Commentary on Practical Foundations for Programming Languages (Second Edition)

Robert Harper
Carnegie Mellon University
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It may be useful to many readers for me to explain the many decisions made in the organization and presentation of ideas in PFPL, and to suggest some variations and extensions that I have considered during and after writing the book. The discussion necessarily reflects my own opinions.

Contents

1 Paradigms 2
2 Preliminaries 3
3 Statics and Dynamics 3
4 Partiality and Totality 5
5 Functions First, or Not 7
6 The Empty and Unit Types 7
7 Static and Dynamic Classification 8
8 Inductive and Coinductive Types 9
9 Recursion in PCF 10
10 Parallelism 11
11 Laziness and Eagerness 12
1 Paradigms

The earliest attempts to systematize the study of programming languages made use of the concept of a paradigm, apparently borrowed from Thomas Kuhn’s *The Structure of Scientific Revolutions*. It is common to classify languages into trendy-sounding categories such as “imperative”, “functional”, “declarative”, “object-oriented”, “concurrent”, “distributed”, and “probabilistic” programming. These classifications are so widespread that I am often asked to justify why I do not adhere to them.

It’s a matter of taxonomy versus genomics, as described in Stephen Gould’s critique of cladistics (the classification of species by morphology) in his essay “What, if anything, is a zebra?” (Gould, 1983). According to Gould, there are three species of black-and-white striped horse-like animals in the world, two of which are genetically related to each other, and one of which is not (any more so than it is to any mammal). It seems that
the mammalian genome encodes the propensity to develop stripes, which
is expressed in disparate evolutionary contexts. From a genomic point of
view, the clade of zebras can be said not to exist: there is no such thing as a
zebra! It is more important to study the genome, and the evolutionary pro-
cesses that influence it and are influenced by it, than it is to classify things
based on morphology.

Paradigms are clades; types are genes.

2 Preliminaries

Part I, on syntax, judgments, and rules, is fundamental to the rest of the
text, and is essential for a proper understanding of programming languages.
Nevertheless, it is not necessary, or advisable, for the novice to master all
of Part I before continuing to Part II. In fact, it might be preferable to skim
Part I and begin in earnest with Part II so as to gain a practical understand-
ing of the issues of binding and scope, the use of rules to define the statics
and dynamics of a language, and the use of hypothetical and general judg-
ments. Then one may review Part I in light of the issues that arise in a
cursory study of even something so simple as a language of arithmetic and
string expressions.

Having said that, the importance of the concepts in Part I cannot be
overstressed. It is surprising that after decades of experience languages are
still introduced that disregard or even flout basic concepts of binding and
scope. A proper treatment of binding is fundamental to modularity, the
sole means of controlling the complexity of large systems; it is dismissed
lightly at the peril of the programmer. It is equally surprising that, in an
era in which verification of program properties is finally understood as es-
sential, languages are introduced without a proper definition. It remains
common practice to pretend that “precise English” is a substitute for, or
even preferable to, formal definition, despite repeated failures over decades
to make the case. All that is needed for a precise definition is in Part I of
the book, and exemplified in the remainder. Why avoid it?

3 Statics and Dynamics

Each language concept in PFPL is specified by its \textit{statics} and its \textit{dynamics},
which are linked by a \textit{safety} theorem stating that they cohere. The statics specifies which are the well-formed expressions of a language using
context-sensitive formation constraints. The dynamics specifies how expressions are to be evaluated, usually by a transition system defining their step-by-step execution and when evaluation is complete. The safety theorem says that well-formed programs are either completely evaluated or are susceptible to transition, and that the result of such a transition is itself well-formed.

The statics of a language is usually an inductively defined typing judgment of the form $x_1 : \tau_1, \ldots, x_n : \tau_n \vdash e : \tau$, stating that an expression $e$ has the type $\tau$ uniformly in the variables $x_1, \ldots, x_n$ ranging over their specified types. The inductive definition takes the form of a collection of typing rules that jointly defined the strongest, or most restrictive, judgment closed under those rules. The minimality requirement gives rise to the important principle of induction on typing, an instance of the general concept of rule induction applied to the given typing rules. It is of paramount importance that the typing judgment obey the structural properties of a hypothetical general judgment as defined in Part I of the book. In particular typing must be closed under substitution, must assign the assumed type to each variable, and must be stable under adding spurious variable assumptions. Experience shows that languages that fail to validate the variable and substitution properties are inherently suspect, because they violate the mathematical concept of a variable developed since antiquity.

The dynamics of a language is usually given as a transition judgment on execution states defining the atomic steps of execution together with a specification of what are the initial and terminal states. In many cases states are simply expressions, and transition is inductively defined by a collection of rules using Plotkin’s method of structural operational semantics. In more sophisticated settings the state may contain additional information such as the contents of memory or the presence of concurrently executing processes, but the general pattern remains the same. An SOS specification of a transition system is the universal format used throughout PFPL. Besides being fully precise and perspicuous, structural dynamics lends itself well to mechanization and verification of safety properties.

Other methods of specifying the dynamics are of course possible. An abstract machine is a transition system whose defining rules are premise-free (that is, are all axioms, and never proper inference rules). Usually it is straightforward to derive an abstract machine from a structural dynamics by introducing components of the state that account for the implicit derivation structure in the latter formulation. An evaluation dynamics consists of an inductive definition of the complete value, if any, of an expression in terms of the values of its constituent expressions and their substitution in-
stances. An evaluation dynamics may be regarded as a characterization of multistep evaluation to a value. It can be convenient in some situations to think directly in terms of the outcome of evaluation, rather than in terms of the process of reaching it. But doing so precludes speaking about the cost, or time complexity, of a program, which may be defined as the number of steps required to reach a value. A cost dynamics defines not only the value of an expression, but also the cost of achieving that value. It is possible to associate many different notions of cost to a program, such as the sequential or parallel time or space usage of a program. A cost dynamics is both more and less than an evaluation dynamics. Reading the cost and value as outputs, it specifies both the value and cost of an expression, but reading the cost as input, it specifies only the values of expressions that are achievable with the specified cost. There is no inherent reason to prefer one reading to the other.

Transition systems are sometimes called “small step” dynamics, in contrast to evaluation relations, which are then called “big step” dynamics. There is no accounting for taste, but in my opinion evaluation dynamics does not define a transition relation, but an evaluation relation, and is not comparable as a matter of size with a proper transition system. Moreover, in many cases the values related to expressions by an evaluation (or cost) dynamics are not themselves forms of expression. In such cases it is senseless to treat evaluation as a kind of transition; it is, quite plainly, just evaluation.

4 Partiality and Totality

A significant change in the second edition is that I have deferred discussion of partiality until the basics of type structure are established. The advantage of this approach is that it avoids distracting vacillations about partiality and totality in the midst of discussing fundamental issues of type structure. The disadvantage is that the deterministic dynamics is less well-motivated in the total case, and that many semantic properties of types do not carry over from the total to the partial case without signification complication (a prime example being the parametricity properties of type quantification.)

For most practical purposes it is a bit unnatural to emphasize totality. Instead, it might be preferable to start out with PCF, rather than T, and omit discussion of inductive and coinductive types in favor of recursive types. The chief difficulty is that the discussion of representation indepen-
dence for abstract types is no longer valid; one must weaken the results to take account of partiality, which complicates matters considerably by forcing consideration of admissible predicates and fixed point induction. Perhaps this is a situation where “white lies” are appropriate for teaching, but I chose not to fudge the details.

Once partiality is introduced the lazy/eager distinction becomes centrally important. There are two issues to consider:

1. Do variables range over computations or values?

2. Do constructors (introductory forms for positive types) compose values from values or from computations?

The terminology for these distinctions is not standardized. The two possible interpretations of variables might be deemed (call-)by-name and (call-)by-value, respectively, in keeping with tradition. The origin of “by-name” for the computation interpretation of variables is obscure, but firmly established. The “call-” prefix is traditional, but misleading. The semantics of function application is indeed influenced by the interpretation of variables, because it substitutes for the bound variable of a λ-abstraction. But, for example, a case analysis construct may also bind a variable, and this is not ordinarily thought of as a “function call.” More importantly, it is for this reason that the interpretation of variables influences the interpretation of constructors, often called lazy and eager. Lazy constructors are not compatible with value variables, precisely because case analyses substitute the components of a constructor for variables. Thus, the terms “eager” and “by-value” are often conflated, as are, correspondingly, “lazy” and “by-name.”

The solution to these conundra is to make the semantics of variables explicit in the statics, as was originally done by Levy in his call-by-push-value formulation. The idea, which is described in (Harper, 2018b), is to make a modal distinction between computations and values linked by a modality whose values are unevaluated computations. Variables range over values, and constructors form values from other values. This formulation scales well to account for parallelism by generalizing the unary modality to a family of n-ary modalities for each n ≥ 0 that create a value from n unevaluated computations that are evaluated simultaneously by the elimination form.

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1It may have arisen from the mistaken idea that a suspended computation is a piece of program text.
5 Functions First, or Not

The illustrative expression language studied in Part II provides a starting point for the systematic study of programming languages using type systems and structural operational semantics as organizing tools. Systematic study begins in Part III with (total) functions, followed by T, a variation on Gödel’s formalism for primitive recursive functions of higher type. This line of development allows me to get to interesting examples straightaway, but it is not the only possible route.

An alternative is to begin with products and sums, including the unit and empty types. The difficulty with this approach is that it is a rather austere starting point, and one that is not obviously motivated by the illustrative expression language, or any prior programming experience. The advantage is that it allows for the consideration of some very basic concepts in isolation. In particular, the booleans being definable as the sum of two copies of the unit type, one may consider binary decision diagrams as an application of sums and products. Bdd’s are sufficient to allow modeling of combinational logic circuits, for example, and even to generalize these to decision diagrams of arbitrary type. One can relate the formalism to typical graphical notations for bdd’s, and discuss equivalence of bdd’s, which is used for “optimization” purposes.

One might even consider, in the latter event, the early introduction of fixed points so as to admit representation of digital logic circuits, such as latches and flip-flops, but this would conflict with the general plan in the second edition to separate totality from partiality, raising questions that might better be avoided at an early stage. On the other hand it is rather appealing to relate circular dependencies in a circuit to the fixed point theory of programs, and to show that this is what enables the passage from the analog to the digital domain. Without feedback, there is no state, without state, there is no computation.

6 The Empty and Unit Types

One motivation for including the empty type, void, in Chapter 11 is to ensure that, together with the binary sum type, τ₁ + τ₂, all finite sums are expressible. Were finite n-ary sums to be taken as primitive, then the void type inevitably arises as the case of zero summands. By the type safety theorem there are no values of type void; it is quite literally void of elements, and may therefore be said to be empty. It follows that, in a total language,
there can be no closed expressions of type $\texttt{void}$, and, in a partial language, that any such closed expression must diverge. Otherwise the expression would have to evaluate to a value of $\texttt{void}$, and that it cannot do.

The natural elimination form for an $n$-ary sum is an $n$-ary case analysis, which provides one branch for each of the $n$ summands. When $n = 0$ this would be a nullary case analysis of the form $\texttt{case e \{ \}}$, which evaluates $e$ and branches on each of the zero possible outcomes. Regrettably, the standard notation used for a nullary case is $\texttt{abort(e)}$, which plainly suggests that it would induce some form of error during evaluation. But that is not at all the case! The unhappy choice of notation confuses many readers, and it is best to avoid it in favor of the more plainly self-explanatory nullary case notation.

Because it is empty, an important use of the type $\texttt{void}$ is to state that some expression must not return to the point at which it is evaluated. A particularly common use of $\texttt{void}$ is in a type $\tau \rightarrow \texttt{void}$, which classifies functions that, once applied, do not return a value to the caller (by diverging, by raising an exception, or throwing to a continuation). That type is quite different from the type $\tau \rightarrow \texttt{unit}$, which, if it returns, returns the empty tuple (but might engender effects during execution). To be emphatic, not returning a value is different from returning an uninteresting value, yet, bizarrely, the industry standard is to confuse the two situations! It is standard practice to write $\texttt{void}$ for what is properly called $\texttt{unit}$, and having no proper $\texttt{void}$ type at all! Thus, in that notation, a function of type $\tau \rightarrow \texttt{void}$ may well return to its caller, and there is no way to notate a function that definitely does not return. Words matter; reduction of expressiveness matters even more.

7 Static and Dynamic Classification

The importance of sum types for static classification of data cannot be overstated. They have long been ignored in seat-of-the-pants language designs, giving rise to absurdities such as “null pointers” in abstract languages (there are none), the notion of dynamic dispatch in object-oriented languages (it is a form of pattern matching, albeit without of exhaustiveness or coverage checking), dynamically typed languages (see Section 14), and to ad hoc notions such as enumeration types (which are but sums of unit type).

Static classification naturally generalizes to dynamic classification, in which new classes may be generated at run-time. The same basic mecha-
nisms extend smoothly from the static to the dynamic case, obviating the need for specialized mechanisms such as exception generation or communication channel allocation. Moreover, they provide a natural basis for ensuring confidentiality and integrity of data. Coupled with an independent type abstraction mechanism, one can create as many distinct dynamically classified types as one likes, simply by defining them all to be the one type of dynamically classified values and relying on abstraction to keep them distinct.

The distinction between dynamic and static classification sheds light on a major deficiency of object-oriented languages. Because the totality of classes must be known statically, it follows that, for semantic reasons, that whole-program compilation is required, which completely defeats modular program development. This leads to an emphasis on “just in time” compilation, another word for whole-program compilation, to defer code generation until the class hierarchy is known.

8 Inductive and Coinductive Types

The distinction between inductive and coinductive types is present only in the case of total languages; in languages with partiality they are subsumed by recursive types. For this reason it may be preferable to avoid the technical complexities of inductive and coinductive types, and simply work with recursive types in FPC. It is still worthwhile to discuss generic programming, which is of independent interest, and to discuss streams, which are characterized by their behavior, rather than their structure.

Streams raise an interesting question about the distinction between partial and total languages. In the context of Chapter 15, it is not possible to write a filter function for streams that, given a binary predicate (a function of type nat → bool), produces the stream whose elements consist only of those elements for which the predicate evaluates to true. Intuitively, the code for filter does not know how long to wait for the next element to arrive; it can be arbitrarily far in the future of the stream, or even not exist at all if the predicate is always false! But it is in the nature of a total language to build in the “proof” that it terminates on all inputs. To implement filter requires an unbounded search operation, using a fixed point construction that sacrifices guaranteed termination.

The definition of positive type operator given in Chapter 14 can be reformulated using hypothetical judgments by maintaining a context Ω of
hypotheses of the form \( t_1 \text{ pos}, \ldots, t_n \text{ pos} \) as follows:

\[
\begin{align*}
\Delta \vdash \text{unit pos} & \quad \Delta \vdash \text{void pos} \\
\Delta \vdash t_1 \text{ pos} & \quad \Delta \vdash t_2 \text{ pos} \\
\Delta \vdash t_1 \times t_2 \text{ pos} & \\
\Delta \vdash t_1 + t_2 \text{ pos} \\
\Delta \vdash t_1 \text{ type} & \quad \Delta \vdash t_2 \text{ pos} \\
\Delta \vdash t_1 \rightarrow t_2 \text{ pos}
\end{align*}
\]

The reflexivity and weakening properties of the hypothetical judgment ensure that \( \Delta, t \text{ pos} \vdash t \text{ pos} \). But even though \( \Delta \vdash \tau \text{ pos} \) implies that \( \Delta \vdash \tau \text{ type} \), the entailment \( \Delta, t \text{ pos} \vdash t \text{ type} \) is not valid. And this is a good thing, because this ensures that the domain of a function type be independent of the positive type variables in scope!

For a given positive type operator \( t.\tau \text{ pos} \), define \( T(\sigma) \) to be the substitution instance \( [\sigma/t]\tau \). The inductive and coinductive types may be represented in \( \mathbf{F} \) as follows:

\[
\begin{align*}
\mu(t.\tau) & \triangleq \forall(r.((T(r) \rightarrow r) \rightarrow r)) \\
\text{fold}(t.\tau)(e) & \triangleq \Lambda(r).\lambda((a:T(r) \rightarrow r))a(m(e)), \text{ where} \\
m(e) & \triangleq \text{map}(t.\tau)(x.\text{rec}(t.\tau)(t)(x.a(x);x))(e) \\
\text{rec}(t.\tau)(\rho)(x.e';e) & \triangleq e[\rho](\lambda(x:T(\rho))e') \\
\nu(t.\tau) & \triangleq \exists(s.(s \rightarrow T(s)) \times s) \\
\text{unfold}(t.\tau)(e) & \triangleq \text{open} \text{ as } t \text{ in } g(m), \text{ where} \\
g(m) & \triangleq \text{map}(t.\tau)(x.\text{rec}(t.\tau)(t)(x.a(x);x))(m) \\
\text{gen}(t.\tau)(\sigma)(x.e';e) & \triangleq \text{pack} \sigma \text{ with } (\lambda(x:\sigma)e',e) \text{ as } \nu(t.\tau)
\end{align*}
\]

9 Recursion in PCF

Plotkin’s language \( \text{PCF} \) is often called the \( \text{E. coli} \) of programming languages, the subject of countless studies of language concepts. The formulation given here is intended to make clear the connections with \( \mathbf{T} \), and the classical treatment of recursive (that is, computable) functions. The relation to \( \mathbf{T} \) is important for explaining the significance of totality compared to partiality in a programming language.
I have chosen to formulate PCF in Plotkin’s style, with a general fixed point operator, but, contrary to Plotkin, to admit both an eager and a lazy dynamics. This choice is not comfortable, because a general fixed point is a lazy concept in that the recursively defined variable ranges over computations, not merely values. I have waivered over this decision, but in the end can find no better way to expose the important ramifications of general recursion.

Separating self-reference from functions emphasizes its generality, and helps refute a widespread misconception about recursive functions: no stack is required to implement self-reference. (Consider, for example, that a flip-flop is a recursive network of logic gates with no stack involved.) Stacks are used to manage control flow, regardless of whether function calls or recursion are involved; see Chapter 28 for a detailed account. The need for a stack to implement function calls themselves is a matter of re-entrancy, not recursion. Each application of a function instantiates its parameters afresh, and some means is required to ensure that these instances of the function are not confused when more than one application is active simultaneously. It is re-entrancy that gives rise to the need for additional storage, not recursion itself.

10 Parallelism

There is an ambiguity in the cost semantics for parallelism regarding the distinction between an expression that is yet to be evaluated, but which happens to be a value, and an expression that has already been evaluated. In a by-value language variables stand for already-evaluated expressions, and hence, when encountered during evaluation, should not incur additional cost. On the other hand certain expressions, such as \((e_1, e_2)\), where \(e_1\) and \(e_2\) are values, should incur at least the cost of allocation. Never charging for value pairs is wrong, and charging for them each time they are encountered is also wrong (because substitution replicates their occurrence.)

The solution is to introduce a modal distinction between computations and values in the statics, and to impose costs only on computations. See the supplemental notes on call-by-value and parallelism for details (Harper, 2018b,c,d).
11 Laziness and Eagerness

The distinction between laziness and eagerness is best explained in terms of the semantics of variables: do they range over all expressions of their type, or all values of their type? When all expressions have a unique value, the distinction seldom matters. But for languages that admit divergent, or otherwise undefined, expressions, the distinction is important, and affects the character of the language significantly. Whether one is more “mathematical” than the other, as is often claimed, is a matter of debate, because analogies to mathematics break down in the presence of partiality. Moreover, considerations of efficiency are fundamental for computation, but play no role in mathematics. Put another way, programs are not just proofs; they have a cost, and it matters. One might even say that cost is what distinguishes mathematics from computation; it is not to be expected that the two disparate subjects coincide.

The distinction between laziness and eagerness is not wholly a matter of cost; it is also about expressiveness. In a lazy language all expressions—even the divergent ones—are considered to be values of their type. This makes it natural to consider general recursion (fixed points) at every type, even when it diverges. Pairing is lazy (neither component is evaluated until it is used), and functions are “call-by-name”, because even a divergent argument is a value. Neither of these is particularly problematic, but for sums the inclusion of divergence is disastrous. For example, there are not two, but three booleans, true, false, and divergence; even worse, they are not distinguishable by case analysis because it is impossible to detect divergence. Absurdly, the “empty” type has one element, namely divergence, and the “unit” type has two elements. Worse, besides divergence, sums also include injections of divergent values from the summands. It is possible to introduce “strict sums” that rule out injected divergence, but divergence itself is still present. Similarly, the so-called natural numbers, viewed as a recursive sum type, not only include divergence, but also an unavoidable infinite stack of successors. One may again consider a strict version of natural numbers, which rules out infinity, but in any case includes divergence. Consequently, reasoning by mathematical induction is never valid for a lazy language. What could be less mathematical than to lack a type of natural numbers?

The problem is the very idea of a lazy language, which imposes a ruinous semantics on types. An eager semantics supports the expected semantics of types (for example, the natural numbers are the natural numbers) and, moreover, admits definition of the lazy forms of these types us-
ing suspension types (Chapter 36). A value of a suspension type is either a
value of the underlying type, or a computation of such a value that may di-
verge. There being no representation of the eager types in a lazy language,
it follows that, *eager languages are strictly more expressive than lazy languages.* Lazy languages are a mistake.

[See also Harper (2018b).]

12 Self-Reference and Suspensions

Suspension types are naturally self-referential, because of the indirection
for memoization, so it makes the most sense to make them recursive. Gen-
eral recursion can be implemented using such suspensions, but it makes
little sense to insist that recursion incur the overhead of memoization. In-
stead, one may consider other types whose elements are naturally self-
referential, and arrange for that specifically. For example, one may consider
that mutual recursion among functions is a primitive notion by introducing
the *n-ary* $\lambda$-abstraction

$$\lambda^n \{ \tau_1; \ldots ; \tau_n \}(x, y_1.e_1; \ldots ; x, y_n.e_n).$$

The $n$-ary $\lambda$ defines $n$ mutually recursive functions, each abstracted on
them all collectively as the first argument, $x$, of each. (Typically $x$ is spelled
this or self, but it is a bad idea to attempt to evade $\alpha$-conversion in this
way.)

The $n$-ary $\lambda$ evaluates to an $n$-tuple of ordinary $\lambda$-abstractions, as sug-
gested by the following statics rule, which gives it a product-of-functions
type:

$$\Gamma, x : \langle \tau_1 \rightarrow \tau'_1, \ldots , \tau_n \rightarrow \tau'_n \rangle, y_i : \tau_i \vdash e_i : \tau'_i \quad (1 \leq i \leq n)$$

$$\Gamma \vdash \lambda^n \{ \tau_1; \ldots ; \tau_n \}(x, y_1.e_1; \ldots ; x, y_n.e_n) : \langle \tau_1 \rightarrow \tau'_1, \ldots , \tau_n \rightarrow \tau'_n \rangle$$

The dynamics implements the self-reference by unrolling:

$$\lambda^n \{ \tau_1; \ldots ; \tau_n \}(x, y_1.e_1; \ldots ; x, y_n.e_n) \mapsto \langle \lambda (y_1 : \tau_1) e'_1, \ldots , \lambda (y_n : \tau_n) e'_n \rangle,$$

wherein each $e'_i$ (for $1 \leq i \leq n$) is given by

$$[\lambda^n \{ \tau_1; \ldots ; \tau_n \}(x, y_1.e_1; \ldots ; x, y_n.e_n) / x] e_i.$$

The foregoing unrolling dynamics “cheats” by substituting the *n-ary* ab-
straction for a variable, even though it is not a value. But it is tantamount
to a value in that it evaluates to one (in one step). There is no harm in extending substitution to valuable expressions (ones that have a value); it is the non-valuable expressions, which may not terminate, that cause trouble.

If you really wish to avoid this generalization, then you may instead regard the $n$-ary $\lambda$-abstraction to be a value of a tuple-of-functions type whose elimination form projects a function from the tuple and applies it to an argument. By deeming a tuple-of-\(\lambda\)'s as a value the minor cheat in the dynamics of unrolling is evaded. A specialized tuple-of-functions type is sometimes called an object type, whose self-referential components are then called methods.

13 Recursive Types

Recursive types (with no positivity restriction) only make sense for a language with partiality, because they allow the definition of self-referential expressions that diverge when evaluated. Indeed, a single recursive type is sufficient to interpret the $\lambda$-calculus, the original universal model of computation. In the presence of partiality the distinction between eager and lazy evaluation is semantically significant, and the interplay between these strategies is central to the representation of inductive and coinductive types as recursive types.

Recursive types are the means by which the concept of a data structure can be given full expression. Too often students are taught that data structures are always defined structurally, and may be depicted using “box and pointer” diagrams. But this excludes important structures involving laziness or functions, which are not representable in such a simplistic manner. For this reason alone it is useful to consider the general case, with the isomorphism between a recursive type and its unfolding playing the role of an “abstract pointer” that is more general than a memory address.

Recursive types are essential for many programming concepts, most obviously the definition of a self-referential value such as a function defined in terms of itself. Less obviously, recursive types are crucial for understanding the (misnamed) concept of dynamic typing (q.v.), for the representation of coroutines using continuations, and for a full treatment of dynamic dispatch (again, via self-reference). Although deceptively simple in the formalism, recursive types are a deep and fundamental concept that should be given full treatment in any account of programming languages.

As a technical matter, the statics for the fold operation of recursive types requires that $\text{rec \, is \, } \tau \, \text{type}$, but for the premise to be properly for-
mulated demands that \([\text{rec } t \is \tau / t] \tau\) type. But if the former holds, then, by induction on the formation rules for types, it follows that \(t \type \vdash \tau \type\), from which the formation of the unrolling follows by substitution. Alternatively the formation rule for recursive type may be formulated using the hypothetical judgment

\[
\text{rec } t \is \tau \type \vdash [\text{rec } t \is \tau / t] \tau \type,
\]

from which the unconditional formation of the unrolling follows. The bound variable \(t\) in \(\text{rec } t \is \tau\) is not so much a variable, but a “back pointer” to the recursive type itself. The alternative formulation captures this interpretation more accurately than does requiring that \(t.\tau\) be a well-formed type operator.

### 14 Dynamic Typing

The whole of Part IX is devoted to dynamic typing. The first point is that what is dynamic are not \(\text{types}\), but rather \(\text{classes}\), of data. The second, which is much the same, is that such languages are not \(\text{untyped}\), but rather \(\text{un-i-typed}\) (to use Dana Scott’s neat turn of phrase), the one type in question being a recursive sum. Understanding this is essential to resolving the never-ending “debate” about typed vs. untyped languages.

From this perspective a dynamic language is a static language that confines its attention to this one distinguished type. Yet in practice few dynamic languages adhere to this dogma. For example, such languages invariably admit multiple arguments to functions, and often admit multiple results as well. But this is none other than a concession to static typing! The domains and ranges of such functions are finite products, or perhaps lists, of the distinguished type, rather than single values of that type. So, multiple types are essential, but why stop with just these?

Dynamic typing arose in Lisp long before there was any appreciation for the type structure of programming languages. The appeal of Lisp is powerful, especially if your only other experience is with imperative, especially object-oriented, programming languages. But Lisp’s charms are not often separated from their historical context. Though once true, it is true no longer that Lisp is the sole opponent of all other programming languages. And so it remains unrecognized that Lisp, and its descendants, are statically typed languages after all, despite appearances and vigorous protestation by advocates. After decades of experience, (recursive) sum types are
unfamiliar, perhaps even unimagined, by the advocates of dynamic languages. Absent a proper understanding of recursive sums, dynamic typing seems appealing—precisely because it offers sums in the implicit form of run-time class checks. But dynamic typing robs the programmer of the all-important exhaustiveness check afforded by case analysis.

Another reason for preferring dynamic languages is their immediacy. It is infamous that every Lisp program does something, as long as the parentheses match. It is consequently very easy to write code that does something vaguely right, and to adopt a development strategy that amounts to debugging a blank screen: get something sort-of going, then hack it into existence. Richly typed languages, on the other hand, impose the discipline that your code make minimal type sense, and demand that you consider the types of values in play. Opponents argue that the type system “gets in their way” but experience shows that this is hardly the case. Innovations such as polymorphic type inference make a mockery of the supposed inconveniences of a rich type discipline.

15 Subtyping

Structural subtyping is, according to Pfenning (2008), based on the principle that a value should have the same types as its $\eta$-expansion. For example, the subtyping principle for function types may be justified by considering any expression $e$ of type $\tau_1' \to \tau_2$. Under the assumptions that $\tau_1 <: \tau_1'$ and $\tau_2 <: \tau_2'$, then $e$ should also have the type $\tau_1 \to \tau_2'$, because its expansion, $\lambda (x_1 : \tau_1) e(x_1)$, would, given those assumptions. Notice that if $e$ were a $\lambda$-abstraction, the expansion would not be needed to obtain the weaker typing, but when $e$ is a variable, for example, the expansion has more types than the variable as declared, so subtyping adds some flexibility. Similarly, one may justify the $n$-ary product subtyping principle on similar grounds. Given an $n$-tuple $e$, the $m$-tuple consisting of the first $m \leq n$ projections from $e$ provides a narrower view of it.

The treatment of numeric types stretches the meaning of structural subtyping to its limits. The idea is that an integer $n$ may be “expanded” to the rational $n \div 1$, and a rational may be “expanded” to a real (say, a Cauchy sequence) representing the same rational. Whether these count as $\eta$-expansions is questionable; it is more accurate to say that they are justified by canonical choices of inclusions that are implicit in the interpretation of subtyping. Whereas one may consider a dynamics in which values are identified with their $\eta$-expansions (so that a narrow tuple may, in fact, be wider than its
type would indicate), it is less clear that this would be sensible for the numeric types—unless all numbers were to be represented as reals under the hood!

But if that were the case, the inclusions would more naturally be interpreted as behavioral, rather than structural, subtypes. More precisely, the subtyping principles would better be read as isolating certain reals as rationals and certain rationals as integers according to a semantic, rather than syntactic, criterion. As such it is not always possible to determine whether a given real number is rational or integral by purely mechanical means; it is, rather, a matter of proof. In practice one gives syntactic conditions that suffice for practical situations, which is exactly what I have done in Chapter 25 in developing a syntactic behavioral type system to track the class of a value in DPCF. In truth one cannot determine the class of an arbitrary computation, but in practice one can often get by with some relatively simple syntactic conditions that provide a modicum of tracking ability. Conditionals invariably attenuate what can be statically tracked, and are especially problematic when the subtype relation lacks meets, as it does in many popular languages.

16 Dynamic Dispatch

The discussion of dynamic dispatch is meant to address one of the more prominent aspects of object-oriented programming. A great deal of emphasis is placed on the idea of an “object” as a collection of “methods” that act on shared “instance” data. Many a claim hinges on this supposedly distinguishing characteristic of object-oriented programming. For example, it is common to set up a false comparison to “abstract types”, which is said to conflict with object-oriented programming. Yet, as is shown in Chapter 26 dynamic dispatch is a particular use of data abstraction, thereby to which it cannot be opposed.

The main point of Chapter 26 is to make clear that the “method-oriented” and “class-oriented” organizations of code are isomorphic, and hence interchangeable in all contexts. There is no distinction between the two organizations; they can be interchanged at will. The central idea, a version of which

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2The (intentional) vagueness and fluidity of the topic impedes a definitive analysis. Its one stable characteristic is that its proponents insist that object-oriented programming is never what it, in fact, is. Being too profound for mortals, we'll have to defer a full treatment to the afterlife; certainly hell is object-oriented, but probably heaven is better off. Meanwhile, some remarks about the actual world may be helpful.
also appears in Abelson and Sussman’s *Structure and Interpretation of Computer Programs*, is what I call the dispatch matrix, which determines the behavior of each method on each class of instance. The dispatch matrix is symmetric in that it favors neither the rows nor the columns. One may, if one wishes, take a row-oriented or a column-oriented, view of the dispatch matrix, according to taste. One may also interchange one for the other at will, without loss or damage. There is nothing to the choice; it reflects the fundamental duality between sums and products, a duality that is equally present in matrix algebra itself. In particular, the isomorphism

$$\prod_{c \in C} \prod_{d \in D} (\tau^c \to \rho_d) \cong \left( \sum_{c \in C} \tau^c \right) \to \left( \prod_{d \in D} \rho_d \right)$$

states that a dispatch matrix determines and is determined by a mapping from the “row space” of instances of the classes to the “column space” of behaviors of the methods, much as in linear algebra.

[See also Harper (2018a).]

### 17 Symbols and References

One of the innovations of PFPL is the consolidation of a number of seemingly disparate notions by breaking out the concept of symbols from use in the semantics of various language constructs. Symbols are used in their own right as atoms whose identity can be compared to a given atom. They are used as fluid-bound identifiers and as assignables by a finite mapping associating values to identifiers. They are used as dynamically generated classifiers to enforce confidentiality and integrity of data in a program. And they are used as channels for synchronized message-passing in concurrent programs. The commonality is simply this: symbols support open-ended indexing of families of related operators. For example, there is one get and set operator for each assignable, and new assignables may be allocated at will, implicitly giving rise to a new pair of get and set operators. The situation is similar for each of the language concepts just mentioned.

Symbols are central to the uniform treatment of references throughout the book. Rather than being tied to mutation, the concept of a reference appears in each of the applications of symbols mentioned above. In each case the primitive operations of a construct are indexed by statically known (explicitly given) symbols. For example, in the case of mutation, there are get and set operations for each assignable, and in the case of dynamic
classification, the introductory form is indexed by the class name, and the elimination form is similarly indexed by a particular class. The purpose of references is to extend these operations to situations in which the relevant symbol is not statically apparent, but is instead computed at run-time. So, there is a \texttt{getref} operation that takes as argument a reference to an assignable; once the referent is known, the \texttt{getref} steps to the \texttt{get} for that assignable. Classes, channels, and so forth are handed similarly. References have nothing to do with mutation. Rather, references are a means of deferring the determination of the index of an operation until execution time. Thus, symbols are not values, but references to them are.

The dynamics of constructs that involve symbols involves an explicit association of types to the active symbols whose interpretation is determined by the construct itself.\textsuperscript{3} To achieve this requires that the dynamics maintain the signature of active symbols, which in turn requires that some type information be made explicit in the language. This can lead to some technical complications, but overall it is preferable to omitting it, because the information cannot otherwise be recovered. Another reason to maintain the signature in the dynamics is that doing so facilitates the identification of states with processes in process calculus. For example, in the case of mutation, the signature specifies the active assignables, which are themselves modeled as processes executing concurrently with the main program, responding to \texttt{get} and \texttt{set} requests on their channel. Besides being conceptually appealing, using process notation facilitates a \textit{substructural} formulation of the dynamics in which only the active parts of the state are mentioned explicitly, the remaining being “framed in” using the usual rules of process calculus.

\section{18 Sorts of Symbols}

As discussed in Section 17 symbols in PFPL are used for open-ended indexing of families of operators. As new symbols are introduced, new instances of these families become available. For example, if symbols are being used as names of assignables, then the introduction of a new symbol, \(a\) with associated type \(\tau\), gives rise to the expression \&\([a]\), a reference to the assignable \(a\), which is a value of the type \(\tau\texttt{ref}\) of assignable references. The behavior of the dereferencing operations, \(\ast e\) and \(e_1 \ast e_2\), is determined by the behavior of their underlying operations on assignables, \(@a\) and \(a := e\).

\textsuperscript{3}For example, in the case of mutation, the type associated to an assignable is the type of its associated value.
Similar concepts, such as Lisp-like symbolic data, dynamic classification, and communication channels, are handled by similar means.

The uniform treatment of operator indexing using symbols consolidates a number of otherwise disparate, but closely related, concepts, by separating the treatment of symbols per se from their application as assignables, classes, channels, and so forth. A shortcoming of their formulation in PFPL, though, is that I have only allowed for one “sort” of symbols to be active at a time. This immediately becomes problematic when it is necessary to have, say, assignables and dynamic exceptions in play at the same time. Obviously not ever assignable should be construed as also being an exception name, nor every exception name as that of an assignable. What is required, in general, is to admit there to be several disjoint signatures in use at a time, each declaring a collection of active symbols and associating a type with each of them. Thus, in the case of assignables and exceptions, one would have a signature $\Sigma_{\text{asgn}}$ of assignables and a signature $\Sigma_{\text{excn}}$ of exception names, each governing its own realm independently of the other. Alternatively, one could introduce a notion of species for symbols, and associate a species, as well as a type, to each symbol in the signature. In the example the species would be asgn for assignables and excn for exception names.

To make this work the symbol allocation construct would have to be indexed by the sort of symbol being allocated so that it is added to the appropriate signature (or marked with the appropriate sort). This further suggests that symbol allocation should itself be broken out as a basic concept of syntax shared by all languages that make use of symbols. The issue of whether to consider scoped or scope-free allocation becomes one of the choice of structural congruence, the difference being the absence or presence, respectively, of Milner’s scope extrusion principle. It is up to the dynamics of a specific language to determine when, if ever, the scope of symbol may be exited. At the least one must demand that the transition outcome be independent of the allocated symbol for the exit to be sensible. Mobility requirements in the statics ensure that the scope of a declaration may be exited whenever it ought to be in the sense of the concept under consideration.

19 Exceptions

My account of exceptions distinguishes the control mechanism from the data mechanism. In all languages that I know about these two aspects are not
clearly separated, resulting in all manner of confusion. For example, most
languages with exceptions have some form of “exception declaration” con-
struct that introduces a mysterious thing called “an exception” that can be
“thrown” or “raised” with an associated data value. The raised value can
be “handled” by dispatching on the exception, recovering the associated
value in the process. Some languages attempt to track the possibility of
raising an exception in types, invariably with poor results. One reason for
the failure of such methods is that it is not important to track what excep-
tions can be raised (which cannot be safely approximated), but rather what
exceptions cannot be raised (which can be safely approximated). Worse,
many programming methodology sources discourage, or even ban, the use
of exceptions in programs, an egregious error arising from not understand-
ing the role of secrecy in an exception mechanism.

As regards the control aspect of exceptions, there is no difference be-
tween exceptions implemented as non-local control transfers and excep-
tions implemented using sums. Using sums the value of an exception is
either a value of its intended type, or a value of the exception type that, pre-
sumably, provides some indication as to why a value of the intended type
cannot be provided. The emphasis on the disjunctive meaning of sums is
warranted. Many languages attempt to account for exceptional returns us-
ing absurdities such as the non-existent “null pointer” or similar devices
whereby a certain range of returned values is to be regarded as having an
entirely other meaning from the remaining values. Sums force the client to
dispatch on whether the result is ordinary or exceptional, and there can be
no ambiguity or confusion, nor can the distinction be elided. This is as it
should be. Exceptions simply make this checking easier in cases where the
“default” behavior is to propagate the exceptional value, rather than actu-
ally do anything with it, the handler being the locus of interpretation of
the exceptional behavior. Admittedly most languages, astonishingly, lack
sums, but this does not justify claiming that exceptions should also be ig-
nored or repudiated!

The main criticism of exceptions is the fallacious belief that one cannot
tell where the exception is handled, the non-local transfer being suppos-
edly out of the programmer’s control, or easily subverted accidentally or
on purpose. Nonsense. Using dynamic classification one may ensure that
the exception is a “shared secret” between the raiser and the handler that
cannot be subverted. The raiser is responsible to ensure the integrity of the
exception value (that it satisfies some agreed-upon requirement) and the
handler is responsible to ensure the confidentiality (only it can decode the
exception value, whose integrity may be assumed). Exceptions are shared
secrets.

More generally, confidentiality, and integrity, may be enforced using dynamic classification. Exceptions are dynamic classes that may mediate between the “raiser” and the “handler” of an exception. The introductory form of the class is provided only to those permitted to raise an exception of that class, and the eliminatory form only to those permitted to handle it. To all others the exception value is an indecipherable secret that passes through unscathed and uninterpreted. As this discussion makes clear, exception classes are not fluids, contrary to wide-spread belief. Although one may use fluid binding to implement the control aspect of exceptions, it has no bearing on their data aspect.

20 Modalities and Monads in Algol

As an homage to the master, the name “Modernized Algol” (Chapter 34) is chosen to rhyme with “Idealized Algol,” Reynolds’s reformulation (Reynolds, 1981) of the original, itself often described as “a considerable improvement on most of its successors.” The main shortcoming of Algol, from a modern perspective, is that its expression language was rather impoverished in most respects, perhaps to achieve the a priori goal of being stack-implementable, a valid concern in 1960. On the other hand, its main longcoming, so to say, is that it made a modal distinction between expressions and commands, which was later to be much celebrated under the rubric of “monads.” Indeed, Reynolds’s formulation of Algol features the comm type, which in fact forms a monad of unit type.

In Reynolds’s case the restriction to unit-typed commands was not problematic because there expressions are allowed to depend on the contents of the store. In private communication Reynolds himself made clear to me that, for him, this is the essential feature of the Algol language and of Hoare-style logic for it, whereas I, by contrast, regard this as a mistake—one that becomes especially acute in the presence of concurrency, for then multiple occurrences of the same “variable” (that is, assignable used an expression) raises questions of how often and when is the memory accessed during evaluation. The answer matters greatly, even if memory accesses are guaranteed to be atomic. Thus, MA differs from Reynolds’s IA in that assignables are not forms of expression, which means that expression evaluation is independent of the contents of memory (but not of its domain!).

MA stresses another point, namely that the separation of commands from expressions is that of a modality, and not just that of a monad (see Pfen-
ning and Davies (2001) for more on this topic.) The modality gives rise to a connective that has the structure of a monad, but this observation is posterior to the modal distinction on which it is constructed. Without it, there are only evaulatable expressions with types of the form \texttt{cmd(} \tau \texttt{)}, and nothing ever executes. Somewhere there has to be a command that executes an encapsulated command without itself being encapsulated, and it is there that the underlying modality is exposed. This shows up in the Haskell language as the device of “automatically” running an expression whose type happens to be that of the “IO monad.” This is achieved by using the derived form

\begin{equation}
\text{do } e \triangleq \text{bnd } x \leftarrow e; \text{ret } x,
\end{equation}

which is, of course, a command.

Implicit in the discussion of Modernized Algol is the observation that the Haskell language is but a dialect of Algol. The main concepts of the Haskell language were already present in Algol in 1960, and further elucidated by Reynolds in the 1970’s. In particular so-called monadic separation of commands from expressions was present from the very beginning, as was the use of higher-order functions with a call-by-name evaluation order. The main advance of the Haskell language over Algol is the adoption of recursive sum types from ML, a powerful extension not contemplated in the original. Another significant advance is the elimination of assignables as forms of expression. The idea to make assignables act like mathematical variables was, in my opinion, an egregious historical error that is corrected in modern incarnations of the language.

### 21 Assignables, Variables, and Call-by-Reference

The original sin of high-level languages is the confusion of assignables with variables, allowing one to write formulas such as $a^2 + 2a + 1$ even when $a$ is an assignable. To make matters worse, most common languages don’t have variables at all, but instead press assignables into service in their stead. It all seems fine, until one considers the algebraic laws governing the formulas involved. Even setting aside issues of machine arithmetic, it is questionable whether the equation $a^2 + 2a + 1 = (a + 1)^2$ remains valid under the assignable-as-variable convention. For example, concurrency certainly threatens their equivalence, as would exceptions arising from ma-

\footnote{Indeed, the name “Fortran” for the venerable numerical computation language abbreviates the phrase “Formula Translator.”}
chine arithmetic. The strict separation of variables and assignables in Modernized Algol avoids these complications by forcing access to assignables to be made explicit before any calculation can be done with their contents.

It is a good source of exercises to re-formulate a few standard language concepts using this separation. For example, most imperative languages lack any notion of variable, and must therefore regard the arguments to a procedure or function as assignables. It is instructive to formulate this convention in Modernized Algol: the argument becomes a variable, as it should be, and the procedure body is surrounded by a declaration of an assignable whose contents is initialized to that variable, with the choice of assignable name being that given as the procedure parameter. Another exercise is to consider the age-old notion of call-by-reference: given that the argument is an assignable, one may consider restricting calls to provide an assignable (rather than an expression) of suitable type on which the body of the procedure acts directly. The assignable argument is renamed to be the call-site assignable for the duration of the call. From this point of view the standard concept of call-by-reference might better be termed call-by-renaming: it is more accurate and it even sounds similar!

To be more precise, consider a type of call-by-renaming procedures, written $\tau_1 \Rightarrow \tau_2$ whose values are procedures $\rho\{\tau\}(a.m)$, where $a$ is an assignable symbol scoped within the command $m$. Absent call-by-renaming, such a procedure could be considered to be short-hand for the function

$$\lambda \ (x: \tau) \cmd(dcl \ a := x \ in \ m),$$

where $x$ is a fresh variable, which allocates an assignable initialized to the argument for use within the body of the procedure. With call-by-renaming one must instead regard these procedures as a primitive notion, restrict calls to provide an assignable as argument, and define the action of a call as follows:

$$( \rho\{\tau\}(a.m))(b) \mapsto [a \leftrightarrow b] \ m,$$

where $a$ is chose (by renaming of bound symbols) to be fresh. The assignable $b$ must be within scope at the call site, and is provided to the body as argument. Notice that within the command $m$ the assignable $a$ is treated as such; it is not regarded as a reference, but rather accessed directly by $@a$ and $a := e$, as usual. The renaming on call ensures that these commands act on the passed assignable directly, without indirection.
22 Assignable References and Mutable Objects

In Section 17 the concept of a reference is completely separable from that of an assignable. A reference is a means of turning a symbol—of whatever sort—into a value of reference type. It is a level of indirection in the sense that the operations acting on references simply extract the underlying symbol and perform the corresponding operation for that symbol. The available operations on references depend on the sort of the symbol. In the case of assignables the operations include getref and setref, which code for the get and set operations associated with the underlying assignable. One may also consider the references admit a equality test that determines whether or not they refer to the same underlying symbol. Such a test is definable by simply changing the type of the stored value from $\tau$ to $\tau \text{opt}$, maintaining the invariant that the underlying value is always of the form \texttt{just}(−), except during an equality test. To check equality of references, simply save the contents of one reference, then set it to \texttt{null}, and check whether the contents of the other is also \texttt{null}. If so, they are the same reference, otherwise they are not; be careful to restore the changed value before returning!

Assignable references generalize naturally to mutable objects. Think of a mutable object as a collection of assignables (its instance data) declared for use within a tuple of functions (its methods) acting on those assignables.\footnote{For this one needs free assignables, of course, otherwise the tuple cannot be returned from the scope of the declaration.} A reference is a single assignable, say contents, that is accessible only to the getref, setref, and eq methods just described. More generally, a mutable object can have any number of private assignables governed by any number of methods that act on them. Thus, assignable references are a special case of mutable objects. One may say informally that “mutable objects are references” or speak of “references to mutable objects”, but in fact the concept of a mutable object is self-standing and generalizes that of an assignable reference. There is no need to speak of “object references” or “references to objects”, because objects are themselves (generalized) references.

23 Types and Processes

The treatment of concurrency is divided into two parts: Chapter 39 introduces abstract process calculus, and Chapter 40 incorporates concurrency into Modernized Algol. The central theme is that concurrency is entirely a
matter of indeterminacy. Although this is a commonly accepted idea, the usual treatments of concurrency involve quite a lot more than just that. Why is that?

In Chapter 39 I develop Milner-style process calculus, starting with a simple synchronization calculus based on signals. Two processes that, respectively and simultaneously, assert and query a signal can synchronize on their complementary actions to take a silent action, a true computation step. The formulation follows Milner in using labeled transition systems to express both the steps of computation as silent actions, and the willingness to assert or query a signal as polarized transitions labeled by that action. Contrary to Milner, instead of having “names” and “co-names”, I have two polarities of actions indexed by signal names.

Another difference from Milner is that I draw a distinction between processes and events. An event is a sum of atomic events, which are continuations conditioned on an action (assert or query a signal). A process is a parallel composition of atomic processes, the most important of which is synchronization on an event. Making the separation avoids condundraums in Milner’s formalism, such as intermixing of choice and parallel composition, that need not be considered in a programming language context. In effect all choices are causal in that they are mediated by the possibility of taking an action. (I suppose it would be possible to admit spontaneous events, but I have not found a need for it within the context of the book.)

One may then discuss the declaration of new signals, but no interesting issues arise until message passing is introduced. So the next order of business is to generalize signals to channels, which carry data, and which break the symmetry between assertion and query of signals. Now channels have a sending and a receiving side, with the sender providing the data and the receiver obtaining it. Channels may be synchronous or asynchronous, according to whether the sender is blocked until a receiver receives the message. The asynchronous form is more general, at least in the presence of channel references, for one can implement a receipt notification protocol corresponding to what is provided by synchronous send.

In the π-calculus the only messages that can be sent along a channel are other channels (or finite sequences of them in the so-called polyadic case). Instead, I choose to examine the question of the types of messages from the outset, arriving at the π-calculus convention as a special case involving recursive and reference types. When channels are declared, the type of

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6Milner called these τ-transitions; I call them ϵ-transitions, as they are called in automata theory.
their data values must be specified, and remains fixed for the lifetime of the channel. There is no loss of generality in insisting on homogeneous channels, the heterogeneous case being handled using sums, which consolidate messages of disparate types into a single type with multiple classes of values. To mimic the $\pi$-calculus, I consider a type of channel references, which are analogous to assignable references as they arise in MA. The process calculus notion of scope extrusion captures the distinction between scoped and (scope-)free channels found in MA.

The final step in the development of process calculus is the realization that channels are nothing but dynamic classes in the sense of Chapter 33. There is only one shared communication medium (the “ether” if you will) on which one communicates dynamically classified values. The classifiers identify the “channel” on which the message is sent, and its associated data constitutes the data passed on that “channel.” By controlling which processes have access to the constructor and destructor for a class one can enforce the integrity and confidentiality, respectively, of a message. None of this has anything to do with concurrency. Indeed, the entire matter is but one application of dynamic classification. With that in hand, all that is left of process calculus is parallel composition, which is indeterminacy of evaluation, and the transmission of messages on the medium.

Chapter 40 is devoted to the integration of these ideas into a programming language, called Concurrent Algol (CA), an imperative language with a modal distinction between expressions and commands. Because assignables are definable using processes, the commands are entirely concerned with dynamic classification and synchronization. Two formulations of synchronization, non-selective and selective, are considered. Non-selective communication resembles the behavior of an ethernet transceiver: packets are drawn from the ether, and are passed to the receiving process to dispatch on their channels and payloads. A typical, but by no means forced, pattern of communication is to handle packets that one recognizes, and to re-emit those that one does not, exactly in the manner of the aforementioned transceiver. Selective communication integrates dynamic class matching so that the only packets received are those with a known channel, and correspondingly known type of payload. Busy-waiting is thereby avoided.

The formulation and proof of type safety for the concurrent language CA in, to my knowledge, novel. The type system is structural; it makes no attempt to ensure the absence of deadlock, nor should it.7 Consequently,

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7This would be a good use for type refinements, which are discussed in Chapter 25. Deadlock is a matter of program behavior, not program structure.
one must formulate the progress property carefully to allow for the possibility of a process that is willing to communicate, but is unable to do so for lack of a matching partner process. This is very neatly stated using labeled transitions: a well-typed process that is not the terminal process is always capable of undertaking an action. Spelled out, a well-typed, non-terminal process may either take a step of computation (including a synchronization), or be capable of undertaking an action (either a send or a receive). Theorem 40.3, which is paradigmatic for any concurrent programming language, concisely summarizes the desired safety property using labeled transitions.

24 Type Classes

The concept of a type class is often associated with the Haskell language, but the concept was introduced by David MacQueen in his design of modules for ML (see Milner et al. (1997) for the history.) As is explained in Chapter 44, a type class is a descriptive signature, one that merely specifies the availability of certain types and operations in a structure (module), whereas an abstraction is prescriptive in that it specifies exactly what is to be visible in a structure.

The term “type class” in the Haskell language refers not only to the descriptive form of signature described in Chapter 44, but also to a means of automatically deriving an instance of it based on a global context of declarations. Instance declarations are simply functor declarations that build instances of a target class from instances of the classes on which it depends. The automatic instantiation mechanism composes such functors to obtain instances of a type class based on circumstantial evidence. The techniques used rely on such suppositions as there being at most one linear ordering for a given type, which is patently false and a common source of trouble. Dreyer et al. (2007) separates the declaration of an instance from its use in a particular situation, which avoids unnecessary suppositions and supports the smooth integration of the module mechanisms described in the text.

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