

# Chapter 13: Reference

Why reference
Evaluation
Typing
Store Typings
Safety



# References

## **Computational Effects**



Also known as *side effects*.

A *function* or *expression* is said to have a **side effect** if, in addition to returning a value, it also *modifies some state* or has an *observable interaction with* calling functions or the outside world.

- modify a global variable or static variable, modify one of its arguments,
- raise an exception,
- write data to a display or file, read data, or
- call other side-effecting functions.

In the presence of side effects, a program's behavior may depend on *history*; i.e., the *order of evaluation* matters.

## **Computational Effects**



Side effects are the *most common way* that a program *interacts with the outside world* (people, file systems, other computers on networks).

The degree to which side effects are used depends on the programming paradigm.

- Imperative programming is known for its frequent utilization of side effects.
- In functional programming, side effects are rarely used.
  - Functional languages like Standard ML, Scheme and Scala do not restrict side effects, but it is customary for programmers to avoid them.
  - The functional language Haskell expresses side effects such as I/O and other stateful computations using monadic actions.

## Mutability



So far, what we have discussed does not yet include *side effects* .

In particular, whenever we defined function, we *never* changed variables or data. Rather, we always computed new data.

 E.g., the operations to insert an item into the data structure didn't effect the old copy of the data structure. Instead, we always built a new data structure with the item appropriately inserted.

For the most part, programming in a functional style (i.e., without side effects) is a "good thing" because it's easier to reason locally about the behavior of the program.

## Mutability



Writing values into memory locations is the fundamental mechanism of imperative languages such as C/C++.

#### Mutable structures are

- required to implement many efficient algorithms.
- also very convenient to represent the current state of a state machine.

## Mutability



In most programming languages, *variables are* mutable — i.e., a variable provides both

- a name that refers to a previously calculated value, and
- the possibility of overwriting this value with another (which will be referred to by the same name)

In some languages (e.g., OCaml), these features are separate:

- variables are only for naming the binding between a variable and its value is immutable
- introduce a new class of mutable values (called reference cells or references)
  - at any given moment, a reference holds a value (and can be dereferenced to obtain this value)
  - a new value may be assigned to a reference

# **Basic Examples**



```
\#let r = ref 5
val r : int ref = {contents = 5}
// The value of r is a reference to a cell that always contain a number.
\# r := !r + 3
# !r
-: int = 8
(r:=succ(!r); !r)
```

# **Basic Examples**



```
# let flag = ref true;;
-val flag: bool ref = {contents = true}
# if !flag then 1 else 2;;
-: int = 1
```

## Reference



#### Basic operations

- allocation ref (operator)dereferencing !
- assignment :=

Is there any difference between the expressions of?

- -5+3;
- r: = 8;
- (r:=succ(!r); !r)
- (r:=succ(!r); (r:=succ(!r); !r)

#### sequencing

## Reference



Exercise 13.1.1 : Draw a similar diagram showing the effects of evaluating the expressions  $a = \{ref 0, ref 0\}$  and  $b = (\lambda x: Ref Nat. \{x,x\})$  (ref 0)

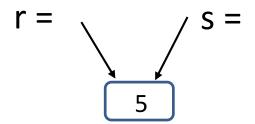
## Aliasing



A value of type  $\operatorname{ref} T$  is a *pointer* to a cell holding a value of type T

If this value is "copied" by assigning it to another variable: s=r;

the cell pointed to is not copied. ( r and s are aliases)



So we can change **r** by assigning to **s**:

$$(s:=10; !r)$$

# Aliasing all around us



Reference cells are *not the only language feature* that introduces the possibility of aliasing

- arrays
- communication channels
- I/O devices (disks, etc.)

# The difficulties of aliasing



The possibility of aliasing *invalidates* all sorts of useful forms of *reasoning about programs*, both

```
by programmers:
```

```
e.g., function  \lambda r: Ref\ Nat.\ \lambda s: Ref\ Nat.\ (r \coloneqq 2;\ s \coloneqq 3;\ !r)  always returns 2 unless r and s are aliases
```

#### and by compilers:

Code motion out of loops, common sub-expression elimination, allocation of variables to registers, and detection of uninitialized variables all depend upon the compiler knowing which objects a load or a store operation could reference.

High-performance compilers *spend significant energy* on *alias analysis* to try to establish when different variables cannot possibly refer to the same storage

## The benefits of aliasing



The *problems of aliasing* have led some language designers simply to disallow it (e.g., Haskell).

However, there are good reasons why most languages do provide constructs involving aliasing:

- efficiency (e.g., arrays)
- shared resources (e.g., locks) in concurrent systems
- "action at a distance" (e.g., symbol tables)
- **—** .....

## Example



```
c = ref \ 0

incc = \lambda x: Unit. (c := succ(!c);!c)

decc = \lambda x: Unit. (c := pred(!c);!c)

incc \ unit

decc \ unit

o = \{i = incc, d = decc\}
```

```
let \ newcounter = o
\lambda_{.Unit}.
let \ c = ref \ 0 \ in
let \ incc = \lambda x : Unit. \ (c \coloneqq succ(!c); !c) \ in
let \ decc = \lambda x : Unit. \ (c \coloneqq pred(!c); !c)
let \ o = \{i = incc, d = decc\} \ in
```

## Example



```
NatArray = Ref (Nat \rightarrow Nat);
newarray = \lambda:Unit. ref (\lambdan:Nat.0);
             : Unit \rightarrow NatArray
lookup = \lambdaa:NatArray. \lambdan:Nat. (!a) n;
          : NatArray \rightarrow Nat \rightarrow Nat
update = \lambdaa:NatArray. \lambdam:Nat. \lambdav:Nat.
               let oldf = !a in
               a := (\lambda n):Nat. if equal m n then v else oldf n);
          : NatArray \rightarrow Nat \rightarrow Nat \rightarrow Unit
```



# How to enrich the language with the new mechanism ?

## Syntax



```
terms
                                         unit constant
 unit
                                         variable
 X
 \lambda x:T.t
                                         abstraction
                                         application
 t t
                                         reference creation
ref t
                                         dereference
                                         assignment
```

... plus other familiar types, in examples

## Typing rules



$$\frac{\Gamma \vdash t_1 : T_1}{\Gamma \vdash ref \ t_1 : Ref \ T_1} \qquad (T-REF)$$

$$\frac{\Gamma \vdash t_1 : Ref \ T_1}{\Gamma \vdash !t_1 : T_1} \qquad (T-DEREF)$$

$$\frac{\Gamma \vdash t_1 : Ref \ T_1}{\Gamma \vdash t_1 : = t_2 : Unit} \qquad (T-Assign)$$

#### type system

a set of rules that assigns a property called type to the various "constructs" of a computer program, such as variables, expressions, functions or modules



What is the value of the expression ref 0?

```
Is
    r = ref 0
    s = ref 0
and
    r = ref 0
    s = r
behave the same?
```

Crucial observation: evaluating ref 0 must do something?

Specifically, evaluating ref 0 should allocate some storage and yield a reference (or pointer) to that storage

So what is a reference?

#### The store



A reference names a *location* in the *store* (also known as the *heap* or just the *memory*)

#### What is the **store**?

- Concretely: an array of 8-bit bytes, indexed by 32/64-bit integers
- More abstractly: an array of values, abstracting away from the different sizes of the runtime representations of different values
- Even more abstractly: a partial function from locations to values
  - set of store locations
  - Location: an abstract index into the store

## Locations



#### Syntax of *values*:

... and since all values are terms ...

# Syntax of Terms



t	::=		terms	
		unit	unit constant	
		X	variable	
		$\lambda x$ :T.t	abstraction	
		t t	application	
		ref t	reference creation	
	 	!t	dereference	
	 	t:=t	assignment	
		1	store location	

## Aside



Does this mean we are going to allow programmers to write explicit locations in their programs??

No: This is just a modeling trick, just as intermediate results of evaluation

Enriching the "source language" to include some *runtime* structures, we can thus continue to *formalize evaluation* as a relation between source terms

Aside: If we formalize evaluation in the *big-step style*, then we can *add locations* to *the set of values* (results of evaluation) without adding them to the set of terms



The *result* of *evaluating a term* now (with references)

- depends on the store in which it is evaluated
- is not just a value we must also keep track of the changes that get made to the store

i.e., the evaluation relation should now map a term as well as a store to a reduced term and a new store

$$t \mid \mu \rightarrow t' \mid \mu'$$

To use the metavariable  $\mu$  to range over stores

 $\mu \& \mu'$ : states of the store before & after evaluation



#### A term of the form ref t<sub>1</sub>

1. first evaluates inside  $t_1$  until it becomes a value ...

$$\frac{\mathsf{t}_1 \mid \mu \longrightarrow \mathsf{t}_1' \mid \mu'}{\mathsf{ref} \ \mathsf{t}_1 \mid \mu \longrightarrow \mathsf{ref} \ \mathsf{t}_1' \mid \mu'}$$
 (E-Ref)

2. then *chooses* (allocates) a *fresh location* l, augments the store with **a binding** from l to  $v_1$ , and returns l:

$$\frac{l \notin dom(\mu)}{\text{ref } v_1 \mid \mu \longrightarrow l \mid (\mu, l \mapsto v_1)}$$
 (E-RefV)



A term !t<sub>1</sub> first evaluates in t<sub>1</sub> until it becomes a value...

$$\frac{\mathbf{t}_1 \mid \mu \longrightarrow \mathbf{t}_1' \mid \mu'}{\mathbf{!t}_1 \mid \mu \longrightarrow \mathbf{!t}_1' \mid \mu'}$$
(E-DEREF)

... and then

- 1. looks up this value (which must be a location, if the original term was well typed) and
- 2. returns its contents in the current store

$$\frac{\mu(I) = v}{!I \mid \mu \longrightarrow v \mid \mu}$$
 (E-DerefLoc)



An assignment  $t_1 := t_2$  first evaluates  $t_1$  and  $t_2$  until they become values ...

$$\frac{\mathbf{t}_{1} \mid \mu \longrightarrow \mathbf{t}_{1}' \mid \mu'}{\mathbf{t}_{1} := \mathbf{t}_{2} \mid \mu \longrightarrow \mathbf{t}_{1}' := \mathbf{t}_{2} \mid \mu'} \qquad (\text{E-Assign1})$$

$$\frac{\mathbf{t}_{2} \mid \mu \longrightarrow \mathbf{t}_{2}' \mid \mu'}{\mathbf{v}_{1} := \mathbf{t}_{2} \mid \mu \longrightarrow \mathbf{v}_{1} := \mathbf{t}_{2}' \mid \mu'} \qquad (\text{E-Assign2})$$

... and then returns unit and updates the store:

$$l:=v_2 \mid \mu \longrightarrow \text{unit} \mid [l \mapsto v_2]\mu$$
 (E-Assign)



Evaluation rules for *function abstraction* and *application* are *augmented with stores*, but *don't do anything* with them directly

$$\frac{\mathbf{t}_1 \mid \mu \longrightarrow \mathbf{t}_1' \mid \mu'}{\mathbf{t}_1 \mid \mathbf{t}_2 \mid \mu \longrightarrow \mathbf{t}_1' \mid \mathbf{t}_2 \mid \mu'}$$
 (E-APP1)

$$\frac{\mathbf{t}_2|\; \mu \longrightarrow \mathbf{t}_2'|\; \mu'}{\mathbf{v}_1 \;\; \mathbf{t}_2|\; \mu \longrightarrow \mathbf{v}_1 \;\; \mathbf{t}_2'|\; \mu'} \tag{E-APP2}$$

$$(\lambda x:T_{11}.t_{12})$$
  $v_2|\mu \longrightarrow [x \mapsto v_2]t_{12}|\mu (E-APPABS)$ 

## Aside



#### **Garbage Collection**

Note that we are not modeling garbage collection—the store just grows without bound

It may not be problematic for most theoretical purposes, whereas it is clear that for practical purposes some form of deallocation of unused storage must be provided

#### **Pointer Arithmetic**

p++;

We can't do any!



# **Store Typing**

# **Typing Locations**



Question: What is the *type* of a location?

Answer: Depends on the *contents* of the store!

e.g,

in the store  $(l_1 \mapsto \text{unit}, l_2 \mapsto \text{unit})$ , the term  $! l_2$  is evaluated to unit, having type Unit

in the store  $(l_1 \mapsto \text{unit}, l_2 \mapsto \lambda x : \text{Unit. } x)$ , the term  $! l_2$  has type Unit  $\rightarrow$  Unit

# Typing Locations — first try



Roughly, to find the type of a location l, first look up the current contents of l in the store, and calculate the type  $T_1$  of the contents:  $\frac{\Gamma \vdash \mu(l) : T_1}{\Gamma \vdash l : \text{Ref} \ T_1}$ 

More precisely, to make the type of a term depend on the store (keeping a consistent state), we should change the typing relation from three-place to:

$$\frac{\Gamma \mid \mu \vdash \mu(I) : T_1}{\Gamma \mid \mu \vdash I : \text{Ref } T_1}$$

i.e., typing is now a *four-place relation* (about *contexts*, *stores*, *terms*, and *types*), though *the store is a part of the context* .....

## Problems #1



However, this rule is not *completely satisfactory*, and is *rather inefficient*.

- it can make typing derivations very large (if a location appears many times in a term)!
- e.g.,

```
\mu = (l_1 \mapsto \lambda x: \text{Nat. } 999,
l_2 \mapsto \lambda x: \text{Nat. } (! l_1) x,
l_3 \mapsto \lambda x: \text{Nat. } (! l_2) x,
l_4 \mapsto \lambda x: \text{Nat. } (! l_3) x,
l_5 \mapsto \lambda x: \text{Nat. } (! l_4) x),
```

then how big is the typing derivation for  $l_5$ ?

## Problems #2



But wait... it *gets worse* if the store contains a *cycle*. Suppose

```
\mu = (l_1 \mapsto \lambda x: \text{Nat. } (! l_2) x,

l_2 \mapsto \lambda x: \text{Nat. } (! l_1) x)),
```

how big is the typing derivation for  $l_2$ ? Calculating a type for  $l_2$  requires finding the type of  $l_1$ , which in turn involves  $l_2$ 

# Why?



#### What leads to the problems?

Our typing rule for locations requires us to recalculate the type of a location every time it's mentioned in a term, which should not be necessary

In fact, once a location is first created, the type of the initial value is known, and the type will be kept even if the values can be changed



#### **Observation:**

The typing rules we have chosen for references guarantee that a given location in the store is always used to hold values of the same type

These intended types can be *collected* into a *store typing:* 

a partial function from locations to types



#### E.g., for

```
\mu = (l_1 \mapsto \lambda x: \text{Nat. } 999,
l_2 \mapsto \lambda x: \text{Nat. } (! l_1) x,
l_3 \mapsto \lambda x: \text{Nat. } (! l_2) x,
l_4 \mapsto \lambda x: \text{Nat. } (! l_3) x,
l_5 \mapsto \lambda x: \text{Nat. } (! l_4) x),
```

#### A reasonable *store typing* would be

```
\Sigma = (I_1 \mapsto \mathtt{Nat} {
ightarrow} \mathtt{Nat}, \ I_2 \mapsto \mathtt{Nat} {
ightarrow} \mathtt{Nat}, \ I_3 \mapsto \mathtt{Nat} {
ightarrow} \mathtt{Nat}, \ I_4 \mapsto \mathtt{Nat} {
ightarrow} \mathtt{Nat}, \ I_5 \mapsto \mathtt{Nat} {
ightarrow} \mathtt{Nat})
```



Now, suppose we are given a store typing  $\Sigma$  describing the store  $\mu$  in which we intend to evaluate some term t

Then we can use  $\Sigma$  to look up the *types of locations* in t instead of calculating them from the values in  $\mu$ 

$$\frac{\Sigma(I) = T_1}{\Gamma \mid \Sigma \vdash I : \text{Ref } T_1}$$
 (T-Loc)

i.e., typing is now a four-place relation on contexts, store typings, terms, and types.

**Proviso**: the typing rules *accurately predict* the results of evaluation *only if* the *concrete store* used during evaluation actually *conforms to* the store typing

# Final typing rules



$$\frac{\Sigma(I) = T_1}{\Gamma \mid \Sigma \vdash I : \text{Ref } T_1} \tag{T-Loc}$$

$$\frac{\Gamma \mid \Sigma \vdash \mathsf{t}_1 : \mathsf{T}_1}{\Gamma \mid \Sigma \vdash \mathsf{ref} \ \mathsf{t}_1 : \mathsf{Ref} \ \mathsf{T}_1} \tag{T-Ref}$$

$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Ref } T_{11}}{\Gamma \mid \Sigma \vdash ! t_1 : T_{11}}$$
 (T-Deref)

$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Ref } T_{11} \qquad \Gamma \mid \Sigma \vdash t_2 : T_{11}}{\Gamma \mid \Sigma \vdash t_1 := t_2 : \text{Unit}} \qquad (\text{T-Assign})$$



#### Where do these store typings come from?

When we first typecheck a program, there will be no explicit locations, so we can use an empty store typing, since the locations arise only in terms that are the intermediate results of evaluation

So, when a new location is created during evaluation,

$$\frac{l \notin dom(\mu)}{\text{ref } v_1 \mid \mu \longrightarrow l \mid (\mu, l \mapsto v_1)}$$
 (E-RefV)

we can observe the type of  $v_1$  and *extend* the "*current* store typing" appropriately.



As evaluation proceeds and *new locations are created, the store typing is extended* by looking at the type of the initial values being placed in newly allocated cells

only records the association between already-allocated storage cells and their types



# Safety

Coherence between the statics and the dynamics

Well-formed programs are well-behaved when executed



the steps of evaluation preserve typing



How to express the statement of preservation?

**First attempt**: just add **stores** and **store typings** in the appropriate places

```
Theorem(?): if \Gamma \mid \Sigma \vdash t: T and t \mid \mu \longrightarrow t' \mid \mu', then \Gamma \mid \Sigma \vdash t': T
```

Right??

Wrong!

Why wrong?

Because  $\Sigma$  and  $\mu$  here are not constrained to have anything to do with each other!

Exercise: Construct an example that breaks this statement of preservation



**Definition**: A store  $\mu$  is said to be *well typed* with respect to a typing context  $\Gamma$  and a store typing  $\Sigma$ , written  $\Gamma \mid \Sigma \vdash \mu$ , if  $dom(\mu) = dom(\Sigma)$  and  $\Gamma \mid \Sigma \vdash \mu(l)$ :  $\Sigma(l)$  for every  $l \in dom(\mu)$ 

```
Theorem (?): if \Gamma \mid \Sigma \vdash t: T t \mid \mu \longrightarrow t' \mid \mu' \Gamma \mid \Sigma \vdash \mu then \Gamma \mid \Sigma \vdash t': T
```

Right this time?
Still wrong!
Why? Where? (E-REFV) 13.5.2



Creation of a new reference cell ...

$$\frac{l \notin dom(\mu)}{\operatorname{ref} v_1 \mid \mu \to l \mid (\mu, l \mapsto v_1)}$$
 (E-RefV)

... breaks the correspondence between the store typing and the store.

Since the store can grow during evaluation:

**Creation of a new reference cell** yields a store with a larger domain than the initial one, making the conclusion incorrect: if  $\mu'$  includes a binding for a fresh location l, then l cann't be in the domain of  $\Sigma$ , and it will not be the case that t' is typable under  $\Sigma$ 



```
Theorem: if \Gamma \mid \Sigma \vdash t: T \Gamma \mid \Sigma \vdash \mu t \mid \mu \longrightarrow t' \mid \mu' then, for some \quad \Sigma' \supseteq \Sigma, \Gamma \mid \Sigma' \vdash t': T \Gamma \mid \Sigma' \vdash \mu'.
```

A correct version.

What is  $\Sigma'$ ?

*Proof*: Easy extension of the preservation proof for  $\lambda$ 



# Progress

well-typed expressions are
either values
or can be further evaluated

#### **Progress**



#### Theorem:

Suppose t is a closed, well-typed term

(i.e.,  $\Gamma \mid \Sigma \vdash t$ : T for some T and  $\Sigma$ )

then either t is a *value* or else, for any store  $\mu$  such that  $\Gamma \mid \Sigma \vdash \mu$ , there is some term t' and store  $\mu'$  with

$$t \mid \mu \rightarrow t' \mid \mu'$$

# Safety



- preservation and progress together constitute the proof of safety
  - progress theorem ensures that well-typed expressions don't get stuck in an ill-defined state, and
  - preservation theorem ensures that if a step is a taken the result remains well-typed (with the same type).
- These two parts ensure the statics and dynamics are coherent, and that no ill-defined states can ever be encountered while evaluating a well-typed expression



# In summary ...

# **Syntax**



We added to  $\lambda_{\rightarrow}$  (with Unit) syntactic forms for creating, dereferencing, and assigning reference cells, plus a new type constructor Ref.

#### **Evaluation**



#### **Evaluation relation:**

$$t \mid \mu \rightarrow t' \mid \mu'$$

$$\frac{l \notin dom(\mu)}{\text{ref } v_1 \mid \mu \longrightarrow l \mid (\mu, l \mapsto v_1)}$$
 (E-RefV)

$$\frac{\mu(l) = v}{! / | \mu \longrightarrow v | \mu}$$
 (E-DerefLoc)

$$l:=v_2 \mid \mu \longrightarrow \text{unit} \mid [l \mapsto v_2]\mu$$
 (E-Assign)

# **Typing**



#### Typing becomes a four-place relation: $\Gamma \mid \Sigma \vdash t : T$

$$\frac{\Sigma(I) = T_1}{\Gamma \mid \Sigma \vdash I : \text{Ref } T_1}$$
 (T-Loc)

$$\frac{\Gamma \mid \Sigma \vdash \mathsf{t}_1 : \mathsf{T}_1}{\Gamma \mid \Sigma \vdash \mathsf{ref} \ \mathsf{t}_1 : \mathsf{Ref} \ \mathsf{T}_1} \tag{T-Ref}$$

$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Ref } T_{11}}{\Gamma \mid \Sigma \vdash ! t_1 : T_{11}}$$
 (T-Deref)

$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Ref } T_{11} \qquad \Gamma \mid \Sigma \vdash t_2 : T_{11}}{\Gamma \mid \Sigma \vdash t_1 := t_2 : \text{Unit}} \qquad (\text{T-Assign})$$



# Theorem: if $\Gamma \mid \Sigma \vdash t: T$ $\Gamma \mid \Sigma \vdash \mu$ $t \mid \mu \longrightarrow t' \mid \mu'$ then, for some $\Sigma' \supseteq \Sigma$ , $\Gamma \mid \Sigma' \vdash \mathsf{t}' \colon \mathsf{T}$ $\Gamma \mid \Sigma' \vdash \mu'$ .

### **Progress**



Theorem: Suppose t is a closed, well-typed term (that is,

 $\emptyset \mid \Sigma \vdash t$ : T for some T and  $\Sigma$ ). Then either t is a value or else, for any store  $\mu$  such that  $\emptyset \mid \Sigma \vdash \mu$ , there is some term t' and store  $\mu'$  with t  $\mid \mu \longrightarrow$  t'  $\mid \mu'$ 



# Others ...

### **Arrays**



Fix-sized vectors of values. All of the values must have the same type, and the fields in the array can be accessed and modified.

```
e.g., arrays can be created with in Ocaml [|e_1; ...; e_n|]

# let a = [|1;3;5;7;9|];;

val a : int array = [|1;3;5;7;9|]

#a;;

-: int array = [|1;3;5;7;9|]
```

## **Arrays**



```
let fa =
 for i = 1 to Array.length a - 1 do
    let val_i = a.(i) in
    let j = ref i in
    while !j > 0 && val_i < a.(!j - 1) do
      a.(!i) <- a.(!i - 1);
      j := !j - 1
   done;
   a.(!j) <- val i
 done;;
```

#### Recursion via references



Indeed, we can define *arbitrary recursive functions* using references

1. Allocate a ref cell and initialize it with a *dummy function* of the appropriate type:

```
fact_{ref} = ref(\lambda n: Nat. 0)
```

2. Define the body of the function we are interested in, using the contents of the reference cell for making recursive calls:

```
fact<sub>body</sub> = \lambda n: Nat.
if iszero n then 1 else times n ((! fact<sub>ref</sub>)(pred n))
```

3. "Backpatch" by storing the real body into the reference cell:

```
fact_{ref} := fact_{body}
```

4. Extract the contents of the reference cell and use it as desired:

```
fact = ! fact_{ref}
```

#### **Homework** ©



- Read chapter 13
- Read and chew over the codes of fullref.

• HW: 13.4.1 and 13.5.8

Preview chapter 14