# Computer Science 203 Programming Languages

Bindings, Procedures, Functions, Functional Programming, and the Lambda Calculus

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CMPS203 Lambda Calculus

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#### Plan

- Informal discussion of procedures and bindings
- Introduction to the lambda calculus
  - Syntax and operational semantics
  - Technicalities
  - Evaluation strategies
- Relationship to programming languages

Study of types and type systems (later)

## Beyond IMP: Procedures and Bindings

### Bindings

A binding associates a value or attribute with a name.

#### It can occur at various times:

- language definition or implementation time (e.g., defining the meaning of +),
- compile time or link time (e.g., constant inlining),
- run time (e.g., passing parameters).

with a trade-off between efficiency and flexibility

### Static vs Dynamic Scoping

Should this program print 0 or 1?

#### Dynamic Scoping

- use most recent value of Y
   when print(X × Y) is reached
- based on chain of activations
- cute, concise, confusing code

#### Static Scoping

- use "nearest" binding of Y that encloses  $print(X \times Y)$
- based on structure of the program
- easier to understand

```
declare Y;
procedure P(X);
  begin
     print(X * Y);
  end:
procedure Q(Y);
   begin
     P(Y);
   end;
begin
   y := 0;
   Q(1);
end;
```

### Higher-Order Languages and Scoping

- A language is higher-order if procedures can be passed as arguments or returned as results.
- Scoping issues are important for free variables in procedure parameters and results.
- In part because of scoping difficulties, some higherorder languages are not fully general.
   (E.g., Pascal does not allow procedure results.)

### The "downward funarg" Problem

```
declare Y;
procedure P();
  begin print(Y); end;
procedure Q(R);
  declare Y:
  begin Y := 0; R(); end;
begin Y := 1; Q(P); end;
```

Q should be given a closure for P (including Y).

### The "upward funarg" Problem

```
procedure R();
  declare Y:
  procedure Q();
    begin print(Y); end;
  begin Y := 0; return Q; end;
begin T := R(); T(); end;
```

· R should return a closure for Q (including Y).

### Parameter Passing

- There are many parameter-passing modes, such as:
  - By value: the formal is bound to a variable with an unused location, set to the actual's value.
  - By name (in the ALGOL sense): the actual is not evaluated until the point of use.
  - By reference: the formal is bound to the variable designated by the actual ("aliased").
  - In-only: by reference, but the procedure is not allowed to modify the parameter.
  - Out-only: on termination, the value of the formal is assigned to the actual.
  - By value-result: like by value, plus the copying of out-only.

# Lambda Calculus and Functional Programming

### Background

- Developed in 1930's by Alonzo Church.
- Subsequently studied (and still studied) by many people in logic and computer science.
- Considered the "testbed" for procedural and functional languages.
  - Simple.
  - Powerful.
  - Easy to extend with features of interest.

"Whatever the next 700 languages turn out to be, they will surely be variants of lambda calculus."

(Landin '66)

### Syntax

 The lambda calculus has three kinds of expressions (terms):

```
e ::= x Variables

| \lambda x.e | Functions (abstraction)

| e_1 e_2 | Application
```

- $\lambda x.e$  is a one-argument function with body e.
- $e_1 e_2$  is a function application.
- Application associates to the left:

```
x y z means (x y) z
```

Abstraction extends to the right as far as possible:

```
\lambda x. \times \lambda y. \times y z means \lambda x.(x (\lambda y. ((x y) z)))
```

### Examples of Lambda Expressions

The identity function:

$$I =_{def} \lambda x. x$$

 A function that given an argument y discards it and computes the identity function:

$$\lambda y. (\lambda x. x)$$

 A function that given a function f invokes it on the identity function:

$$\lambda f. f(\lambda x. x)$$

### Scoping, Free and Bound Variables

- Scope of an identifier
  - the portion of a program where the identifier is accessible
- An abstraction  $\lambda x$ . E binds the variable x in E:
  - x is the newly introduced variable.
  - E is the scope of x.
  - We say x is bound in  $\lambda x$ . E.
- y a free variables of E
  - if it has occurrences that are not bound in E.
  - defined recursively as follows:

```
Free(x) = { x}

Free(E_1 E_2) = Free(E_1) \cup Free(E_2)

Free(\lambda x. E) = Free(E) - { x }
```

• Example: Free( $\lambda x. \times (\lambda y. \times y. z)$ ) = { z }

### Free and Bound Variables (Cont.)

- Just like in any language with statically nested scoping we have to worry about variable shadowing.
  - An occurrence of a variable might refer to different things in different contexts.
- E.g., in IMP with locals: let  $x \leftarrow E$  in  $x + (let x \leftarrow E'$  in x) + x
- In lambda calculus:  $\lambda x. \times (\lambda x. \times) \times \uparrow \downarrow \downarrow \downarrow \downarrow$

### Renaming Bound Variables

- $\lambda$ -terms that can be obtained from one another by renaming bound variable occurrences are considered identical.
- Example:  $\lambda x$ . x is identical to  $\lambda y$ . y and to  $\lambda z$ . z
- Convention: we will often try to rename bound variables so that they are all unique
  - e.g., write  $\lambda x. \times (\lambda y.y) \times \text{instead of } \lambda x. \times (\lambda x.x) \times x$
- · This makes it easy to see the scope of bindings.

#### Substitution

- The substitution of E' for  $\times$  in E (written  $[E'/\times]E$ )
  - Step 1. Rename bound variables in E and E' so they are unique.
  - Step 2. Perform the textual substitution of E' for x in E.
- Example:  $[y (\lambda x. x) / x] \lambda y. (\lambda x. x) y x$ 
  - After renaming: [y ( $\lambda v$ . v)/x]  $\lambda z$ . ( $\lambda u$ . u) z x
  - After substitution:  $\lambda z$ . ( $\lambda u$ . u) z (y ( $\lambda v$ . v))

### The deBruijn Notation

- An alternative syntax avoids naming of bound variables (and the subsequent confusions).
- The deBruijn index of a variable occurrence is the number of lambda's that separate the occurrence from its binding lambda in the abstract syntax tree.
- The deBruijn notation replaces names of occurrences with their deBuijn index
- Examples:

-	λx.x	λ.0
_	$\lambda x. \lambda x. x$	λ.λ.Ο
-	λχ.λγ.γ	$\lambda.\lambda.0$
-	$(\lambda \times \times x) (\lambda \times \times x)$	$(\lambda.0\ 0)\ (\lambda.0\ 0)$
-	$\lambda x. (\lambda x. \lambda y.x) x$	$\lambda.(\lambda.\lambda.1)$ O

Identical terms have identical representations!

#### Informal Semantics

The evaluation of

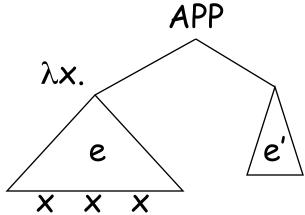
$$(\lambda x. e) e'$$

- 1. binds x to e',
- 2. evaluates e with the new binding,
- 3. yields the result of this evaluation.
- Like "let x = e' in e".
- Example:

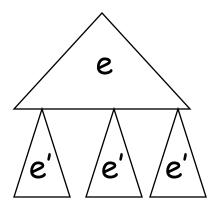
```
(\lambda f. f(f e)) g evaluates to g(g e)
```

#### Another View of Reduction

The application



becomes:



Terms can "grow" substantially through reduction!

### Operational Semantics

• We formalize this semantics with the  $\beta$ -reduction rule:

$$(\lambda x. e) e' \rightarrow_{\beta} [e'/x]e$$

- A term  $(\lambda x. e) e'$  is a  $\beta$ -redex.
- We write  $\mathbf{e} \to_{\beta} \mathbf{e}'$  if  $\mathbf{e} \beta$ -reduces to  $\mathbf{e}'$  in one step.
- We write  $\mathbf{e} \to_{\beta}^* \mathbf{e}'$  if  $\mathbf{e} \beta$ -reduces to  $\mathbf{e}'$  in many steps.

### **Examples of Evaluation**

The identity function:

$$(\lambda x. x) E$$

$$\rightarrow [E / x] x$$

$$= E$$

Another example with the identity:

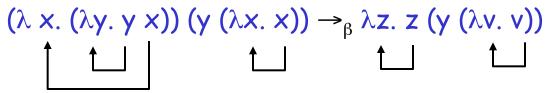
```
(\lambda f. f (\lambda x. x)) (\lambda x. x)
\rightarrow [\lambda x. x / f] f (\lambda x. x)
= [(\lambda x. x) / f] f (\lambda y. y)
= (\lambda x. x) (\lambda y. y)
\rightarrow [\lambda y. y / x] x
= \lambda y. y
```

### Examples of Evaluation (Cont.)

A non-terminating evaluation:

### Evaluation and Static Scoping

 The definition of substitution guarantees that evaluation respects static scoping:



(y remains free, i.e., defined externally)

If we forget to rename the bound y:

(y was free before but is bound now)

#### Nondeterministic Evaluation

We define a small-step reduction relation:

$$\begin{array}{c|c} \hline (\lambda x.\ e)\ e' \rightarrow [e'/x]e \\ \hline \\ e_1 \rightarrow e_1' \\ \hline e_1\ e_2 \rightarrow e_1'\ e_2 \\ \hline \\ e_1\ e_2 \rightarrow e_1\ e_2' \\ \hline \\ \lambda x.\ e \rightarrow \lambda x.\ e' \\ \hline \end{array}$$

- · This is a nondeterministic set of rules.
- · Three congruence rule saying where to evaluate
  - e.g. under  $\lambda$

#### Contexts

Define contexts with one hole

$$H := \bullet \mid \lambda x. H \mid He \mid eH$$

- H[e] fills the hole in H with the expression e.
- Example:

$$H = \lambda x. x \bullet H[\lambda y.y] = \lambda x. x (\lambda y. y)$$

Filling the hole allows variable capture!

$$H = \lambda x. x \bullet$$
  $H[x] = \lambda x. x x$ 

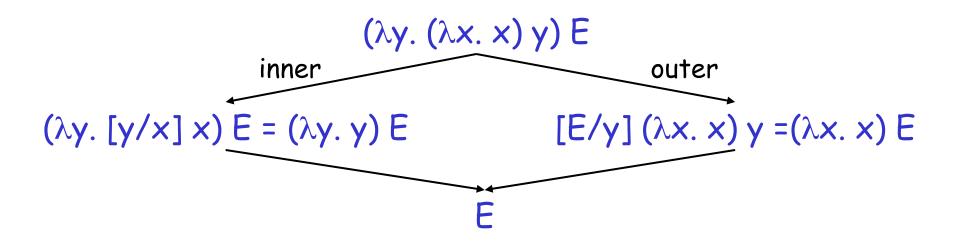
### Context-Based Version of Operational Semantics

Contexts simplify writing congruence rules.

- Reduction occurs at a  $\beta$ -redex that can be anywhere inside the expression.
- The above rules do not specify which redex must be reduced first.
- The second rule is called a congruence or structural rule.

#### The Order of Evaluation

- In a  $\lambda$ -term there could be many  $\beta$ -redexes ( $\lambda x$ . E) E'
- (λy. (λx. x) y) E
  - We could reduce the inner or the outer application.
  - Which one should we pick?

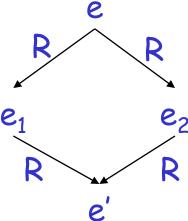


#### Normal Forms

- A term without redexes is in normal form.
- A reduction sequence stops at a normal form.
- If e is in normal form and e  $\rightarrow^*_\beta$  e' then e is identical to e' .
- $K = \lambda x \cdot \lambda y \cdot x$  is in normal form.
- $K \lambda z$ . z is not in normal form.

### The Diamond Property

• A relation R has the diamond property if whenever  $e R e_1$  and  $e R e_2$  then there exists e' such that  $e_1 R e'$  and  $e_2 R e'$ .



- $m{\cdot} \quad \rightarrow_{eta}$  does not have the diamond property.
  - For example, consider  $(\lambda x. \times \times \times)(\lambda y. (\lambda x. \times) y)$ .
- $\rightarrow_{\beta}$ \* has the diamond property.
  - The proof is quite technical.

### The Diamond Property

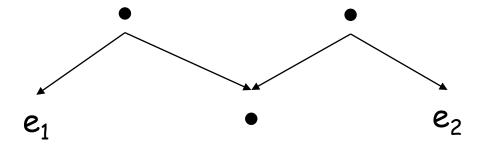
- Languages defined by nondeterministic sets of rules are common:
  - Logic programming languages.
  - Expert systems.
  - Constraint satisfaction systems.
  - Make.
- It is useful to know whether such systems have the diamond property.

### Equality

• Let  $=_{\beta}$  be the reflexive, transitive and symmetric closure of  $\rightarrow_{\beta}$ :

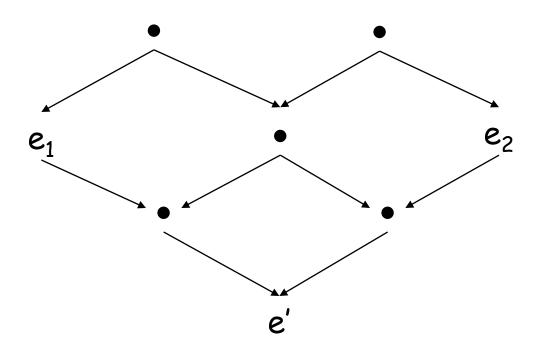
$$=_{\beta}$$
 is  $(\rightarrow_{\beta} \cup \leftarrow_{\beta})^*$ 

• That is,  $e_1 = e_2$  if  $e_1$  converts to  $e_2$  via a sequence of forward and backward  $\rightarrow_{\beta}$ :



### The Church-Rosser Theorem

• If  $e_1$  =  $_\beta$   $e_2$  then there exists e' such that  $e_1 \to_\beta^* e'$  and  $e_2 \to_\beta^* e'$  :



 Proof (informal): apply the diamond property as many times as necessary.

#### Corollaries

- If  $e_1 = e_2$  and  $e_1$  and  $e_2$  are normal forms then  $e_1$  is identical to  $e_2$ .
  - From CR we have  $\exists e'. e_1 \rightarrow^*_{\beta} e'$  and  $e_2 \rightarrow^*_{\beta} e'.$
  - Since  $e_1$  and  $e_2$  are normal forms they are identical to e'.
- If  $e \to_{\beta}^* e_1$  and  $e \to_{\beta}^* e_2$  and  $e_1$  and  $e_2$  are normal forms then  $e_1$  is identical to  $e_2$ .
  - Every term has a unique normal form (if it has a normal form at all).

#### Combinators

- A  $\lambda$ -term without free variables is a closed term or a combinator.
  - Some interesting examples:

```
I = \lambda x. x
K = \lambda x. \lambda y. x
S = \lambda f. \lambda g. \lambda x. f \times (g \times)
D = \lambda x. x \times x
Y = \lambda f. (\lambda x. f (x \times)) (\lambda x. f (x \times))
```

- Theorem: Any closed term is equivalent to one written with just 5, K, I.
  - Example:  $D =_{\beta} S I I$

(we will discuss this form of equivalence)

### **Evaluation Strategies**

- Church-Rosser theorem says that independently of the reduction strategy we will not find more than one normal form.
- Some reduction strategies might fail to find a normal form:
  - $(\lambda x. y) ((\lambda y. y y) (\lambda y. y y)) \rightarrow (\lambda x. y) ((\lambda y. y y) (\lambda y. y y)) \rightarrow ...$
  - $(\lambda x. y) ((\lambda y. y y) (\lambda y. y y)) \rightarrow y$
- · We will consider three strategies:
  - normal order
  - call-by-name
  - call-by-value

#### Normal-Order Reduction

- A redex is outermost if it is not contained inside another redex.
- Example:

$$S(K \times y)(K \cup v)$$

- Both K u and S  $(K \times y)$  are outermost.
- Normal order always reduces the leftmost outermost redex first.
- Theorem: If e has a normal form e' then normal order reduction will reduce e to e'.

# Why Not Normal Order? (Weak vs. Strong Reduction)

- In most (all?) programming languages, functions are considered values (fully evaluated).
- Thus, no reduction is done under lambdas.
   Reduction is "weak".
- Reduction under lambdas ("strong" reduction) can play a role in partial evaluation and other optimizations.

### Call-by-Name

- Don't reduce under λ.
- Don't evaluate the argument to a function call.
- · Call-by-name is demand-driven
  - an expression is not evaluated unless needed.
- It is normalizing
  - it converges whenever normal order converges.
- Call-by-name does not necessarily evaluate to a normal form.

## Call-by-Name

## • Example:

```
(\lambda y. (\lambda x. x) y) ((\lambda u. u) (\lambda v. v))

\rightarrow_{\beta} (\lambda x. x) ((\lambda u. u) (\lambda v. v))

\rightarrow_{\beta} (\lambda u. u) (\lambda v. v)

\rightarrow_{\beta} \lambda v. v
```

### Call-by-Value Evaluation

- Don't reduce under lambda.
- Do evaluate the argument to a function call.
- Most languages are primarily call-by-value.
- But CBV is not normalizing
  - (λx. I) (D D)
  - CBV may diverge even if normal order (or CBN) converges.

#### Considerations

- · Call-by-value:
  - Easy to implement.
  - Predictable evaluation order
    - well-behaved with respect to side-effects
- · Call-by-name:
  - More difficult to implement
    - must pass unevaluated exprs
  - Order of evaluation is less predictable
    - side-effects are problematic
  - Has a simpler theory than call-by-value.
  - Terminates more often than call-by-value.

#### CBV vs. CBN

- The debate about whether languages should be strict (CBV) or lazy (CBN) is decades old.
- This debate is confined to the functional programming community (where it is sometimes intense).
- · CBV appears to be winning at the moment.
- Outside the functional community CBN is rarely considered (though it arises in special cases).

#### Review

The lambda calculus is a calculus of functions:

$$e := x | \lambda x. e | e_1 e_2$$

• Several evaluation strategies exist based on  $\beta$ reduction:

(
$$\lambda x.e$$
)  $e' \rightarrow_{\beta} [e'/x] e$ 

 How does this simple calculus relate to real programming languages?

### Functional Programming

- The lambda calculus is a prototypical functional language with:
  - no side effects,
  - several evaluation strategies,
  - lots of functions,
  - nothing but functions
     (pure lambda calculus does not have any other data type).
- · How can we program with functions?
- How can we program with only functions?

### Programming With Functions

- Functional programming style is a programming style that relies on lots of functions.
- A typical functional paradigm is using functions as arguments or results of other functions.
  - Higher-order programming.
- Some "impure" functional languages permit sideeffects (e.g., Lisp, Scheme, ML, OCaml):
  - references (pointers), arrays, exceptions.

### Variables in Functional Languages

We can introduce new variables:

let 
$$x = e_1$$
 in  $e_2$ 

- x is bound by let.
- x is statically scoped in  $e_2$ .
- This is much like  $(\lambda x. e_2) e_1$ .
- In a functional language, variables are never updated.
  - They are just names for expressions.
  - E.g., x is a name for the value denoted by  $e_1$  in  $e_2$ .
- This models the meaning of "let" in mathematics.

## Referential Transparency

 In "pure" functional programs, we can reason equationally, by substitution:

let 
$$x = e_1$$
 in  $e_2 \equiv [e_1/x]e_2$ 

- In an imperative language a "side-effect" in  $e_1$  might invalidate this equation.
- The behavior of a function in a "pure" functional language depends only on the actual arguments.
  - Just like a function in mathematics.
  - This makes it easier to understand and to reason about functional programs.

#### Expressiveness of Lambda Calculus

- The lambda calculus is a minimal system but can express:
  - data types (integers, booleans, pairs, lists, trees, etc.),
  - branching,
  - recursion.
- This is enough to encode Turing machines.
- Corollary:  $e =_{\beta} e'$  is undecidable.
- Still, how do we encode all these constructs using only functions?
- Idea: encode the "behavior" of values and not their structure.

### Encoding Booleans in Lambda Calculus

- What can we do with a boolean?
  - We can make a binary choice.
- A boolean is a function that given two choices selects one of them:
  - true =  $_{def} \lambda x. \lambda y. x$
  - false =  $def \lambda x$ .  $\lambda y$ . y
  - if  $E_1$  then  $E_2$  else  $E_3 =_{def} E_1 E_2 E_3$
- · Example: "if true then u else v" is

$$(\lambda x. \lambda y. x) u v \rightarrow_{\beta} (\lambda y. u) v \rightarrow_{\beta} u$$

### Encoding Pairs in Lambda Calculus

- What can we do with a pair?
  - We can select one of its elements.
- A pair is a function that given a boolean returns the left or the right element:

```
mkpair x y =_{def} \lambda b. b x y
fst p =<sub>def</sub> p true
snd p =<sub>def</sub> p false
```

· Example:

```
fst (mkpair xy) \rightarrow (mkpair xy) true \rightarrow true xy \rightarrow x
```

## Encoding Natural Numbers in Lambda Calculus

- What can we do with a natural number?
  - We can iterate a number of times over some function.
- A natural number is a function that given an operation f and a starting value s, applies f to s a number of times:

```
0 =_{def} \lambda f. \lambda s. s
1 =_{def} \lambda f. \lambda s. f s
2 =_{def} \lambda f. \lambda s. f (f s)
and so on.
```

 These are numerals in unary representation, or Church numerals. There are others (e.g., Scott's).

### Computing with Natural Numbers

The successor function

succ 
$$n =_{def} \lambda f. \lambda s. f (n f s)$$
  
or succ  $n =_{def} \lambda f. \lambda s. n f (f s)$ 

Addition

add 
$$n_1 n_2 =_{def} n_1$$
 succ  $n_2$ 

Multiplication

mult 
$$n_1 n_2 =_{def} n_1 \pmod{n_2} 0$$

· Testing equality with 0

iszero n = 
$$_{def}$$
 n ( $\lambda b$ . false) true

### Computing with Natural Numbers: Example

### Computing with Natural Numbers: Example

What is the result of the application add 0?

```
(\lambda n_1. \lambda n_2. n_1 \text{ succ } n_2) 0 \rightarrow_{\beta} \lambda n_2. 0 \text{ succ } n_2 = \lambda n_2. (\lambda f. \lambda s. s) \text{ succ } n_2 \rightarrow_{\beta} \lambda n_2. n_2 = \lambda x. x
```

- By computing with functions we can express some optimizations.
  - But we need to reduce under lambdas.

### **Encoding Recursion**

- Given a predicate P encode the function "find" such that "find P n" is the smallest natural number which is larger than n and satisfies P.
  - With find we can encode all recursion
- "find" satisfies the equation:

```
find p n = if p n then n else find p (succ n)
```

Define

```
F = \lambda f.\lambda p.\lambda n.(p n) n (f p (succ n))
```

We need a fixed point of F:

```
find = F find
```

or

find 
$$p n = F find p n$$

#### The Y Fixed-Point Combinator

- Let  $Y = \lambda F$ .  $(\lambda y.F(y y)) (\lambda x. F(x x))$ 
  - This is called the (or a) fixed-point combinator.
  - Verify that Y F is a fixed point of F Y F  $\rightarrow_{\beta}$  ( $\lambda y$ .F ( $\gamma y$ )) ( $\lambda x$ . F (x x))  $\rightarrow_{\beta}$  F(( $\lambda y$ .F ( $\gamma y$ ))( $\lambda x$ . F (x x))) F(YF)  $\rightarrow_{\beta}$  F(( $\lambda y$ .F ( $\gamma y$ )) ( $\lambda x$ . F (x x)))
  - Thus  $Y F =_{\beta} F (Y F)$
- Given any function in lambda calculus we can compute its fixed-point (if it has one).
  - We may also let rec x. b =  $Y(\lambda x. b)$
- Thus we can define "find" as the fixed-point of the function from the previous slide.
- The essence of recursion is the self-application "y y".

### Expressiveness of Lambda Calculus

- Encodings are fun.
- But programming in pure lambda calculus is painful.
- Encodings complicate static analysis.
- We will add constants (0, 1, 2, ..., true, false, if-thenelse, etc.).
- And we will add types.

## Lisp, Briefly

## Lisp (from ca. 1960)

- Not Fortran or C (a chance to think differently).
- A fairly elegant, minimal language.
- · Representing many general themes in language design.
- By now, with many dialects and a wide influence.
- Emphasis on artificial intelligence and symbolic computation.

#### Syntax

- · Simple, regular syntax:
  - (+ (\* 1 2 3 4) 5)
  - $(f \times y z)$
  - (cond (p1 e1) ... (pn en))
- · No explicit typing.

#### Atoms, S-expressions, Lists

- Atoms include numbers and indivisible strings.
- Symbolic expressions (s-expressions) are atoms and pairs.
- · Lists are built up from the atom nil and pairing.

#### Primitives

- Basic functions on numbers and pairs: cons car cdr eq atom
- Control: cond
- Declaration and evaluation: lambda quote eval
- Some functions with side-effects (for efficiency):
   rplaca rplacd set setq

## Example:

```
(lambda (x) (cond ((atom x) x) (T (cons 'A x))))
```

#### Evaluation

- Interactive evaluation, often with an interpreter: read-eval-print loop.
- Also compilation (though with some historical complications).
- Function calls evaluate all their arguments.
- Special forms do not evaluate all their arguments.
  - E.g., (cond ...).
  - E.g., (quote A).

#### Some Contributions of Lisp

- Expression-oriented language.
  - Lots of parentheses!
- · Abstract view of memory:
  - Cells (rather than concrete addresses).
  - Garbage collection.
- Programs as data.
  - Higher-order functions.
  - "Metacircular" interpreters.

## Reading

· Read Cardelli's paper "Type Systems".