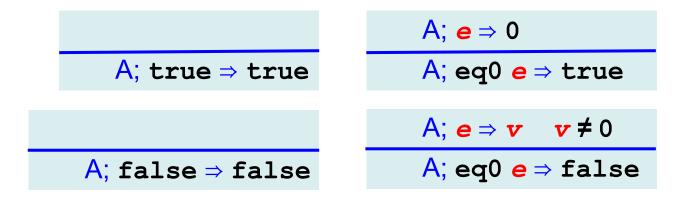
•; let x=3 \text{ in } x+2 \Rightarrow 5
```

Adding Conditionals to Micro-OCaml

```
e ::= x | v | e + e | let x = e in e
| eq0 e | if e then e else e
v::= n | true | false
```

In terms of interpreter definitions:

Rules for Eq0 and Booleans



- Booleans evaluate to themselves
 - A; false ⇒ false
- eq0 tests for 0
 - A; eq0 0 ⇒ true
 - A; eq0 3+4 ⇒ false

Rules for Conditionals

A;
$$e1 \Rightarrow \text{true} \quad A$$
; $e2 \Rightarrow v$

A; if $e1$ then $e2$ else $e3 \Rightarrow v$

A; $e1 \Rightarrow \text{false} \quad A$; $e3 \Rightarrow v$

A; if $e1$ then $e2$ else $e3 \Rightarrow v$

- Notice that only one branch is evaluated
 - A; if eq0 0 then 3 else $4 \Rightarrow 3$
 - A; if eq0 1 then 3 else $4 \Rightarrow 4$

Quiz 3

What is the derivation of the following judgment?

•; if eq0 3-2 then 5 else $10 \Rightarrow 10$

```
(a)
•; 3 ⇒ 3 •; 2 ⇒ 2 3-2 is 1
-----
•; eq0 3-2 ⇒ false •; 10 ⇒ 10
-----
•; if eq0 3-2 then 5 else 10 ⇒ 10
```

```
(c)
•; 3 ⇒ 3
•; 2 ⇒ 2
3-2 is 1
-----
•; 3-2 ⇒ 1  1 ≠ 0
-----
•; eq0 3-2 ⇒ false  •; 10 ⇒ 10
-----
•; if eq0 3-2 then 5 else 10 ⇒ 10
```

Quiz 3

What is the derivation of the following judgment?

•; if eq0 3-2 then 5 else $10 \Rightarrow 10$

```
(a)
•; 3 ⇒ 3 •; 2 ⇒ 2 3-2 is 1
•; eq0 3-2 ⇒ false •; 10 ⇒ 10
•; if eq0 3-2 then 5 else 10 ⇒ 10
```

```
(c)
•; 3 ⇒ 3
•; 2 ⇒ 2
3-2 is 1
-----
•; 3-2 ⇒ 1  1 ≠ 0
-----
•; eq0 3-2 ⇒ false  •; 10 ⇒ 10
-----
•; if eq0 3-2 then 5 else 10 ⇒ 10
```

Updating the Interpreter

```
let rec eval env e =
 match e with
    Ident x -> lookup env x
  I Val v \rightarrow v
  | Plus (e1,e2) ->
     let Int n1 = eval env e1 in
     let Int n2 = eval env e2 in
     let n3 = n1+n2 in
     Int. n3
  | Let (x,e1,e2) ->
     let v1 = eval env e1 in
     let env' = extend env x v1 in
     let v2 = eval env' e2 in v2
  | Eq0 e1 ->
     let Int n = \text{eval env e1} in
     if n=0 then Bool true else Bool false
  | If (e1,e2,e3) ->
     let Bool b = eval env e1 in
     if b then eval env e2
     else eval env e3
```

Pattern match will fail if e1 or e2 is not an Int; this is dynamic type checking! (But Match_failure not the best way to signal an error)

Basically both rules for eq0 in this one snippet

Both if rules here

Adding Closures to Micro-OCaml

```
e := x | v | e + e | let x = e in e
                eq0 e | if e then e else e
                | e e | fun x -> e
                                                        Environment
           \mathbf{v} := \mathbf{n} \mid \text{true} \mid \text{false} \mid (A, \lambda \mathbf{x}. \mathbf{e})
                                                                Code
                                                                (id and exp)
In terms of interpreter definitions:
  type exp =
                                    type value =
     | Val of value
                                         Int of int
       If of exp * exp * exp
                                      | Bool of bool
                                      | Closure of env * id * exp
      ... (* as before *)
     | Call of exp * exp
       Fun of id * exp
```

Rule for Closures: Lexical/Static Scoping

A; fun
$$x \rightarrow e \Rightarrow (A, \lambda x. e)$$

A; $e1 \Rightarrow (A', \lambda x. e)$

A; $e2 \Rightarrow v1$

A; $e1 \Rightarrow v$

A; $e1 \Rightarrow v$

- Notice
 - Creating a closure captures the current environment A
 - A call to a function
 - > evaluates the body of the closure's code e with function closure's environment A' extended with parameter x bound to argument v1
- Left to you: How will the definitional interpreter change?

Rule for Closures: Dynamic Scoping

A; fun
$$x \rightarrow e \Rightarrow (\bullet, \lambda x. e)$$

A; e1 \Rightarrow (\bullet , $\lambda x. e$)

A; e2 \Rightarrow v1 A, x: v1; e \Rightarrow v

A; e1 e2 \Rightarrow v

- Notice
 - Creating a closure ignores the current environment A
 - A call to a function
 - evaluates the body of the closure's code e with the current environment A extended with parameter x bound to argument v1
- Easy to see dynamic scoping was an implementation error!

Quick Look: Type Checking

- Inference rules can also be used to specify a program's static semantics
 - I.e., the rules for type checking
- We won't cover this in depth in this course, but here is a flavor.
- ▶ Types t ::= bool | int
- Judgment ⊢ e: t says e has type t
 - We define inference rules for this judgment, just as with the operational semantics

Some Type Checking Rules

Boolean constants have type bool

```
⊢ true:bool ⊢ false:bool
```

- Equality checking has type bool too
 - Assuming its target expression has type int

```
⊢e:int
⊢eq0 e:bool
```

Conditionals

```
⊢ e1:bool ⊢ e2:t ⊢ e3:t
⊢ if e1 then e2 else e3:t
```

Handling Binding

- What about the types of variables?
 - Taking inspiration from the environment-style operational semantics, what could you do?
- Change judgment to be G ⊢ e: t which says e has type t under type environment G
 - G is a map from variables x to types t
 - Analogous to map A, but maps vars to types, not values
- What would be the rules for let, and variables?

Type Checking with Binding

Variable lookup

$$G(x) = t$$

$$G \vdash x : t$$

analogous to

$$A(x) = v$$

$$A; x \Rightarrow v$$

Let binding

$$G \vdash e1:t1$$
 $G,x:t1 \vdash e2:t2$
 $G \vdash let x = e1 in e2:t2$

analogous to

A;
$$e1 \Rightarrow v1$$
 A, $x:v1$; $e2 \Rightarrow v2$
A; let $x = e1$ in $e2 \Rightarrow v2$

Scaling up

- Operational semantics (and similarly styled typing rules)
 can handle full languages
 - With records, recursive variant types, objects, first-class functions, and more
- Provides a concise notation for explaining what a language does. Clearly shows:
 - Evaluation order
 - Call-by-value vs. call-by-name
 - Static scoping vs. dynamic scoping
 - ... We may look at more of these later

Scaling up: Lego City



Scaling up: Web Assembly

★ webassembly.github.io/spec/core/



Introduction

Structure

Validation

Execution

Binary Format

Text Format

Appendix

Index of Types

Index of Instructions

Index of Semantic Rules

WebAssembly Specification

Release 1.1 (Draft, Mar 12, 2021)

Editor: Andreas Rossberg

Latest Draft: https://webassembly.github.io/spec/core/ Issue Tracker: https://github.com/webassembly/spec/issues/

- Introduction
 - Introduction
 - Overview
- Structure
 - Conventions
 - Values
 - o Types
 - Instructions
 - Modules
- Validation
 - Conventions

Scaling up: Web Assembly

★ webassembly.github.io/spec/core/exec/conventions.html#formal-notation



Introduction Structure Validation Execution

- Conventions
- Runtime Structure
- Numerics
- Instructions
- Modules

Binary Format

Text Format

Formal Notation

Note:

This section gives a brief explanation of the notation for specifying execution formally. For the interested reader, a more thorough introduction can be found in respective text books. [2]

The formal execution rules use a standard approach for specifying operational semantics, rendering them into *reduction rules*. Every rule has the following general form:

configuration

→ configuration

A *configuration* is a syntactic description of a program state. Each rule specifies one *step* of execution. As long as there is at most one reduction rule applicable to a given configuration, reduction – and thereby execution – is *deterministic*. WebAssembly has only very few exceptions to this, which are noted explicitly in this specification.

For WebAssembly, a configuration typically is a tuple $(S; F; instr^*)$ consisting of the current store S, the call frame F of the current function, and the sequence of instructions that is to be executed. (A more precise definition is given later.)

To avoid unnecessary clutter, the store S and the frame F are omitted from reduction rules that do not touch them.