



编程语言的设计原理

Design Principles of Programming Languages

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Peking University, Spring Term 2024



Recap: untyped lambda-calculus

Syntax

$t ::=$
 x
 $\lambda x. t$
 $t t$

$v ::=$
 $\lambda x. t$

terms:
variable
abstraction
application

values:
abstraction value

Evaluation

$t \rightarrow t'$

$\frac{t_1 \rightarrow t'_1}{t_1 t_2 \rightarrow t'_1 t_2}$	(E-APP1)
$\frac{t_2 \rightarrow t'_2}{v_1 t_2 \rightarrow v_1 t'_2}$	(E-APP2)
$(\lambda x. t_{12}) v_2 \rightarrow [x \mapsto v_2] t_{12}$	(E-APPABS)

- Terminology:
 - terms in the pure λ -calculus are often called λ -terms
 - terms of the form $\lambda x. t$ are called λ -abstractions or just abstractions



Syntactic conventions

- The λ -calculus provides *only one-argument functions*, all multi-argument functions must be written *in curried style*.
- The following *conventions* make the linear forms of terms easier to read and write:
 - Application *associates to the left*
e.g., $t u v$ means $(t u) v$, not $t (u v)$
 - Bodies of λ -abstractions *extend as far to the right as possible*
e.g., $\lambda x. \lambda y. x y$ means $\lambda x. (\lambda y. x y)$, not $\lambda x. (\lambda y. x) y$



Scope

- *An occurrence* of the variable x is said to be *bound* when it occurs in the body t of an abstraction $\lambda x.t$, i.e.,
 - the λ -abstraction term $\lambda x.t$ binds the variable x , and the scope of this binding is the body t .
 - λx is a *binder* whose *scope* is t .
 - a binder can be *renamed* as necessary
 - so-called: *alpha-renaming*
 - e.g., $\lambda x.x = \lambda y.y$

Operational Semantics

- *Beta-reduction*: the only computation (**substitution**)

$$(\lambda x. t_{12}) t_2 \rightarrow [x \mapsto t_2] t_{12},$$

- the term obtained by *replacing all free occurrences* of x in t_{12} by t_2
- a term of the form $(\lambda x.t) v$ — a *λ -abstraction* applied to a *value* — is called a *redex* (short for “*reducible expression*”)
- the operation of rewriting a *redex* according to the above rule is called *beta-reduction*

- Examples:

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

$$(\lambda x. x (\lambda x. x)) (u r) \rightarrow u r (\lambda x. x)$$



Evaluation Strategies

- Full beta-reduction
 - *any redex* may be reduced *at any time*.
 - **confluent** under full beta-reduction
- **normal order** strategy
 - The *leftmost, outmost redex* is always reduced *first*.
- *call-by-name* strategy
 - a *more restrictive normal order* strategy, *allowing no reduction inside abstraction*.
- *call-by-value* strategy
 - *only outermost redexes* are reduced and
 - where a redex is reduced *only when its right-hand side* has already been reduced to *a value*
 - **strict** in the sense that *the arguments to functions are always evaluated, whether or not they are used* by the body of the function.
 - reflects standard conventions found in most mainstream languages.
 - adopted in our course



Operational Semantics

- Computation rule

$$(\lambda x. t_{12}) v_2 \longrightarrow [x \mapsto v_2]t_{12} \quad (\text{E-APPABS})$$

- Congruence rules

$$\frac{t_1 \longrightarrow t'_1}{t_1 t_2 \longrightarrow t'_1 t_2} \quad (\text{E-APP1})$$

$$\frac{t_2 \longrightarrow t'_2}{v_1 t_2 \longrightarrow v_1 t'_2} \quad (\text{E-APP2})$$



Programming in the Lambda Calculus

Multiple Arguments

Church Booleans

Pairs

Church Numerals

Recursion



Church Booleans

- Boolean values can be encoded as:

$$\text{tru} = \lambda t. \lambda f. t$$
$$\text{fls} = \lambda t. \lambda f. f$$

- Boolean conditional and operators can be encoded as:

$$\text{test} = \lambda l. \lambda m. \lambda n. l m n$$
$$\text{not} = \lambda b. b \text{ fls } \text{tru}$$
$$\text{and} = \lambda b. \lambda c. b c \text{ fls}$$
$$\text{or} = \lambda a. \lambda b. a \text{ tru } b$$



Church Numerals

- *Encoding Church numerals*
 - *Basic* idea: represent the number n by **a function** that “repeats **some action** n **times**”, making numbers into **active entities**

$$\begin{aligned} c_0 &= \lambda s. \lambda z. z \\ c_1 &= \lambda s. \lambda z. s z \\ c_2 &= \lambda s. \lambda z. s (s z) \\ c_3 &= \lambda s. \lambda z. s (s (s z)) \end{aligned}$$

- each number n is represented by **a term** c_n taking **two arguments**, s and z (for “successor” and “zero”), and applies s , n times, to z .



Multiple Arguments

- In general, $\lambda x. \lambda y. t$ is a function that, given a value v for x , yields a function that, given a value u for y , yields t with v in place of x and u in place of y .
 - i.e., $\lambda x. \lambda y. t$ is a *two-argument function*.
- λ -abstraction that does nothing but *immediately yields another abstraction* — is very common in the λ -calculus.



Recursion in the Lambda Calculus



Recursion

- Basic Idea:

A *recursive* definition:

$h = \langle \text{body containing } h \rangle$



First try: Self-application function: Divergence

$$\text{Omega} = (\lambda x. x x) (\lambda x. x x)$$

- Note that **omega** evaluates *in one step* to *itself* !
 - evaluation of **omega** **never reaches a normal form**: it diverges.
- Terms with no normal form are said to **diverge**.
- Divergent computation **does not seem very useful in itself**. However, there are **variants** of **omega** that are **very useful** ...



Recursion

- Suppose f is some λ -abstraction, and consider the following term:

$$Y_f = (\lambda x. f (x x)) (\lambda x. f (x x));$$

$$\begin{aligned} Y_f &= \\ &\frac{(\lambda x. f (x x)) (\lambda x. f (x x))}{\longrightarrow} \\ & f \left(\frac{(\lambda x. f (x x)) (\lambda x. f (x x))}{\longrightarrow} \right) \\ & f \left(f \left(\frac{(\lambda x. f (x x)) (\lambda x. f (x x))}{\longrightarrow} \right) \right) \\ & f \left(f \left(f \left(\frac{(\lambda x. f (x x)) (\lambda x. f (x x))}{\longrightarrow} \right) \right) \right) \\ & \dots \end{aligned}$$



Recursion

- Y_f is still **not very useful**, since (like **omega**), all it does is **diverge**.
- Is there any way we could “**slow it down**”?



Recursion: Delaying divergence

$\text{delay} = \lambda y. \text{omega}$

- Note that **delay** is a *value* — it will only diverge when actually applying it to an argument, i.e., we *can safely pass it as an argument to other functions*, return it *as a result from functions*, etc.

$(\lambda p. \text{fst} (\text{pair } p \text{ fls}) \text{tru}) \text{delay}$

→

$\text{fst} (\text{pair } \text{delay} \text{ fls}) \text{tru}$

→

$\text{delay } \text{tru}$

→

omega

→

.....



Recursion: Delaying divergence

- Here is a variant of *omega* in which the *delay* and *divergence* are a bit more tightly intertwined:

$$\text{omegav} = \lambda y. (\lambda x. (\lambda y. x x y)) (\lambda x. (\lambda y. x x y)) y$$

- Note that *omegav* is a normal form. However, if we apply it to any argument *v*, it diverges:

$$\begin{aligned}
 & \text{omegav } v = \\
 & \underline{(\lambda y. (\lambda x. (\lambda y. x x y)) (\lambda x. (\lambda y. x x y)) y) } \ v \\
 & \quad \rightarrow \\
 & \underline{(\lambda x. (\lambda y. x x y)) (\lambda x. (\lambda y. x x y)) } \ v \\
 & \quad \rightarrow \\
 & \lambda y. (\lambda x. (\lambda y. x x y)) (\lambda x. (\lambda y. x x y)) y \ v \\
 & \quad = \\
 & \text{omegav } v
 \end{aligned}$$

Recursion: another Delayed variant

- Suppose f is a function. Define

$$Z_f = \lambda y. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y)) y$$

by combining the “added f ” from Y_f with the “delayed divergence” of ω_{av} .

- Apply Z_f to an argument v , something interesting happens:

$$\begin{aligned}
 & Z_f v = \\
 & \underline{(\lambda y. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y)) y)} v \\
 & \quad \rightarrow \\
 & \underline{(\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y))} v \\
 & \quad \rightarrow \\
 & f (\lambda y. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y)) y) v \\
 & \quad = \\
 & f Z_f v
 \end{aligned}$$



Recursion: another Delayed variant

$$\begin{aligned} & Z_f \ v = \\ & (\lambda y. (\lambda x. f (\lambda y. x \ x \ y))) (\lambda x. f (\lambda y. x \ x \ y)) \ y \ v \\ & \quad \rightarrow \\ & (\lambda x. f (\lambda y. x \ x \ y)) (\lambda x. F (\lambda y. x \ x \ y)) \ v \\ & \quad \rightarrow \\ & f (\lambda y. (\lambda x. f (\lambda y. x \ x \ y))) (\lambda x. f (\lambda y. x \ x \ y)) \ y \ v \\ & \quad = \\ & f \ Z_f \ v \end{aligned}$$

- Since Z_f and v are **both values**, the next computation step will be **the reduction of $f \ Z_f$** — that is, **f gets to do some computation** before it “diverges”



Recursion: Generic Z

If we define

$$Z = \lambda f. Z_f$$

i.e.,

$$Z = \lambda f. \lambda y. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y)) y$$

then we can obtain the behavior of Z_f for any f we like, simply by applying Z to f .

$$Z f \rightarrow Z_f$$



Recursion

- Fixed-point combinator

$$\mathbf{fix} = \lambda f. (\lambda x. \mathbf{f} (\lambda y. x x y)) (\lambda x. \mathbf{f} (\lambda y. x x y));$$

$$\mathbf{fix} \mathbf{f} = \mathbf{f} (\lambda y. (\mathbf{fix} \mathbf{f}) y)$$

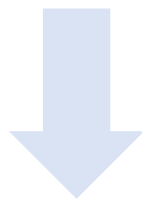
- $Z = \lambda f. \lambda y. (\lambda x. \mathbf{f} (\lambda y. x x y)) (\lambda x. \mathbf{f} (\lambda y. x x y)) y$

Z here is essentially the same as the \mathbf{fix} given in the textbook

Recursion

- Basic Idea:

A *recursive* definition:

$$h = \langle \text{body containing } h \rangle$$

$$g = \lambda f . \langle \text{body containing } f \rangle$$
$$h = \text{fix } g$$

Recursion

- Example:

$fac = \lambda n. \text{if } eq\ n\ c0$
 then $c1$
 else $times\ n\ (fac\ (\text{pred}\ n))$



$g = \lambda f . \lambda n. \text{if } eq\ n\ c0$
 then $c1$
 else $times\ n\ (f\ (\text{pred}\ n))$
 $fac = \text{fix}\ g$

Exercise: Check that $fac\ c3 \rightarrow c6$.



Recursion

$$\text{fix} = \lambda f. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y))$$
$$Y_f = (\lambda x. \mathbf{f} (x x)) (\lambda x. \mathbf{f} (x x));$$

- Assuming call-by-value
 - $(x x)$ in Y_f is not a value
 - while $(\lambda y. x x y)$ is a value
 - Y_f will diverge for any \mathbf{f}



Formalities (Formal Definitions)

Syntax (free variables)

Substitution

Operational Semantics



Syntax

- **Definition [Terms]:**

Let \mathcal{V} be a *countable set* of variable names.

The set of terms is *the smallest set* \mathcal{T} such that

1. $x \in \mathcal{T}$ for every $x \in \mathcal{V}$;
2. if $t_1 \in \mathcal{T}$ and $x \in \mathcal{V}$, then $\lambda x.t_1 \in \mathcal{T}$;
3. if $t_1 \in \mathcal{T}$ and $t_2 \in \mathcal{T}$, then $t_1 t_2 \in \mathcal{T}$.



Syntax

- **Definition:** Free Variables of term t , written as $FV(t)$:

$$FV(x) = \{x\}$$

$$FV(\lambda x.t_1) = FV(t_1) \setminus \{x\}$$

$$FV(t_1 t_2) = FV(t_1) \cup FV(t_2)$$

- Please prove that $|FV(t)| \leq \text{size}(t)$ for every term t



Operational Semantics

Syntax

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$(\lambda x. t_{12}) v_2 \rightarrow [x \mapsto v_2] t_{12}$	(E-APPABS)
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Substitution

$$[x \mapsto s]x = s$$

$$[x \mapsto s]y = y \quad \text{if } y \neq x$$

$$[x \mapsto s](\lambda y. t_1) = \lambda y. [x \mapsto s]t_1 \quad \text{if } y \neq x \text{ and } y \notin FV(s)$$

$$[x \mapsto s](t_1 t_2) = [x \mapsto s]t_1 [x \mapsto s]t_2$$

Alpha-conversion : Terms that *differ only in the names of bound variables* are interchangeable *in all contexts*.

Example:

$$\begin{aligned} & [x \mapsto y z] (\lambda y. x y) \\ &= [x \mapsto y z] (\lambda w. x w) \\ &= \lambda w. y z w \end{aligned}$$



Chapter 6

Nameless Representation of Terms

Terms and Contexts

Shifting and Substitution

Bound Variables

- Recall that bound variables can be renamed, at any moment, to enable substitution:

$$[x \mapsto s]x = s$$

$$[x \mapsto s]y = y \quad \text{if } y \neq x$$

$$[x \mapsto s](\lambda y. t_1) = \lambda y. [x \mapsto s]t_1 \quad \text{if } y \neq x \text{ and } y \notin FV(s)$$

$$[x \mapsto s](t_1 t_2) = [x \mapsto s]t_1 [x \mapsto s]t_2$$

- Variable Representation

- Represent variables symbolically, with variable renaming mechanism
- Represent variables symbolically, with bound variables are all different
- “**Canonically**” represent variables in a way such that renaming is unnecessary
- No use of variables: combinatory logic



Terms and Contexts



Nameless Terms

- Need to keep careful track of how many free variables each term may contain.

Definition [Terms]: Let \mathcal{T} be *the smallest family of sets* $\{\mathcal{T}_0, \mathcal{T}_1, \mathcal{T}_2, \dots\}$ such that

1. $k \in \mathcal{T}_n$ whenever $0 \leq k < n$;
 2. if $t_1 \in \mathcal{T}_n$ and $n > 0$, then $\lambda.t_1 \in \mathcal{T}_{n-1}$;
 3. if $t_1 \in \mathcal{T}_n$ and $t_2 \in \mathcal{T}_n$, then $(t_1 t_2) \in \mathcal{T}_n$.
- **Note:**
 - terms with **no free variables** are called the **0-terms**; **1-terms (one free variables)**, ...
 - \mathcal{T}_n are set of terms with at most n free variables, **n-terms**, numbered between **0** and **n-1**: a given element of \mathcal{T}_n need not have free variables with all these numbers, or indeed any free variables at all. When t is closed, for example, it will be an element of \mathcal{T}_n for every n .
 - two ordinary terms are **equivalent modulo renaming of bound variables** iff they have the **same de Bruijn representation**.



Name Context

- To deal with terms containing free variables, to represent

$$\lambda x. y x$$

x as a nameless term.

We know what to do with x , but we cannot see the binder for y , so it is *not clear how “far away”* it might be and we do not know what number to assign to it.



Name Context

Definition: Suppose x_0 through x_n are variable names from ν . The naming context

$\Gamma = x_n, x_{n-1}, \dots, x_1, x_0$ assigns to each x_i the *de Bruijn index* i .

Note that the *rightmost variable* in the sequence is given the index 0 ; this matches the way we count *λ binders* — **from right to left** — when converting a named term to nameless form.

We write **dom(Γ)** for the set $\{x_n, \dots, x_1, x_0\}$ of variable names mentioned in Γ .

- e.g., $\Gamma = x \mapsto 4; y \mapsto 3; z \mapsto 2; a \mapsto 1; b \mapsto 0$, under this Γ , we have
 - $x (y z)$? 4 (3 2)
 - $\lambda w. y w$ $\lambda. 4 0$
 - $\lambda w. \lambda a. x$ $\lambda. \lambda. 6$



Shifting and Substitution

How to define substitution $[k \mapsto s] t$?



Shifting

- Under the naming context $\Gamma : x \mapsto 1, z \mapsto 2$
 $[1 \mapsto 2 (\lambda. 0)] \lambda. 2 \rightarrow ?$
i.e., $[x \mapsto z (\lambda w. w)] \lambda y. x \rightarrow ?$
- When a substitution goes under a λ -abstraction, as in $[1 \mapsto s](\lambda.2)$ (i.e., $[x \mapsto s](\lambda y.x)$, assuming that **1** is the index of **x** in the outer context), *the context* in which the substitution is taking place becomes *one variable longer than the original*;
- We need to *increment the indices* of the *free variables* in **s** so that they keep referring to *the same names in the new context* as they did before.
- e.g., $s = 2 (\lambda. 0)$, , i.e., $s = z (\lambda w.w)$, assuming 2 is the index of z in the outer context, we need to shift the 2 but not the 0
- An auxiliary operation: renumber the indices of the free variables in a term.



Shifting

DEFINITION [SHIFTING]: The d -place shift of a term \mathbf{t} above cutoff c , written $\uparrow_c^d(\mathbf{t})$, is defined as follows:

$$\begin{aligned}\uparrow_c^d(k) &= \begin{cases} k & \text{if } k < c \\ k + d & \text{if } k \geq c \end{cases} \\ \uparrow_c^d(\lambda. \mathbf{t}_1) &= \lambda. \uparrow_{c+1}^d(\mathbf{t}_1) \\ \uparrow_c^d(\mathbf{t}_1 \mathbf{t}_2) &= \uparrow_c^d(\mathbf{t}_1) \uparrow_c^d(\mathbf{t}_2)\end{aligned}$$

We write $\uparrow^d(\mathbf{t})$ for $\uparrow_0^d(\mathbf{t})$. □

1. What is $\uparrow^2(\lambda. \lambda. 1 (0 2))$?
2. What is $\uparrow^2(\lambda. 0 1 (\lambda. 0 1 2))$?



Substitution

DEFINITION [SUBSTITUTION]: The substitution of a term s for variable number j in a term t , written $[j \mapsto s]t$, is defined as follows:

$$\begin{aligned} [j \mapsto s]k &= \begin{cases} s & \text{if } k = j \\ k & \text{otherwise} \end{cases} \\ [j \mapsto s](\lambda. t_1) &= \lambda. [j+1 \mapsto \uparrow^1(s)]t_1 \\ [j \mapsto s](t_1 t_2) &= ([j \mapsto s]t_1 [j \mapsto s]t_2) \end{aligned}$$

□

$$\begin{aligned} [x \mapsto s]x &= s \\ [x \mapsto s]y &= y && \text{if } y \neq x \\ [x \mapsto s](\lambda y. t_1) &= \lambda y. [x \mapsto s]t_1 && \text{if } y \neq x \text{ and } y \notin FV(s) \\ [x \mapsto s](t_1 t_2) &= [x \mapsto s]t_1 [x \mapsto s]t_2 \end{aligned}$$



Evaluation

- To define the *evaluation relation* on nameless terms, the **only thing** we *need to change* (i.e., the only place where *variable names* are mentioned) is the *beta-reduction rule* (*computation rules*), while keep the other rules identical to what as Figure 5-3.

$$(\lambda x. t_{12}) t_2 \rightarrow [x \mapsto t_2] t_{12},$$

- How to change the above rule for nameless representation?

Evaluation

- Example:

$$(\lambda x. t_{12}) t_2 \rightarrow [x \mapsto t_2] t_{12},$$



$$(\lambda. t_{12}) v_2 \rightarrow \uparrow^{-1} ([0 \mapsto \uparrow^1(v_2)] t_{12})$$

$$(\lambda. 1\ 0\ 2)\ (\lambda. 0) \rightarrow 0\ (\lambda. 0)\ 1$$



Homework

- Read Chapter 6.

- Do Exercise 6.2.5.

6.2.5 EXERCISE [★]: Convert the following uses of substitution to nameless form, assuming the global context is $\Gamma = a, b$, and calculate their results using the above definition. Do the answers correspond to the original definition of substitution on ordinary terms from §5.3?

1. $[b \mapsto a] (b (\lambda x. \lambda y. b))$

2. $[b \mapsto a (\lambda z. a)] (b (\lambda x. b))$

3. $[b \mapsto a] (\lambda b. b a)$

4. $[b \mapsto a] (\lambda a. b a)$

□

- Read Chapter 7 and download & digest the *fulluntyped* implementation includes extensions such as numbers and booleans.

Evaluation

- $(\lambda x. t_{12}) t_2 \rightarrow [x \mapsto t_2] t_{12},$



$$(\lambda. t_{12}) v_2 \rightarrow \uparrow^{-1}([0 \mapsto \uparrow^1(v_2)] t_{12})$$

$$(\lambda. 1 0 2) (\lambda. 0) \rightarrow 0 (\lambda. 0) 1$$

Handwritten derivation on a chalkboard:

$$\begin{aligned}
 & \overbrace{(\lambda x. t_{12})}^{\lambda t_{12}} v_2 \rightarrow [x \mapsto v_2] t_{12} \\
 & \downarrow \\
 & (\lambda. t_{12}) v_2 \rightarrow \uparrow^{-1}([0 \mapsto \uparrow^1(v_2)] t_{12}) \\
 & (\lambda. 1 0 2) \cdot (\lambda. 0) \\
 & \rightarrow \uparrow^{-1}([0 \mapsto \uparrow^1(\lambda. 0)] 1 0 2) \\
 \text{Shift} & \rightarrow \uparrow^{-1}([0 \mapsto (\lambda. \uparrow^1(0))] 1 0 2) \\
 \text{Substn} & \rightarrow \uparrow^{-1}([0 \mapsto (\lambda. 0)] 1 0 2) \\
 & \rightarrow \uparrow^{-1}(1 (\lambda. 0) 2) \\
 & \rightarrow (0 \lambda_1^1 0) 1 \rightarrow (0 (\lambda. 0) 1)
 \end{aligned}$$