

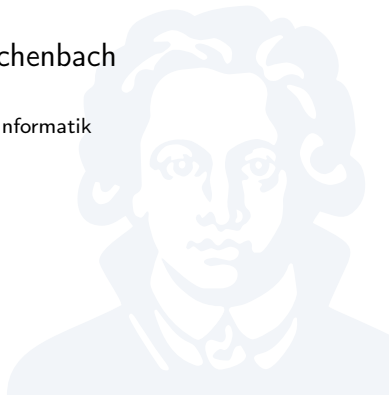
Software Engineering Tools 01

Syntax, Semantics, Types

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What do programs mean?

Let's run the following program in some language:

```
print(32767 + 1);
```

Which of the following outputs is correct?

- 32768
- $32767 + 1$
- -32768
- banana
- *no visible output*

Must know the program's *meaning*



Semantics

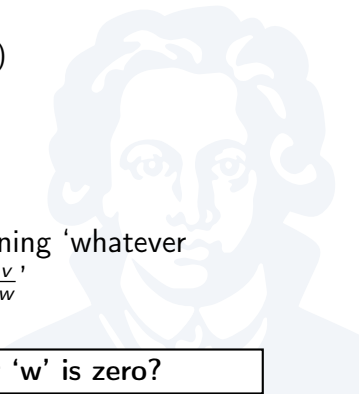
Semantics: The study of *meaning* (logic, linguistics)

- “meaning should follow structure”
 - This is a *hypothesis* in linguistics (seems to hold)
 - And a *proposal* in logic (turns out to work reasonably well)

Example:

- If expression ‘X’ has meaning ‘v’
- And expression ‘Y’ has meaning ‘w’
- Then expression ‘(X) / (Y)’ has meaning ‘whatever number you get when you compute $\frac{v}{w}$ ’

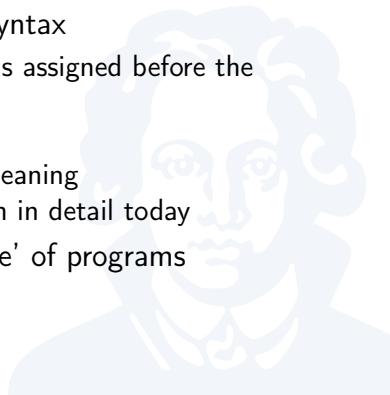
What if ‘v’ is not a number, or ‘w’ is zero?



Overview

Today we will look at:

- *syntax*: Describe structure of programs
- *semantics*: Derive meaning from syntax
 - *static semantics*: Meaning that is assigned before the program runs
(mostly types, errors)
 - *dynamic semantics*: Run-time meaning
 - We won't explore this separation in detail today
- *types*: Describe 'semantic structure' of programs



Backus-Naur Form: Specifying Syntax

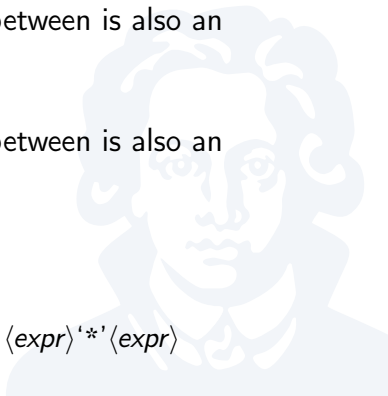
Assume *nat* is a natural number:

Formalise the rules with *Backus-Naur-Form* (BNF):

- 'Any number is an expression.'
 - $expr ::= nat$
- 'Any two expressions with a + in between is also an expression.'
 - $expr ::= \langle expr \rangle '+' \langle expr \rangle$
- 'Any two expressions with a * in between is also an expression.'
 - $expr ::= \langle expr \rangle '*' \langle expr \rangle$

Or in short:

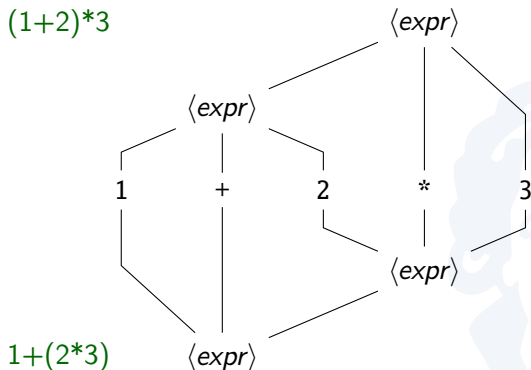
$$expr ::= nat \mid \langle expr \rangle '+' \langle expr \rangle \mid \langle expr \rangle '*' \langle expr \rangle$$



Backus-Naur Form: Example

$$\text{expr} ::= \text{nat} \mid \langle \text{expr} \rangle '+' \langle \text{expr} \rangle \mid \langle \text{expr} \rangle '*' \langle \text{expr} \rangle$$

(1+2)*3



Ambiguity! Parsers must know which parse we mean!

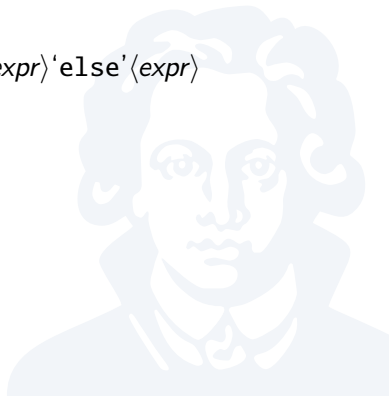
Syntax of a simple toy language

Syntax of language STOL:

$$\begin{aligned} \text{expr} & ::= \text{nat} \\ & | \langle \text{expr} \rangle '+' \langle \text{expr} \rangle \\ & | \text{'ifnz'} \langle \text{expr} \rangle \text{'then'} \langle \text{expr} \rangle \text{'else'} \langle \text{expr} \rangle \end{aligned}$$

Examples:

- 5
- 5 + 27
- ifnz 5 + 2 then 0 else 1

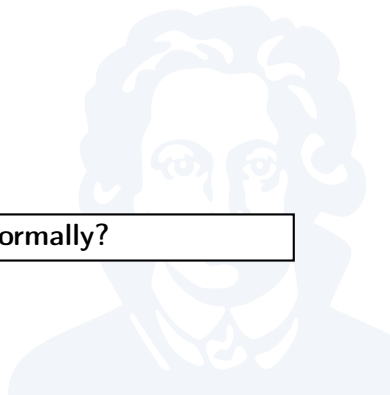


Meaning of our toy language: examples

What we want the meaning to be:

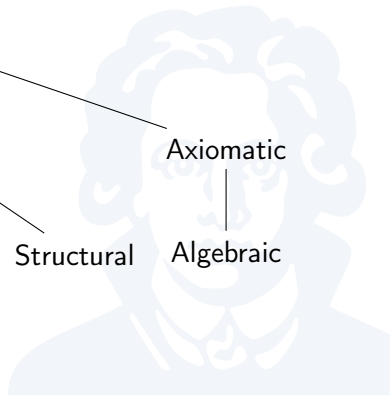
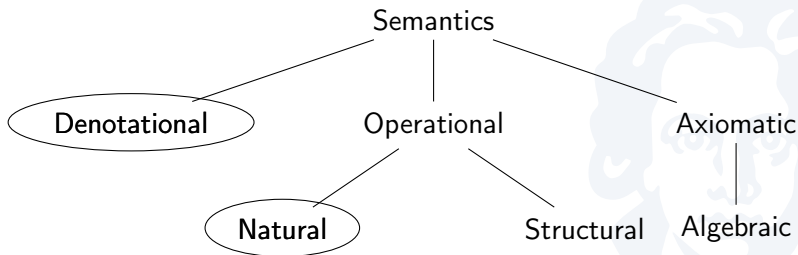
5	5
5 + 27	32
ifnz 5 + 2 then 1 else 0	1

Can we describe this formally?

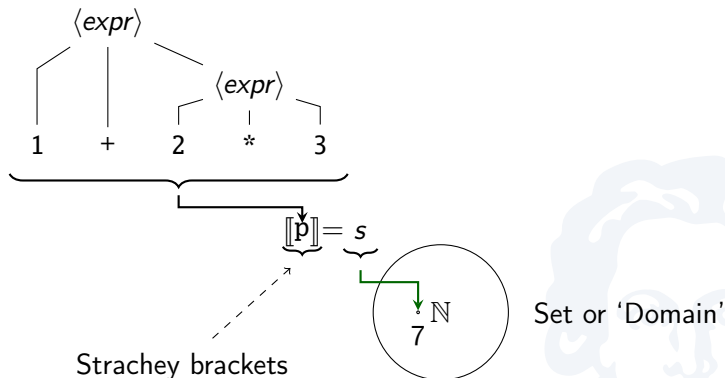


Defining Meaning

The principal schools of semantics:



Denotational Semantics



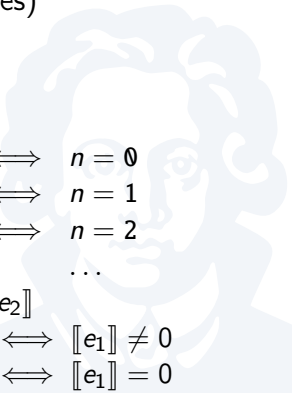
- Maps program to mathematical object
- Equational theory to reason about programs

Directly maps program to its mathematical 'meaning'

Denotational semantics of STOL

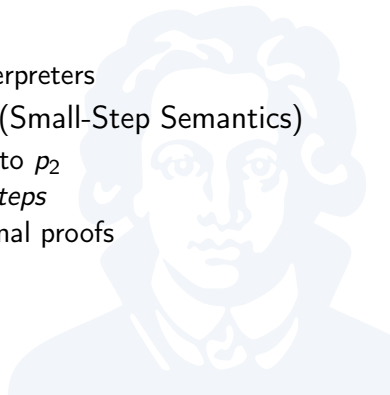
Distinguish:

- `nat` is set of program numbers ($0, 1, 2, \dots$)
(In compilers: *character strings*)
- \mathbb{N} is set of natural numbers ($0, 1, 2, \dots$)
(In compilers: *unsigned int* or *BigInt* types)

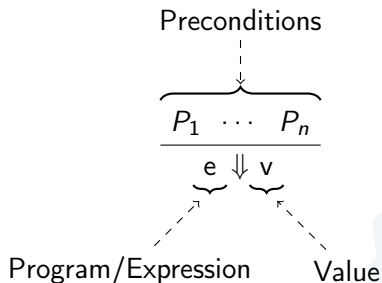
$$\begin{array}{l}
 n \in \text{nat} \\
 e, e_1, e_2, e_3 \in \text{expr} \\
 \llbracket n \rrbracket = \begin{cases} 0 & \iff n = 0 \\ 1 & \iff n = 1 \\ 2 & \iff n = 2 \\ \dots & \end{cases} \\
 \llbracket e_1 + e_2 \rrbracket = \llbracket e_1 \rrbracket + \llbracket e_2 \rrbracket \\
 \llbracket \text{ifnz } e_1 \text{ then } e_2 \text{ else } e_3 \rrbracket = \begin{cases} \llbracket e_2 \rrbracket & \iff \llbracket e_1 \rrbracket \neq 0 \\ \llbracket e_3 \rrbracket & \iff \llbracket e_1 \rrbracket = 0 \end{cases}
 \end{array}$$


Operational Semantics: The two branches

- Natural Semantics (Big-Step Semantics)
 - $p \Downarrow v$: p evaluates to v
 - Describes *complete* evaluation
 - Compact, useful to describe interpreters
- Structural Operational Semantics (Small-Step Semantics)
 - $p_1 \rightarrow p_2$: p_1 evaluates one step to p_2
 - Captures individual *evaluation steps*
 - Verbose/detailed, useful for formal proofs



Natural (Operational) Semantics



If P_1, \dots, P_n all hold, then e evaluates to v .

- e : Arbitrary program (expression, in our example)
- v : Value that can't be evaluated any further (natural number, in our example)

Natural Semantics of our simple toy language

$n, n_1, n_2, n_3 \in \text{nat}$

$e, e_1, e_2, e_3 \in \text{expr}$

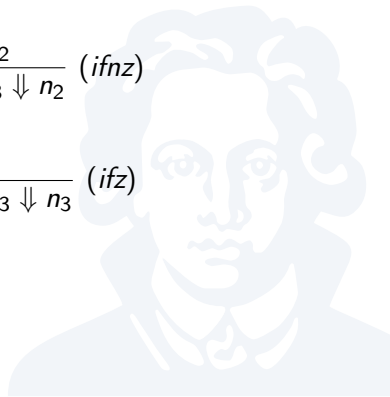
$$\frac{}{n \Downarrow n} \text{ (val)} \quad \frac{e_1 \Downarrow n_1 \quad e_2 \Downarrow n_2 \quad n = n_1 + n_2}{e_1 + e_2 \Downarrow n} \text{ (add)}$$

$$\frac{e_1 \Downarrow n \quad n \neq 0 \quad e_2 \Downarrow n_2}{\text{ifnz } e_1 \text{ then } e_2 \text{ else } e_3 \Downarrow n_2} \text{ (ifnz)}$$

$$\frac{e_1 \Downarrow 0 \quad e_3 \Downarrow n_3}{\text{ifnz } e_1 \text{ then } e_2 \text{ else } e_3 \Downarrow n_3} \text{ (ifz)}$$

Note:

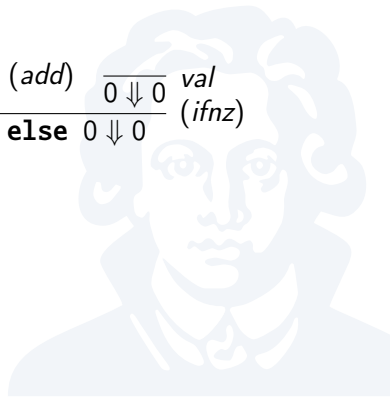
- $(+)$ is arithmetic addition
- $+$ is a symbol in our language
- For simplicity, we set $\text{nat} = \mathbb{N}$



Natural Semantics: Example

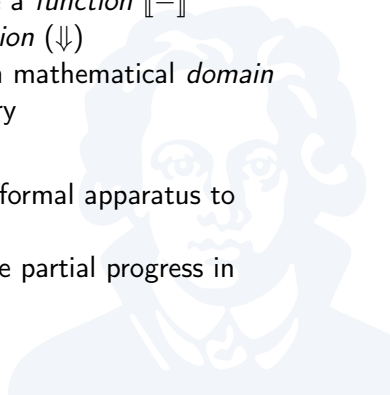
$$\frac{\frac{\overline{3 \Downarrow 3} \text{ (val)}}{\quad} \quad \frac{\overline{2 \Downarrow 2} \text{ (val)}}{\quad} \quad 5 = 3+2 \text{ (add)}}{3 + 2 \Downarrow 5} \quad \frac{\overline{0 \Downarrow 0} \text{ (val)}}{\quad} \text{ (ifnz)}$$

$$\frac{\quad}{\mathbf{ifnz} \ 3 + 2 \ \mathbf{then} \ 1 \ \mathbf{else} \ 0 \Downarrow 0}$$



What's the point?

- Denotational and natural semantics *look* very similar
- Structural differences:
 - Denotational semantics describe a *function* $\llbracket - \rrbracket$
 - Natural semantics define a *relation* (\Downarrow)
 - Denotational semantics relies on mathematical *domain* with underlying equational theory
- Practical differences:
 - Natural Semantics requires less formal apparatus to describe (no domains)
 - Natural Semantics can't describe partial progress in non-terminating programs



Extending our language with 'let'

Name bindings $x \in name$:

```
expr ::= nat
      | <expr>'+'<expr>
      | 'ifnz'<expr>'then'<expr>'else'<expr>
      | name
      | 'let' name '=' <expr> 'in' <expr>
```

Example:

```
[[let x = 2 + 3 in x + x]] = 10
```

But what is $[[x]]$ by itself?

Environments

The meaning of a variable depends on what value we bind it to.

Environment: $E : \text{name} \rightarrow \text{value}$

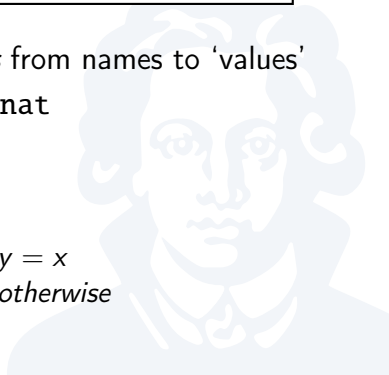
- Environments are *partial functions* from names to 'values'
- In our running example, `value = nat`

Notation:

let $E' = E + x \mapsto v$

then:

$$E'(y) = \begin{cases} v \\ E(y) \end{cases} \iff \begin{matrix} y = x \\ \textit{otherwise} \end{matrix}$$

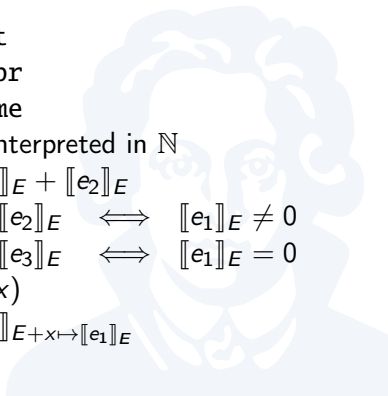


Environments in Denotational Semantics

Introduce E as index to semantic function:

$$\llbracket - \rrbracket_E = \dots$$

$$\begin{array}{lcl}
 n & \in & \text{nat} \\
 e, e_1, e_2, e_3 & \in & \text{expr} \\
 x & \in & \text{name} \\
 \llbracket n \rrbracket_E & = & n \text{ interpreted in } \mathbb{N} \\
 \llbracket e_1 + e_2 \rrbracket_E & = & \llbracket e_1 \rrbracket_E + \llbracket e_2 \rrbracket_E \\
 \llbracket \text{ifnz } e_1 \text{ then } e_2 \text{ else } e_3 \rrbracket_E & = & \begin{cases} \llbracket e_2 \rrbracket_E & \iff \llbracket e_1 \rrbracket_E \neq 0 \\ \llbracket e_3 \rrbracket_E & \iff \llbracket e_1 \rrbracket_E = 0 \end{cases} \\
 \llbracket x \rrbracket_E & = & E(x) \\
 \llbracket \text{let } x = e_1 \text{ in } e_2 \rrbracket_E & = & \llbracket e_2 \rrbracket_{E+x \mapsto \llbracket e_1 \rrbracket_E}
 \end{array}$$



Environments in Natural Semantics

We borrow the turnstile (\vdash) from formal logic:

$$\frac{}{E \vdash n \Downarrow n} \text{ (val)} \quad \frac{E \vdash e_1 \Downarrow n_1 \quad E \vdash e_2 \Downarrow n_2 \quad n = n_1 + n_2}{E \vdash e_1 + e_2 \Downarrow n} \text{ (add)}$$

$$\frac{E \vdash e_1 \Downarrow n \quad n \neq 0 \quad E \vdash e_2 \Downarrow n_2}{E \vdash \mathbf{ifnz} \ e_1 \ \mathbf{then} \ e_2 \ \mathbf{else} \ e_3 \Downarrow n_2} \text{ (ifnz)}$$

$$\frac{E \vdash e_1 \Downarrow 0 \quad E \vdash e_3 \Downarrow n_3}{E \vdash \mathbf{ifnz} \ e_1 \ \mathbf{then} \ e_2 \ \mathbf{else} \ e_3 \Downarrow n_3} \text{ (ifz)}$$

$$\frac{E(x) = v}{E \vdash x \Downarrow v} \text{ (var)}$$

$$\frac{E \vdash e_1 \Downarrow v \quad (E + x \mapsto v) \vdash e_2 \Downarrow v'}{E \vdash \mathbf{let} \ x = e_1 \ \mathbf{in} \ e_2 \Downarrow v'} \text{ (let)}$$

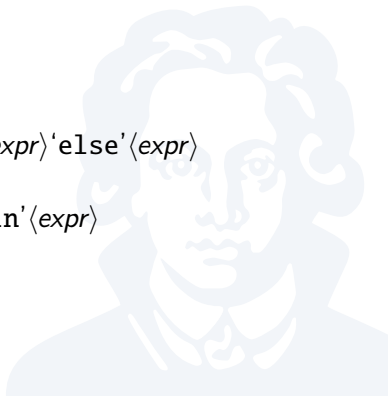
STOL-S: Extending our language with assignments

Side effects play an important role in realistic programs

- Must be modelled, for realism
- Tricky to model \Rightarrow purely functional languages have simpler semantic models

We extend STOL to STOL-S:

```
expr ::= nat
      |  $\langle expr \rangle '+' \langle expr \rangle$ 
      |  $\text{'ifnz' } \langle expr \rangle \text{'then' } \langle expr \rangle \text{'else' } \langle expr \rangle$ 
      | name
      |  $\text{'let' } name = \langle expr \rangle \text{'in' } \langle expr \rangle$ 
      |  $\text{'ref' } \langle expr \rangle$ 
      |  $\text{'!' } \langle expr \rangle$ 
      |  $\langle expr \rangle \text{' := ' } \langle expr \rangle$ 
      |  $\text{'( } \langle expr \rangle \text{' ; ' } \langle expr \rangle \text{' )'}$ 
```

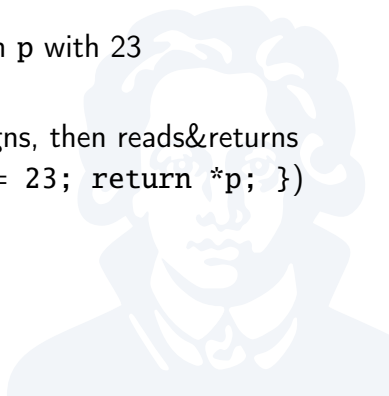


STOL-S: State updates

- `ref 42` allocates memory cell, stores 42 (cf. `malloc()` or `new`).
- `! p` Reads memory from memory cell in variable `p` (cf. `*p` for pointers `p` in C).
- `p := 23` Updates memory cell in `p` with 23 (cf. `*p = 23` in C).
- `(p := 23; !p)` Sequence: assigns, then reads&returns (Sequencing operation, cf. `{ *p = 23; return *p; }`)

Example:

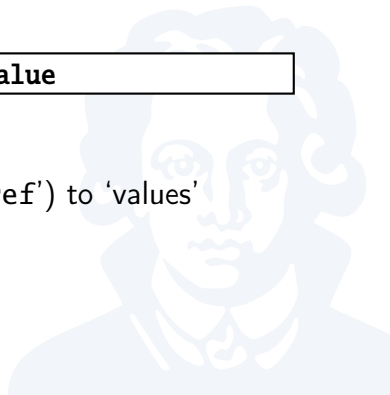
```
let r = ref 7
in (
  r := !r + !r;
  !r + 1)
```



Stores

Store: $S : \text{ref} \rightarrow \text{value}$

- Analogous to environments
- Store maps memory references ('ref') to 'values'
- Again, `value = nat` (for now)



Stores in Natural Semantics (1)

- Recursive evaluation may update the store. . .
- . . . which the caller must be able to see.
- We adjust \Downarrow to evaluate tuples $\langle e, S \rangle$:
 $E \vdash \langle e, S \rangle \Downarrow \langle v, S' \rangle$

means:

- Given an environment E and a store S :
- e evaluates to v , and
- S is updated to S' in the process

Example:

$$\frac{E \vdash \langle e_1, S \rangle \Downarrow \langle n_1, S' \rangle \quad E \vdash \langle e_2, S' \rangle \Downarrow \langle n_2, S'' \rangle \quad n = n_1 + n_2}{E \vdash \langle e_1 + e_2, S \rangle \Downarrow \langle n, S'' \rangle} \text{ (add)}$$

State is *threaded through* the rule: *evaluation order*

Stores in Natural Semantics (2)

$$\frac{E \vdash \langle e, S \rangle \Downarrow \langle v, S' \rangle \quad \rho \text{ fresh in } S'}{E \vdash \langle \mathbf{ref} \ e, S \rangle \Downarrow \langle \rho, S' + \rho \mapsto v \rangle} \text{ (ref)}$$

$$\frac{E \vdash \langle e, S \rangle \Downarrow \langle \rho, S' \rangle \quad v = S'(\rho)}{E \vdash \langle !e, S \rangle \Downarrow \langle v, S' \rangle} \text{ (read)}$$

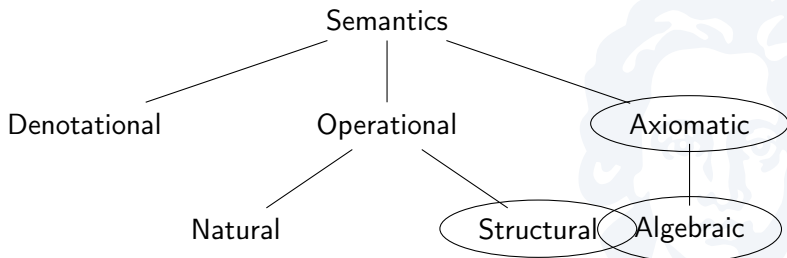
$$\frac{E \vdash \langle e_1, S \rangle \Downarrow \langle \rho, S' \rangle \quad E \vdash \langle e_2, S' \rangle \Downarrow \langle v, S'' \rangle \quad \rho \in \text{dom}(S'')}{E \vdash \langle e_1 := e_2, S \rangle \Downarrow \langle 0, S'' + \rho \mapsto v \rangle} \text{ (update)}$$

$$\frac{E \vdash \langle e_1, S \rangle \Downarrow \langle v, S' \rangle \quad E \vdash \langle e_2, S' \rangle \Downarrow \langle v', S'' \rangle}{E \vdash \langle (e_1 ; e_2), S \rangle \Downarrow \langle v', S'' \rangle} \text{ (seq)}$$

Analogously for the other rules.

Defining Meaning

Let's consider the other schools of semantics now:



Structural Operational Semantics (SOS)

(Definition on STOL)

$$\frac{e_1 \rightarrow^* 0}{\mathbf{ifnz} \ e_1 \ \mathbf{then} \ e_2 \ \mathbf{else} \ e_3 \rightarrow e_3} \quad (\mathit{ifz})$$

$$\frac{e_1 \rightarrow^* n \quad \exists n'. n \rightarrow n' \quad n \neq 0}{\mathbf{ifnz} \ e_1 \ \mathbf{then} \ e_2 \ \mathbf{else} \ e_3 \rightarrow e_2} \quad (\mathit{ifnz})$$

Comparison to Natural Semantics:

$\Downarrow \subseteq \mathbf{expr} \times \mathbf{nat}$	$\rightarrow \subseteq \mathbf{expr} \times \mathbf{expr}$
rhs is always <i>fully</i> evaluated	rhs can be intermediate result

SOS can capture intermediate computational results

Axiomatic Semantics

Describe *statements*– not good fit for our current language

$$\{P\}statement\{Q\}$$

- P : Precondition
- Q : Postcondition
- if P holds, then *statement* ensures that Q holds

Example:

$$\{x \geq 0\}x := x + 1; \{x > 0\}$$

Frequently used for “design-by-contract” software development

Algebraic Semantics

Specification using techniques of *abstract algebra*, e.g.:

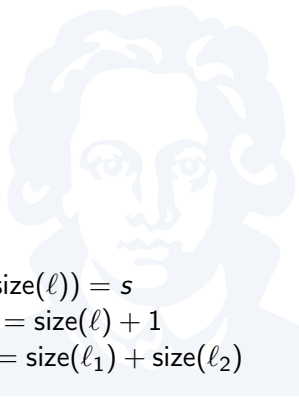
Sorts `list, int, string`

Operations

- `empty` : `list`
- `add` : `list` \times `string` \rightarrow `list`
- `get` : `list` \times `int` \rightarrow `string`
- `size` : `list` \rightarrow `int`
- `concat` : `list` \times `list` \rightarrow `list`

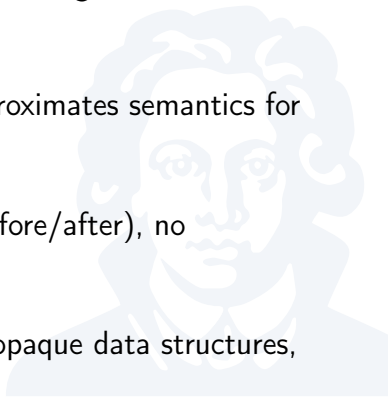
Axioms

- `size(empty) = 0`
- $\forall l : \text{list}, s : \text{string}. \text{get}(\text{add}(l, s), \text{size}(l)) = s$
- $\forall l : \text{list}, s : \text{string}. \text{size}(\text{add}(l, s)) = \text{size}(l) + 1$
- $\forall l_1, l_2 : \text{list}. \text{size}(\text{concat}(l_1, l_2)) = \text{size}(l_1) + \text{size}(l_2)$



Comparison

- *Denotational Semantics*
Equational theory, also describes nontermination
- *Natural Semantics*
Compact, describes interpreter, doesn't give semantics to nonterminating programs
- *Structural Operational Semantics*
Describes evaluation strategy, approximates semantics for nontermination
- *Axiomatic Semantics*
Describes effect of *statements* (before/after), no nontermination
- *Algebraic Semantics*
Describes effect of *operations* on opaque data structures, no nontermination



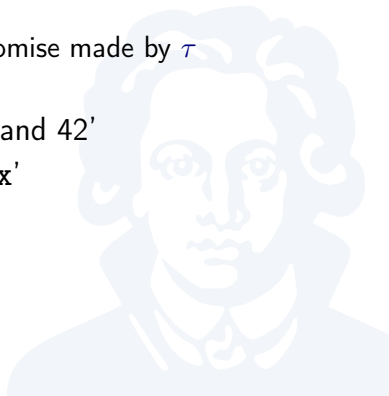
Types

$e : \tau$

Types are *contracts*: e must keep any promise made by τ

Typical promises:

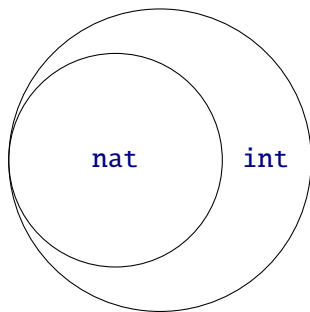
- 'Any $e : \tau$ is a number between 0 and 42'
- 'Any $e : \tau$ is a record with a field x '
- 'Any $e : \tau$ has a method $m()$ '



Types as Sets

Example:

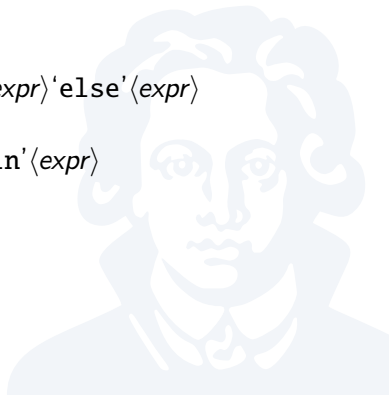
- **int**: The type of integers, \mathbb{Z}
- **nat**: The type of natural numbers, \mathbb{N}



STOL with Subtraction

Let's introduce subtraction to STOL:

```
expr ::= nat  
      |  $\langle expr \rangle '+' \langle expr \rangle$   
      |  $\text{'ifnz' } \langle expr \rangle \text{'then' } \langle expr \rangle \text{'else' } \langle expr \rangle$   
      | name  
      |  $\text{'let' } name = \langle expr \rangle \text{'in' } \langle expr \rangle$   
      |  $\langle expr \rangle '-' \langle expr \rangle$ 
```



A type system for STOL

- **Goal:** Detect which variables may be negative.
- **Approach:** Type analysis

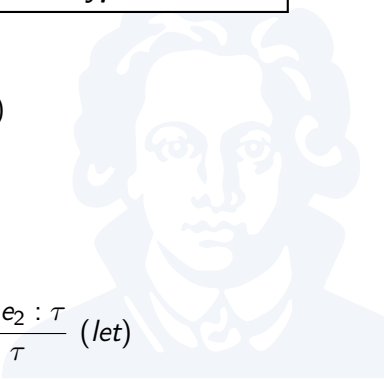
Type environment: $\Gamma : \text{name} \rightarrow \text{type}$

where *type* is the set of all types.

$$\frac{}{\Gamma \vdash n : \text{nat}} \text{ (nat)}$$

$$\frac{\Gamma(x) = \tau}{\Gamma \vdash x : \tau} \text{ (var)}$$

$$\frac{\Gamma \vdash e_1 : \sigma \quad (\Gamma + x \mapsto \sigma) \vdash e_2 : \tau}{\Gamma \vdash \mathbf{let} \ x = e_1 \ \mathbf{in} \ e_2 : \tau} \text{ (let)}$$

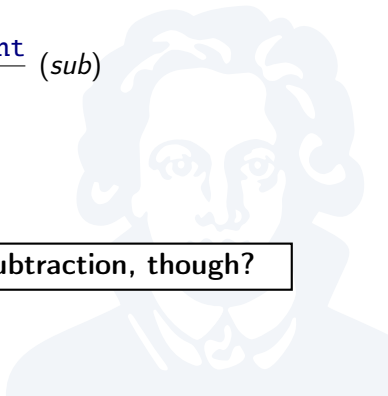


Addition and Subtraction

$$\frac{}{\Gamma \vdash n : \mathbf{nat}} \text{ (nat)}$$

$$\frac{\begin{array}{c} \vdots \\ \Gamma \vdash e_1 : \mathbf{int} \quad \Gamma \vdash e_2 : \mathbf{int} \end{array}}{\Gamma \vdash e_1 - e_2 : \mathbf{int}} \text{ (sub)}$$

How can we pass **nat** values to subtraction, though?



Subtypes and Implicit Conversion

One option:

- Introduce *subtyping*
- $\tau <: \sigma$ iff τ is subtype of σ .
- Meaning: if $e : \tau$, then we can use e anywhere we need a σ .

Formalised in the *Subsumption rule*:

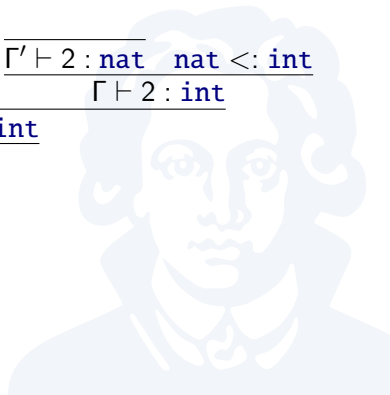
$$\frac{\Gamma \vdash n : \tau \quad \tau <: \sigma}{\Gamma \vdash n : \sigma} \text{ (subsumption)}$$

We set: **nat** <: **int**

Example

$$\frac{\frac{\frac{\Gamma'(z) = \mathbf{nat}}{\Gamma' \vdash z : \mathbf{nat}} \quad \mathbf{nat} <: \mathbf{int}}{\Gamma + z \mapsto \mathbf{nat} \vdash z : \mathbf{int}}} \quad \frac{\frac{}{\Gamma' \vdash 2 : \mathbf{nat}} \quad \mathbf{nat} <: \mathbf{int}}{\Gamma \vdash 2 : \mathbf{int}}}{\Gamma \vdash 1 : \mathbf{nat} \quad \Gamma' \vdash z-2 : \mathbf{int}}}{\Gamma \vdash \mathbf{let} \ z = 1 \ \mathbf{in} \ z-2 : \mathbf{int}}$$

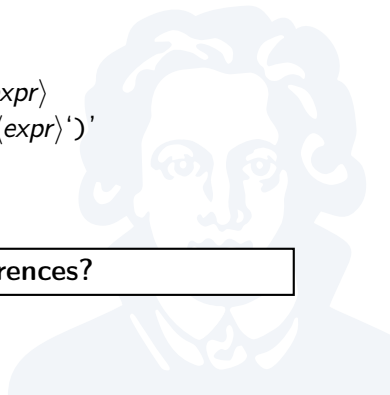
where $\Gamma' = \Gamma + z \mapsto \mathbf{nat}$



STOL-S and assignments

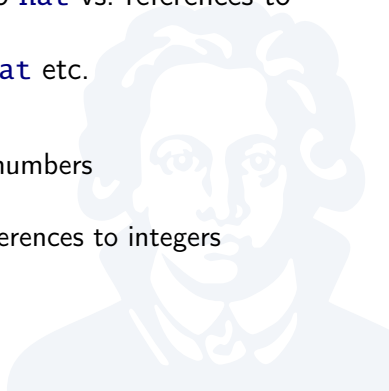
```
expr ::= nat  
      ...  
      | 'ref' <expr>  
      | '!' <expr>  
      | <expr> ':=' <expr>  
      | '(' <expr> ';' <expr> ')'
```

How do we type references?



STOL-S and assignments: parametric 'ref'

- References need their own type
- But: must distinguish references to **nat** vs. references to **int**
...and reference-to-reference-to-**nat** etc.
- Solution: parametric type **ref** $\langle\alpha\rangle$
 - **ref** $\langle\mathbf{nat}\rangle$: reference to natural numbers
 - **ref** $\langle\mathbf{int}\rangle$: reference to integers
 - **ref** $\langle\mathbf{ref}\langle\mathbf{int}\rangle\rangle$: reference to references to integers

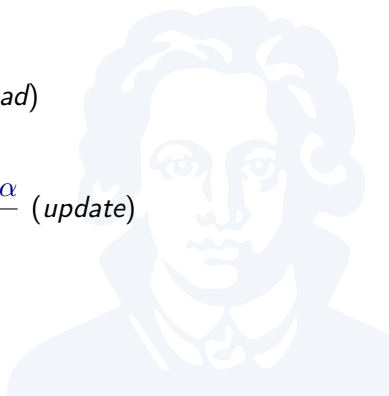


STOL-S: typing rules

$$\frac{E \vdash e : \alpha}{E \vdash \mathbf{ref} \ e : \mathbf{ref}\langle\alpha\rangle} \text{ (ref)}$$

$$\frac{E \vdash e : \mathbf{ref}\langle\alpha\rangle}{E \vdash !e : \alpha} \text{ (read)}$$

$$\frac{E \vdash e_1 : \mathbf{ref}\langle\alpha\rangle \quad E \vdash e_2 : \alpha}{E \vdash e_1 := e_2 : \mathbf{nat}} \text{ (update)}$$



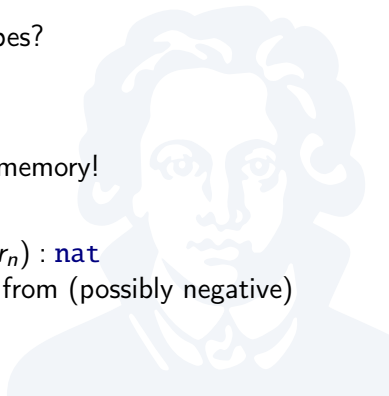
Subtyping `ref` and its parameters

Assume:

```
i   : int
ri : ref<int>
rn : ref<nat>
```

Should `ref<int>` and `ref<nat>` be subtypes?

- `ref<int> >: ref<nat> ?`
 - If so: `rn := i` typechecks
 - Can assign `-1` to non-negative memory!
- `ref<int> <: ref<nat> ?`
 - If so: `!(ifnz 1 then ri else rn) : nat`
 - Type checker believes that read from (possibly negative) memory is nonnegative!



Covariance and Contravariance

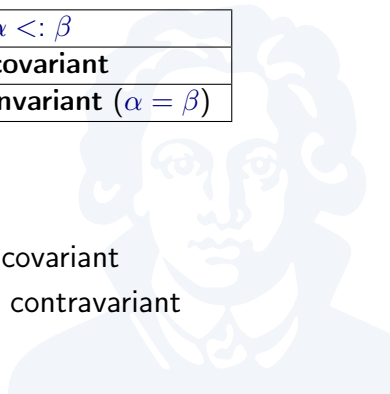
$$\tau\langle\alpha\rangle <: \tau\langle\beta\rangle$$

... is allowed if τ 's type parameter is...

	(no constraint)	$\alpha <: \beta$
(no constraint)	bivariant	covariant
$\alpha >: \beta$	contravariant	invariant ($\alpha = \beta$)

Rules of thumb:

- Type parameter occurs read-only: covariant
- Type parameter occurs write-only: contravariant



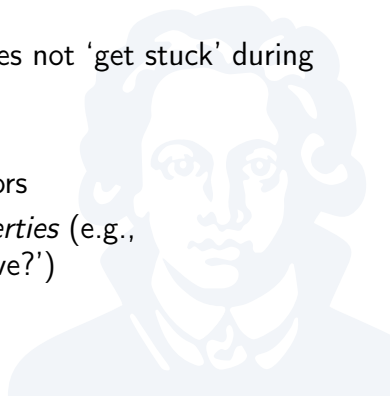
Using Type systems

Type systems should have the following properties:

- *preservation*: a well-typed program does not change its type during execution
- *progress*: a well-typed program does not 'get stuck' during execution

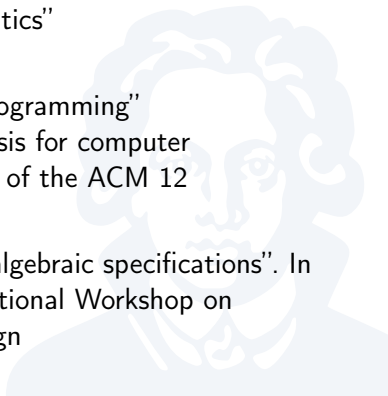
If these are guaranteed, we can:

- Use type systems to check for errors
- Use type systems to *analyse properties* (e.g., 'could this number ever be negative?')



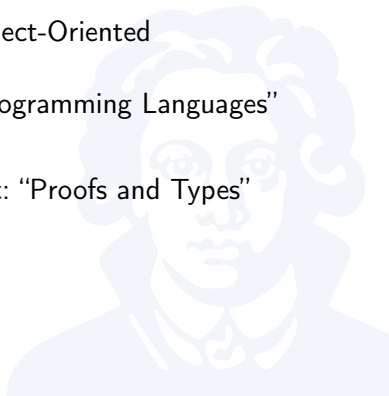
Literature (1)

- Natural Semantics:
 - Gilles Kahn, “Natural Semantics”
- Structural Operational Semantics:
 - Gordon Plotkin, “Natural Semantics”
- Axiomatic Semantics:
 - David Gries, “The Science of Programming”
 - C.A.R. Hoare, “An axiomatic basis for computer programming”. Communications of the ACM 12
- Algebraic Semantics:
 - S Antoy. “Systematic design of algebraic specifications”. In Proceedings of the Fifth International Workshop on Software Specification and Design



Literature (2)

- Types:
 - Kim Bruce, “Foundations of Object-Oriented Programming”
 - Benjamin Pierce, “Types and Programming Languages”
- Proofs:
 - Jean-Yves Girard, Taylor, Lafont: “Proofs and Types”



Next week:

Static Program Analysis

