1 Intro

- Handout 1 — My names
  - Mr. / Dr. / Professor / —
  - Raphael / Rafi / Refoyl
  - Finkel / Goldstein
- Extra 5 minutes on every class? What is a good ending time?
- Plagiarism — read aloud from handout 1
- Assignments on web and in handout 1.
- E-mail list: cs655401@cs.uky.edu; instructor uses to reach students.
- All students will have MultiLab accounts, although you may use any computer you like to do assignments. But your programs must run on MultiLab computers, because that’s how they will be graded.
- textbook — all homework comes from here
- Oral assignments are end-of-chapter assignments. I’ll announce the first one on Tuesday.

2 Software tools

A programming language is an example of a software tool.
3 McLennan’s Principles (elicit first)

4 Algol-like languages: review

- First generation: Fortran
  - constructs based on hardware
  - lexical: linear list of statements
  - control: sequence, goto, do, subroutines using reference parameter mode
  - data: arithmetic, including complex; arrays with a 3-d limit
  - name: separate scopes; common area

- Second generation: Algol 60
  - lexical: free format; keywords
  - control: nested; if, while, for, but baroque; subroutines with value and name parameter modes.
  - data: generalized arrays, but no complex
  - name: nested scopes with inheritance and local override

- Third generation: Pascal (return to simplicity)
  - data: user-defined types; records, enumerations, pointers
  - control: subroutines with value and reference parameter modes; case statement

- Fourth generation: Ada (abstract data types)
  - lexical: bracketed syntax
  - name: modules with controlled export; generic modules
  - control: concurrency with rendezvous

- Fifth generation: Other directions
• dataflow
• functional. We will study ML and Lisp.
• object-oriented. We will study Smalltalk.
• declarative (logic). We will study Prolog.

5 Block structure

• Introduced in Algol.
• A block is a nestable name scope.
• Identifiers can be local, nonlocal, or global with respect to a block.
• Nonlocal identifiers: the language must define whether to
  • inherit (typically allowed if there is no conflict)
  • override (typically true if there is a conflict)
  • require explicit import and export
• At elaboration time, constants get values, dynamic-sized types are bound to their size, space is allocated for variables.
• Definition: the non-local referencing environment (NLRE) of a procedure or block of code is the binding of non-local identifiers (typically variables, but also constants, types, procedures, and labels) to values.
• Deep binding: The NLRE of P is determined (bound) at the time that P is elaborated (and is the RE of the elaborating scope).
• Shallow binding: The NLRE of P is determined at the time that P is invoked (and is the RE of the calling scope).

6 Theme: binding time

• There is a range from early to late.
  • language-definition time (example: the fact that constants exist)
• compile time (example: values of constants in Pascal) We call compile-time bindings static.
• link time (example: version of printf in C)
• elaboration time (example: value of final int in Java)
• statement-execution time (example: value of int variable) We call execution-time bindings dynamic.

• Early binding is most efficient.
• Late binding is most capable.

7 Imperative languages

• Imperative languages involve statements that modify the current state by changing the values of variables.

• A variable is an identifier bound (usually statically) to a type, having a value that can change over time. The L-value of a variable is the use of a variable on the left side of an assignment (think of “address”); the R-value of a variable is its use on the right side (think of “current value”).

• A type is a set of values, associated (mostly statically) with operations defined on those values. Type conversion means expressing a value of one type as a value of another type.

  • coercion: implicit conversion
  • cast: explicit conversion
  • non-converting cast: rarely needed. qua operator of Wisconsin Modula, reinterpret_cast<> of C++.

• An operation is a function or an operator symbol as shorthand. It can be heterogeneous.

  • operators have arity (example: unary, binary), precedence, associativity
  • operators may be infix (+), prefix (unary –), postfix (->)
  • operators may have short-circuit (lazy) semantics
• An operation is **overloaded** if its identifier or operator symbol has multiple visible definitions. Overloading is resolved (usually statically) by arity, operand types, and return type. Overloading resolution can be exponentially expensive. For instance, say we have four versions of $+$, depending on whether they take integers/floats and whether they return integers/floats. Then how do you resolve $(a + b) + (c + d)$?

• A **primitive type** (or **basic type**) has no separately accessible components. Examples: integer, character, real, Boolean.

• A **structured type** has separately accessible components. Examples: pointer (dereference), record (field select), array (subscript), disjoint union (variant select). An **associative array** is an array whose index type is string.

• A **constant** is like a variable, but it has no L-value and an unchanging R-value. In Java, it’s denoted by the modifier **final**.

## 8 Iterators

• [Class 3, 9/1/2017] Exercises from Chapter 1.

• Iterators allow us to generalize **for** loops.

  • The control variable of the **for** loop ranges over a set of values generated piecemeal by an **iterator**. [book 39:9-10].

  • The iterator is like a procedure, taking parameters and returning values of a specified type.

  • The iterator uses a **yield** statement to return a value, but it maintains its RE (and its program counter) in order to continue on demand from the **for** loop.

  • A useful language-supplied iterator is `int upto(low, high)`, which yields all the values in the specified range.

• Iterators are especially useful for generating combinatorial structures.

  • Algorithm for generating all binary trees of $n$ nodes: [book 41:11]

  • Same thing in Python, using “generators”:

```python
1   def binGen(size):
2     if size > 0:
```
3   for root in range(size):
4       for left in binGen(root):
5           for right in binGen(size - root - 1):
6               yield("cons(" + left + "," + right + ")")
7       else:
8           yield "-"
9
10  for aTree in binGen(3):
11     print aTree

• Trace of binGen(3).

Class 4, 9/5/2017

• Another example: yield all nodes in a tree (in pseudo-Python)

1   def treeNodes(tree):
2       if tree != null:
3           for element in treeNodes(tree.left):
4               yield element
5           yield tree.value
6       for element in treeNodes(tree.right):
7           yield element

• Wouldn’t it be nice to have a yieldall construct:

1   def treeNodes(tree):
2       if tree != null:
3           yieldall treeNodes(tree.left):
4           yield tree.value
5           yieldall treeNodes(tree.right):

This construct might be able to use shortcuts to improve efficiency.
JavaScript actually has it: yield*.

• Another example: all combinations $C(n,k)$:

1   def comb(n,k,start):
2       if k == 0:
3           yield ""
4       elif k+start <= n:
5           for rest in comb(n,k-1,start+1):
6               yield str(start+1) + "," + rest
7           for rest in comb(n,k,start+1):
yield rest
for result in comb(6, 3, 0):
print result

9 Macro package to embed iterators in C

• Macros are IterSTART, IterFOR, IterDONE, IterSUB, IterYIELD.
• Usage: book 48:14
• Implementation
  • setjump and longjmp for linkage between for and the controlling iterator, between yield and its controlled loop.
  • Padding between stack frames to let longjmp() be called without harming frames higher on the stack. Three integers is enough in Linux on an i686.
  • A Helper routine to actually call the iterator and act as padding.
  • The top frame must be willing to assist in creating new frames.

10 Power loops

• How can you get a dynamic amount of for-loop nesting?
• Application: n queens book 57:29
• Usual solution: single for loop with a recursive call.
• Cannot use that solution in Fortran, which does not allow recursion.
• Solution: Power loops. book 57:28
• Class 5, 9/7/2017
• Implementation: Only needs branches, no recursion. book 59:31
• How general is this facility?
• Do power loops violate principle 20?
11  IO

- Attempt to strip a programming language of all non-essential elements.
- What’s left: goto with parameters, hence formal-actual bindings.
- Parameters can be integer, anonymous function, or continuation.
- A function is passed by closure: pointer to code, pointer to NLRE.
- A continuation is a function whose parameters have already been bound. It is passed by a closure along with the parameters.

Examples [book 50:15 and following]

Class 6, 9/12/2017: more examples
Class 7, 9/14/2017

re-work the Io examples [io.txt]

12  End-of chapter exercises: Chapter 2

13  ML-Introduction

Class 8, 9/19/2017

This material is out of order, presented now so students can begin to work on the next programming assignment.

ML is functional, but we are particularly interested in its type system, with these important aspects.

- The language is strongly typed.
- The compiler infers the types of identifiers if possible.
- Higher-order types are easily represented.
- Types can be polymorphic, that is, expressed with respect to type identifiers.

Examples, from online file [examples.ml]
14 General coroutines

- Class 9, 9/26/2017
- Problem: binary-tree node-equality test in symmetric order
- Solution
  - Independently advance in each tree
  - Each coroutine has its own stack; main has its own stack.
  - All the stacks are joined via static-chain pointers into a cactus stack.
  - A scope must not exit until all its children exit, or we must use a reference count. This is an example of the dangling NLRE problem.

- Syntax (Simula 67)
  - Records have initialization code that may execute detach.
  - Another coroutine may resume it via explicit call.

- Solution in Python using ”generators”. See binEqual.txt from class web page.

15 Types

- A type is a property of an R-value or of an identifier that can hold R-values.
- The property consists of a set of values.
- Strong typing means the compiler
  - knows the type of every R-value and identifier
  - enforces type compatibility on assignment and formal-actual binding
    - compatible means type equivalent, a subtype, or convertible
- A subtype consists of a subset of the values
Assignment and formal-actual binding require a dynamic check.
Subtype examples: range of integers, subclass of class
subTypeVar := baseTypeVar

Type equivalence

structural equivalence: expand type to a canonical string representation; equivalence is string equality.
- lax: ignore field names, ignore array bounds, ignore index type, flatten records.
- pointers require that we handle recursive types (and still build finite strings)

name equivalence: reduce a type to an instance of a type constructor
- type constructors: array, pointerTo, enum, struct, derived.
- lax (declaration equivalence): multiple uses of one type constructor are equivalent

Implementing structural type equivalence: exercise 3.8 at end of chapter.

16 Dimensions

- book Figure 3.7
- Applies to reals.
- Can be embedded into a strong type system.

17 ML again

- Remaining examples, from online file examples.ml
- Class 9, 9/26/2017
- See web page on currying
- Class 10, 10/3/2017
- Curry plus example
E1. global environment
E2. \( plus = fn \ (x,y) \rightarrow x + y \mid E1 \)
E3. \( curry = fn \ f \rightarrow fn \ a \rightarrow fn \ b \rightarrow f(a,b) \mid E2 \)
E4. \( curryplus = curry \ plus = \)
\[ fn \ a \rightarrow fn \ b \rightarrow f(a,b) \mid f=plus \mid E3 \]
E5. \( successor = curryplus \ 1 = \)
\[ fn \ b \rightarrow f(a,b) \mid a=1 \mid E4 \]
E5. \( successor \ 12 = f(a,b) \mid b=12 \mid E5 \)
\[ = plus(a,b) = plus(1,12) = x + y \mid x=1, y=12 \mid E1 \]
\[ = 1+12 = 13 \]

18 Unusual first-class values

- A **first-class value** can be returned from a function. In languages with variables, a first-class value can be stored in a variable.
- A **second-class value** can be an actual parameter.
- A **third-class value** can be used “in its ordinary way”.
- Labels and procedures
  - Usually third-class values; the “ordinary way” is in a \texttt{goto} statement or a procedure-call statement.
  - They could be second-class. They must be passed as a closure. For a label, the closure includes the RE of its target, so the stack can be unwound to the right place. For a procedure, the closure includes its NLRE to resolve non-local references.
  - To make them first class, we still need to build a closure, which we can then store in a variable. But the lifetime of that variable might exceed the life of the RE stored in the closure. This is the **dangling-NLRE problem**. \[\text{book 76:11}\]
  - To resolve the dangling-NLRE problem
    - Let it happen and call the program “erroneous”.
    - Prevent it from happening by restricting the language.
      - Don’t let labels or procedures be first-class: Pascal
      - Don’t let scopes nest, so there is no need for closures (for procedures; labels are still problematic): C
• Only allow top-level procedures (or labels) be first-class: Modula-2
• Let it happen and make it work: allocate all frames from the heap and use explicit release (reference counts suffice).

19 Haskell

• Haskell is a functional programming language much like ML, with additional features.
• Haskell uses indentation for grouping, much like Python. This design makes programs compact, but harder to read (if routines are long) and very difficult for blind programmers to construct.
• All functions are fully curried.
• Haskell evaluates all expressions lazily.
• Examples online
• [Class 11, 10/10/2017]
• Finish examples

20 Lisp introduction

• Lisp is homoiconic: programs and data structures have the same form, so one can execute data and one can manipulate program.
• Lisp is functional (functions have no side effects, and there are no variables)
• Lisp has been very influential and was widely used in AI.
• Lisp by examples
• [Class 12, 10/17/2017]
• Assign Chapter 3 exercises.
• Lisp deep binding (in examples)
• The Lisp metacircular interpreter book 135:31 ff, also on web page.
• Pure Lisp (a restriction for Assignment 3): no use of set, rplaca, rplacd, and a few other non-functional features. Although defun does change the context (introducing new functions always has a side effect), we allow it.
21  What does polymorphic mean?

People use the term **polymorphic** to mean various features.

- Static procedure overloading with compile-time resolution (Ada, Java). Here, the type of the procedure (its **signature**) determines whether it is a viable candidate for resolving the overloading.

- Dynamic method binding (Java, Smalltalk, C++ deferred binding). Here, the dynamic type (class) of the value (object) determines which procedure (method) to invoke.

- Types described by type identifiers (perhaps with the compiler inferring the types of values) (ML, Haskell). Here, the dynamic type constraints on the parameter and return value determine the effective type of the function.

- Passing an ADT as a parameter (Russell).

- Generic packages (Ada), templates (C++), generics (Java).

22  Can types be second or first class?

- Letting a type be second-class is a step toward polymorphism.
  - Second-class types allow generic packages (Ada), templates (C++).
  - However, we only allow types to be passed at compile time during generic-package instantiation.
  - One can restrict the range of the actual type (the “type of the type”) by a Java-like interface (or Haskell-like class).

- An attempt at first-class types: **dynamic**. Actually, this idea attempts to extend strong typing to dynamic types; it is not the same as making types first-class.

- Another attempt at first-class types: Russell.
  - But what Russell calls a “type” we would call an ADT (abstract data type), which is something like a Java class.
  - So a Russell actually introduces dynamic class definitions.
  - We will see dynamic class definitions in Smalltalk later.

- Java reflection: class **Class**. Example from Cycle Shop at Home.
23 The Lambda Calculus

• Mathematical foundation of ML and of Lisp.

• Three kinds of term
  • identifier, such as \( x \)
  • abstraction, such as \( \lambda x \cdot (\ast x 2) \)
  • application, such as \( (f x) \)

• Syntax of terms
  • parentheses are optional; application and abstraction are left-associative, and application has a higher precedence.
  • Curried functions may be written without currying:
    \[ (\lambda x \cdot (\lambda y \cdot (\lambda z \cdot T))) = (\lambda x y z \cdot T) \]

• Class 14, 10/24/2017

• Chapter 3 exercises

• Identifiers can be free or bound in terms.

• \( x \) is bound in \( \lambda x \cdot T \).

• \( x \) is free in \( T \) if:
  • \( T \) is just \( x \)
  • \( T \) is \( (f p) \), and \( x \) is free in either \( f \) or \( p \).
  • \( T \) is \( (\lambda y \cdot T) \), \( x \) is not \( y \), and \( x \) is free in \( T \).

• Examples: book 153:49

• Simplification by \( \beta \) reduction: book 153:50
  • applicative order: evaluate inner \( \lambda \) first.
  • normal order: evaluate outer \( \lambda \) first.
  • Church-Rosser theorem: if \( T \rightarrow S \) and \( T \rightarrow R \), then there is some \( U \) such that \( S \rightarrow U \) and \( R \rightarrow U \)

• Renaming by \( \alpha \) conversion: book 153:52

• Normal form
  • \( \beta \) reduction until no more reduction is possible.
  • It is not always possible to reduce to a normal form: book 155:55
• **Combinator**: term with no free identifiers. Important combinator \( Y \):
\[
Y = \left( \lambda f \; (\lambda x \; f \; (x \; x)) \; (\lambda x \; f \; (x \; x)) \right)
\]

• Simplification by \( \eta \) reduction:
\[
(\lambda x \; F \; x) \xrightarrow{\eta} F
\]

• Class 15, 10/26/2017

• Connection between Lambda Calculus and ML.

### 24 Smalltalk

- Examples (online)

- Class 16, 10/31/2017

- More examples (online)

- Class 17, 11/2/2017

- The two hierarchies of classes in Smalltalk
  
  • **class** gives the is-a hierarchy.
  
  • **superclass** gives the subclass-of hierarchy.

### 25 Intellectual history of object oriented programming

- Records in Cobol, Pascal. Fields are variables, always visible.

- Records (called classes) in Simula67. Fields can also be procedures. Their NLRE is the record in which they sit. (Already some object-orientation: Subclasses inherit fields with possibility of override, and there is some control over visibility.)

- Abstract data types (ADTs) in languages like CLU ("clusters"), Modula ("modules"), Ada ("packages"). Separation of specification from implementation. Typically ADTs export a type and some operations. Clients then create instances of that type, either on the stack as local variables or from the heap.

- Monitors, which are ADTs with concurrency control. Unfortunately, concurrency control protects program, not data. We’ll say more about monitors later.
• Classes (Smalltalk, C++, Java). Do not export types, only variables and procedures. The entire class becomes a type.

26  Object-oriented programming: What is it?

• Nomenclature: Objects (values) are instances of classes (types). They communicate by sending messages (procedure calls) to each other to invoke methods (procedures). The state of an object is defined by the values of its instance variables. The set of methods that instances of a class accepts constitute its protocol. Together, the methods and the instance variables are called the members of a class.

• Data encapsulation: One may only affect the state of an object by invoking its methods. (Doesn’t hold if instance variables are exposed.)

• Inheritance: Subclasses (a form of subtype) inherit the members of their superclass. Programmers introduce subclasses either to specialize or to reuse code.

• Overloading: Methods with the same name may appear in multiple classes; the meaning of the method invoked on an object depends on the class to which that object belongs.

• Deferred binding: Binding a method invocation to a specific method can happen at invocation time (deferred binding: Java, Smalltalk) or at compile time (C++). In typed languages, compile time works well, but for subclasses that redefine a method, it can give unwanted results.
27 Control over information hiding

<table>
<thead>
<tr>
<th>language</th>
<th>mode</th>
<th>other instance of same class</th>
<th>related (^1) inherited by subclass</th>
<th>other</th>
</tr>
</thead>
<tbody>
<tr>
<td>Smalltalk</td>
<td>variable</td>
<td>n</td>
<td>-</td>
<td>y</td>
</tr>
<tr>
<td>Smalltalk</td>
<td>method</td>
<td>y</td>
<td>-</td>
<td>y</td>
</tr>
<tr>
<td>C++/Java</td>
<td>public</td>
<td>y</td>
<td>y</td>
<td>y</td>
</tr>
<tr>
<td>C++/Java</td>
<td>protected</td>
<td>y</td>
<td>y</td>
<td>y</td>
</tr>
<tr>
<td>C++/Java</td>
<td>private</td>
<td>y</td>
<td>y/n</td>
<td>n</td>
</tr>
<tr>
<td>Java</td>
<td>package-private</td>
<td>y</td>
<td>y</td>
<td>y</td>
</tr>
<tr>
<td>Eiffel</td>
<td>(default)</td>
<td>y</td>
<td>y</td>
<td>y</td>
</tr>
<tr>
<td>Eiffel</td>
<td>specified</td>
<td>if related</td>
<td>y</td>
<td>y</td>
</tr>
<tr>
<td>Eiffel</td>
<td>none</td>
<td>n</td>
<td>n</td>
<td>y</td>
</tr>
</tbody>
</table>

\(^1\)"related" means friend class (C++), class in the same package (Java), or class to which a member is explicitly exported (Eiffel).

28 Neat abilities of Java

- Class 19, 11/9/2017

- Interfaces
  - The interface provides signatures of methods and declarations of variables.
  - A class can choose to **implement** a list of interfaces.
  - The class is then obligated to provide those methods and variables.
  - Others can assume the class has these methods and variables.

- Effectively homoiconic, but not straightforward
  - serialization: instance ↔ string
  - introspection: class ↔ instance of Class

29 Epilogue about object-oriented programming

- A new view of types: The type of a value is the protocol it accepts.
• Types as first-class values: Smalltalk treats types as values.
  • All values are created from the heap.
  • Types can outlive the environment in which they are created, but deep binding of nonlocal variables does not produce dangling pointers, because of heap allocation.
  • Methods may be added dynamically to types; these changes affect all existing members of the type. This deferral is cognate to shallow binding: The protocol of a value is determined at the time of invocation, not at time of elaboration.
  • This deferral seems to be a consequence of the way methods are introduced; they are not introduced at type-elaboration time.

30 Other object-oriented ideas

• **Duck typing**: if an object satisfies the interface of A, it can be used wherever an instance of A is expected, including assignment into A variables.
  • Like structural equivalence, but determined dynamically.
  • The language go uses a static structural type system.
  • Generic templates (such as ”the type must satisfy a given interface”) are applied statically, and the type must fulfil the entire interface, even if (dynamically) only a portion is needed.
  • Objections to duck typing: method names may be ambiguous in English, so implementing a method by some name is not the same as providing the expected semantics of that method.
  • C#: modifier dynamic on a formal parameter means to defer type checking to runtime and only ensure that the called methods exist.
  • Java: reflection allows the program to determine at runtime if it provides the necessary methods.
  • JavaScript uses duck typing; any method call is valid if the object provides it.
  • Go also discards overloading of methods and operators, which are “occasionally useful but ... confusing and fragile in practice.”
31 Concurrent programming

- We will not cover this chapter in depth.
- Basic idea: multiple threads of execution.
  - Need to be able to start (and maybe stop) threads.
    - fork
    - cobegin and coend
      - process call, like procedure call (Modula, Go)
  - Threads might need a nonlocal referencing environment, leading to cactus stacks (as in Simula).
    - Can avoid cactus stacks by requiring that threads be top-level.
  - Threads that share referencing environments must coordinate activities.
    - Mutual exclusion: Preventing simultaneous execution of critical regions.
      - semaphores: up and down operations.
      - mutexes: based on semaphores, define critical regions.
        - In Java, every object has an implicit mutex; the synchronize(object) syntax lets one acquire/release.
        - Java also has a Lock interface.
      - conditional critical regions: language forces guarded access to shared variables and organizes conditional waiting.
      - monitors: mutually exclusive guarded procedures protecting shared variables that are packaged into the same module.
      - Synchronization: Blocking until a situation is right.
        - semaphores, but initialized to 0 instead of 1.
        - eventcounts and sequencers.
        - barriers
  - Programming errors and remedies
    - Not recognizing critical regions.
• Some access to shared variables are atomic; it depends on the language. In Java, access to int is atomic, but access to double is not; all access to volatile variables is atomic.

• Deadlock: cycle in the waits-for graph. Solution: prevent or break the cycle.

• Livelock: lack of progress, although no threads are blocked; they are all responding to each other.

• Starvation: a thread makes no progress, even though others do. Standard example: dining philosophers. Solution: entry control.