

Fortgeschrittene funktionale Programmierung

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Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

Bibliography

1/1141

Table of Contents

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

Appendix

Table of Contents (1)

Part I: Motivation

- ▶ Chap. 1: Why Functional Programming Matters
 - 1.1 Setting the Stage
 - 1.2 Glueing Functions Together
 - 1.3 Glueing Programs Together
 - 1.4 Summing Up

Part II: Programming Principles

- ▶ Chap. 2: Programming with Streams
 - 2.1 Streams
 - 2.2 Stream Diagrams
 - 2.3 Memoization
 - 2.4 Boosting Performance

Table of Contents (2)

- ▶ Chap. 3: Programming with Higher-Order Functions
 - 3.1 Divide-and-Conquer
 - 3.2 Backtracking Search
 - 3.3 Priority-first Search
 - 3.4 Greedy Search
 - 3.5 Dynamic Programming
- ▶ Chap. 4: Equational Reasoning
 - 4.1 The Smallest Free Number
 - 4.2 Not the Maximum Segment Sum
 - 4.3 A Simple Sudoku Solver

Table of Contents (3)

Part III: Quality Assurance

▶ Chap. 5: Testing

5.1 Defining Properties

5.2 Testing against Abstract Models

5.3 Testing against Algebraic Specifications

5.4 Quantifying over Subsets

5.5 Generating Test Data

5.6 Monitoring, Reporting, and Coverage

5.7 Implementation of QuickCheck

▶ Chap. 6: Verification

6.1 Inductive Proof Principles

6.2 Inductions on Lists

6.3 Inductions on Streams

Table of Contents (4)

Part IV: Advanced Language Concepts

- ▶ Chap. 7: Functional Arrays
- ▶ Chap. 8: Abstract Data Types
 - 8.1 Stacks
 - 8.2 Queues
 - 8.3 Priority Queues
 - 8.4 Tables
- ▶ Chap. 9: Functors
 - 9.1 Motivation
 - 9.2 Constructor Class Functor

Table of Contents (5)

- ▶ Chap. 10: Monads

 - 10.1 Motivation

 - 10.2 Constructor Class Monad

 - 10.3 Predefined Monads

 - 10.4 Constructor Class MonadPlus

 - 10.5 Monadic Programming

 - 10.6 Monadic Input/Output

 - 10.7 A Fresh Look at the Haskell Class Hierarchy

- ▶ Chap. 11: Arrows

Table of Contents (6)

Part V: Applications

- ▶ Chap. 12: Parsing
 - 12.1 Combinator Parsing
 - 12.2 Monadic Parsing
- ▶ Chap. 13: Logical Programming Functionally
- ▶ Chap. 14: Pretty Printing
- ▶ Chap. 15: Functional Reactive Programming
 - 15.1 An Imperative Robot Language
 - 15.2 Robots on Wheels
 - 15.3 More on the Background of FRP

Table of Contents (7)

Part VI: Extensions and Perspectives

- ▶ Chap. 16: Extensions
 - 16.1 Parallelism in Functional Languages
 - 16.2 Haskell for “Real World Programming”
- ▶ Chap. 17: Conclusions and Perspectives
- ▶ Bibliography
- ▶ Appendix
 - ▶ A Mathematical Foundations
 - A.1 Sets and Relations
 - A.2 Partially Ordered Sets
 - A.3 Lattices
 - A.4 Complete Partially Ordered Sets
 - A.5 Fixed Point Theorems
 - A.6 Cones and Ideals

Part I

Motivation

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

10/1141

*Sometimes, the elegant implementation is a function.
Not a method. Not a class. Not a framework.
Just a function.*

John Carmack

Motivation

The preceding, a quote from a recent article by [Yaron Minsky](#):

- ▶ [OCaml for the Masses](#)

...why the next language you learn should be functional.

Communications of the ACM 54(11):53-58, 2011.

Motivation

The preceding, a quote from a recent article by [Yaron Minsky](#):

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...why the next language you learn should be functional.

Communications of the ACM 54(11):53-58, 2011.

The next, a quote from a classical article by [John Hughes](#):

- ▶ [Why Functional Programming Matters](#)

...an attempt to demonstrate to the “real world” that functional programming is vitally important, and also to help functional programmers exploit its advantages to the full by making it clear what those advantages are.

Computer Journal 32(2):98-107, 1989.

Chapter 1

Why Functional Programming Matters

Why Functional Programming Matters

Reconsidering a position statement by [John Hughes](#) that is based on an internal 1984 memo at Chalmers University, and has slightly revised been published in:

- ▶ Computer Journal 32(2):98-107, 1989.
- ▶ Research Topics in Functional Programming. David Turner (Ed.), Addison-Wesley, 1990.
- ▶ <http://www.cs.chalmers.se/~rjmh/Papers/whyfp.html>

“...an attempt to demonstrate to the “real world” that functional programming is vitally important, and also to help functional programmers exploit its advantages to the full by making it clear what those advantages are.”

Chapter 1.1

Setting the Stage

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15/1141

Introductory Statement

A matter of fact:

- ▶ Software is becoming more and more complex
- ▶ Hence: Structuring software well becomes paramount
- ▶ Well-structured software is more easily to write, to debug, and to be re-used

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Claim:

- ▶ Conventional languages place conceptual limits on the way problems can be modularized
- ▶ Functional languages push these limits back
- ▶ **Fundamental:** Higher-order functions and lazy evaluation

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Claim:

- ▶ Conventional languages place conceptual limits on the way problems can be modularized
- ▶ Functional languages push these limits back
- ▶ **Fundamental:** Higher-order functions and lazy evaluation

Next:

- ▶ Providing evidence for this claim

Background

Functional programming owes its name to the facts that

- ▶ programs are composed of only functions
 - ▶ the **main program** is itself a function
 - ▶ it accepts the program's input as its arguments and delivers the program's output as its result
 - ▶ it is defined in terms of other functions, which themselves are defined in terms of still more functions (eventually by primitive functions)

Often Heard Summary

...of characteristics & advantages of functional programming:

Functional programs are

- ▶ free of assignments and side-effects
 - ▶ function calls have no effect except of computing their result
- ⇒ functional programs are thus free of a major source of bugs
- ▶ the evaluation order of expressions is irrelevant, expressions can be evaluated any time
 - ▶ programmers are free from specifying the control flow explicitly
 - ▶ expressions can be replaced by their value and vice versa; programs are **referentially transparent**
- ⇒ functional programs are thus easier to cope with mathematically (e.g. for proving their correctness)

Often Heard Summary (Cont'd)

...the commonly found previous list of characteristics and advantages of functional programming is

- ▶ essentially a **negative “is-not”**-characterization
 - ▶ “It says a lot about what functional programming is **not** (it has no assignments, no side effects, no explicit specification of flow of control) but not much about what it is.”

Often Heard Summary (Cont'd)

Aren't there any hard facts providing evidence for substantial and “real” advantages?

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

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Often Heard Summary (Cont'd)

Aren't there any hard facts providing evidence for substantial and “real” advantages?

Yes, there are, e.g.:

- ▶ Functional programs are
 - ▶ a magnitude of order smaller than conventional programs
- ⇒ functional programmers are thus much more productive

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Open Issue:

- ▶ Why?
- ▶ Can it be concluded from the advantages of the “standard catalogue,” i.e., by dropping features?

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Hardly.

Often Heard Summary (Cont'd)

Aren't there any hard facts providing evidence for substantial and “real” advantages?

Yes, there are, e.g.:

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 - ▶ a magnitude of order smaller than conventional programs
- ⇒ functional programmers are thus much more productive

Open Issue:

- ▶ Why?
- ▶ Can it be concluded from the advantages of the “standard catalogue,” i.e., by dropping features?

Hardly.

This is **not convincing**. Overall, it reminds more to a medieval monk who denies himself the pleasures of life in the hope of getting virtuous.

Summing up

- ▶ The “standard catalogue” is not satisfying
 - ▶ It does not provide help in exploiting the power of functional languages
 - ▶ Programs cannot be written which are particularly lacking in assignment statements, or particularly referentially transparent
 - ▶ It does not provide a yardstick of program quality, thus no model to strive for
- ▶ We need a positive characterization of the vital nature of
 - ▶ functional programming, of its strengths
 - ▶ what makes a “good” functional program, of what a functional programmer should strive for

Towards a Positive Characterization

Structured vs. non-structured programming

...provides an analogue to compare with:

Structured programs are

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

22/1141

Towards a Positive Characterization

Structured vs. non-structured programming

...provides an analogue to compare with:

Structured programs are

- ▶ free of goto-statements (“goto considered harmful”)
 - ▶ blocks in structured programs are free of multiple entries and exits
- ⇒ easier to mathematically cope with than unstructured programs

Note: This is essentially a **negative “is-not”**-characterization, too.

Towards a Positive Characterization (Cont'd)

Conceptually more important:

Structured programs are:

- ▶ designed modularly in contrast to non-structured programs
- ▶ Structured programming is more efficient/productive for this reason
 - ▶ Small modules are easier and faster to write and to maintain
 - ▶ Re-use becomes easier
 - ▶ Modules can be tested independently

Towards a Positive Characterization (Cont'd)

Conceptually more important:

Structured programs are:

- ▶ designed modularly in contrast to non-structured programs
- ▶ Structured programming is more efficient/productive for this reason
 - ▶ Small modules are easier and faster to write and to maintain
 - ▶ Re-use becomes easier
 - ▶ Modules can be tested independently

Note: Dropping goto-statements is not an essential source of productivity gain.

- ▶ Absence of gotos supports “programming in the small”
- ▶ Modularity supports “programming in the large”

Thesis

- ▶ The expressiveness of a language that supports modular design depends much on the power of the concepts and primitives allowing to combine solutions of subproblems to the solution of the overall problem (keyword: glue; example: making of a chair)

Thesis

- ▶ The **expressiveness** of a language that supports **modular design** depends much on the **power of the concepts and primitives** allowing to combine solutions of subproblems to the solution of the overall problem (keyword: **glue**; example: making of a chair)
- ▶ **Functional programming** provides two new, especially powerful **glues**:
 1. **Higher-order functions (functionals)**
 2. **Lazy evaluation**

They offer **conceptually** new opportunities for modularization and re-use (beyond the more technical ones of lexical scoping, separate compilation, etc.), and make them more easily to achieve.

Thesis

- ▶ The **expressiveness** of a language that supports **modular design** depends much on the **power of the concepts and primitives** allowing to combine solutions of subproblems to the solution of the overall problem (keyword: **glue**; example: making of a chair)
- ▶ **Functional programming** provides two new, especially powerful **glues**:
 1. **Higher-order functions (functionals)**
 2. **Lazy evaluation**They offer **conceptually** new opportunities for modularization and re-use (beyond the more technical ones of lexical scoping, separate compilation, etc.), and make them more easily to achieve.
- ▶ **Modularization** (smaller, simpler, more general) is the guideline, which should be followed by functional programmers in the course of programming

In the following

- ▶ **Glueing functions together**
 - ↪ The clou: **Higher-order functions**
- ▶ **Glueing programs together**
 - ↪ The clou: **Lazy evaluation**

Chapter 1.2

Glueing Functions Together

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

26/1141

Glueing Functions Together

Syntax (in the flavour of MirandaTM):

- ▶ Lists

```
listof X ::= nil | cons X (listof X)
```

- ▶ Abbreviations (for convenience)

```
[]      means  nil
```

```
[1]     means  cons 1 nil
```

```
[1,2,3] means  cons 1 (cons 2 (cons 3 nil)))
```

Glueing Functions Together

Syntax (in the flavour of MirandaTM):

- ▶ Lists

`listof X ::= nil | cons X (listof X)`

- ▶ Abbreviations (for convenience)

`[]` means `nil`

`[1]` means `cons 1 nil`

`[1,2,3]` means `cons 1 (cons 2 (cons 3 nil))`

Example:

Adding the elements of a list

`sum nil = 0`

`sum (cons num list) = num + sum list`

Observation

Only the framed parts are specific to computing a sum:

```
sum nil = | 0 |
          +----+
          +----+

sum (cons num list) = num | + | sum list
                       +----+
                       +----+
```


Observation

Only the framed parts are specific to computing a sum:

```
sum nil = | 0 |
          +----+
          +----+

sum (cons num list) = num | + | sum list
                       +----+
```

...i.e., computing a sum of values can be modularly decomposed by properly combining

- ▶ a general recursion pattern and
- ▶ a set of more specific operations

(see framed parts above).

Exploiting the Observation

1. Adding the elements of a list

```
sum = reduce add 0
```

```
where
```

```
add x y = x+y
```

This reveals the definition of `reduce` almost immediately:

Exploiting the Observation

1. Adding the elements of a list

```
sum = reduce add 0
```

```
where
```

```
add x y = x+y
```

This reveals the definition of `reduce` almost immediately:

```
(reduce f x) nil = x
```

```
(reduce f x) (cons a l) = f a ((reduce f x) l)
```

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

29/1141

Exploiting the Observation

1. Adding the elements of a list

sum = reduce add 0

where

add x y = x+y

This reveals the definition of `reduce` almost immediately:

`(reduce f x) nil = x`

`(reduce f x) (cons a l) = f a ((reduce f x) l)`

Recall

sum nil = $\begin{array}{c} +---+ \\ | 0 | \\ +---+ \end{array}$

sum (cons num list) = num $\begin{array}{c} +---+ \\ | + | \\ +---+ \end{array}$ sum list

Immediate Benefit: Re-use

Without any further programming effort we obtain implementations for other functions, e.g.:

2. Computing the product of the elements of a list

```
product = reduce multiply 1
           where multiply x y = x*y
```

Immediate Benefit: Re-use

Without any further programming effort we obtain implementations for other functions, e.g.:

2. Computing the product of the elements of a list

```
product = reduce multiply 1
```

where `multiply x y = x*y`

3. Test, if *some* element of a list equals “true”

```
anytrue = reduce or false
```

Immediate Benefit: Re-use

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2. Computing the product of the elements of a list

```
product = reduce multiply 1
```

where $\text{multiply } x \ y = x*y$

3. Test, if *some* element of a list equals “true”

```
anytrue = reduce or false
```

4. Test, if *all* elements of a list equal “true”

```
alltrue = reduce and true
```

Intuition

The call `(reduce f a)` can be understood such that in a list of elements all occurrences of

- ▶ `cons` are replaced by `f`
- ▶ `nil` by `a`

Examples:

Intuition

The call `(reduce f a)` can be understood such that in a list of elements all occurrences of

- ▶ `cons` are replaced by `f`
- ▶ `nil` by `a`

Examples:

```
reduce add 0:
```

```
cons 1 (cons 2 (cons 3 nil))  
->> add 1 (add 2 (add 3 0))  
->> 6
```

Intuition

The call `(reduce f a)` can be understood such that in a list of elements all occurrences of

- ▶ `cons` are replaced by `f`
- ▶ `nil` by `a`

Examples:

reduce add 0:

```
cons 1 (cons 2 (cons 3 nil))
->> add 1 (add 2 (add 3 0))
->> 6
```

reduce multiply 1:

```
cons 1 (cons 2 (cons 3 nil))
->> multiply 1 (multiply 2 (multiply 3 1))
->> 6
```

More Applications 1(5)

Observation: `reduce cons nil` copies a list of elements

This allows:

More Applications 1(5)

Observation: `reduce cons nil` copies a list of elements

This allows:

5. Concatenation of lists

`append a b = reduce cons b a`

Example:

More Applications 1(5)

Observation: `reduce cons nil` copies a list of elements

This allows:

5. Concatenation of lists

`append a b = reduce cons b a`

Example:

```
append [1,2] [3,4]
->> reduce cons [3,4] [1,2]
->> (reduce cons [3,4]) (cons 1 (cons 2 nil))
->> { replacing cons by cons and nil by [3,4] }
    cons 1 (cons 2 [3,4])
->> cons 1 (cons 2 (cons 3 (cons 4 nil)))
->> [1,2,3,4]
```

More Applications 2(5)

6. Doubling each element of a list

```
doubleall = reduce doubleandcons nil
  where doubleandcons num list
        = cons (2*num) list
```

More Applications 3(5)

The function `doubleandcons` can be modularized further:

► **First step**

```
doubleandcons = fandcons double
  where double n = 2*n
         fandcons f el list = cons (f el) list
```

► **Second step**

```
fandcons f = cons . f
where "." denotes the composition of functions:
(f . g) h = f (g h)
```

More Applications 3(5)

The function `doubleandcons` can be modularized further:

► **First step**

```
doubleandcons = fandcons double
  where double n = 2*n
         fandcons f el list = cons (f el) list
```

► **Second step**

```
fandcons f = cons . f
where "." denotes the composition of functions:
(f . g) h = f (g h)
```

Note: For checking correctness consider:

```
fandcons f el = (cons . f) el
               = cons (f el)
```

which yields as desired:

```
fandcons f el list = cons (f el) list
```


More Applications 4(5)

Putting things together, we obtain:

6a. Doubling each element of a list

```
doubleall = reduce (cons . double) nil
```

Another step of modularization using `map` leads us to:

6b. Doubling each element of a list

```
doubleall = map double  
map f = reduce (cons . f ) nil
```

where `map` applies any function `f` to all the elements of a list.

More Applications 5(5)

After these preparative steps it is just as well possible:

7. Adding the elements of a matrix

```
summatrix = sum . map sum
```

More Applications 5(5)

After these preparative steps it is just as well possible:

7. Adding the elements of a matrix

```
summatrix = sum . map sum
```

Homework: Think about how `summatrix` works.

Summing up

By **decomposing (modularizing)** and representing a simple function (**sum** in the example) as a combination of

- ▶ a **higher-order function** and
- ▶ some **simple specific functions as arguments**

we obtained a **program frame (reduce)** that allows us to implement many functions on lists **without any further programming effort!**

Generalization

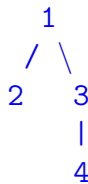
...to more complex data structures:

Trees:

```
treeof X ::= node X (listof (treeof X))
```

Example:

```
node 1
  (cons (node 2 nil)
        (cons (node 3
                (cons (node 4 nil) nil))
              nil)))
```



Generalization (Cont'd)

Analogously to `reduce` on lists we introduce a functional `redtree` on trees:

```
redtree f g a (node label subtrees)
  = f label (redtree' f g a subtrees)
```

where

```
redtree' f g a (cons subtree rest)
  = g (redtree f g a subtree) (redtree' f g a rest)
redtree' f g a nil = a
```

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

39/1141

Generalization (Cont'd)

Analogously to `reduce` on lists we introduce a functional `redtree` on trees:

```
redtree f g a (node label subtrees)
= f label (redtree' f g a subtrees)
```

where

```
redtree' f g a (cons subtree rest)
= g (redtree f g a subtree) (redtree' f g a rest)
redtree' f g a nil = a
```

Note: `redtree` takes 3 arguments (`f`, `g`, `a`)

- ▶ The first one to replace `node` with
- ▶ The second one to replace `cons` with
- ▶ The third one to replace `nil` with

Applications 1(4)

1. Adding the labels of the leaves of a tree
2. Generating a list of all labels occurring in a tree
3. A function `maptree` on trees replicating the function `map` on lists

Applications 2(4)

1. Adding the labels of the leaves of a tree

```
sumtree = redtree add add 0
```

Applications 2(4)

1. Adding the labels of the leaves of a tree

```
sumtree = redtree add add 0
```

Example:

Using the tree introduced previously, we obtain:

```
add 1
  (add (add 2 0)
    (add (add 3
      (add (add 4 0) 0))
    0))
->> 10
```

Applications 3(4)

2. Generating a list of all labels occurring in a tree

```
labels = redtree cons append nil
```

Applications 3(4)

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```
labels = redtree cons append nil
```

Example:

```
cons 1
  (append (cons 2 nil)
    (append (cons 3
      (append (cons 4 nil) nil))
        nil))
->> [1,2,3,4]
```

Applications 4(4)

3. A function `maptree` on trees replicating the function `map` on lists

```
maptree f = redtree (node . f) cons nil
```

Summing up

- ▶ The elegance of the preceding examples is a consequence of combining
 - ▶ a **higher-order function** and
 - ▶ a **specific specializing function**
- ▶ Once the **higher order function** is implemented, lots of further functions can be implemented almost without any further effort!

Summing up (Cont'd)

- ▶ **Lesson learnt:** Whenever a new data type is introduced, implement first a higher-order function allowing to process values of this type (e.g., visiting each component of a structured data value such as nodes in a graph or tree).
- ▶ **Benefits:** Manipulating elements of this data type becomes easy; knowledge about this data type is locally concentrated and encapsulated.
- ▶ **Look&feel:** Whenever a new data structure demands a new control structure, then this control structure can easily be added following the methodology used above (to some extent this resembles the concepts known from conventional extensible languages).

Reminder to initial Thesis

- ▶ The **expressiveness of a language** that supports **modular design** depends much on the **power of the concepts and primitives allowing to combine solutions of subproblems to the solution of the overall problem** (keyword: **glue**; example: making of a chair).
- ▶ **Functional programming** provides two new, especially powerful **glues**:
 1. **Higher-order functions (functionals)**
 2. **Lazy evaluation**

They offer **conceptually** new opportunities for modularization and re-use (beyond the more technical ones of lexical scoping, separate compilation, etc.), and make them more easily to achieve.

- ▶ **Modularization** (smaller, simpler, more general) is the guideline, which should be followed by functional programmers in the course of programming.

Reminder (Cont'd)

We did talk about:

- ▶ **Higher-order functions** as glue for glueing functions together

We still have to talk about:

- ▶ **Lazy evaluation** as glue for glueing programs together

Chapter 1.2

Glueing Programs Together

Glueing Programs Together

Recall: A complete functional program is a function from its input to its output.

- ▶ If f and g are (such) programs, then also

$$g \ . \ f$$

is a program. Applied to `input` as input, it yields the output

$$g \ (f \ \text{input})$$

- ▶ A possible implementation using **conventional glue**:
 - ↪ Communication via files
 - ▶ Possible problems
 - ▶ Temporary files can be too large
 - ▶ f might not terminate

Functional Glue

Lazy evaluation allows a more elegant approach:

- ▶ **Decomposing** a problem into a
 - ▶ generator
 - ▶ selector

component, which are then **glued together**.

Functional Glue

Lazy evaluation allows a more elegant approach:

- ▶ **Decomposing** a problem into a
 - ▶ generator
 - ▶ selectorcomponent, which are then **glued together**.

Intuition:

- ▶ The **generator** component “**runs as little as possible**” until it is terminated by the **selector** component.

Example 1: Computing Square Roots

Computing Square Roots (according to Newton-Raphson)

Given: N Wanted: `squareRoot(N)`

Iteration formula:

$$a(n+1) = (a(n) + N/a(n)) / 2$$

Example 1: Computing Square Roots

Computing Square Roots (according to Newton-Raphson)

Given: N Wanted: `squareRoot(N)`

Iteration formula:

$$a(n+1) = (a(n) + N/a(n)) / 2$$

Justification: If the approximations converge to some limit a , we have:

$$\begin{aligned} a &= (a + N/a) / 2 \\ \Rightarrow 2a &= a + N/a \\ a &= N/a \\ a*a &= N \\ a &= \text{squareRoot}(N) \end{aligned}$$

I.e., a stores the value of the square root of N .

For later comparison we consider first

...a typical imperative (Fortran-) implementation:

```
C      N is called ZN here so that it has
C      the right type
      X = A0
      Y = A0 + 2.*EPS
C      The value of Y does not matter so long
C      as ABS(X-Y).GT.EPS
100     IF (ABS(X-Y).LE.EPS) GOTO 200
      Y = X
      X = (X + ZN/X) / 2.
      GOTO 100
200     CONTINUE
C      The square root of ZN is now in X
```

⇒ essentially **monolithic**, not decomposable.

The Functional Version 1(4)

Computing the next approximation from the previous one:

$$\text{next } N \ x = (x + N/x) / 2$$

Introducing function `f` for the above computation, we are interested in computing the sequence of approximations:

$$[a_0, f \ a_0, f(f \ a_0), f(f(f \ a_0)), \dots]$$

The Functional Version 2(4)

The function `repeat` computes this (possibly infinite) sequence of approximations. It is the `generator` component in this example:

`Generator:`

```
repeat f a = cons a (repeat f (f a))
```

Applying `repeat` to the arguments `next N` and `a0` yields the desired sequence of approximations:

```
repeat (next N) a0
```

The Functional Version 3(4)

Note: The evaluation of

```
repeat (next N) a0
```

does not terminate!

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

55/1141

The Functional Version 3(4)

Note: The evaluation of

```
repeat (next N) a0
```

does not terminate!

Remedy: Computing `squareroot N` up to a given tolerance $\text{eps} > 0$. Crucial: The `selector` component implemented by:

Selector:

```
within eps (cons a (cons b rest))  
  = b,          if  $\text{abs}(a-b) \leq \text{eps}$   
  = within eps (cons b rest), otherwise
```

The Functional Version 3(4)

Note: The evaluation of

```
repeat (next N) a0
```

does not terminate!

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```

Still to do: Combining the components/modules:

```
sqrt a0 eps N = within eps (repeat (next N) a0)
```

The Functional Version 3(4)

Note: The evaluation of

```
repeat (next N) a0
```

does not terminate!

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```

Still to do: Combining the components/modules:

```
sqrt a0 eps N = within eps (repeat (next N) a0)
```

↪ We are done!

The Functional Version 4(4)

Summing up:

- ▶ **repeat**: **generator** component:
[a0, f a0, f(f a0), f(f(f a0)), ...]
...potentially infinite, no limit on the length.
- ▶ **within**: **selector** component:
 $f^i a0$ with $\text{abs}(f^i a0 - f^{i+1} a0) \leq \text{eps}$
...lazy evaluation ensures that the selector function
is applied eventually \Rightarrow termination!

Note: Lazy evaluation ensures that both programs (**generator and selector**) run strictly synchronized.

Re-Use of Modules

Next, we want to provide evidence that

- ▶ [generator](#)
- ▶ [selector](#)

can indeed be considered modules that can easily be re-used.

We are going to start with the re-use of the module [generator](#).

Evidence of Generator-Modularity

Consider a new criterion for termination:

- ▶ Instead of awaiting the difference of successive approximations to approach zero ($\leq \text{eps}$), await their ratio to approach one ($\leq 1+\text{eps}$)

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

58/1141

Evidence of Generator-Modularity

Consider a new criterion for termination:

- ▶ Instead of awaiting the difference of successive approximations to approach zero ($\leq \text{eps}$), await their ratio to approach one ($\leq 1+\text{eps}$)

New **Selector**:

```
relative eps (cons a (cons b rest))  
  = b,           if abs(a-b) <= eps * abs b  
  = relative eps (cons b rest), otherwise
```

Evidence of Generator-Modularity

Consider a new criterion for termination:

- ▶ Instead of awaiting the difference of successive approximations to approach zero ($\leq \text{eps}$), await their ratio to approach one ($\leq 1+\text{eps}$)

New [Selector](#):

```
relative eps (cons a (cons b rest))  
  = b,          if abs(a-b) <= eps * abs b  
  = relative eps (cons b rest), otherwise
```

[Still to do](#): (Re-)combining the components/modules:

```
relativesqrt a0 eps N  
  = relative eps (repeat (next N) a0)
```

Evidence of Generator-Modularity

Consider a new criterion for termination:

- ▶ Instead of awaiting the difference of successive approximations to approach zero ($\leq \text{eps}$), await their ratio to approach one ($\leq 1+\text{eps}$)

New **Selector**:

```
relative eps (cons a (cons b rest))
  = b,          if abs(a-b) <= eps * abs b
  = relative eps (cons b rest), otherwise
```

Still to do: (Re-)combining the components/modules:

```
relativesqrt a0 eps N
  = relative eps (repeat (next N) a0)
```

↪ We are done!

Note the Re-Use

...of the module [generator](#) in the previous example:

- ▶ The [generator](#), i.e., the “module” computing the sequence of approximations has been re-used unchanged.

Next, we want to re-use the module [selector](#).

Example 2: Numerical Integration

Numerical Integration

Given: A real valued function f of one real argument; two end-points a and b of an interval

Wanted: The area under f between a and b

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Numerical Integration

Given: A real valued function f of one real argument; two end-points a and b of an interval

Wanted: The area under f between a and b

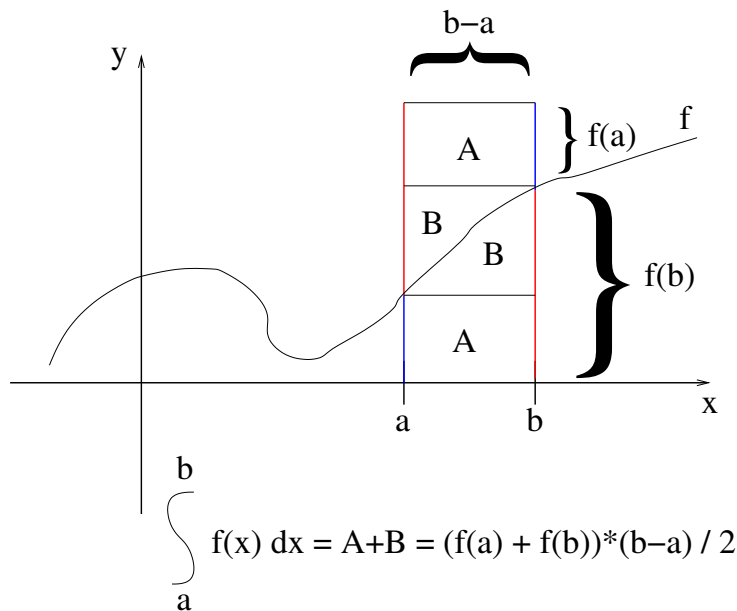
Naive Implementation:

...supposed that the function f is roughly linear between a and b .

$$\text{easyintegrate } f \ a \ b = (f \ a + f \ b) * (b-a) / 2$$

This is sufficiently precise, however, at most for very small intervals.

Illustration



Refinements 1(4)

Idea

- ▶ Halve the interval, compute the areas for both sub-intervals according to the previous formula, and add the two results
- ▶ Continue the previous step repeatedly

The function `integrate` implements this strategy:

Generator:

```
integrate f a b
  = cons (easyintegrate f a b)
        map addpair (zip (integrate f a mid)
                          (integrate f mid b)))
  where mid = (a+b)/2
```

Reminder:

```
zip (cons a s) (cons b t) = cons (pair a b) (zip s t)
```

Refinements 2(4)

- ▶ `integrate` is sound but inefficient (many redundant computations of `f a`, `f b`, and `f mid`)

The following version of `integrate` is free of this deficiency:

Refinements 2(4)

- ▶ `integrate` is sound but inefficient (many redundant computations of `f a`, `f b`, and `f mid`)

The following version of `integrate` is free of this deficiency:

```
integrate f a b = integ f a b (f a) (f b)
integ f a b fa fb
  = cons ((fa+fb)*(b-a)/2)
          (map addpair (zip (integ f a m fa fm)
                           (integ f m b fm fb)))
      where m = (a+b)/2
            fm = f m
```

Refinements 3(4)

Obviously, the evaluation of

```
integrate f a b
```

does not terminate!

Refinements 3(4)

Obviously, the evaluation of

```
integrate f a b
```

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Remedy: Computing `integrate f a b` up to some
limit `eps > 0`.

Refinements 3(4)

Obviously, the evaluation of

```
integrate f a b
```

does not terminate!

Remedy: Computing `integrate f a b` up to some
limit $\text{eps} > 0$.

Two **Selectors**:

Variant A: `within eps (integrate f a b)`

Variant B: `relative eps (integrate f a b)`

Refinements 4(4)

Summing up:

- ▶ **Generator component:**
integrate
...potentially infinite, no limit on the length.
- ▶ **Selector component:**
within, relative
...lazy evaluation ensures that the selector function
is applied eventually \Rightarrow termination!

Note the Re-Use

...of the module `selector` in the previous example:

- ▶ The `selector`, i.e., the “module” picking the solution from the stream of approximate solutions has been re-used unchanged.

Again, `lazy evaluation` is the key to synchronize the `generator` and `selector` module!

Example 3: Numerical Differentiation

Numerical Differentiation

Given: A real valued function f of one real argument; a point x

Wanted: The slope of f at point x

Example 3: Numerical Differentiation

Numerical Differentiation

Given: A real valued function f of one real argument; a point x

Wanted: The slope of f at point x

Naive Implementation:

...supposed that the function f between x and $x+h$ does not “curve much”

$$\text{easydiff } f \ x \ h = (f \ (x+h) - f \ x) / h$$

This is sufficiently precise, however, at most for very small values of h .

Refinements

Generate a sequence of approximations getting successively “better”:

Generator:

```
differentiate h0 f x
    = map (easydiff f x) (repeat halve h0)
halve x = x/2
```

Select a sufficiently precise approximation:

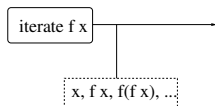
Selector:

```
within esp (differentiate h0 f x)
```

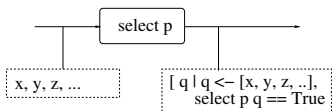
Implementing the selector: Homework

Illustrating the Generator/Selector Principle

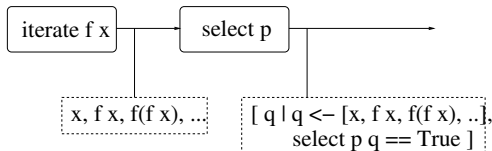
Generator



Selector/Filter

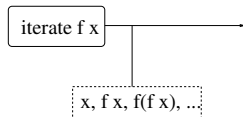


Combining Generator and Selector/Filter

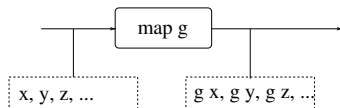


Illustrating the Generator/Transformer Princ.

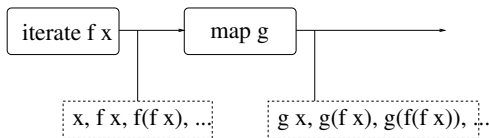
Generator



Transformer



Combining Generator and Transformer



Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

70/1141

Conclusions (1)

The composition pattern, which in fact is common to all three examples becomes again obvious. It consists of a

- ▶ **generator** (usually looping!) and
- ▶ **selector** (ensuring termination thanks to **lazy evaluation!**)

Conclusions (2)

Thesis

- ▶ Modularity is the key to **programming in the large**

Observation

- ▶ Just modules (i.e., the capability of decomposing a problem) do not suffice
- ▶ The benefit of modularly decomposing a problem into subproblems depends much on the capabilities for **glueing** the modules together
- ▶ The **availability of proper glue is essential!**

Conclusions (3)

Facts

- ▶ **Functional programming** offers two new kinds of **glue**:
 - ▶ **Higher-order functions** (glueing functions)
 - ▶ **Lazy evaluation** (glueing programs)
- ▶ **Higher-order functions** and **lazy evaluation** allow substantially new exciting modular decompositions of problems (by offering elegant composition means) as here given evidence by an array of simple, yet impressive examples
- ▶ In essence, it is the **superior glue**, which makes functional programs to be written so concisely and elegantly (not the absence of assignments, etc.)

Conclusions (4)

Guideline

- ▶ **Functional programmers** shall strive for adequate **modularization** and **generalization**
 - ▶ Especially, if a portion of a program looks ugly or appears to be too complex
- ▶ **Functional programmers** shall expect that
 - ▶ **higher-order functions** and
 - ▶ **lazy evaluation**are the tools for achieving this!

Chapter 1.4

Summing Up

Summing Up: Lazy or Eager Evaluation

The final conclusion of John Hughes:

- ▶ In view of the previous arguments:
 - ▶ The benefits of lazy evaluation as a glue are so evident that lazy evaluation is too important to make it a **second-class citizen**.
 - ▶ **Lazy evaluation** is possibly **the most powerful glue** functional programming has to offer.
 - ▶ Access to such a powerful means **should not airily be dropped**.

Outlook

John Hughes identifies

- ▶ higher-order functions
- ▶ lazy evaluation

as of vital importance for the power of the **functional programming style**.

In Chapter 2 and Chapter 3 we will discuss the power they provide the programmer with in more detail:

- ▶ **Stream programming**: thanks to **lazy evaluation**.
- ▶ **Algorithm class programming**: thanks to **higher-order functions**.

Chapter 1: Further Reading (1)

-  Stephen Chang, Matthias Felleisen. *The Call-by-Need Lambda Calculus, Revisited*. In Proceedings of the 21st European Symposium on Programming (ESOP 2012), Springer-V., LNCS 7211, 128-147, 2012.
-  Paul Hudak. *Conception, Evolution and Applications of Functional Programming Languages*. Communications of the ACM, 21(3):359-411, 1989.
-  John Hughes. *Why Functional Programming Matters*. Computer Journal 32(2):98-107, 1989.
-  Mark P. Jones. *Functional Thinking*. Advanced Functional Programming Summer School, Boxmeer, The Netherlands, 2008.

Chapter 1: Further Reading (2)

-  Yaron Minsky. *OCaml for the Masses*. Communications of the ACM, 54(11):53-58, 2011.
-  Simon Peyton Jones. *16 Years of Haskell: A Retrospective on the occasion of its 15th Anniversary – Wearing the Hair Shirt: A Retrospective on Haskell*. Invited Keynote Presentation at the 30th Annual Symposium on Principles of Programming Languages (POPL'03), 2003.
research.microsoft.com/users/simonpj/papers/haskell-retrospective/
-  C. Sadler, S. Eisenbach. *Why Functional Programming?*. In *Functional Programming: Languages, Tools and Architectures*. S. Eisenbach (Ed.), Ellis Horwood, 1987.
-  Phil Wadler. *The Essence of Functional Programming*. In Conference Record of the 19th Annual Symposium on Principles of Programming Languages (POPL'92), 1-14.

Part II

Programming Principles

Contents

Chap. 1

1.1

1.2

1.3

1.4

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

80/1141

Chapter 2

Programming with Streams

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

81/1141

Motivation

Streams = Infinite Lists

Programming with streams

▶ Applications

- ▶ Streams plus lazy evaluation yield new modularization principles

- ▶ Generator/selector
- ▶ Generator/filter
- ▶ Generator/transformer

as instances of the [Generator/Prune Paradigm](#)

- ▶ Pitfalls and remedies

▶ Foundations

- ▶ Well-definedness
- ▶ Proving properties of programs with streams

Chapter 2.1

Streams

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

83/1141

Streams

Jargon

Stream ...synonymous to **infinite list** and **lazy list**.

Streams

- ▶ (combined with lazy evaluation) allow to solve many problems elegantly, concisely, and efficiently
- ▶ are a source of hassle if applied inappropriately

More on this in this chapter.

Streams

Streams could be introduced in terms of a new polymorphic data type `Stream` such as:

```
data Stream a = a :* Stream a
```

Convention

For pragmatic reasons, however, we will model streams as ordinary lists waiving the usage of the empty list `[]`.

This is motivated by:

- ▶ **Convenience/adequacy** because many pre-defined (polymorphic) functions on lists can be reused this way, which otherwise would have to be defined from scratch on the new data type `Stream`

First Examples of Streams

- ▶ Built-in streams in Haskell

`[2..]` \rightarrow `[2,3,4,5,6,7,...]`

`[3,5..]` \rightarrow `[3,5,7,9,11,...]`

- ▶ User-defined streams in Haskell

The infinite lists of “twos”

`2,2,2,...`

In Haskell this can be realized:

- ▶ using list comprehension: `[2,2..]`

- ▶ (co-) recursively: `twos = 2 : twos`

Illustration

```
twos ->> 2 : twos
      ->> 2 : 2 : twos
      ->> 2 : 2 : 2 : twos
      ->> ...
```

`twos` represents an **infinite list**; synonymously, a **stream**.

Corecursive Definitions

- ▶ Definitions of the form

ones = 1 : ones

twos = 2 : twos

threes = 3 : threes

defining the streams of “ones,” “twos,” and “threes” look like [recursive](#) definitions.

- ▶ However, they lack a base case.
- ▶ Definitions of the above form are called
 - ▶ [corecursive](#)
- ▶ [Corecursive definitions](#) always yield infinite objects.

More corecursively defined Streams

- ▶ The **stream** of natural numbers **nats**
`nats = 0 : map (+1) nats`
- ▶ The **stream** of even natural numbers **evens**
`evens = 0 : map (+2) evens`
- ▶ The **stream** of odd natural numbers **odds**
`odds = 1 : map (+2) odds`

More Streams

- ▶ The stream of natural numbers

```
theNats = 0 : zipWith (+) ones theNats
```


More Streams

- ▶ The stream of natural numbers

```
theNats = 0 : zipWith (+) ones theNats
```

- ▶ The stream of powers of an integer

```
powers :: Int -> [Int]
```

```
powers n = [nx | x <- [0..]]
```

More Streams

- ▶ The stream of natural numbers

```
theNats = 0 : zipWith (+) ones theNats
```

- ▶ The stream of powers of an integer

```
powers :: Int -> [Int]  
powers n = [n^x | x <- [0..]]
```

- ▶ The prelude function `iterate`

```
iterate :: (a -> a) -> a -> [a]  
iterate f x = x : iterate f (f x)
```

The function `iterate` generates the stream

```
[x, f x, (f . f) x, (f . f . f) x, ...
```

More Streams

- ▶ The stream of natural numbers

```
theNats = 0 : zipWith (+) ones theNats
```

- ▶ The stream of powers of an integer

```
powers :: Int -> [Int]
powers n = [n^x | x <- [0..]]
```

- ▶ The prelude function `iterate`

```
iterate :: (a -> a) -> a -> [a]
iterate f x = x : iterate f (f x)
```

The function `iterate` generates the stream

`[x, f x, (f . f) x, (f . f . f) x, ...]`

Application: `powers` can be defined in terms of `iterate`

```
powers n = iterate (*n) 1
```

More Applications of iterate

```
ones    = iterate id 1
```

```
twos    = iterate id 2
```

```
threes  = iterate id 3
```

```
nats    = iterate (+1) 0
```

```
evens   = iterate (+2) 0
```

```
odds    = iterate (+2) 1
```

```
powers = iterate (*n) 1
```

Functions on Streams

```
head :: [a] -> a  
head (x:_) = x
```

Application

```
head twos ->> head (2 : twos) ->> 2
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

91/1141

Functions on Streams

```
head :: [a] -> a
head (x:_) = x
```

Application

```
head twos ->> head (2 : twos) ->> 2
```

Note: [Normal-order reduction](#) (resp. its efficient implementation variant [lazy evaluation](#)) ensures termination in this example. It excludes the infinite sequence of reductions:

```
head twos
->> head (2 : twos)
->> head (2 : 2 : twos)
->> head (2 : 2 : 2 : twos)
->> ...
```

Reminder

“...whenever there is a terminating reduction sequence of an expression, then normal-order reduction terminates.”

(Church/Rosser-Theorem)

- ▶ Normal-order reduction corresponds to leftmost-outermost evaluation

Recall: Let

```
ignore :: a -> b -> b
ignore a b = b
```

Then, both in

- ▶ `ignore twos 42`
- ▶ `twos 'ignore' 42`

the leftmost-outermost operator is given by the call `ignore`.

Functions on Streams (Cont'd)

```
addFirstTwo :: [Integer] -> Integer
addFirstTwo (x:y:zs) = x+y
```

Application

```
addFirstTwo twos ->> addFirstTwo (2:twos)
                  ->> addFirstTwo (2:2:twos)
                  ->> 2+2
                  ->> 4
```


Functions yielding Streams

- ▶ User-defined stream-yielding functions

```
from :: Int -> [Int]
```

```
from n = n : from (n+1)
```

```
fromStep :: Int -> Int -> [Int]
```

```
fromStep n m = n : fromStep (n+m) m
```

Applications

```
from 42 ->> [42, 43, 44, ...]
```

```
fromStep 3 2 ->> 3 : fromStep 5 2
```

```
    ->> 3 : 5 : fromStep 7 2
```

```
    ->> 3 : 5 : 7 : fromStep 9 2
```

```
    ->> ...
```

Primes: The Sieve of Eratosthenes 1(3)

Intuition

1. Write down the natural numbers starting at 2.
2. The smallest number not yet cancelled is a prime number.
Cancel all multiples of this number.
3. Repeat Step 2 with the smallest number not yet cancelled.

Illustration

Step 1:

2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17...

Step 2 ("with 2"):

2 3 5 7 9 11 13 15 17...

Step 2 ("with 3"):

2 3 5 7 11 13 17...

Step 2 ("with 5"):

2 3 5 7 11 13 17...

...

Primes: The Sieve of Eratosthenes 2(3)

The stream of primes:

```
primes :: [Int]
primes = sieve [2..]
```

```
sieve :: [Int] -> [Int]
sieve (x:xs) = x : sieve [ y | y <- xs, mod y x > 0]
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

96/1141

Primes: The Sieve of Eratosthenes 3(3)

Illustration: By stepwise evaluation

```
primes
```

```
->> sieve [2..]
```

```
->> 2 : sieve [ y | y <- [3..], mod y 2 > 0]
```

```
->> 2 : sieve (3 : [ y | y <- [4..], mod y 2 > 0])
```

```
->> 2 : 3 : sieve [ z | z <- [ y | y <- [4..],  
                        mod y 2 > 0 ],  
                        mod z 3 > 0]
```

```
->> ...
```

```
->> 2 : 3 : sieve [ z | z <- [5, 7, 9..],  
                        mod z 3 > 0]
```

```
->> ...
```

```
->> 2 : 3 : sieve [5, 7, 11,...
```

```
->> ...
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

97/1141

Pitfalls in Applications

Implementing a prime number test (naively):

Let

```
member :: [a] -> a -> Bool
member []      y = False
member (x:xs) y = (x==y) || member xs y
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

98/1141

Pitfalls in Applications

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```
member :: [a] -> a -> Bool
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Then

```
member primes 7 ...yields "True" (as expected!)
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Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

98/1141

Pitfalls in Applications

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```
member primes 7 ...yields "True" (as expected!)
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But

```
member primes 6 ...does not terminate!
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Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

98/1141

Pitfalls in Applications

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member :: [a] -> a -> Bool
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Then

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member primes 7 ...yields "True" (as expected!)
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But

```
member primes 6 ...does not terminate!
```

Homework: Why fails the above implementation? How can `primes` be embedded into a calling context allowing us to decide if some argument is prime or not?

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

98/1141

Random Numbers 1(2)

Generating a sequence of (pseudo-) random numbers:

```
nextRandNum :: Int -> Int
nextRandNum n = (multiplier*n + increment)
                'mod' modulus

randomSequence :: Int -> [Int]
randomSequence = iterate nextRandNum
```

Choosing

```
seed          = 17489          increment = 13849
multiplier    = 25173          modulus     = 65536
```

we obtain the following sequence of (pseudo-) random numbers

[17489, 59134, 9327, 52468, 43805, 8378, ...

ranging from 0 to 65536, where all numbers of this interval occur with the same frequency.

Random Numbers 2(2)

Often one needs to have random numbers **within a range from p to q inclusive**, $p < q$.

This can be achieved by **scaling** the sequence.

Random Numbers 2(2)

Often one needs to have random numbers **within a range from p to q inclusive**, $p < q$.

This can be achieved by **scaling** the sequence.

```
scale :: Float -> Float -> [Int] -> [Float]
scale p q randSeq = map (f p q) randSeq
  where f :: Float -> Float -> Int -> Float
        f p q n = p + ((n * (q-p)) / (modulus-1))
```

Random Numbers 2(2)

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This can be achieved by **scaling** the sequence.

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scale :: Float -> Float -> [Int] -> [Float]
scale p q randSeq = map (f p q) randSeq
  where f :: Float -> Float -> Int -> Float
        f p q n = p + ((n * (q-p)) / (modulus-1))
```

Application

```
scale 42.0 51.0 randomSequence
```

Principles of Modularization

...related to [streams](#):

- ▶ The [Generator/Selector](#) Principle
...e.g. computing the square root, the n -th Fibonacci number
- ▶ The [Generator/Filter](#) Principle
...e.g. computing all even Fibonacci numbers
- ▶ The [Generator/Transformer](#) Principle
...e.g. “scaling” random numbers
- ▶ Other combinations of [generators](#), [filters](#), and [selectors](#)

The Fibonacci Numbers 1(5)

The sequence of **Fibonacci Numbers**

0, 1, 1, 2, 3, 5, 8, 13, 21, 34, 55, 89, ...

is defined in terms of the function

$$fib : \mathbb{IN} \rightarrow \mathbb{IN}$$

$$fib(n) =_{df} \begin{cases} 0 & \text{if } n = 0 \\ 1 & \text{if } n = 1 \\ fib(n-1) + fib(n-2) & \text{otherwise} \end{cases}$$

The Fibonacci Numbers 2(5)

We have already learned that a **naive implementation** like

```
fib :: Integer -> Integer
fib 0 = 0
fib 1 = 1
fib n = fib (n-1) + fib (n-2)
```

...that **directly** exploits the recursive pattern of the underlying mathematical function is

- ▶ **inacceptably inefficient and slow!**

The Fibonacci Numbers 3(5)

Illustration: By stepwise evaluation

```
fib 0 ->> 0 -- 1 call of fib
```

```
fib 1 ->> 1 -- 1 call of fib
```

```
fib 2 ->> fib 1 + fib 0
->> 1 + 0
->> 1 -- 3 calls of fib
```

```
fib 3 ->> fib 2 + fib 1
->> (fib 1 + fib 0) + 1
->> (1 + 0) + 1
->> 2 -- 5 calls of fib
```


The Fibonacci Numbers 4(5)

```
fib 4 ->> fib 3 + fib 2
->> (fib 2 + fib 1) + (fib 1 + fib 0)
->> ((fib 1 + fib 0) + 1) + (1 + 0)
->> ((1 + 0) + 1) + (1 + 0)
->> 3 -- 9 calls of fib

fib 5 ->> fib 4 + fib 3
->> (fib 3 + fib 2) + (fib 2 + fib 1)
->> ((fib 2 + fib 1) + (fib 1 + fib 0))
      + ((fib 1 + fib 0) + 1)
->> (((fib 1 + fib 0) + 1)
      + (1 + 0)) + ((1 + 0) + 1)
->> (((1 + 0) + 1) + (1 + 0)) + ((1 + 0) + 1)
->> 5 -- 15 calls of fib
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

105/114

The Fibonacci Numbers 5(5)

```
fib 8 ->> fib 7 + fib 6
->> (fib 6 + fib 5) + (fib 5 + fib 4)
->> ((fib 5 + fib 4) + (fib 4 + fib 3))
    + ((fib 4 + fib 3) + (fib 3 + fib 2))
->> (((fib 4 + fib 3) + (fib 3 + fib 2))
    + (fib 3 + fib 2) + (fib 2 + fib 1)))
    + (((fib 3 + fib 2) + (fib 2 + fib 1))
    + ((fib 2 + fib 1) + (fib 1 + fib 0)))
->> ...
->> 21 -- 60 calls of fib
```

...tree-like recursion (with **exponential growth!**)

Reminder: Complexity 1(3)

Cp. Peter Pepper. [Funktionale Programmierung in OPAL, ML, Haskell und Gofer](#). 2nd Edition (In German), 2003, Chapter 11.

Reminder: \mathcal{O} Notation

- ▶ Let $f : \alpha \rightarrow \mathbb{R}^+$ be a function with some data type α as domain and the set of positive real numbers as range. Then the class $\mathcal{O}(f)$ denotes the set of all functions which “grow slower” than f :

$$\mathcal{O}(f) =_{df} \{h \mid h(n) \leq c * f(n) \text{ for some positive constant } c \text{ and all } n \geq N_0\}$$

Reminder: Complexity 2(3)

Examples of typical cost functions:

Code	Costs	Intuition: <i>input a thousandfold as large</i> means:
$\mathcal{O}(c)$	constant	... equal effort
$\mathcal{O}(\log n)$	logarithmic	...only tenfold effort
$\mathcal{O}(n)$	linear	...also a thousandfold effort
$\mathcal{O}(n \log n)$	" $n \log n$ "	...tenthousandfold effort
$\mathcal{O}(n^2)$	quadratic	...millionfold effort
$\mathcal{O}(n^3)$	cubic	...billiardfold effort
$\mathcal{O}(n^c)$	polynomial	... gigantic much effort (for big c)
$\mathcal{O}(2^n)$	exponential	...hopeless

Reminder: Complexity 3(3)

...and the impact of growing inputs in practice in hard numbers:

n	linear	quadratic	cubic	exponential
1	1 μ s	1 μ s	1 μ s	2 μ s
10	10 μ s	100 μ s	1 ms	1 ms
20	20 μ s	400 μ s	8 ms	1 s
30	30 μ s	900 μ s	27 ms	18 min
40	40 μ s	2 ms	64 ms	13 days
50	50 μ s	3 ms	125 ms	36 years
60	60 μ s	4 ms	216 ms	36 560 years
100	100 μ s	10 ms	1 sec	$4 * 10^{16}$ years
1000	1 ms	1 sec	17 min	very, very long...

Remedy

- ▶ **Streams** can (often) help!

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

110/114

Fibonacci Numbers Reconsidered 1(2)

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

111/114

Fibonacci Numbers Reconsidered 1(2)

Idea

0 1 1 2 3 5 8 13... Sequence of Fib. Numbers

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

111/114

Fibonacci Numbers Reconsidered 1(2)

Idea

0 1 1 2 3 5 8 13... Sequence of Fib. Numbers

1 1 2 3 5 8 13 21... Remainder of the S. of F. N.

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

111/114

Fibonacci Numbers Reconsidered 1(2)

Idea

0 1 1 2 3 5 8 13... Sequence of Fib. Numbers

1 1 2 3 5 8 13 21... Remainder of the S. of F. N.

1 2 3 5 8 13 21 34... Remain. of the rem. of the
sequ. of Fibonacci Numbers

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

111/114

Fibonacci Numbers Reconsidered 1(2)

Idea

0 1 1 2 3 5 8 13... Sequence of Fib. Numbers

1 1 2 3 5 8 13 21... Remainder of the S. of F. N.

1 2 3 5 8 13 21 34... Remain. of the rem. of the
sequ. of Fibonacci Numbers

This can efficiently be implemented as a (corecursive) stream:

```
fibs :: [Integer]
fibs = 0 : 1 : zipWith (+) fibs (tail fibs)
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

111/114

Fibonacci Numbers Reconsidered 1(2)

Idea

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1 2 3 5 8 13 21 34... Remain. of the rem. of the
sequ. of Fibonacci Numbers

This can efficiently be implemented as a (corecursive) stream:

```
fibs :: [Integer]
```

```
fibs = 0 : 1 : zipWith (+) fibs (tail fibs)
```

```
zipWith :: (a -> b -> c) -> [a] -> [b] -> [c]
```

```
zipWith f (x:xs) (y:ys) = f x y : zipWith f xs ys
```

```
zipWith f _ _ = []
```

Fibonacci Numbers Reconsidered 1(2)

Idea

0 1 1 2 3 5 8 13... Sequence of Fib. Numbers

1 1 2 3 5 8 13 21... Remainder of the S. of F. N.

1 2 3 5 8 13 21 34... Remain. of the rem. of the
sequ. of Fibonacci Numbers

This can efficiently be implemented as a (corecursive) stream:

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fibs :: [Integer]
```

```
fibs = 0 : 1 : zipWith (+) fibs (tail fibs)
```

```
zipWith :: (a -> b -> c) -> [a] -> [b] -> [c]
```

```
zipWith f (x:xs) (y:ys) = f x y : zipWith f xs ys
```

```
zipWith f _ _ = []
```

...reminds to Münchhausen's famous trick of "sich am eigenen Schopfe aus dem Sumpf zu ziehen!"

Fibonacci Numbers Reconsidered 2(2)

```
fibs ->> 0 : 1 : 1 : 2 : 3 : 5 : 8 : 13 : 21 : 34...
```

```
take 10 fibs ->> [0,1,1,2,3,5,8,13,21,34]
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

112/114

Fibonacci Numbers Reconsidered 2(2)

```
fibs ->> 0 : 1 : 1 : 2 : 3 : 5 : 8 : 13 : 21 : 34...
```

```
take 10 fibs ->> [0,1,1,2,3,5,8,13,21,34]
```

where

```
take :: Integer -> [a] -> [a]
```

```
take 0 _ = []
```

```
take _ [] = []
```

```
take n (x:xs) | n>0 = x : take (n-1) xs
```

```
take _ _  
    = error "PreludeList.take: negative argument"
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

112/114

Summing up

We get a **conceptually new** implementation of the **Fibonacci function** using **corecursive streams**:

```
fib :: Int -> Integer
fib n = last (take n fibs)
```


Summing up

We get a **conceptually new** implementation of the **Fibonacci function** using **corecursive streams**:

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Even shorter:

```
fib :: Int -> Integer
fib n = fibs!!(n-1)
```

Summing up

We get a **conceptually new** implementation of the **Fibonacci function** using **corecursive streams**:

```
fib :: Int -> Integer
fib n = last (take n fibs)
```

Even shorter:

```
fib :: Int -> Integer
fib n = fibs!!(n-1)
```

Remark:

Note the application of the

▶ **Generator/Selector Principle**
in this example.

Naive Evaluation (no sharing)

...stepwise evaluation (with `add` instead of `zipWith (+)`):

`fibs`

->> Replace the call of `fibs` by the body of `fibs`

```
0 : 1 : add fibs (tail fibs)
```

->> Replace both calls of `fibs` by the body of `fibs`

```
0 : 1 : add (0 : 1 : add fibs (tail fibs))
          (tail (0 : 1 : add fibs (tail fibs)))
```

->> Application of `tail`

```
0 : 1 : add (0 : 1 : add fibs (tail fibs))
          (1 : add fibs (tail fibs))
```

->> ...

- **Observation:** The computational effort remains **exponential** this (naive) way!

Naive Evaluation (no sharing)

...stepwise evaluation (with `add` instead of `zipWith (+)`):

`fibs`

->> `Replace the call of fibs by the body of fibs`

```
0 : 1 : add fibs (tail fibs)
```

->> `Replace both calls of fibs by the body of fibs`

```
0 : 1 : add (0 : 1 : add fibs (tail fibs))
          (tail (0 : 1 : add fibs (tail fibs)))
```

->> `Application of tail`

```
0 : 1 : add (0 : 1 : add fibs (tail fibs))
          (1 : add fibs (tail fibs))
```

->> ...

- ▶ **Observation:** The computational effort remains **exponential** this (naive) way!
- ▶ **Clou:** **Lazy evaluation** – common subexpressions will not be computed multiple times (in the example this holds for `tail` and `fibs`)!

The Benefit of Lazy Evaluation (sharing) 1(3)

```
fibs ->> 0 : 1 : add fibs (tail fibs)
```

```
->> Introduc. abbrev. allows sharing of results
```

```
0 : tf (tf reminds to "tail of fibs")
```

```
where tf = 1 : add fibs (tail fibs)
```

```
->> 0 : tf
```

```
where tf = 1 : add fibs tf
```

```
->> Introducing abbreviations allows sharing
```

```
0 : tf
```

```
where tf = 1 : tf2 (tf2 reminds to "tail  
of tail of fibs")
```

```
where tf2 = add fibs tf
```

```
->> Unfolding of add
```

```
0 : tf
```

```
where tf = 1 : tf2
```

```
where tf2 = 1 : add tf tf2
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

115/114

The Benefit of Lazy Evaluation (sharing) 2(3)

->> Repeating the above steps

```
0 : tf
```

```
where tf = 1 : tf2
```

```
      where tf2 = 1 : tf3 (tf3 reminds to  
                        "tail of tail of tail of fibs")
```

```
      where tf3 = add tf tf2
```

->> 0 : tf

```
where tf = 1 : tf2
```

```
      where tf2 = 1 : tf3
```

```
      where tf3 = 2 : add tf2 tf3
```

->> **tf is only used at one place and can thus be eliminated**

```
0 : 1 : tf2
```

```
where tf2 = 1 : tf3
```

```
      where tf3 = 2 : add tf2 tf3
```

The Benefit of Lazy Evaluation (sharing) 3(3)

```
->> Finally, we obtain successsively longer
      prefixes of the stream of Fibonacci numbers
      0 : 1 : tf2
      where tf2 = 1 : tf3
                where tf3 = 2 : tf4
                          where tf4 = add tf2 tf3
```

```
->> 0 : 1 : tf2
      where tf2 = 1 : tf3
                where tf3 = 2 : tf4
                          where tf4 = 3 : add tf3 tf4
```

Note: eliminating where-clauses corresponds to garbage collection of unused memory by an implementation

```
->> 0 : 1 : 1 : tf3
      where tf3 = 2 : tf4
                where tf4 = 3 : add tf3 tf4
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

117/114

Pitfall

In practice, the ability of dividing/recognizing common structures is limited.

This is demonstrated by the below variant of the Fibonacci function that artificially lifts `fibs` to a functional level:

```
fibsFn :: () -> [Integer]
fibsFn x =
  0 : 1 : zipWith (+) (fibsFn ()) (tail (fibsFn ()))
```

This function again exposes

- ▶ **exponential** run-time and storage **behaviour!**

Pitfall

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fibsFn x =
  0 : 1 : zipWith (+) (fibsFn ()) (tail (fibsFn ()))
```

This function again exposes

- ▶ **exponential** run-time and storage **behaviour!**

Crucial:

- ▶ **Memory leak:** The memory space is consumed so fast that the performance of the program is significantly impacted.

Illustration

```
fibsFn ()
->> 0 : 1 : add (fibsFn ()) (tail (fibsFn ()))
->> 0 : tf
  where
    tf = 1 : add (fibsFn ()) (tail (fibsFn ()))
```

The equality of `tf` and `tail(fibsFn())` remains undetected.
Hence, the following simplification is not done:

```
->> 0 : tf
  where tf = 1 : add (fibsFn ()) tf
```

In a special case like here, this is possible, but there is no general means for detecting such equalities!

Chapter 2.2

Stream Diagrams

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

120/114

Stream Diagrams

Problems on streams can often be considered and visualized as

- ▶ processes.

Stream Diagrams

Problems on streams can often be considered and visualized as

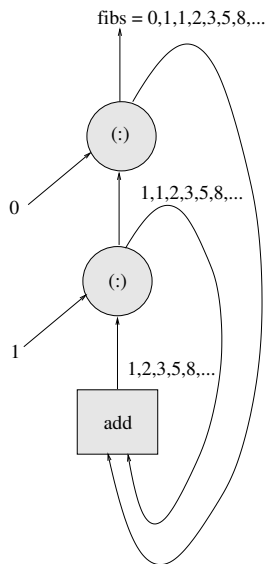
- ▶ processes.

In the following, we consider two examples:

- ▶ The stream of Fibonacci numbers
- ▶ The communication stream of a client/server application

Fibonacci Numbers

... as a **stream diagram**:



The Client/Server Application

Interaction of a server and a client (e.g. Web server/Web browser):

```
client :: [Response] -> [Request]
```

```
server :: [Request] -> [Response]
```

```
reqs = client resps
```

```
resps = server reqs
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

123/114

The Client/Server Application

Interaction of a server and a client (e.g. Web server/Web browser):

```
client :: [Response] -> [Request]
```

```
server :: [Request] -> [Response]
```

```
reqs = client resps
```

```
resps = server reqs
```

Implementation

```
type Request = Integer
```

```
type Response = Integer
```

```
client ys = 1 : ys (issues 1 as first request and  
then each integer it receives  
from the server)
```

```
server xs = map (+1) xs (adds 1 to each request it  
receives)
```


The Client/Server Application (Cont'd)

Illustration: By stepwise evaluation

```
reqs ->> client resps
->> 1 : resps
->> 1 : server reqs
```

->> **Introducing abbreviations**

```
1 : tr
  where tr = server reqs
->> 1 : tr
  where tr = 2 : server tr
->> 1 : tr
  where tr = 2 : tr2
  where tr2 = server tr
```

The Client/Server Application (Cont'd)

```
->> 1 : tr
      where tr = 2 : tr2
                    where tr2 = 3 : server tr2
->> 1 : 2 : tr2
      where tr2 = 3 : server tr2
->> ...
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

125/114

The Client/Server Application (Cont'd)

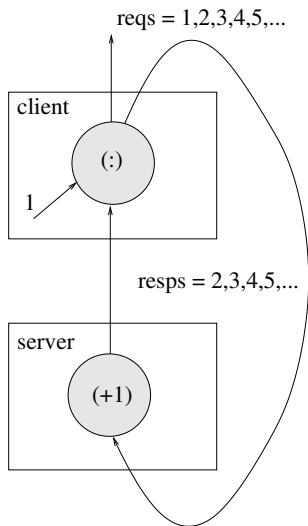
```
->> 1 : tr
      where tr = 2 : tr2
                    where tr2 = 3 : server tr2
->> 1 : 2 : tr2
      where tr2 = 3 : server tr2
->> ...
```

In particular, we obtain:

```
take 10 reqs ->> [1,2,3,4,5,6,7,8,9,10]
```

The Client/Server Application

... as a stream diagram:



Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

126/114

Pitfall

Suppose, the client wants to check the first response:

```
client (y:ys) = if ok y then 1 : (y:ys)
                else error "Faulty Server"
```

where

```
ok y = True      (Obviously a trivial predicate)
```

Pitfall

Suppose, the client wants to check the first response:

```
client (y:ys) = if ok y then 1 : (y:ys)
                else error "Faulty Server"
```

where

```
ok y = True      (Obviously a trivial predicate)
```

The evaluation of:

```
reqs ->> client resps
      ->> client (server reqs)
      ->> client (server (client resps))
      ->> client (server (client (server reqs)))
      ->> ...
```

...does **not terminate!**

Pitfall

Suppose, the client wants to check the first response:

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...does **not terminate!**

The problem: **Deadlock!**

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Suppose, the client wants to check the first response:

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      ->> client (server reqs)
      ->> client (server (client resps))
      ->> client (server (client (server reqs)))
      ->> ...
```

...does **not terminate!**

The **problem**: **Deadlock!** Neither the client nor the server can be unfolded! Pattern matching is **too "eager."**

Remedy: Lazy Patterns 1(3)

Ad-hoc Remedy:

```
client ys = 1 : if ok (head ys) then ys  
              else error "Faulty Server"
```

Remedy: Lazy Patterns 1(3)

Ad-hoc Remedy:

```
client ys = 1 : if ok (head ys) then ys
               else error "Faulty Server"
```

- ▶ Replacing of pattern matching by an explicit usage of the selector function `head`.
- ▶ Moving the conditional inside of the list.

Remedy: Lazy Patterns 2(3)

Systematic remedy: Lazy patterns

- ▶ **Syntax:** Preceding tilde (\sim)
- ▶ **Effect:** Like using an explicit selector function; pattern-matching is deferred

```
client ~(y:ys) = 1 : if ok y then y:ys
                    else error "Faulty Server"
```

Note: Even when using a lazy pattern the conditional must still be moved. **But:** The selector functions is avoided!

Remedy: Lazy Patterns 2(3)

Systematic remedy: Lazy patterns

- ▶ **Syntax:** Preceding tilde (\sim)
- ▶ **Effect:** Like using an explicit selector function; pattern-matching is deferred

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client ~(y:ys) = 1 : if ok y then y:ys  
                  else error "Faulty Server"
```

Note: Even when using a lazy pattern the conditional must still be moved. **But:** The selector functions is avoided!

In practice, this can be very many selector functions that are saved this way making the programs “more” declarative and readable.

Remedy: Lazy Patterns 3(3)

Illustration: By stepwise evaluation

```
reqs ->> client resps
      ->> 1 : if ok y then y : ys
            else error "Faulty Server"
            where y:ys = resps
      ->> 1 : (y:ys)
            where y:ys = resps
      ->> 1 : resps
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

130/114

Chapter 2.3

Memoization

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

131/114

Motivation

Memoization

- ▶ is a means for improving the **performance** of (functional) programs by avoiding costly recomputations

that benefits from

- ▶ **stream programming**.

Memoization

The [concept](#) of

- ▶ [memoization](#) goes back to Donald Michie: 'Memo' Functions and Machine Learning. Nature, 218, 19-22, 1968.

Memoization

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Idea

- ▶ Replace, where possible, the (costly) computation of a function according to its body by looking up its value in a table, a so-called [memo table](#).

Memoization

The **concept** of

- ▶ **memoization** goes back to Donald Michie: 'Memo' Functions and Machine Learning. Nature, 218, 19-22, 1968.

Idea

- ▶ Replace, where possible, the (costly) computation of a function according to its body by looking up its value in a table, a so-called **memo table**.

Means

- ▶ A **memo function** is used to replace a costly to compute function by a (memo) table look-up. Intuitively, the original function is augmented by a cache storing argument/result pairs.

Memo Functions, Memo Tables

A **memo function** is

- ▶ an ordinary function, but stores for some or all arguments it has been applied to the corresponding results in a **memo table**.

A **memo table** allows

- ▶ to replace recomputation by table look-up.

Correctness of the overall approach:

- ▶ **Referential transparency** of functional programming languages (in particular, absence of side effects!).

Memo Functions, Memo Tables (Cont'd)

A **memo function** `memo` associated with a function `f`

$$\text{memo} :: (a \rightarrow b) \rightarrow (a \rightarrow b)$$

has to be defined such that the following **equality** holds:

$$\text{memo } f \ x = f \ x$$

A Concrete Approach with Memo Lists

Memo List:

The (generic) memo function/table

```
flist = [ f x | x <- [0..]]
```

...where `f` is a function on integers.

Application:

Each call of `f` is replaced by a look-up in `flist`.

Example 1: Computing Fibonacci Numbers

Computing Fibonacci numbers with memoization:

```
fiblist = [ fibm x | x <- [0..] ]  
fibm 0   = 0  
fibm 1   = 1  
fibm n   = fiblist !! (n-1) + fiblist !! (n-2)
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

137/114

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```

Compare this with the naive implementation of fib:

```
fib 0 = 0  
fib 1 = 1  
fib n = fib (n-1) + fib (n-2)
```

Note:

```
fibm n = fib n
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

137/114

Example 1: Computing Fibonacci Numbers

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Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

137/114

Example 2: Computing Powers

Computing powers ($2^0, 2^1, 2^2, 2^3, \dots$) with memoization:

```
powerlist = [ powerm x | x <- [0..] ]  
powerm 0   = 1  
powerm i   = powerlist !! (i-1) + powerlist !! (i-1)
```

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

138/114

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Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

138/114

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```

Compare this with the naive implementation of power:

```
power 0 = 1  
power i = power (i-1) + power (i-1)
```

Observation:

- ▶ Looking-up the result of the second call instead of recomputing it requires only $1 + n$ calls of `power` instead of $1 + 2^n$

↪ Significant performance gain!

Summing up

The function `memo :: (a -> b) -> (a -> b)`:

- ▶ is essentially the identity on functions but
- ▶ `memo` keeps track on the arguments, it has been applied to and the corresponding results
Motto: look-up a result that has been computed previously instead of recomputing it!

Memo functions

- ▶ are not part of the Haskell standard, but there are nonstandard libraries

Summing up (Cont'd)

Important design decision

- ▶ when implementing **memo functions**: how many argument/result pairs shall be traced? (e.g. **a memo function memo1** for one argument/result pair)

Summing up (Cont'd)

Important design decision

- ▶ when implementing **memo functions**: how many argument/result pairs shall be traced? (e.g. **a memo function** `memo1` for one argument/result pair)

Example:

```
mfibsFn :: () -> [Integer]
mfibsFn x
= let mfibs = memo1 mfibsFn in
    0 : 1 : zipWith (+) (mfibs ()) (tail (mfibs ()))
```

Summing up (Cont'd)

More on [memoization](#), its very idea and application, e.g. in:

- ▶ [Chapter 19, Memoization](#)
Anthony J. Field, Peter G. Harrison. [Functional Programming](#). Addison-Wesley, 1988.
- ▶ [Chapter 12.3, Memoization](#)
Max Hailperin, Barbara Kaiser, Karl Knight. [Concrete Abstractions – An Introduction to Computer Science using Scheme](#). Brooks/Cole Publishing Company, 1999.

Summing up (Cont'd)

- ▶ (Introduced streams without memoization)
P. J. Landin. *A Correspondence between ALGOL60 and Church's Lambda-Notation: Part I*. Communications of the ACM, 8(2):89-101, 1965.
- ▶ (Extended Landin's streams with memoization)
Daniel P. Friedman, David S. Wise. *CONS should not Evaluate its Arguments*. In Automata, Languages and Programming, 257-281, 1976.
- ▶ (Extended Landin's streams with memoization)
Peter Henderson, James H. Morris. *A Lazy Evaluator*. In Conference Record of the 3rd ACM Symposium on Principles of Programming Languages (POPL'76), ACM, 95-103, 1976.

Chapter 2.4

Boosting Performance

Contents

Chap. 1

Chap. 2

2.1

2.2

2.3

2.4

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

143/114

Motivation

Recomputing values unnecessarily is a major source of inefficiency.

- ▶ Avoiding recomputations of values is a major source of improving the performance of a program.

Two techniques that can (often) help achieving this are:

- ▶ Stream programming
- ▶ Memoization

Avoiding Recomputations using Stream Prog.

- ▶ Computing Fibonacci numbers using stream prog.:

```
fibs :: [Integer]
fibs = 0 : 1 : zipWith (+) fibs (tail fibs)
```

```
take 10 fibs ->> [0,1,1,2,3,5,8,13,21,34]
```

```
fibs!!5 ->> 5
```

- ▶ Computing powers using stream programming:

```
powers :: [Integer]
powers = 1 : 2 :
        zipWith (+) (tail powers) (tail powers)
```

```
take 9 powers ->> [1,2,4,8,16,32,64,128,256]
```

```
powers!!5 ->> 32
```

- ▶ ...

Avoiding Recomputations using Memoization

- ▶ Computing Fibonacci numbers with memoization:

```
fiblist = [ fibm x | x <- [0..] ]  
fibm 0 = 0  
fibm 1 = 1  
fibm n = fiblist!!(n-1) + fiblist!!(n-2)  
  
take 10 fiblist ->> [0,1,1,2,3,5,8,13,21,34]  
fiblist!!5 ->> 5
```

- ▶ Computing powers with memoization:

```
powerlist = [ powerm x | x <- [0..] ]  
powerm 0 = 1  
powerm i = powerlist!!(i-1) + powerlist!!(i-1)  
  
take 9 powerlist ->> [1,2,4,8,16,32,64,128,256]  
powerlist!!5 ->> 32
```

- ▶ ...

Summing up

Stream programming and memoization are

- ▶ no silver bullets

for improving performance by avoiding recomputations.

Summing up

Stream programming and memoization are

- ▶ no silver bullets

for improving performance by avoiding recomputations.

If, however, they hit they can

- ▶ significantly boost performance: from taking too long to be feasible to be completed in an instant!

Obvious candidates

- ▶ problems that naturally wind up repeatedly computing the the solution to identical subproblems, e.g. tree-recursive processes.

Summing up

Stream programming and memoization are

- ▶ no silver bullets

for improving performance by avoiding recomputations.

If, however, they hit they can

- ▶ significantly boost performance: from taking too long to be feasible to be completed in an instant!

Obvious candidates

- ▶ problems that naturally wind up repeatedly computing the the solution to identical subproblems, e.g. tree-recursive processes.

Homework: Compare the performance of the straightforward implementations of `fib` and `power` with their “boosted” versions using stream programming and memoization.

Silver Bullets exist Sometimes

Though not in general, it is worth noting that sometimes there is a **silver bullet** solving a problem:

The computation of the Fibonacci numbers is again a striking example.

We can prove (cf. Chapter 6) the following theorem that allows a recursion-free **direct computation** of the Fibonacci numbers, i.e.,

$$(fib_i)_{i \in \mathbb{N}_0} = 0, 1, 1, 2, 3, 5, 8, 13, 21, 34, \dots$$

Theorem

$$\forall n \in \mathbb{N}_0. fib(n) = \frac{\left(\frac{1+\sqrt{5}}{2}\right)^n - \left(\frac{1-\sqrt{5}}{2}\right)^n}{\sqrt{5}}$$

Conclusion





The usage of **streams** (and **lazy evaluation**) is advocated by:

- ▶ **Higher abstraction**: limitations to finite lists are often more complex, while simultaneously unnatural.
- ▶ **Modularization**: **streams** together with **lazy evaluation** allow for elegant possibilities of decomposing a computational problem. Most important are the
 - ▶ **Generator/selector**
 - ▶ **Generator/filter**
 - ▶ **Generator/transformer** principle




being instances of the **Generator/Prune Paradigm**, and **combinations** thereof.

- ▶ **Boosting performance**: by avoiding recomputations. Most important are
 - ▶ **Stream programming**
 - ▶ **Memoization**




Chapter 2: Further Reading (1)

-  Richard Bird. *Introduction to Functional Programming using Haskell*. Prentice-Hall, 2nd edition, 1998. (Chapter 9, Infinite Lists)
-  Richard Bird, Phil Wadler. *An Introduction to Functional Programming*. Prentice Hall, 1988. (Chapter 7, Infinite Lists)
-  Byron Cook, John Launchbury. *Disposable Memo Functions*. In Proceedings of the Haskell'97 Workshop, 1997.
-  Antonie J. T. Davie. *An Introduction to Functional Programming Systems using Haskell*. Cambridge University Press, 1992. (Chapter 7.3, Streams; Chapter 7.8, Memo Functions)




Chapter 2: Further Reading (2)

-  Kees Doets, Jan van Eijck. *The Haskell Road to Logic, Maths and Programming*. Texts in Computing, Vol. 4, King's College, UK, 2004. (Chapter 10, Corecursion)
-  Kento Emoto, Sebastian Fischer, Zhenjiang Hu. *Generate, Test, and Aggregate: A Calculation-based Framework for Systematic Parallel Programming with MapReduce*. In Proceedings 21st European Symposium on Programming (ESOP 2012), Springer-V., LNCS 7211, 254-273, 2012.
-  Anthony J. Field, Peter G. Harrison. *Functional Programming*. Addison-Wesley, 1988. (Chapter 4.2, Processing 'infinite' data structures; Chapter 4.3, Process networks; Chapter 19, Memoization)




Chapter 2: Further Reading (3)

-  Daniel P. Friedman, David S. Wise. *CONS should not Evaluate its Arguments*. In *Automata, Languages and Programming*, 257-281, 1976.
-  Peter Henderson, James H. Morris. *A Lazy Evaluator*. In *Conference Record of the 3rd Annual ACM Symposium on Principles of Programming Languages (POPL'76)*, ACM, 95-103, 1976.
-  Max Hailperin, Barbara Kaiser, Karl Knight. *Concrete Abstractions – An Introduction to Computer Science using Scheme*. Brooks/Cole Publishing Company, 1999.
(Chapter 12.3, Memoization; Chapter 12.5, Comparing Memoization and Dynamic Programming)



Chapter 2: Further Reading (4)

-  Paul Hudak. *The Haskell School of Expression – Learning Functional Programming through Multimedia*. Cambridge University Press, 2000. (Chapter 14, Programming with Streams; Chapter 14.3, Stream Diagrams; Chapter 14.4, Lazy Patterns; Chapter 14.5, Memoization)
-  John Hughes. *Lazy Memo Functions*. In Proceedings of the Conference on Functional Programming Languages and Computer Architecture, Springer-V., LNCS 201, 129-146, 1985.
-  P. J. Landin. *A Correspondence between ALGOL60 and Church's Lambda-Notation: Part I*. Communications of the ACM, 8(2):89-101, 1965.

Chapter 2: Further Reading (5)

-  Jon Kleinberg, Éva Tardos. *Algorithm Design*. Addison-Wesley/Pearson, 2006. (Chapter 6.2, Principles of Dynamic Programming: Memoization or Iteration over Subproblems)
-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-Verlag, 2006. (Kapitel 14.2.1, Memoization; Kapitel 15.5, Maps, Funktionen und Memoization)
-  Fethi Rabhi, Guy Lapalme. *Algorithms – A Functional Programming Approach*. Addison-Wesley, 1999. (Chapter 10.1, Process networks)

Chapter 2: Further Reading (6)

-  J. M. Spitzen, K. M. Levitt. *An Example of Hierarchical Design and Proof*. Communications of the ACM 21(12):1064 - 1075, 1978.
-  Simon Thompson. *Haskell – The Craft of Functional Programming*. Addison-Wesley, 2nd edition, 1999.
(Chapter 17, Lazy programming; Chapter 17.6, Infinite Lists; Chapter 17.7, Why infinite lists? Chapter 19.6, Avoiding recomputation: memoization)

Chapter 3

Programming with Higher-Order Functions

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

156/114

Motivation

Programming with higher-order functions

- ▶ Many powerful and general **algorithmic principles** can be encapsulated in a suitable **higher-order function (HOF)**.
- ▶ This allows to **design** a **collection** or a **class of algorithms** (instead of designing an algorithm for only a particular application).

Motivation

Programming with higher-order functions

- ▶ Many powerful and general **algorithmic principles** can be encapsulated in a suitable **higher-order function (HOF)**.
- ▶ This allows to **design** a **collection** or a **class of algorithms** (instead of designing an algorithm for only a particular application).

Conceptually,

- ▶ this emphasises the essence of the underlying algorithmic principle.

Pragmatically,

- ▶ this makes these algorithmic principles **easily re-usable**.

Motivation (Cont'd)

In this chapter, we demonstrate this reconsidering an array of well-known and well-established **top-down** and **bottom-up design principles** of algorithms.

In detail:

- ▶ **Top-down**: starting from the initial problem, the algorithm works down to the solution by considering alternatives.
 - ▶ **Divide-and-conquer**
 - ▶ **Backtracking search**
 - ▶ **Priority-first search**
 - ▶ **Greedy search**
- ▶ **Bottom-up**: starting from small problem instances, the algorithm works up to the solution of the initial problem by combining solutions of smaller problem instances to solutions of larger ones.
 - ▶ **Dynamic programming**

Chapter 3.1

Divide-and-Conquer

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Divide and Conquer

Given:

Let P be a problem specification.

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Divide and Conquer

Given:

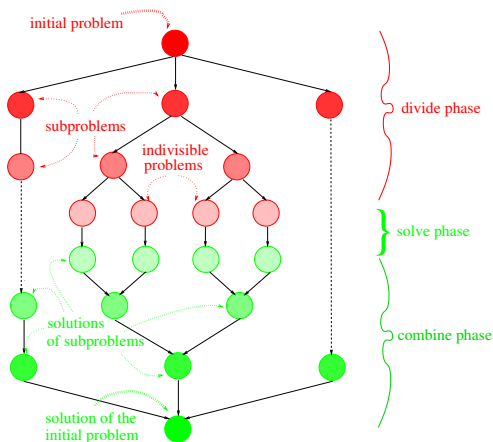
Let P be a problem specification.

Solving P – The Idea:

- ▶ If the problem is **simple/small** (enough), solve it directly or by means of some basic algorithm.
- ▶ Otherwise, **divide** the problem into smaller subproblems applying the **division** strategy **recursively** until all subproblems are simple enough to be directly solved.
- ▶ **Combine** all the solutions of the subproblems into a single solution of the initial problem.

Illustrating the Divide-and-Conquer Principle

Successive stages in a divide-and-conquer algorithm:



Fethi Rabhi, Guy Lapalme.

Algorithms: A Functional Programming Approach.

Addison-Wesley, 1999, page 156.

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

161/114

Implementing Divide-and-Conquer as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

162/114

Implementing Divide-and-Conquer as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Objective:

- ▶ A higher-order function (HOF) **divideAndConquer**
 - ▶ solving suitably parameterized **problem instances of kind p** utilizing the “**divide and conquer**” principle.

Implementing Divide-and-Conquer as HOF (2)

The ingredients of `divideAndConquer`:

- ▶ `indiv :: p -> Bool`: The function `indiv` yields `True`, if the problem instance can/need not be divided further (e.g., it can directly be solved by some *basic* algorithm).
- ▶ `solve :: p -> s`: The function `solve` yields the solution instance of a problem instance that cannot be divided further.
- ▶ `divide :: p -> [p]`: The function `divide` divides a problem instance into a list of subproblem instances.
- ▶ `combine :: p -> [s] -> s`: Given the original problem instance and the list of the solutions of the subproblem instances derived from, the function `combine` yields the solution of the original problem instance.

Implementing Divide-and-Conquer as HOF (3)

The HOF-Implementation:

```
divideAndConquer ::  
  (p -> Bool) -> (p -> s) -> (p -> [p]) ->  
                                (p -> [s] -> s) -> p -> s
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Implementing Divide-and-Conquer as HOF (3)

The HOF-Implementation:

```
divideAndConquer ::  
  (p -> Bool) -> (p -> s) -> (p -> [p]) ->  
                                     (p -> [s] -> s) -> p -> s
```

```
divideAndConquer indiv solve divide combine initPb
```

Implementing Divide-and-Conquer as HOF (3)

The HOF-Implementation:

```
divideAndConquer ::  
  (p -> Bool) -> (p -> s) -> (p -> [p]) ->  
                                     (p -> [s] -> s) -> p -> s
```

```
divideAndConquer indiv solve divide combine initPb
```

```
= dAC initPb
```

```
  where
```

```
    dAC pb
```

```
      | indiv pb = solve pb
```

```
      | otherwise = combine pb (map dAC (divide pb))
```

Typical Applications of Divide-and-Conquer

Typical Applications:

- ▶ Application areas such as
 - ▶ Numerical analysis
 - ▶ cryptography
 - ▶ image processing
 - ▶ ...
- ▶ Quicksort
- ▶ Mergesort
- ▶ Binomial coefficients
- ▶ ...

Divide-and-Conquer for Quicksort

```
quickSort :: Ord a => [a] -> [a]
quickSort lst
  = divideAndConquer indiv solve divide combine lst
  where
    indiv ls                = length ls <= 1
    solve                   = id
    divide (l:ls)          = [[ x | x <- ls, x <= l],
                             [ x | x <- ls, x > l] ]
    combine (l:_) [l1,l2] = l1 ++ [l] ++ l2
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

166/114

Pitfall

Not every problem that can be modeled as a “divide and conquer” problem is also (directly) suitable for it.

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Pitfall

Not every problem that can be modeled as a “divide and conquer” problem is also (directly) suitable for it.

Consider:

```
fib :: Integer -> Integer
fib n
  = divideAndConquer indiv solve divide combine n
  where
    indiv n      = (n == 0) || (n == 1)
    solve n
      | n == 0   = 0
      | n == 1   = 1
      | otherwise = error "solve: problem divisible"
    divide n     = [n-2,n-1]
    combine _ [l1,l2] = l1 + l2
```

Pitfall

Not every problem that can be modeled as a “divide and conquer” problem is also (directly) suitable for it.

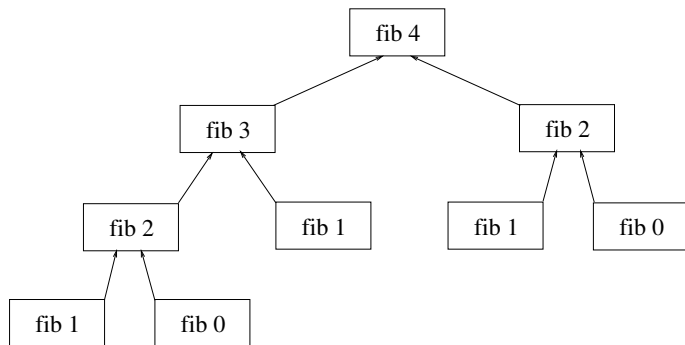
Consider:

```
fib :: Integer -> Integer
fib n
  = divideAndConquer indiv solve divide combine n
  where
    indiv n      = (n == 0) || (n == 1)
    solve n
      | n == 0   = 0
      | n == 1   = 1
      | otherwise = error "solve: problem divisible"
    divide n     = [n-2,n-1]
    combine _ [l1,l2] = l1 + l2
```

...shows **exponential** runtime behaviour due to **recomputations!**

Illustration

The **divide-and-conquer computation** of the Fibonacci numbers (recomputing the solution to many subproblems!):



Fethi Rabhi, Guy Lapalme.

Algorithms: A Functional Programming Approach.

Addison-Wesley, 1999, page 179.

Chapter 3.2

Backtracking Search

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Backtracking Search

Given:

Let P be a problem specification.

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Backtracking Search

Given:

Let P be a problem specification.

Solving P – The Idea

- ▶ Search for a particular **solution** of the problem by a **systematic trial-and-error** exploration of the solution space.

Backtracking Search

Given:

Let P be a problem specification.

Solving P – The Idea

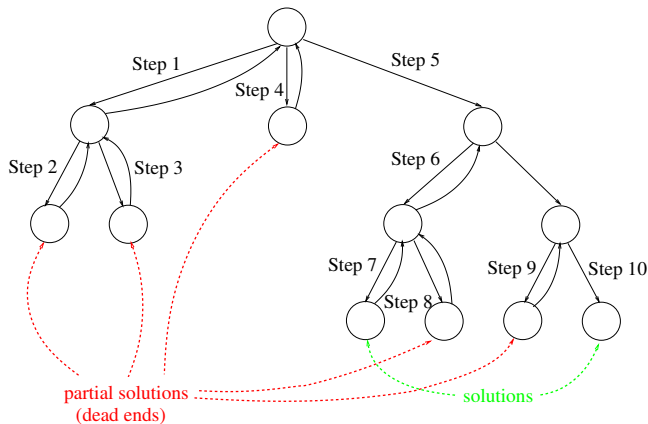
- ▶ Search for a particular **solution** of the problem by a **systematic trial-and-error** exploration of the solution space.

Main Problem Characteristics for Applicability

- ▶ A set of all possible situations or nodes constituting the **search (node) space**; these are the potential solutions that need to be explored.
- ▶ A set of legal moves from a node to other nodes, called the **successors** of that node.
- ▶ An initial node.
- ▶ A goal node, i.e., the solution.

Illustrating Backtracking Search

General stages in a backtracking algorithm:



Fethi Rabhi, Guy Lapalme.

Algorithms: A Functional Programming Approach.

Addison-Wesley, 1999, page 162.

Illustrating Backtracking Search (Cont'd)

Intuitively

- ▶ When exploring the graph, each visited path can lead to the goal node with an equal chance.
- ▶ Sometimes, however, there can be a situation, in which it is known that the current path will not lead to the solution.
- ▶ In such cases, one **backtracks** to the next level up the tree and tries a different alternative.

Note

- ▶ The above process is similar to a **depth-first** graph traversal; this is illustrated in the preceding figure.
- ▶ Not all backtracking algorithms stop when the first goal node is reached
- ▶ Some backtracking algorithms work by selecting all valid solutions in the search space.

Implementing Backtracking Search as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

173/114

Implementing Backtracking Search as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Objective:

- ▶ A higher-order function (HOF) **searchDfs**
 - ▶ solving suitably parameterized **problem instances of kind p** utilizing the “**backtracking**” principle.

Implementing Backtracking Search as HOF (2)

Often:

- ▶ The search space is large.

Hence, the graph representing the search space

- ▶ should not be stored explicitly, i.e., in its entirety in memory (using **explicit** graphs)
- ▶ but be generated on-the-fly as computation proceeds (using **implicit** graphs)

This requires:

- ▶ An appropriate type **node** that represents node information
- ▶ a **successor** function **succ** of type **node** \rightarrow **[node]** that generates the list of successors of a node.

Implementing Backtracking Search as HOF (2)

Assumptions:

- ▶ an acyclic implicit graph
- ▶ all solutions shall be computed (not only the first one)

Note: The HOF can be adjusted to terminate after finding the first solution.

The ingredients of `searchDfs`:

- ▶ `node`: A type representing node information.
- ▶ `succ :: node -> [nodes]`: The function `succ` yields the list of successors of a node.
- ▶ `goal :: node -> Bool`: The function `goal` determines if a node is a solution.

Implementing Backtracking Search as HOF (3)

The HOF-Implementation:

```
searchDfs ::  
  (Eq node) => (node -> [node]) -> (node -> Bool)  
              -> node -> [node]
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

176/114

Implementing Backtracking Search as HOF (3)

The HOF-Implementation:

```
searchDfs ::  
  (Eq node) => (node -> [node]) -> (node -> Bool)  
              -> node -> [node]  
  
searchDfs succ goal x
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

176/114

Implementing Backtracking Search as HOF (3)

The HOF-Implementation:

```
searchDfs ::
  (Eq node) => (node -> [node]) -> (node -> Bool)
              -> node -> [node]

searchDfs succ goal x
= (search' (push x emptyStack) )
  where
    search' s
      | stackEmpty s = []
      | goal (top s) = top s : search' (pop s)
      | otherwise
        = let x = top s
          in search' (foldr push (pop s) (succ x))
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

176/114

The Abstract Data Type Stack (1)

The user-visible interface specification of the Abstract Data Type (ADT) Stack:

```
module Stack (Stack, push, pop, top,
              emptyStack, stackEmpty) where

push      :: a -> Stack a -> Stack a
pop       :: Stack a -> Stack a
top       :: Stack a -> a
emptyStack :: Stack a
stackEmpty :: Stack a -> Bool
```

The Abstract Data Type Stack (2)

A user-invisible implementation of Stack as an algebraic data type (using data):

```
data Stack a = EmptyStk
              | Stk a (Stack a)

push x s = Stk x s

pop EmptyStk  = error "pop from an empty stack"
pop (Stk _ s) = s

top EmptyStk  = error "top from an empty stack"
top (Stk x _) = x

emptyStack = EmptyStk

stackEmpty EmptyStk = True
stackEmpty _         = False
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

178/114

The Abstract Data Type Stack (3)

A user-invisible implementation of Stack as an algebraic data type (using `newtype`):

```
newtype Stack a = Stk [a]
```

```
push x (Stk xs) = Stk (x:xs)
```

```
pop (Stk [])      = error "pop from an empty stack"  
pop (Stk (_:xs)) = Stk xs
```

```
top (Stk [])      = error "top from an empty stack"  
top (Stk (x:_))  = x
```

```
emptyStack = Stk []
```

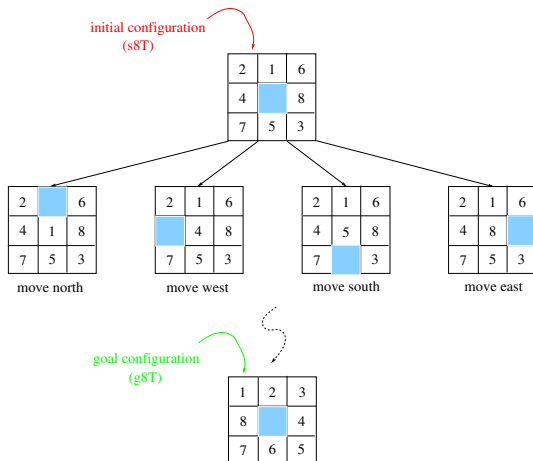
```
stackEmpty (Stk []) = True  
stackEmpty (Stk _)  = False
```

Typical Applications of Backtracking Search

Typical Applications:

- ▶ Application areas such as
 - ▶ game strategies
 - ▶ ...
- ▶ The eight-tile problem (8TP)
- ▶ The n -queens problem
- ▶ Towers of Hanoi
- ▶ The knapsack problem
- ▶

The Eight-Tile Problem



Fethi Rabhi, Guy Lapalme.
Algorithms: A Functional Programming Approach.
Addison-Wesley, 1999, page 160.

A Backtracking Search for 8TP (1)

Modeling the board:

```
type Position = (Int,Int)
type Board    = Array Int Position
```

The initial board (initial configuration):

```
s8T :: Board
s8T = array (0,8) [(0,(2,2)),(1,(1,2)),(2,(1,1)),
                  (3,(3,3)),(4,(2,1)),(5,(3,2)),
                  (6,(1,3)),(7,(3,1)),(8,(2,3))]
```

The final board (goal configuration):

```
g8T :: Board
g8T = array (0,8) [(0,(2,2)),(1,(1,1)),(2,(1,2)),
                  (3,(1,3)),(4,(2,3)),(5,(3,3)),
                  (6,(3,2)),(7,(3,1)),(8,(2,1))]
```

A Backtracking Search for 8TP (2)

Computing the distance of board fields (Manhattan distance = horizontal plus vertical distance):

```
mandist :: Position -> Position -> Int
mandist (x1,y1) (x2,y2) = abs (x1-x2) + abs (y1-y2)
```

Computing all moves (board fields are adjacent iff their Manhattan distance equals 1):

```
allMoves :: Board -> [Board]
allMoves b = [b//[0,b!i),(i,b!0)]
              | i<-[1..8], mandist (b!0) (b!i)==1]
```

...the list of configurations reachable in one move is obtained by placing the space at position i and indicating that tile i is now where the space was.

A Backtracking Search for 8TP (3)

Modeling nodes in the search graph:

```
data Boards = BDS [Board]
```

...corresponds to the intermediate configurations from the initial configuration to the current configuration in reverse order.

The successor function:

```
succ8Tile :: Boards -> [Boards]
succ8Tile (BDS(n@(b:bs)))
  = filter (notIn bs) [BDS(b':n) | b' <- allMoves b]
  where
    notIn bs (BDS(b:_))
      = not (elem (elems b) (map elems bs))
```

...computes all successors that have not been encountered before; the `notIn`-test ensures that only nodes are considered that have not been encountered before.

A Backtracking Search for 8TP (4)

The goal function:

```
goal8Tile :: Boards -> Bool
goal8Tile (BDS (n:_)) = elems n == elems g8T
```

Putting things together:

A depth-first search producing the first sequence of moves (in reverse order) that lead to the goal configuration:

```
dfs8Tile :: [[Position]]
dfs8Tile = map elems ls
  where ((BDS ls):_)
        = searchDfs suc8Tile goal8Tile (BDS [s8T])
```

Chapter 3.3

Priority-first Search

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Priority-first Search

Given:

Let P be a problem specification.

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

187/114

Priority-first Search

Given:

Let P be a problem specification.

Solving P – The Idea

- ▶ Similar to [backtracking search](#), i.e., search for a particular [solution](#) of the problem by a [systematic trial-and-error](#) exploration of the solution space **but order the candidate nodes according to the most promising node** ([priority-first search](#)/[best-first search](#)).

Priority-first Search

Given:

Let P be a problem specification.

Solving P – The Idea

- ▶ Similar to **backtracking search**, i.e., search for a particular **solution** of the problem by a **systematic trial-and-error** exploration of the solution space **but order the candidate nodes according to the most promising node** (**priority-first search/best-first search**).

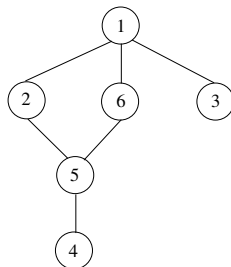
Note: In contrast to plain backtracking search, which proceeds **unguided** and can thus be considered **blind**, priority-first search/best-first search benefits from (hopefully correct) information pointing it towards “more promising” nodes.

Priority-first Search (Cont'd)

Main Problem Characteristics for Applicability

- ▶ A set of all possible situations or nodes constituting the **search (node) space**; these are the potential solutions that need to be explored.
- ▶ A **comparison criterion** for comparing and ordering candidate nodes wrt their (expected) “quality” to investigate “promising” nodes before “less promising” nodes.
- ▶ A set of legal moves from a node to other nodes, called the **successors** of that node.
- ▶ An initial node.
- ▶ A goal node, i.e, the solution.

Illustrating Search Strategies



Fethi Rabhi, Guy Lapalme.

Algorithms: A Functional Programming Approach.

Addison-Wesley, 1999, page 167.

Nodes are ordered according to their identifier value (“smaller” means “more promising”):

- ▶ **Depth-first search:** [1, 2, 5, 4, 6, 3]
- ▶ **Breadth-first search:** [1, 2, 6, 3, 5, 4]
- ▶ **Priority-first search:** [1, 2, 3, 5, 4, 6]

Implementing Priority-first Search as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Implementing Priority-first Search as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Objective:

- ▶ A higher-order function (HOF) **searchPfs**
 - ▶ solving suitably parameterized **problem instances of kind p** utilizing the “**priority-first/best-first**” principle.

Implementing Priority-first Search as HOF (2)

Assumptions:

- ▶ an acyclic implicit graph
- ▶ all solutions shall be computed (not just the first one)

Note: The HOF can be adjusted to terminate after finding the first solution.

The ingredients of `searchPfs`:

- ▶ `node`: A type representing node information.
- ▶ `<=`: A comparison criterion for nodes; usually, this is the relator `<=` of the type class `Ord`. Often, the relator `<=` can not exactly be defined but only in terms of a plausible heuristic.
- ▶ `succ :: node -> [nodes]`: The function `succ` yields the list of successors of a node.
- ▶ `goal :: node -> Bool`: The function `goal` determines if a node is a solution.

Implementing Priority-first Search as HOF (3)

The HOF-Implementation:

```
searchPfs ::  
  (Ord node) => (node -> [node]) -> (node -> Bool)  
              -> node -> [node]
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

192/114

Implementing Priority-first Search as HOF (3)

The HOF-Implementation:

```
searchPfs ::  
  (Ord node) => (node -> [node]) -> (node -> Bool)  
              -> node -> [node]  
  
searchPfs succ goal x
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

192/114

Implementing Priority-first Search as HOF (3)

The HOF-Implementation:

```
searchPfs ::
  (Ord node) => (node -> [node]) -> (node -> Bool)
              -> node -> [node]

searchPfs succ goal x
= search' (enPQ x emptyPQ)
  where
    search' q
      | pqEmpty q      = []
      | goal (frontPQ q) = frontPQ q : search' (dePQ q)
      | otherwise
        = let x = frontPQ q
          in search' (foldr enPQ (dePQ q) (succ x))
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

192/114

The Abstract Data Type PQueue (1)

The user-visible interface specification of the Abstract Data Type (ADT) priority queue PQueue:

```
module PQueue (PQueue, emptyPQ, pqEmpty,
               enPQ, dePQ, frontPQ) where

emptyPQ :: PQueue a
pqEmpty :: PQueue a -> Bool
enPQ     :: (Ord a) => a -> PQueue a -> PQueue a
dePQ     :: (Ord a) => PQueue a -> PQueue a
frontPQ  :: (Ord a) => PQueue a -> a
```

The Abstract Data Type PQueue (2)

A user-invisible implementation of PQueue as an algebraic data type:

```
newtype PQueue a = PQ [a]
emptyPQ = PQ []
pqEmpty (PQ []) = True
pqEmpty _      = False
enPQ x (PQ q) = PQ (insert x q)
  where insert x [] = [x]
        insert x r@(e:r') | x <= e = x:r
                          | otherwise = e:insert x r'
dePQ (PQ []) = error "dePQ: empty priority queue"
dePQ (PQ (_:xs)) = PQ xs
frontPQ (PQ []) = error "frontPQ: empty priority queue"
frontPQ (PQ (x:_)) = x
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

194/114

Typical Applications of Priority-first Search

Typical Applications:

- ▶ Application areas such as
 - ▶ game strategies
 - ▶ ...
- ▶ The eight-tile problem (8TP)
- ▶ ...

A Priority-first Search for 8TP

Comparing nodes heuristically: ...by summing the distance of each square from its home position to its destination as an estimate of the number of moves that will be required to transform the current node into the goal node.

```
heur :: Board -> Int
```

```
heur b = sum [mandist (b!i) (g8T!i) | i<-[0..8]]
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

196/114

A Priority-first Search for 8TP

Comparing nodes heuristically: ...by summing the distance of each square from its home position to its destination as an estimate of the number of moves that will be required to transform the current node into the goal node.

```
heur :: Board -> Int
heur b = sum [mandist (b!i) (g8T!i) | i<- [0..8]]

instance Eq Boards
  where BDS (b1:_) == BDS (b2:_) = heur b1 == heur b2
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

196/114

A Priority-first Search for 8TP

Comparing nodes heuristically: ...by summing the distance of each square from its home position to its destination as an estimate of the number of moves that will be required to transform the current node into the goal node.

```
heur :: Board -> Int
heur b = sum [mandist (b!i) (g8T!i) | i<-[0..8]]

instance Eq Boards
  where BDS (b1:_) == BDS (b2:_) = heur b1 == heur b2

instance Ord Boards
  where BDS (b1:_) <= BDS (b2:_) = heur b1 <= heur b2
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

196/114

A Priority-first Search for 8TP

Comparing nodes heuristically: ...by summing the distance of each square from its home position to its destination as an estimate of the number of moves that will be required to transform the current node into the goal node.

```
heur :: Board -> Int
heur b = sum [mandist (b!i) (g8T!i) | i<-[0..8]]

instance Eq Boards
  where BDS (b1:_) == BDS (b2:_) = heur b1 == heur b2

instance Ord Boards
  where BDS (b1:_) <= BDS (b2:_) = heur b1 <= heur b2

pfs8Tile :: [[Position]]
pfs8Tile = map elems ls
  where ((BDS ls):_)
    = searchPfs succ8Tile goal8Tile (BDS [s8T])
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

196/114

Chapter 3.4

Greedy Search

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Greedy Search

Given:

Let P be a problem specification.

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Greedy Search

Given:

Let P be a problem specification.

Solving P – The Idea

- ▶ Similar to priority-first/best-first search but limiting the search to immediate successors of a node (greedy search/hill climbing search).

Greedy Search

Given:

Let P be a problem specification.

Solving P – The Idea

- ▶ Similar to priority-first/best-first search but limiting the search to immediate successors of a node (greedy search/hill climbing search).

Note: Maintaining the priority queue in priority-first search may be costly in terms of time and memory. Greedy search avoids this time and memory penalty by maintaining a much smaller priority queue considering immediate successors only (the search commits itself to each step taken during the search). Hence, only a single path of the search space is explored instead of its entirety what ensures efficiency. Optimality, however, requires the absence of local minimums.

Greedy Search (Cont'd)

Main Problem Characteristics for Applicability

- ▶ A set of all possible situations or nodes constituting the **search (node) space**; these are the potential solutions that need to be explored.
- ▶ A set of legal moves from a node to other nodes, called the **successors** of that node.
- ▶ An initial node.
- ▶ A goal node, i.e, the solution.
- ▶ There shall be **no local minimums**, i.e., **no locally best solutions**.

Greedy Search (Cont'd)

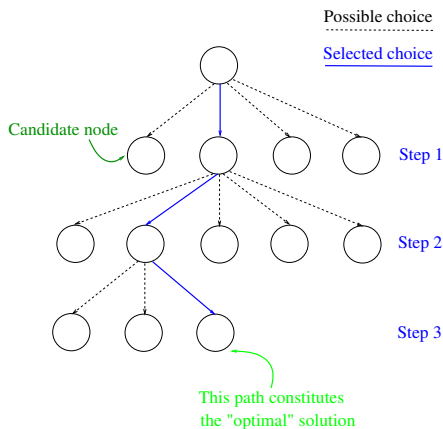
Main Problem Characteristics for Applicability

- ▶ A set of all possible situations or nodes constituting the **search (node) space**; these are the potential solutions that need to be explored.
- ▶ A set of legal moves from a node to other nodes, called the **successors** of that node.
- ▶ An initial node.
- ▶ A goal node, i.e, the solution.
- ▶ There shall be **no local minimums**, i.e., **no locally best solutions**.

Note: If local minimums exist but are known to be “close” (enough) to the optimal solution, a greedy search might still be reasonable giving a “good”, not necessarily optimal solution. Greedy search then becomes a heuristic algorithm.

Illustrating Greedy Search

Successive stages in a greedy algorithm:



Fethi Rabhi, Guy Lapalme.
Algorithms: A Functional Programming Approach.
Addison-Wesley, 1999, page 171.

Implementing Greedy Search as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Implementing Greedy Search as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Objective:

- ▶ A higher-order function (HOF) **searchGreedy**
 - ▶ solving suitably parameterized **problem instances of kind p** utilizing the “**greedy/hill climbing**” principle.

Implementing Greedy Search as HOF (2)

Assumptions:

- ▶ an acyclic implicit graph
- ▶ no local minimums, i.e., no locally best solutions

The ingredients of `searchGreedy`:

- ▶ `node`: A type representing node information.
- ▶ `<=`: A comparison criterion for nodes; usually, this is the relator `<=` of the type class `Ord`.
- ▶ `succ :: node -> [nodes]`: The function `succ` yields the list of successors of a node.
- ▶ `goal :: node -> Bool`: The function `goal` determines if a node is a solution.

Implementing Greedy Search as HOF (3)

The HOF-Implementation:

```
searchGreedy ::  
  (Ord node) => (node -> [node]) -> (node -> Bool)  
              -> node -> [node]
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

203/114

Implementing Greedy Search as HOF (3)

The HOF-Implementation:

```
searchGreedy ::  
  (Ord node) => (node -> [node]) -> (node -> Bool)  
              -> node -> [node]  
  
searchGreedy succ goal x
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

203/114

Implementing Greedy Search as HOF (3)

The HOF-Implementation:

```
searchGreedy ::
  (Ord node) => (node -> [node]) -> (node -> Bool)
              -> node -> [node]

searchGreedy succ goal x
= search' (enPQ x emptyPQ)
  where
    search' q
      | pqEmpty q      = []
      | goal (frontPQ q) = [frontPQ q]
      | otherwise
        = let x = frontPQ q
          in search' (foldr enPQ emptyPQ (succ x))
```

Implementing Greedy Search as HOF (4)

Note:

- ▶ The most striking difference to the HOF `searchPfs` is the replacement of `dePQ q` by `emptyPQ` in the recursive call to `search'` to remove old candidate nodes from the priority queue.

Typical Applications of Greedy Search

Typical Applications:

- ▶ Graph algorithms, e.g., Prim's minimum spanning tree algorithm
- ▶ Money Change Problem (MCP)
- ▶ ...

A Greedy Search for MCP

Problem statement: Give money change with the least number of coins.

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

206/114

A Greedy Search for MCP

Problem statement: Give money change with the least number of coins.

Modeling coins:

```
coins :: [Int]
coins = [1,2,5,10,20,50,100]
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

206/114

A Greedy Search for MCP

Problem statement: Give money change with the least number of coins.

Modeling coins:

```
coins :: [Int]
coins = [1,2,5,10,20,50,100]
```

Modeling nodes (remaining amount of money and change used so far, i.e., the coins that have been returned so far):

```
type NodeChange = (Int,SolChange)
type SolChange  = [Int]
```

A Greedy Search for MCP

Problem statement: Give money change with the least number of coins.

Modeling coins:

```
coins :: [Int]
coins = [1,2,5,10,20,50,100]
```

Modeling nodes (remaining amount of money and change used so far, i.e., the coins that have been returned so far):

```
type NodeChange = (Int,SolChange)
type SolChange  = [Int]
```

Generating successor nodes (by removing every possible coin from the remaining amount):

```
succCoins :: NodeChange -> [NodeChange]
succCoins (r,p)
  = [ (r-c,c:p) | c <- coins, r-c >= 0 ]
```

A Greedy Search for MCP (Cont'd)

The goal function:

```
goalCoins :: NodeChange -> Bool
goalCoins (v,_) = v == 0
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

207/114

A Greedy Search for MCP (Cont'd)

The goal function:

```
goalCoins :: NodeChange -> Bool
goalCoins (v,_) = v == 0
```

Putting things together:

```
change :: Int -> SolChange
change amount
  = snd (head (searchGreedy succCoins goalCoins
                        (amount, [])))
```

A Greedy Search for MCP (Cont'd)

The goal function:

```
goalCoins :: NodeChange -> Bool
goalCoins (v,_) = v == 0
```

Putting things together:

```
change :: Int -> SolChange
change amount
  = snd (head (searchGreedy succCoins goalCoins
                        (amount, [])))
```

Example: `change 199 ->> [2,2,5,20,20,50,100]`

A Greedy Search for MCP (Cont'd)

The goal function:

```
goalCoins :: NodeChange -> Bool
goalCoins (v,_) = v == 0
```





Putting things together:

```
change :: Int -> SolChange
change amount
  = snd (head (searchGreedy succCoins goalCoins
                          (amount, [])))
```





Example: `change 199 ->> [2,2,5,20,20,50,100]`

Note: For `coins = [1,3,6,12,2,30]` the above algorithm can yield suboptimal solutions: E.g., `change 48 ->> [30,12,6]` instead of the optimal solution `[24,24]`.

Chapter 3.1–3.4: Further Reading (1)

-  Alfred V. Aho, John E. Hopcroft, Jeffrey D. Ullman. *The Design and Analysis of Computer Algorithms*. Addison-Wesley, 1974. (Chapter 2.6, Divide-and-conquer)
-  Richard Bird, Phil Wadler. *An Introduction to Functional Programming*. Prentice Hall, 1988. (Chapter 6.4, Divide and Conquer; Chapter 6.5, Search and Enumeration)
-  Thomas H. Cormen, Charles E. Leiserson, Ronald L. Rivest, Clifford Stein. *Introduction to Algorithms*. MIT Press, 2nd edition, 2001. (Chapter 16, Greedy Algorithms)
-  Jon Kleinberg, Éva Tardos. *Algorithm Design*. Addison-Wesley/Pearson, 2006. (Chapter 4, Greedy Algorithms; Chapter 5, Divide and Conquer)

Chapter 3.1–3.4: Further Reading (2)

-  Fethi Rabhi, Guy Lapalme. *Algorithms – A Functional Programming Approach*. Addison-Wesley, 1999. (Chapter 5, Abstract data types; Chapter 8, Top-down design techniques)
-  Robert Sedgewick. *Algorithmen*. Addison-Wesley/Pearson, 2nd edition, 2002. (Kapitel 5, Rekursion - Teile und Herrsche; Kapitel 44, Erschöpfendes Durchsuchen - Backtracking)
-  Steven S. Skiena. *The Algorithm Design Manual*. Springer, 1998. (Chapter 3.6, Divide and Conquer)
-  Simon Thompson. *Haskell – The Craft of Functional Programming*. Addison-Wesley, 2nd edition, 1999. (Chapter 19.6, Avoiding recomputation: memoization – Greedy algorithms)

Chapter 3.5

Dynamic Programming

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Dynamic Programming

Given:

Let P be a problem specification.

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Dynamic Programming

Given:

Let P be a problem specification.

Solving P – The Idea

- ▶ Solve (the) smaller instances of the problem first
- ▶ Save the solutions of these smaller problem instances
- ▶ Use these results to solve larger problem instances

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

211/114

Dynamic Programming

Given:

Let P be a problem specification.

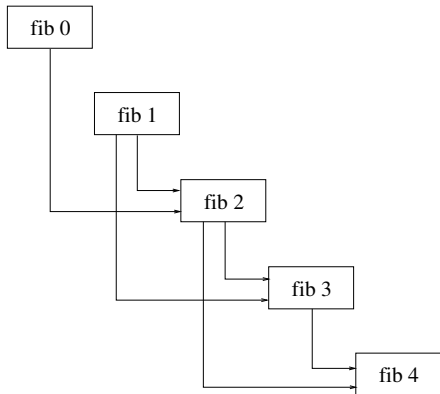
Solving P – The Idea

- ▶ Solve (the) smaller instances of the problem first
- ▶ Save the solutions of these smaller problem instances
- ▶ Use these results to solve larger problem instances

Note: Top-down algorithms as in the previous sections might suffer from generating a large number of identical subproblems. This replication of work can severely impair performance. Dynamic programming aims at overcoming this shortcoming by systematically precomputing and reusing results in a bottom-up fashion, i.e., from smaller to larger problem instances.

Illustrating Dynamic Programming for fib

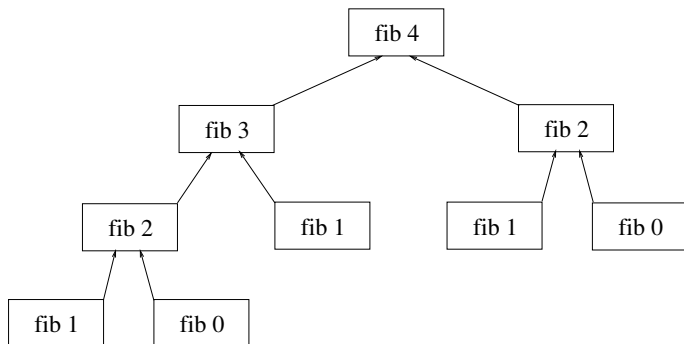
The **dynamic programming computation** of the Fibonacci numbers (no recomputation of the solution to subproblems!):



Fethi Rabhi, Guy Lapalme.
Algorithms: A Functional Programming Approach.
Addison-Wesley, 1999, page 179.

Illustrating Divide-and-Conquer for fib

The **divide-and-conquer computation** of the Fibonacci numbers (recomputing the solution to many subproblems!):



Fethi Rabhi, Guy Lapalme.

Algorithms: A Functional Programming Approach.

Addison-Wesley, 1999, page 179.

Implementing Dynamic Programming as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Implementing Dynamic Programming as HOF (1)

The Initial Setting:

- ▶ A **problem** with
 - ▶ problem instances of **kind p**
- and **solutions** with
 - ▶ solution instances of **kind s**

Objective:

- ▶ A higher-order function (HOF) **dynamic**
 - ▶ solving suitably parameterized **problem instances of kind p** utilizing the “**dynamic programming**” principle.

Implementing Dynamic Programming as HOF

(2)

The ingredients of the HOF `dynamic`:

- ▶ `compute :: (Ix coord) => Table entry coord -> coord -> entry`: Given a table and an index, the function `compute` computes the corresponding entry in the table (possibly using other entries in the table).
- ▶ `bnds :: (Ix coord) => (coord, coord)`: The parameter `bnds` represents the boundaries of the table. Since the type of the index is in the class `Ix`, all indices in the table can be generated from these boundaries using the function `range`.

Implementing Dynamic Programming as HOF

(3)

The HOF-Implementation:

```
dynamic ::  
  (Ix coord) => (Table entry coord -> coord -> entry)  
               -> (coord,coord) -> (Table entry coord)
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

216/114

Implementing Dynamic Programming as HOF

(3)

The HOF-Implementation:

```
dynamic ::  
  (Ix coord) => (Table entry coord -> coord -> entry)  
              -> (coord,coord) -> (Table entry coord)  
  
dynamic compute bnds = t
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

216/114

Implementing Dynamic Programming as HOF

(3)

The HOF-Implementation:

```
dynamic ::  
  (Ix coord) => (Table entry coord -> coord -> entry)  
               -> (coord,coord) -> (Table entry coord)  
  
dynamic compute bnds = t  
  where  
    t = newTable (map (\coord -> (coord,compute t coord))  
                  (range bnds))
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

216/114

The Abstract Data Type Table (1)

The user-visible interface specification of the Abstract Data Type (ADT) Table:

```
module Table (Table,newTable,findTable,updTable)
where

newTable  :: (Ix b) => [(b,a)] -> Table a b
findTable :: (Ix b) => Table a b -> b -> a
updTable  :: (Ix b) => (b,a) -> Table a b
                                     -> Table a b
```

The Abstract Data Type Table (1)

The user-visible interface specification of the Abstract Data Type (ADT) Table:

```
module Table (Table,newTable,findTable,updTable)
where

newTable  :: (Ix b) => [(b,a)] -> Table a b
findTable :: (Ix b) => Table a b -> b -> a
updTable  :: (Ix b) => (b,a) -> Table a b
                                     -> Table a b
```

Note:

- ▶ The function `newTable` takes a list of `(index,value)` pairs and returns the corresponding table.
- ▶ The functions `findTable` and `updTable` are used to retrieve and update values in the table.

The Abstract Data Type Table (2)

A user-invisible implementation of Table as an Array:

```
newtype Table a b = Tbl (Array a b)
```

```
newTable l      = Tbl (array (lo,hi) l)
```

```
  where indices = map fst l
```

```
      lo        = minimum indices
```

```
      hi        = maximum indices
```

```
findTable (Tbl a) i = a ! i
```

```
updTable p@(i,x) (Tbl a) = Tbl (a // [p])
```

The Abstract Data Type Table (2)

Note:

- ▶ The function `newTable` determines the boundaries of the new table by computing the maximum and the minimum key in the association list.
- ▶ In the function `findTable`, access to an invalid key returns a system error, not a user error.

Typical Applications of Dynamic Programming

Typical Applications:

- ▶ Fibonacci numbers
- ▶ Chained matrix multiplication
- ▶ Optimal binary search (in trees)
- ▶ The travelling salesman problem
- ▶ Graph algorithms, e.g., all-pairs shortest path

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

220/114

Computing Fibonacci Numbers using Dynamic Programming

Defining the problem-dependent parameters:

```
bndsFibs :: Int -> (Int,Int)
```

```
bndsFibs n = (0,n)
```

```
compFib :: Table Int Int -> Int -> Int
```

```
compFib t i
```

```
  | i <= 1    = i
```

```
  | otherwise = findTable t (i-1) + findTable t (i-2)
```

Putting things together:

```
fib :: Int -> Int
```

```
fib n = findTable t n
```

```
  where t = dynamic compFib (bndsFib n)
```

Contents

Chap. 1

Chap. 2

Chap. 3

3.1

3.2

3.3

3.4

3.5

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

221/114

Comparing Dynamic Programming and Memoization

Overall

- ▶ **Dynamic programming** and **memoization** enjoy very much the same characteristics and offer the programmer quite similar benefits.
- ▶ In practice, differences in behaviour are **minor** and strongly **problem-dependent**.
- ▶ In general, both techniques are **equally powerful**.

Conceptual difference

- ▶ **Memoization** opportunistically computes and stores argument/result pairs on a by-need basis (“**lazy**” approach).
- ▶ **Dynamic programming** systematically precomputes and stores argument/result pairs before they are needed (“**eager**” approach).

Comparing Dynamic Programming and Memoization (Cont'd)

Minor benefits of dynamic programming





- ▶ **Memory efficiency:** For some problems the dynamic programming solution can be adjusted to use asymptotically less memory: **limited history recurrence**, i.e., only a limited number of preceding values need to be remembered (e.g., two for the computation of Fibonacci numbers) which allows to reuse memory during computation.
- ▶ **Run-time performance:** The systematic programmer-controlled computing and filling of the argument/result pairs table allows sometimes slightly more efficient (by a constant factor) implementations.

Comparing Dynamic Programming and Memoization (Cont'd)

Minor benefits of memoization

- ▶ **Freedom of conceptual overhead:** The programmer does not need to think about in what order argument/result pairs need to be computed and how to be stored in the memo table. In dynamic programming all table entries are computed systematically when needed.
- ▶ **Freedom of computational overhead:** Only argument/result pairs are computed and stored when needed. In dynamic programming they are systematically precomputed before they are needed.




Chapter 3.5: Further Reading (1)

-  Alfred V. Aho, John E. Hopcroft, Jeffrey D. Ullman. *The Design and Analysis of Computer Algorithms*. Addison-Wesley, 1974. (Chapter 2.8, Dynamic programming)
-  Richard E. Bellman. *Dynamic Programming*. Princeton University Press, 1957.
-  Richard E. Bellman, Stuart E. Dreyfus. *Applied Dynamic Programming*. Princeton University Press, 1957.
-  Thomas H. Cormen, Charles E. Leiserson, Ronald L. Rivest, Clifford Stein. *Introduction to Algorithms*. MIT Press, 2nd edition, 2001. (Chapter 15, Dynamic Programming)

Chapter 3.5: Further Reading (2)

-  Max Hailperin, Barbara Kaiser, Karl Knight. *Concrete Abstractions – An Introduction to Computer Science using Scheme*. Brooks/Cole Publishing Company, 1999. (Chapter 12, Dynamic Programming; Chapter 12.5, Comparing Memoization and Dynamic Programming)
-  Jon Kleinberg, Éva Tardos. *Algorithm Design*. Addison-Wesley/Pearson, 2006. (Chapter 6, Dynamic Programming)
-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-Verlag, 2006. (Kapitel 16.3.2, Ein allgemeines Schema für die globale Suche)
-  Fethi Rabhi, Guy Lapalme. *Algorithms – A Functional Programming Approach*. Addison-Wesley, 1999. (Chapter 5, Abstract data types; Chapter 9, Dynamic programming)

Chapter 3.5: Further Reading (3)

-  Robert Sedgewick. *Algorithmen*. Addison-Wesley/Pearson, 2nd edition, 2002. (Kapitel 42, Dynamische Programmierung)
-  Steven S. Skiena. *The Algorithm Design Manual*. Springer, 1998. (Chapter 3.1, Dynamic Programming; Chapter 3.2, Limitations of Dynamic Programming)
-  Simon Thompson. *Haskell – The Craft of Functional Programming*. Addison-Wesley, 2nd edition, 1999. (Chapter 19.6, Avoiding recomputation: memoization – dynamic programming)

Chapter 4

Equational Reasoning

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Functional vs. Imperative Programming (1)

Functional Programming

- ▶ The usage of = in **functional definitions** of the type

$$f\ x\ y = \dots$$

as e.g. used in Haskell in the definition of a function **f** are **genuine mathematical equations**.

- ▶ The **equations** state that the expressions on the left hand side and the right hand side have the **same value**.

Functional vs. Imperative Programming (2)

Imperative Programming

- ▶ The usage of = in imperative languages like C, Java, etc. in (assignment) statements of the form

$$x = x+y$$

does not mean that x and $x+y$ have the same value.

- ▶ Here, = is used to denote a command, a destructive assignment statement meaning that the old value of x is destroyed and replaced by the value of $x+y$.

Functional vs. Imperative Programming (2)

Imperative Programming

- ▶ The usage of = in imperative languages like C, Java, etc. in (assignment) statements of the form

$$x = x+y$$

does not mean that x and $x+y$ have the same value.

- ▶ Here, = is used to denote a command, a destructive assignment statement meaning that the old value of x is destroyed and replaced by the value of $x+y$.

Note: To avoid confusion some imperative programming languages use thus a different notation, e.g. := such as in **Pascal**, to denote the assignment operator (instead of the conceptually misleading notation =).

Consequence

Reasoning about

- ▶ functional definitions

is because of this difference a **lot easier** as about

- ▶ programs using **destructive assignments**

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

231/114

Consequence

Reasoning about

- ▶ functional definitions

is because of this difference a **lot easier** as about

- ▶ programs using **destructive assignments**

For **functional definitions**

- ▶ **standard (algebraic) reasoning** about **mathematical equations** applies.

Consequence

Reasoning about

- ▶ functional definitions

is because of this difference a **lot easier** as about

- ▶ programs using **destructive assignments**

For **functional definitions**

- ▶ **standard (algebraic) reasoning** about **mathematical equations** applies.

For example: The sequence of definitions in Haskell

```
x = 1
```

```
y = 2
```

```
x = x + y
```

raises an error **"x" multiply defined** since **=** in Haskell has the meaning **"is by definition equal to"**; redefinition is forbidden.

Illustrating Algebraic Reasoning

By [algebraic reasoning](#) on equations we obtain:

$$(a + b) * (a - b) = a^2 - b^2$$

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

232/114

Illustrating Algebraic Reasoning

By **algebraic reasoning** on equations we obtain:

$$(a + b) * (a - b) = a^2 - b^2$$

Proof:

$$\begin{aligned} & (a + b) * (a - b) \\ \text{(Distributivity of } *, + \text{)} &= a * a - a * b + b * a - b * b \\ \text{(Commutativity of } * \text{)} &= a * a - a * b + a * b - b * b \\ &= a * a - b * b \\ &= a^2 - b^2 \end{aligned}$$

Extending Algebraic Reasoning to Functional Definitions

First Example:

This allows us to conclude: The Haskell functions `f` and `g` defined by

```
f :: Int -> Int -> Int
f a b = (a+b) * (a-b)
```

```
g :: Int -> Int -> Int
g a b = a^2 - b^2
```

denote the `same` function.

Reasoning on Functional Definitions – More Examples (1)

Second Example:

Let

$$a = 3$$

$$b = 4$$

$$f :: \text{Int} \rightarrow \text{Int} \rightarrow \text{Int}$$

$$f \ x \ y = x^2 + y^2$$

Reasoning on Functional Definitions – More Examples (1)

Second Example:

Let

$a = 3$

$b = 4$

$f :: \text{Int} \rightarrow \text{Int} \rightarrow \text{Int}$

$f\ x\ y = x^2 + y^2$

By [equational reasoning](#) on the [functional definition](#) of f and those of a and b we can show that the Haskell expression

$f\ a\ (f\ a\ b)$ has value **634**.

Reasoning on Functional Definitions – More Examples (2)

Proof:

$$\begin{aligned}f\ a\ (f\ a\ b) &= f\ a\ (a^2 + b^2) \\&= f\ 3\ (3^2 + 4^2) \\&= f\ 3\ (9 + 16) \\&= f\ 3\ 25 \\&= 3^2 + 25^2 \\&= 9 + 625 \\&= 634\end{aligned}$$

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

235/114

Reasoning on Functional Definitions – More Examples (2)

Proof:

$$\begin{aligned} f\ a\ (f\ a\ b) &= f\ a\ (a^2 + b^2) \\ &= f\ 3\ (3^2 + 4^2) \\ &= f\ 3\ (9 + 16) \\ &= f\ 3\ 25 \\ &= 3^2 + 25^2 \\ &= 9 + 625 \\ &= 634 \end{aligned}$$

Note that the (Haskell) expression $f\ a\ (f\ a\ b)$ is solely evaluated by **equational reasoning** applying **standard algebraic mathematical laws** and the Haskell definitions of a , b , and f .

Reasoning on Functional Definitions – More Examples (3)

Third Example:

Let

```
g :: Int -> Int -> Int
g x y = x^2 - y^2
```

```
h :: Int -> Int -> Int
h x y = x * y
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

236/114

Reasoning on Functional Definitions – More Examples (3)

Third Example:

Let

```
g :: Int -> Int -> Int
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```
h :: Int -> Int -> Int
h x y = x * y
```

By [equational reasoning](#) on the [functional definitions](#) of `g` and `h` we can show the equality of the Haskell expressions

`h (a+b) (a-b)` and `g a b`.

Reasoning on Functional Definitions – More Examples (4)

Proof:

$$\begin{aligned} & h(a + b)(a - b) \\ \text{(Unfolding } h) &= (a + b) * (a - b) \\ \text{(Distributivity of } *, +) &= a * a - a * b + b * a - b * b \\ \text{(Commutativity of } *) &= a * a - a * b + a * b - b * b \\ &= a * a - b * b \\ &= a^2 - b^2 \\ \text{(Folding } g) &= g a b \end{aligned}$$

Remark (1)

We have:

In **equational reasoning** functions can be **applied/unapplied**

- ▶ from **left-to-right**, called **unfolding**
- ▶ from **right-to-left**, called **folding**

Remark (2)

Note: Some care needs to be taken though. Let

```
isZero :: Int -> Bool
```

```
isZero 0 = True
```

```
isZero n = False
```


Remark (2)

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The first equation `isZero 0 = True`

- ▶ can just be viewed as a logical property that can freely be applied in both directions.

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The second equation, however, `isZero n = False` can not, since Haskell implicitly imposes an ordering on the equations:

Remark (2)

Note: Some care needs to be taken though. Let

```
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isZero 0 = True
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```

The first equation `isZero 0 = True`

- ▶ can just be viewed as a logical property that can freely be applied in both directions.

The second equation, however, `isZero n = False` can not, since Haskell implicitly imposes an ordering on the equations:

- ▶ Application from left-to-right (i.e., replacing `isZero n` by `False`), and from right-to-left (i.e., replacing `False` by `isZero n` for some `n`) is legal only, if `n` is different from `0`.

Reasoning on Functional Definitions – More Examples (5)

Fourth Example:

The standard implementation of the `reverse` function

```
reverse :: [a] -> [a]
reverse [] = []
reverse (x:xs) = reverse xs ++ [x]
```

```
(++) :: [a] -> [a] -> [a]
(++) [] ys = ys
(++) (x:xs) ys = x : (xs ++ ys)
```

requires $\frac{n(n+1)}{2}$ calls of the concatenation function `(++)`, where n denotes the length of the argument list.

Reasoning on Functional Definitions – More Examples (6)

A **more efficient** implementation of the functionality of the **reverse** function is

```
fastReverse :: [a] -> [a]
fastReverse xs = fr xs []
                where fr [] ys      = ys
                      fr (x:xs) ys = fr xs (x:ys)
```

Reasoning on Functional Definitions – More Examples (7)

Equational reasoning on functional definitions together with inductive proof principles, here structural induction, allows us to prove:

The Haskell expressions

`reverse xs` and `fastReverse xs`

are equal for all finite lists `xs`.

Summing up

Functional definitions are

- ▶ genuine mathematical equations.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

243/114

Summing up

Functional definitions are

- ▶ genuine mathematical equations.

This allow us to prove

- ▶ equality and other relations of functional expressions by applying **standard algebraic mathematical reasoning**.

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- ▶ genuine mathematical equations.

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In particular, this can be used to replace

- ▶ **less efficient** (called **specification**) by **more efficient** (called **implementation**) implementations of some functionality.

Summing up

Functional definitions are

- ▶ genuine mathematical equations.

This allow us to prove

- ▶ equality and other relations of functional expressions by applying **standard algebraic mathematical reasoning**.

In particular, this can be used to replace

- ▶ **less efficient** (called **specification**) by **more efficient** (called **implementation**) implementations of some functionality.

Examples:

- ▶ **Basic**: Replace $(x*y)+(x*z)$ by $x*(y+z)$
- ▶ **Advanced**: Replace **reverse** by **fastReverse**

Functional Pearls – The Very Idea (1)

The design of **functional pearls**, i.e., functional programs

- ▶ evolves from **calculation!**

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

244/114

Functional Pearls – The Very Idea (1)

The design of **functional pearls**, i.e., functional programs

- ▶ evolves from **calculation!**

In more detail:

Starting from a problem with a

- ▶ **simple**, **intuitive** but often **inefficient** specification

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

244/114

Functional Pearls – The Very Idea (1)

The design of **functional pearls**, i.e., functional programs

- ▶ evolves from **calculation!**

In more detail:

Starting from a problem with a

- ▶ **simple, intuitive** but often **inefficient specification**

we shall arrive at an

- ▶ **efficient** though often **more complex** and **less intuitive implementation**

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

244/114

Functional Pearls – The Very Idea (1)

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by means of

- ▶ **mathematical reasoning**, i.e., by **equational** and **inductive reasoning**, by **theorems** and **laws**.

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Example: From **reverse** to **fastReverse**.

Functional Pearls – The Very Idea (2)

It is important to note:

The **functional pearl**

- ▶ is **not** the final (efficient) implementation
- ▶ but the **calculation process** leading to it!

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

245/114

Functional Pearls – Origin and Background (1)

In the course of founding the

- ▶ *Journal of Functional Programming*

in 1990, [Richard Bird](#) was asked by the designated editors-in-chief [Simon Peyton Jones](#) and [Philip Wadler](#) to contribute a regular column called

- ▶ **Functional Pearls**

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

246/114

Functional Pearls – Origin and Background (1)

In the course of founding the

- ▶ *Journal of Functional Programming*

in 1990, [Richard Bird](#) was asked by the designated editors-in-chief [Simon Peyton Jones](#) and [Philip Wadler](#) to contribute a regular column called

- ▶ **Functional Pearls**

In spirit, this column should follow and emulate the successful series of essays written by [Jon Bentley](#) in the 1980s under the title

- ▶ **Programming Pearls**

in the

- ▶ *Communications of the ACM*

Functional Pearls – Origin and Background (2)

Since 1990, some

- ▶ 80 pearls have appeared in the *Journal of Functional Programming* related to
 - ▶ Divide-and-conquer
 - ▶ Greedy
 - ▶ Exhaustive search
 - ▶ ...
- and other problems.

Some more appeared in proceedings of conferences including editions of the

- ▶ *International Conference of Functional Programming*
- ▶ *Mathematics of Program Construction*

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

247/114

Functional Pearls – Origin and Background (3)

Roughly,

- ▶ a quarter of these pearls have been written by [Richard Bird](#)

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

248/114

Functional Pearls – Origin and Background (3)

Roughly,

- ▶ a quarter of these pearls have been written by [Richard Bird](#)

In his recent monograph

- ▶ *Pearls of Functional Algorithm Design*. Cambridge University Press, 2011

Richard Bird presents a [collection of 30 revised, polished, and re-polished functional pearls](#) written by him and others.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

248/114

Outline

In this chapter, we will consider some of these **functional pearls** for illustration:

- ▶ The Smallest Free Number
- ▶ Not the Maximum Segment Sum
- ▶ A Simple Sudoku Solver

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

249/114

Last but not least

It is worth noting:

The name of the functional programming language

► GoFER

is an acronym for

Go F(or) E(quential) R(easoning)

Chapter 4.1

The Smallest Free Number

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

251/114

The Smallest Free Number (SFN) Problem

The SFN-Problem:

- ▶ Let X be a finite set of natural numbers.

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Examples:

The smallest free number for

- ▶ $\{0, 1, 5, 9, 2\}$ is 3

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Examples:

The smallest free number for

- ▶ $\{0, 1, 5, 9, 2\}$ is 3
- ▶ $\{0, 1, 2, 3, 18, 19, 22, 25, 42, 71\}$ is 4

The Smallest Free Number (SFN) Problem

The SFN-Problem:

- ▶ Let X be a finite set of natural numbers.
- ▶ Compute the smallest natural number y that is not in X .

Examples:

The smallest free number for

- ▶ $\{0, 1, 5, 9, 2\}$ is 3
- ▶ $\{0, 1, 2, 3, 18, 19, 22, 25, 42, 71\}$ is 4
- ▶ $\{8, 23, 9, 12, 11, 1, 10, 0, 13, 7, 41, 4, 21, 5, 17, 3, 19, 2, 6\}$ is
not immediately obvious!

Analyzing the Problem

Obviously

- ▶ The **SFN-problem** can easily be solved, if the set X is represented as an **increasingly ordered list** xs of numbers **without duplicates**.

Analyzing the Problem

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- ▶ The **SFN-problem** can easily be solved, if the set X is represented as an **increasingly ordered list xs** of numbers **without duplicates**.
- ▶ If so, just look for the **first gap in xs** .

Analyzing the Problem

Obviously

- ▶ The SFN-problem can easily be solved, if the set X is represented as an increasingly ordered list xs of numbers without duplicates.
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Example:

Computing the smallest free number for the set X

- ▶ $\{8, 23, 9, 12, 11, 1, 10, 0, 13, 7, 41, 4, 21, 5, 17, 3, 19, 2, 6\}$

Analyzing the Problem

Obviously

- ▶ The **SFN-problem** can easily be solved, if the set X is represented as an **increasingly ordered list xs** of numbers **without duplicates**.
- ▶ If so, just look for the **first gap in xs** .

Example:

Computing the **smallest free number** for the set X

- ▶ $\{8, 23, 9, 12, 11, 1, 10, 0, 13, 7, 41, 4, 21, 5, 17, 3, 19, 2, 6\}$
- ▶ After sorting (and removing duplicates):
 $[0, 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 17, 19, 21, 23, 41]$

Analyzing the Problem

Obviously

- ▶ The **SFN-problem** can easily be solved, if the set X is represented as an **increasingly ordered list xs** of numbers **without duplicates**.
- ▶ If so, just look for the **first gap in xs** .

Example:

Computing the **smallest free number** for the set X

- ▶ $\{8, 23, 9, 12, 11, 1, 10, 0, 13, 7, 41, 4, 21, 5, 17, 3, 19, 2, 6\}$
- ▶ After sorting (and removing duplicates):
 $[0, 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 17, 19, 21, 23, 41]$
- ▶ Looking for the first gap yields:
The smallest free number is **14!**

Simple Algorithm for solving the SFN-Problem

This suggests the following **simple algorithm** for solving the SFN-problem:

The simple SFNP-Algorithm:

1. Represent X as a list of integers xs .
2. Sort xs increasingly, while removing all duplicates.
3. Compute the first gap in the list obtained from the previous step.

Possible Implementation of the Simple Algorithm

...by means of a system of functions

- ▶ `ssfn` (reminding to “simple sfn”) and
- ▶ `sap` (reminding to “search and pick”)

```
ssfn :: [Integer] -> Integer
ssfn = (sap 0) . removeDuplicates . quickSort
```

```
sap :: Integer -> [Integer] -> Integer
sap n [] = n
sap n (x:xs)
  | n /= x = n
  | otherwise = sap (n+1) xs
```

The Advanced Algorithmic Problem

The simple SFNP-Algorithm is sound but inefficient:

- ▶ Sorting is not of linear time complexity.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

256/114

The Advanced Algorithmic Problem

The simple SFNP-Algorithm is sound but inefficient:

- ▶ Sorting is not of linear time complexity.

The Advanced SFNP-Algorithm Problem:

Develop an algorithm **LinSFNP** for solving the **SFN-problem** that is of

- ▶ **linear time complexity**, i.e., that is linear in the number of the elements of the initial set X of natural numbers.

Towards the Linear Time Algorithm

The **SFN-problem** can be specified as a function `minfree`, defined by

```
minfree :: [Nat] -> Nat
minfree xs = head $ ([0..]) \\ xs
```

with

```
(\\) :: Eq a => [a] -> [a] -> [a]
xs \\ ys = filter ('notElem' ys) xs
```

denoting **difference on sets** (i.e., `xs \\ ys` is the list of those elements of `xs` that remain after removing any elements in `ys`) and

```
type Nat = Int
```

the type of **natural numbers** starting from 0.

Analysing minfree

The function `minfree` solves the `SFN`-problem but its evaluation requires on a list of length n

- ▶ $\Theta(n^2)$ steps in the worst case.

Analysing minfree

The function `minfree` solves the `SFN`-problem but its evaluation requires on a list of length n

- ▶ $\Theta(n^2)$ steps in the worst case.

For illustration consider:

Evaluating

- ▶ `minfree [n-1,n-2 .. 0]` requires evaluating

i is not an element in $[n-1, n-2 .. 0]$

for $0 \leq i \leq n$, and thus $n(n+1)/2$ equality tests.

Outline

Starting from `minfree` we will develop an

- ▶ `array` based and a
- ▶ `divide-and-conquer` based

linear time algorithm for the `SFN-problem`.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

259/114

Outline

Starting from `minfree` we will develop an

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- ▶ `divide-and-conquer` based

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The `key fact (KF)` both algorithms rely on is:

- ▶ There is a number in `[0..length xs]` that is `not in xs` where `xs` denotes the initial list of natural numbers.

Outline

Starting from `minfree` we will develop an

- ▶ `array` based and a
- ▶ `divide-and-conquer` based

linear time algorithm for the `SFN-problem`.

The `key fact (KF)` both algorithms rely on is:

- ▶ There is a number in `[0..length xs]` that is `not in xs` where `xs` denotes the initial list of natural numbers.

This implies:

- ▶ The smallest number not in `filter (<=n) xs`,
`n == length xs`, is the smallest number not in `xs`!

Towards the Array-Based Algorithm

The array-based algorithm uses **KF** to build a

- ▶ **checklist** of those numbers present in **filter** ($\leq n$) **xs**.

The **checklist** is a

- ▶ Boolean array with $n + 1$ slots, numbered from 0 to n , whose initial entries are set to **False**.

Algorithmic idea:

- ▶ For each element **x** in **xs** with $x \leq n$ the array element at position **x** is set to **True**.
- ▶ The **smallest free number** is then found as the position of the first **False** entry.

The Array-Based Algorithm

The [array-based](#) algorithm [LinSFNP](#):

```
minfree = search . checklist
```

```
search :: Array Int Bool -> Int
```

```
search = length . takeWhile id . elems
```

```
checklist :: [Int] -> Array Int Bool
```

```
checklist xs = accumArray (||) False (0,n)  
                (zip (filter (<=n) xs) (repeat True))  
                where n = length xs
```

[Note](#): This algorithm

- ▶ [does not require](#) the elements of [xs](#) to be distinct
- ▶ but [does require](#) them to be natural numbers

Two Variants of the Array-Based Algorithm (1)

1st Variant: The function `accumArray` can be used to

- ▶ sort a list of numbers in linear time, provided the elements of the list all lie in some known range.

This allows

- ▶ replacing of `checklist` by `countlist`.

```
countlist :: [Int] -> Array Int Int
countlist xs =
  accumArray (+) 0 (0,n) (zip xs (repeat 1))

sort xs =
  concat [replicate k x | (x,k) <- countlist xs]
```

Replacing `checklist` by `countlist` and `sort`, the implementation of `minfree`

- ▶ boils down to finding the first `0` entry.

Two Variants of the Array-Based Algorithm (2)

2nd Variant: Instead of using a smart library function as in the 1st variant, `checklist` can be implemented

- ▶ using a **constant-time array update operation**.

In Haskell, this can be done using a suitable **monad**, such as the

- ▶ **state monad** (cf. `Data.Array.ST`)

```
checklist xs =  
  runSTArray (do  
    {a <- newArray (0,n) False;  
    sequence [writeArray a x True | x<-xs, x<=n];  
    return a})  
  where n = length xs
```


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2nd Variant: Instead of using a smart library function as in the 1st variant, `checklist` can be implemented

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In Haskell, this can be done using a suitable **monad**, such as the

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```
checklist xs =  
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    {a <- newArray (0,n) False;  
    sequence [writeArray a x True | x<-xs, x<=n];  
    return a})  
  where n = length xs
```

Note, however: This variant is essentially

- ▶ a **procedural program** in **functional clothing**.

Towards the Divide-and-Conquer Algorithm (1)

Algorithmic idea:

- ▶ Express `minfree (xs++ys)` in terms of `minfree (xs)` and `minfree (ys)`.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

264/114

Towards the Divide-and-Conquer Algorithm (1)

Algorithmic idea:

- ▶ Express `minfree (xs++ys)` in terms of `minfree (xs)` and `minfree (ys)`.

First, we collect some properties satisfied by the `set difference` operation:

$$(as ++ bs) \setminus cs = (as \setminus cs) ++ (bs \setminus cs)$$

$$as \setminus (bs ++ cs) = (as \setminus bs) \setminus cs$$

$$(as \setminus bs) \setminus cs = (as \setminus cs) \setminus bs$$

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$$(as \setminus bs) \setminus cs = (as \setminus cs) \setminus bs$$

If `as` and `vs` are disjoint (i.e., `as//vs == as`), and `bs` and `us` are disjoint (i.e., `bs//us == bs`), we also have:

$$(as ++ bs) \setminus (us ++ vs) = (as \setminus us) ++ (bs \setminus vs)$$

Towards the Divide-and-Conquer Algorithm (2)

Going on, choose any natural number b , and let

- ▶ $as = [0..b-1]$,
- ▶ $bs = [b..]$,
- ▶ $us = \text{filter } (<b) \text{ } xs$,
- ▶ $vs = \text{filter } (>=b) \text{ } xs$

then

- ▶ as and vs are disjoint, and bs and us are disjoint.

Towards the Divide-and-Conquer Algorithm (2)

Going on, choose any natural number `b`, and let

- ▶ `as = [0..b-1]`,
- ▶ `bs = [b..]`,
- ▶ `us = filter (<b) xs`,
- ▶ `vs = filter (>=b) xs`

then

- ▶ `as` and `vs` are disjoint, and `bs` and `us` are disjoint.

This implies:

$$[0..] \setminus xs = ([0..b-1] \setminus us) ++ ([b..] \setminus vs)$$

where $(us, vs) = \text{partition } (<b) \text{ } xs$

where `partition` is a Haskell library function that partitions a list into those elements satisfying some property and those that do not.

The Divide-and-Conquer Algorithm

Moreover, because of

```
head (xs++ys) = if null xs
                then head ys else head xs
```

we obtain (still for any natural number b):

The Basic Divide-and-Conquer Algorithm:

```
minfree xs = if (null ([0..b-1]) \\ us)
               then (head ([b..]) \\ vs)
               else (head ([0..]) \\ us)
             where (us,vs) = partition (<b) xs
```

Refining the Divide-and-Conquer Algorithm (1)

Note, the straightforward evaluation of the test

- ▶ `(null ([0..b-1]) \\ us)` takes **quadratic time** in the length of `us`.

Note also, the lists `[0..b-1]` and `us` are lists of

- ▶ **distinct** natural numbers, and
- ▶ every element of `us` is less than `b`.

This allows us to replace the test by a test on the length of `us`:

$$\text{null} ([0..b-1] \setminus us) = \text{length } us == b$$

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

267/114

Refining the Divide-and-Conquer Algorithm (1)

Note, the straightforward evaluation of the test

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This allows us to replace the test by a test on the length of `us`:

$$\text{null} ([0..b-1] \setminus us) = \text{length } us == b$$

Note, unlike for the array-based algorithm, it is crucial that the argument list does not contain duplicates to obtain an **efficient**

- ▶ **divide-and-conquer** algorithm.

Refining the Divide-and-Conquer Algorithm (2)

Inspecting `minfree` in more detail reveals that it can be generalized to a function `minfrom`:

```
minfrom :: Nat -> [Nat] -> Nat
minfrom a xs = head ([a..] \\ xs)
```

where every element of `xs` is assumed to be

- ▶ greater than or equal to `a`.

Refining the Divide-and-Conquer Algorithm (3)

Provided b is chosen so that both

- ▶ $\text{length } us$ and $\text{length } vs$ are less than $\text{length } xs$

the below recursive definition of minfree is well-founded:

```
minfree xs = minfrom 0 xs
```

```
minfrom a xs | null xs           = a
              | length us == b-a = minfrom b vs
              | otherwise        = minfrom a us
              where (us,vs) = partition (<b) xs
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

269/114

Refining the Divide-and-Conquer Algorithm (4)

It remains to choose b .

This choice shall ensure:

- ▶ $b > a$
- ▶ The **maximum** of the lengths of us and vs is **minimum**.

This is achieved by choosing b as

$$b = a + 1 + n \text{ 'div' } 2$$

where $n = \text{length } xs$.

Refining the Divide-and-Conquer Algorithm (5)

If $n \neq 0$ and $\text{length } us < b-a$, then

$$\triangleright (\text{length } us) \leq (n \text{ div } 2) < n$$

And, if $\text{length } us = b-a$, then

$$\triangleright (\text{length } vs) = (n - (n \text{ div } 2) - 1) \leq n \text{ div } 2$$

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

271/114

Refining the Divide-and-Conquer Algorithm (5)

If $n \neq 0$ and $\text{length } us < b-a$, then

$$\triangleright (\text{length } us) \leq (n \text{ div } 2) < n$$

And, if $\text{length } us = b-a$, then

$$\triangleright (\text{length } vs) = (n - (n \text{ div } 2) - 1) \leq n \text{ div } 2$$

With this choice, the number of steps for evaluating

`minfrom 0 xs`

is *linear* in the number of elements of `xs`.

The Optimized Divide-and-Conquer Algorithm

As a [final optimization](#), we represent `xs` by a pair `(length xs, xs)` in order to avoid to repeatedly compute `length`.

The Optimized Divide-and-Conquer Algorithm:

```
minfree xs = minfrom 0 (length xs, xs)
minfrom a (n,xs)
  | n == 0      = a
  | m == b-a   = minfrom b (n-m,vs)
  | otherwise  = minfrom a (m,us)
  where (us,vs) = partition (<b) xs
        b      = a + 1 + n div 2
        m      = length us
```

Summing up

The optimized divide-and-conquer algorithm is about

- ▶ twice as fast as the incremental `array`-based program, and
- ▶ 20% faster than the `accumArray`-based program.

Summing up

The optimized divide-and-conquer algorithm is about

- ▶ twice as fast as the incremental `array`-based program, and
- ▶ 20% faster than the `accumArray`-based program.

It is worth noting, the SFN-problem is not artificial:

- ▶ It can be considered a simplification of the common programming task to find some object not in use: `Numbers` then name objects, and `X` the set of objects that are currently in use.

Summing up (Cont'd)

For a “procedural” programmer

- ▶ an array-update operation takes **constant** time in the size of the array.

For a “pure functional” programmer

- ▶ an array-update operation takes **logarithmic** time in the size of the array.

Summing up (Cont'd)

For a “procedural” programmer

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This explains

- ▶ why there sometimes seems to be a **logarithmic gap** between the **best functional** and the **best procedural** solutions to a problem.

Summing up (Cont'd)

For a “procedural” programmer

- ▶ an array-update operation takes **constant** time in the size of the array.

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This explains

- ▶ why there sometimes seems to be a **logarithmic gap** between the **best functional** and the **best procedural** solutions to a problem.

Sometimes, however, this gap

- ▶ **vanishes** as for the **SFN-problem**.

Chapter 4.2

Not the Maximum Segment Sum

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

275/114

Background and Motivation

A **segment** of a list

- ▶ is a contiguous subsequence.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

276/114

Background and Motivation

A **segment** of a list

- ▶ is a contiguous subsequence.

The **Maximum Segment Sum (MSS) Problem**:

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The **Maximum Segment Sum (MSS) Problem**:

- ▶ Let L be a list of (positive and negative) integers.
- ▶ Compute the maximum of the sums of all possible segments of L .

Example:

Let L be the list

- ▶ $[-4, -3, -7, 2, 1, -2, -1, -4]$.

The **maximum segment sum** of L is

- ▶ **3** (from the segment $[2, 1]$).

Background and Motivation (Cont'd)

The **MSS**-problem

- ▶ had been considered quite often in the late 1980s mostly as a showcase for programmers to illustrate and demonstrate their favorite style of program development or their particular theorem prover.

In this pearl, however,

- ▶ we consider the “**Maximum Non-Segment Sum (MNSS) Problem**”.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

277/114

The Maximum Non-Segment Sum (MNSS) Problem

A **non-segment** of a list

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The Maximum Non-Segment Sum (MNSS) Problem:

- ▶ Let L be a list of (positive and negative) integers.
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The Maximum Non-Segment Sum (MNSS) Problem:

- ▶ Let L be a list of (positive and negative) integers.
- ▶ Compute the maximum of the sums of all possible non-segments of L .

Example:

Let L be the list

- ▶ $[-4, -3, -7, 2, 1, -2, -1, -4]$.

The **maximum non-segment sum** of L is

- ▶ 2 (from the non-segment $[2, 1, -1]$).

What does MNSS make a Pearl Problem?

It is worth noting:

Let L be a list of length n .

- ▶ There are $\Theta(n^2)$ segments of L .
- ▶ There are $\Theta(2^n)$ subsequences of L .

Hence

- ▶ There are many more non-segments of a list than segments.

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- ▶ Can the maximum non-segment sum be computed in linear time?

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This raises the problem

- ▶ Can the maximum non-segment sum be computed in linear time?

This (pearl) problem will be tackled in this chapter.

Specifying Solution of the MNSS-Problem

The Specifying (Initial) Solution of the MNSS-Problem:

```
mnss :: [Int] -> [Int]
mnss = maximum . map sum . nonsegs
```

Intuition:

- ▶ First, `nonsegs` computes a list of all non-segments of the argument list,
- ▶ `map sum` then computes the sum of all these non-segments, and
- ▶ `maximum`, finally, picks those whose sum is maximum.

The Implementation of nonsegs

The implementation of the function `nonsegs`

```
nonsegs :: [a] -> [[a]]
nonsegs = extract . filter nonseg . markings
```

relies on the supporting functions

- ▶ `extract`
- ▶ `markings`

which itself relies on the supporting function

- ▶ `booleans`

The Implementation of nonsegs (Cont'd)

The implementation of the supporting functions:

```
markings :: [a] -> [[(a,Bool)]]
markings xs = [zip xs bs |
                bs <- booleans (length xs)]
```

```
booleans 0 = [[]]
booleans (n+1) = [b:bs | b <- [True,False],
                      bs <- booleans n]
```

```
extract :: [[(a,Bool)]] -> [[a]]
extract = map (map fst . filter snd)
```

The Implementation of nonsegs (Cont'd)

Intuition underlying the supporting functions:

To define the function `nonsegs`

- ▶ each element of the argument list is `marked` with a Boolean value: `True` indicates that the element is included in the non-segment; `False` indicates that it is not.

This `marking`

- ▶ takes place in all possible ways, done by the function `marking` (**Note:** Markings are in one-to-one correspondence with subsequences.)

Then

- ▶ the function `extract` filters for those markings that correspond to a non-segment, and then extracts those whose elements are marked `True`.

The Implementation of nonsegs (Cont'd)

The function

- ▶ `nonseg :: [(a,Bool)] -> Bool`, finally, returns `True` on a list `xms` iff `map snd xsm` describes a non-segment marking (its implementation is given later).

Last but not least:

The Boolean list `ms` is a non-segment marking iff it is an element of the set represented by the regular expression

$$F^* T^+ F^+ T (T + F)^*$$

where `True` and `False` are abbreviated by `T` and `F`, respectively.

Note: The regular expression identifies the leftmost gap $T^+ F^+ T$ that makes the segment a non-segment.

The Finite State Automaton

...for recognizing members of the corresponding regular set:

data State = E | S | M | N

Intuition:

The 4 states of the above automaton are used as follows:

- ▶ **State E (for Empty)**, starting state: if in **E**, markings only in the set F^* have been recognized.
- ▶ **State S (for Suffix)**: if in state **S**, one or more T s have been processed; hence, this indicates markings in the set F^*T^+ , i.e., a non-empty suffix of T s.
- ▶ **State M (for Middle)**: if in state **M**, this indicates the processing of markings in the set $F^*T^+F^+$, i.e., a middle segment.
- ▶ **State N (for Non-segment)**: if in state **N**, this indicates the processing of non-segments markings.

The Finite State Automaton (Cont'd)

This allows us to define:

```
nonseg = (== N) . foldl step E . map snd
```

where the middle term `foldl step E` executes the step of the finite automaton:

```
step E False = E    step M False = M
step E True  = S    step M True  = N
step S False = M    step N False = N
step S True  = S    step N True  = N
```

It is worth noting:

- ▶ Finite automata process their input from left to right. This leads to the use of `foldl`.
- ▶ The input could have been processed from right to left as well, looking for the rightmost gap. This, however, would be less conventional without any benefit from breaking the left to right processing convention.

Towards Deriving the Linear Time Algorithm

Recall first the specifying (initial) solution of the MNSS-Problem with `nonsegs` replaced by its supporting functions:

```
mnss      = maximum . map sum .  
           extract . filter nonseg . markings  
extract = map (map fst . filter snd)  
nonseg  = (== N) . foldl step E . map snd
```

Work plan:

- ▶ Express `extract . filter nonseg . markings` as an instance of `foldl`.
- ▶ Apply then the fusion law of `foldl` to arrive at a better algorithm.

Deriving the Linear Time Algorithm (1)

First, we introduce the function `pick`:

```
pick :: State -> [a] -> [[a]]
pick q
  = extract .
      filter ((== q) . foldl step E . map snd) .
      markings
```

We have:

► `nonsegs == pick N`

Properties of pick

Moreover, we can prove

- ▶ either by calculation from the definition of `pick q` (which is tedious!)
- ▶ or by referring to the definition of `step`

the equalities:

```
pick E xs           = [[]]
pick S []           = []
pick S (xs++[x])    = map (++[x])
                    (pick S xs) ++ pick E xs)
pick M []           = []
pick M (xs++[x])    = pick M xs ++ pick S xs
pick N []           = []
pick N (xs++ys)     = pick N xs ++
                    map (++[x])
                    (pick N xs) ++ pick M xs)
```

Deriving the Linear Time Algorithm (2)

Second, we recast the definition of `pick` as an instance of `foldl`.

To this end, let `pickall` be specified by:

```
pickall xs = (pick E xs, pick S xs,
              pick M xs, pick N xs)
```

This allows us to express `pickall` as an instance of `foldl`:

```
pickall = foldl step ([[]], [], [], [])
step (ess, nss, mss, sss) x
  = (ess,
     map (++[x]) (sss++ess),
     mss ++ sss,
     nss ++ map (++[x]) (nss++mss))
```

Two new Solutions of the MNSS-Problem

The 1st new Solution of the MNSS-Problem:

```
mnss = maximum . map sum . fourth . pickall
```

where `fourth` returns the fourth element of a quadruple.

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```

where `fourth` returns the fourth element of a quadruple.

By means of function `tuple`

```
tuple f (w,x,y,z) = (f w, f x, f y, f z)
```

`fourth` can be moved to the front of the defining expression of `mnss`:

```
maximum . map sum . fourth  
  = fourth . tuple (maximum . map sum)
```

Two new Solutions of the MNSS-Problem

The 1st new Solution of the MNSS-Problem:

```
mnss = maximum . map sum . fourth . pickall
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where `fourth` returns the fourth element of a quadruple.

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tuple f (w,x,y,z) = (f w, f x, f y, f z)
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`fourth` can be moved to the front of the defining expression of `mnss`:

```
maximum . map sum . fourth  
  = fourth . tuple (maximum . map sum)
```

This allows the 2nd new Solution of the MNSS-Problem:

```
mnss = fourth . tuple (maximum . map sum) . pickall
```

The Fusion Law of foldl

The Fusion Law of foldl:

$$f (\text{foldl } g \ a \ xs) = \text{foldl } h \ b \ xs$$

for all finite lists xs provided that for all x and y holds:

$$f \ a = b$$

$$f \ (g \ x \ y) = h \ (f \ x) \ y$$

Towards the Application of the Fusion Law (1)

...in our scenario to the instantiations:

```
f = tuple (maximum . map sum)
g = step
a = ([[]], [], [], [])
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

293/114

Towards the Application of the Fusion Law (1)

...in our scenario to the instantiations:

```
f = tuple (maximum . map sum)
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a = ([[]], [], [], [])
```

We are now left with finding **h** and **b** to satisfy the conditions of the fusion law.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

293/114

Towards the Application of the Fusion Law (1)

...in our scenario to the instantiations:

```
f = tuple (maximum . map sum)
g = step
a = ([[]], [], [], [])
```

We are now left with finding **h** and **b** to satisfy the conditions of the fusion law.

Because the maximum of an empty set of numbers is $-\infty$, we have:

```
tuple (maximum . map sum) ([[]], [], [], [])
  = (0,  $-\infty$ ,  $-\infty$ ,  $-\infty$ )
```

...which gives the definition of **b**.

Towards the Application of the Fusion Law (2)

The definition of `h` needs to satisfy the equation:

```
tuple (maximum . map sum) (step (ess,sss,mss,nss) x)
  = h (tuple (maximum . map sum) (ess,sss,mss,nss)) x
```

Next, we derive `h` by investigating each component in turn. This is demonstrated for the fourth component in detail. The reasoning for the three components is similar.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

294/114

Towards the Application of the Fusion Law (3)

`max` is used as an abbreviation for `maximum`:

$$\begin{aligned} & \text{max (map sum (nss dpl map (++) [x]) (nss ++ mss))} \\ = & \text{(definition of map)} \\ & \text{max (map sum nss ++ map (sum . (++)[x]))(nss ++ mss)} \\ = & \text{(since sum . (++)[x] = (+x) . sum)} \\ & \text{max (map sum nss ++ map ((+x) . sum) nss ++ mss)} \\ = & \text{(since max (xs ++ ys) = (max xs) max (max ys))} \\ & \text{max (map sum nss) max max (map ((+x) . sum) (nss ++ mss))} \\ = & \text{(since max . map (+x) = (+x) . max)} \\ & \text{max (map sum nss) max (max (map sum (nss ++ mss)) + x)} \\ = & \text{(introducing } n = \text{max (map sum nss) and} \\ & \quad m = \text{max (map sum mss)} \\ & n \text{ max ((n max m) + x)} \end{aligned}$$

Towards the Application of the Fusion Law (4)

Finally, we arrive at the implementation of h :

$$\begin{aligned} h(e, s, m, n) x \\ = (e, (s \max e)+x, m \max s, n \max ((n \max m) + x)) \end{aligned}$$

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

296/114

Towards the Application of the Fusion Law (4)

Finally, we arrive at the implementation of `h`:

```
h (e, s, m, n) x
  = (e, (s max e)+x, m max s, n max ((n max m) + x))
```

This allows the 3rd new Solution of the MNSS-Problem:

```
mnss
  = fourth . foldl h (0,-∞,-∞,-∞)
```

The Linear Time Algorithm

We are left with dealing with the fictitious ∞ values.

Here, we eliminate them entirely by considering the first three elements of the list separately, which gives us:

The Linear Time Algorithm for the MNSS-Problem:

```
mnss xs
= fourth (foldl h (start (take 3 xs)) (drop 3 xs))
```

```
start [x,y,z]
= (0, max [x+y+z,y+z,z], max [x,x+y,y], x+z)
```


Concluding Remarks

The [MSS](#)-problem goes back to [Bentley](#):

- ▶ Jon R. Bentley. [Programming Pearls](#). Addison-Wesley, 1987.

[Gries](#) and [Bird](#) later on presented an [invariant assertions](#) and [algebraic approach](#), respectively.

- ▶ David Gries. [The Maximum Segment Sum Problem](#). In *Formal Development of Programs and Proofs*. Ed Dijkstra et al. (Eds.), University of Texas at Austin Year of Programming Series, Addison-Wesley, 43-45, 1990.
- ▶ Richard Bird. [Algebraic Identities for Program Calculation](#). *Computer Journal* 32(2):122-126, 1989.

Recent results on the [MSS](#)-problem can be found in:

- ▶ S.-C. Mu. [The Maximum Segment Sum is Back](#). In *Proceedings Partial Evaluation and Program Manipulation (PEPM 2008)*, 31-39, 2008.

Chapter 4.3

A Simple Sudoku Solver

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

299/114

Sudoku Puzzles

	3	7	8		6			5
		5	2	7			3	
				3	5		6	8
		1					9	3
		2		5		4		
5	7					8		
2	1		5	6				
	4			2	1	5		
6			3		7	2	4	

Fill in the grid so that every row, every column, and every 3×3 box contains the digits 1 – 9. There's no maths involved. You solve the puzzle with reasoning and logic.

The Independent Newspaper

Towards the Specifying Solution (1)

Preliminary definitions:

$m \times n$ -matrix: A list of m rows of the same length n .

```
type Matrix a = [Row a]
type Row a     = [a]
```

Grid: A 9×9 -matrix of digits.

```
type Grid = Matrix Digit
type Digit = Char
```

Valid digits: '1' to '9'; '0' stands for a blank.

```
digits = ['1'..'9']
blank  = (== '0')
```

Towards the Specifying Solution (2)

We assume that the input grid is valid, i.e.,

- ▶ it contains only digits and blanks
- ▶ no digit is repeated in any row, column or box.

Towards the Specifying Solution (3)

There are two straightforward (brute force) approaches to solving a Sudoku puzzle:

1. 1st Approach:

- ▶ Construct a list of **all** correctly completed grids.
- ▶ Then test the **input grid** against them to identify those whose non-blank entries match the given ones.

2. 2nd Approach:

- ▶ Start with the **input grid** and construct all possible choices for the blank entries.
- ▶ Then compute **all** grids that arise from making every possible choice and filter the result for the valid ones.

Towards the Specifying Solution (3)

There are two straightforward (brute force) approaches to solving a Sudoku puzzle:

1. 1st Approach:

- ▶ Construct a list of **all** correctly completed grids.
- ▶ Then test the **input grid** against them to identify those whose non-blank entries match the given ones.

2. 2nd Approach:

- ▶ Start with the **input grid** and construct all possible choices for the blank entries.
- ▶ Then compute **all** grids that arise from making every possible choice and filter the result for the valid ones.

In the following we follow the **2nd approach** to define the **specifying initial solution** of the Sudoku-problem.

Specifying Solution of the Sudoku-Problem (1)

The Specifying (Initial) Solution of the Sudoku-Problem:

```
solve = filter valid . expand . choices
```

```
choices :: Grid -> Matrix Choices
```

```
expand  :: Matrix Choices -> [Grid]
```

```
valid   :: Grid -> Bool
```

Intuition:

- ▶ `choices` constructs all choices for the blank entries of the input grid,
- ▶ `expand` then computes all grids that arise from making every possible choice,
- ▶ `filter valid` finally selects all the valid grids.

Specifying Solution of the Sudoku-Problem (2)

To represent the set of `choices` we introduce the data type:

```
type Choices = [Digit]
```

This allows us to define the subsidiary functions of `solve`, i.e.,

- ▶ `choices`
- ▶ `expand`
- ▶ `valid`

Specifying Solution of the Sudoku-Problem (3)

The implementation of `choices`:

```
choices :: Grid -> Matrix Choices
choices = map (map choice)
choice d = if blank d then digits else [d]
```

Intuition:

- ▶ If the cell is blank, then all digits are installed as possible choices.
- ▶ Otherwise there is no choice and a singleton is returned.

Specifying Solution of the Sudoku-Problem (4)

The implementation of `expand`:

```
expand :: Matrix Choices -> [Grid]
```

```
expand :: cp . map cp
```

```
cp :: [[a]] -> [[a]]
```

```
cp [] = [[]]
```

```
cp (xs:xss) = [x:ys | x <- xs, ys <- cp xss]
```

Intuition:

- ▶ Expansion is a Cartesian product, i.e., a list of lists given by the function `cp`, e.g., `cp[[1,2],[3],[4,5]] -> [[1,3,4],[1,3,5],[2,3,4],[2,3,5]]`
- ▶ `map cp` then returns a list of all possible choices for each row.
- ▶ `cp . map cp`, finally, installs each choice for the rows in all possible ways.

Specifying Solution of the Sudoku-Problem (5)

The implementation of `valid`:

```
valid :: Grid -> Bool
valid g = all nodups (rows g) &&
          all nodups (cols g) &&
          all nodups (boxs g)

nodups :: Eq a => [a] -> Bool
nodups [] = True
nodups (x:xs) = all (/=) xs && nodups xs
```

Intuition:

- ▶ A grid is `valid`, if no row, column or box contains duplicates.

Specifying Solution of the Sudoku-Problem (6)

The implementation of `rows` and `columns`:

```
rows :: Matrix a -> Matrix a
rows = id
```

```
cols :: Matrix a -> Matrix a
cols [xs]      = [ [x] | x <- xs]
cols (xs:xss) = zipWith (:) xs (cols xss)
```

Intuition:

- ▶ `rows` is the identity function, since the grid is already given as a list of rows.
- ▶ `columns` computes the transpose of a matrix.

Specifying Solution of the Sudoku-Problem (7)

The implementation of `boxes`:

```
boxes :: Matrix a -> Matrix a
boxes = map ungroup . ungroup . map cols .
        group . map group

group :: [a] -> [[a]]
group [] = []
group xs = take 3 xs : group (drop 3 xs)

ungroup :: [[a]] -> [a]
ungroup = concat
```

Intuition:

- ▶ `group` splits a list into groups of three.
- ▶ `ungroup` takes a grouped list and ungroups it.
- ▶ `group . map group` produces a list of matrices; transposing each matrix and ungrouping them yields the boxes.

Specifying Solution of the Sudoku-Problem (8)

Illustrating the action of `boxes` for the 4×4 -case, when `group` splits a list into groups of two:

$$\begin{pmatrix} a & b & c & d \\ e & f & g & h \\ i & j & k & k \\ m & n & o & p \end{pmatrix} \rightarrow \left(\begin{pmatrix} ab & cd \\ ef & gh \\ ij & kl \\ mn & op \end{pmatrix} \right) \rightarrow \left(\begin{pmatrix} ab & ef \\ cd & gh \\ ij & mn \\ kl & op \end{pmatrix} \right)$$

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

311/114

Wholemeal Programming

Instead of

- ▶ thinking about matrices in terms of **indices**, and
- ▶ doing **arithmetic on indices** to identify rows, columns, and boxes

the present approach has gone for functions that

- ▶ treat the matrix as a complete entity in itself.

Geraint Jones coined the notion

- ▶ **wholemeal programming**

for this style of programming.

Wholemeal programming helps

- ▶ avoiding **indexitis** and
- ▶ encourages **lawful program construction**.

Lawful Programming

Example:

- ▶ The 3 laws (A), (B), and (C) hold on arbitrary $N \times N$ -matrices, in particular on 9×9 -grids:

$$\text{rows} \cdot \text{rows} = \text{id} \quad (\text{A})$$

$$\text{cols} \cdot \text{cols} = \text{id} \quad (\text{B})$$

$$\text{boxs} \cdot \text{boxs} = \text{id} \quad (\text{C})$$

This means, all 3 functions are *involutions*.

- ▶ The 3 laws (D), (E), and (F) hold on $N^2 \times N^2$ -matrices:

$$\text{map rows} \cdot \text{expand} = \text{expand} \cdot \text{rows} \quad (\text{D})$$

$$\text{map cols} \cdot \text{expand} = \text{expand} \cdot \text{cols} \quad (\text{E})$$

$$\text{map boxs} \cdot \text{expand} = \text{expand} \cdot \text{boxs} \quad (\text{F})$$

A Quick Analysis of the Specifying Solution

Suppose that half of the entries (cells) of the input grid are fixed.

Then there are about 9^{40} , or

147.808.829.414.345.923.316.083.210.206.383.297.601

to be constructed and checked for validity!

A Quick Analysis of the Specifying Solution

Suppose that half of the entries (cells) of the input grid are fixed.

Then there are about 9^{40} , or

147.808.829.414.345.923.316.083.210.206.383.297.601

to be constructed and checked for validity!

This is hopeless!

Towards a Better Performing Algorithm

Pruning the matrix of choices:

Idea

- ▶ Remove any choices from a cell c that occurs as a singleton entry in the row, column or box containing c .

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

315/114

Towards a Better Performing Algorithm

Pruning the matrix of choices:

Idea

- ▶ Remove any choices from a cell `c` that occurs as a singleton entry in the row, column or box containing `c`.

Hence, we are seeking for a function

```
prune :: Matrix Choices -> Matrix Choices
```

that satisfies

```
filter valid . expand  
  = filter valid . expand . prune
```

and realizes the above idea.

Towards defining prune

Pruning a row

```
pruneRow :: Row Choices -> Row Choices
pruneRow row = map (remove fixed) row
               where fixed = [d | [d] <- row]
```

where

```
remove xs ds
  = if singleton ds then ds else ds \\ xs
```

Intuition:

- ▶ `remove` removes choices from any choice that is not fixed.

Laws for `pruneRow`, `nodeups`, and `cp`

- ▶ The function `pruneRow` satisfies law (G):

If `f` is an **involution**, i.e., `f . f = id`, then

$$\begin{aligned} \text{filter nodups} . \text{cp} \\ = \text{filter nodups} . \text{cp} . \text{pruneRow} \end{aligned} \quad (\text{G})$$

- ▶ The functions `nodeups` and `cp` satisfy laws (H) and (I):

$$\text{filter (p.f)} = \text{map f} . \text{filter p} . \text{map f} \quad (\text{H})$$

$$\text{filter (all p)} . \text{cp} = \text{cp} . \text{map (filter p)} \quad (\text{I})$$

Rewriting filter valid . expand

We can prove:

```
filter valid . expand
  = filter (all nodups . boxs) .
    filter (all nodups . cols) .
    filter (all nodups . rows) . expand
```

It is worth noting:

- ▶ The order of the 3 filters on the right hand side above is not relevant.

Rewriting filter valid . expand

We can prove:

```
filter valid . expand
  = filter (all nodups . boxes) .
    filter (all nodups . cols) .
    filter (all nodups . rows) . expand
```

It is worth noting:

- ▶ The order of the 3 filters on the right hand side above is not relevant.

Work plan:

- ▶ Apply each of the filters to `expand`.

This requires some reasoning which we exemplify for the the `boxes` case.

Reasoning in the boxes Case (1)

$$\begin{aligned} & \text{filter (all nodups . boxes) . expand} \\ = & \{(H), \text{ since } \text{boxes . boxes} = \text{id}\} \\ & \text{map boxes . filter (all nodups) . map boxes . expand} \\ = & \{(F)\} \\ & \text{map boxes . filter (all nodups) . expand boxes} \\ = & \{\text{definition of } \text{expand}\} \\ & \text{map boxes . filter (all nodups) . cp . map cp . boxes} \\ = & \{(I), \text{ and } \text{map } f . \text{map } g = \text{map } (f . g)\} \\ & \text{map boxes . cp . map (filter nodups . cp) . boxes} \\ = & \{(G)\} \\ & \text{map boxes . cp . map (filter nodups . cp . pruneRow) . boxes} \end{aligned}$$

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

319/114

Reasoning in the boxes Case (2)

$$\begin{aligned} &= \{(I)\} \\ &\quad \text{map } \text{boxes} . \text{filter } (\text{all } \text{nodups}) . \text{cp} . \\ &\quad \quad \text{map } \text{cp} . \text{map } \text{pruneRow} . \text{boxes} \\ &= \{\text{definition of } \text{expand}\} \\ &\quad \text{map } \text{boxes} . \text{filter } (\text{all } \text{nodups}) . \text{expand} . \\ &\quad \quad \text{map } \text{pruneRow} . \text{boxes} \\ &= \{(H) \text{ in the form } \text{map } f . \text{filter } p = \text{filter } (p . f) . \text{map } f\} \\ &\quad \text{filter } (\text{all } \text{nodups} . \text{boxes}) . \text{map } \text{boxes} . \text{expand} . \\ &\quad \quad \text{map } \text{pruneRow} . \text{boxes} \\ &= \{(F)\} \\ &\quad \text{filter } (\text{all } \text{nodups} . \text{boxes}) . \text{expand} . \text{boxes} . \\ &\quad \quad \text{map } \text{pruneRow} . \text{boxes} \end{aligned}$$

Summing up

- ▶ We have shown:

```
filter (all nodups . boxes) . expand
  = filter (all nodups . boxes) .
      expand . pruneBy boxes
```

where

```
pruneBy f = f . map pruneRow . f
```

Summing up

- ▶ We have shown:

```
filter (all nodups . boxes) . expand
  = filter (all nodups . boxes) .
      expand . pruneBy boxes
```

where

```
pruneBy f = f . map pruneRow . f
```

- ▶ Repeating the same calculation for rows and cols we get:

```
filter valid . expand
  = filter valid . expand . prune
```

where

```
prune
  = pruneBy boxes . pruneBy cols . pruneBy rows
```

An Improved Implementation of solve

The Pruning-improved Implementation of solve:

```
solve = filter valid . expand . prune . choices
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

322/114

An Improved Implementation of solve

The Pruning-improved Implementation of solve:

```
solve = filter valid . expand . prune . choices
```

It is worth noting:

Pruning can be done more than once.

- ▶ After each **round of pruning** some choices might be resolved into singletons allowing the **next round of pruning** to remove even more impossible choices.
- ▶ For simple Sudoku problems **repeated rounds of pruning** will eventually yield the solution of the input Sudoku problem.

Tuning the Solver Further

Idea

- ▶ Combine **pruning** with **expanding the choices for a single cell only** at a time:
 - ↪ **single-cell expansion**

Tuning the Solver Further

Idea

- ▶ Combine **pruning** with **expanding the choices for a single cell only** at a time:
 \rightsquigarrow **single-cell expansion**

To this end we replace the function **expand** by a new version

$$\text{expand} = \text{concat} \ . \ \text{map} \ \text{expand} \ . \ \text{expand1} \quad (\text{J})$$

where **expand1** (defined next) expands the choices of a single cell only.

Towards defining expand1

Which cell to expand?

- ▶ Any cell with the smallest number of choices for which there are at least 2 choices.

Note:

- ▶ If there is a cell with no choices then the Sudoku problem is **unsolvable**.

(From a pragmatic point of view, such cells should be identified quickly.)

Defining expand1

Think of a cell containing `cs` choices as sitting in the middle of a row `row`, i.e., `row = row1 ++ [cs] ++ row2`, in the matrix of choices, with rows `rows1` above it and row `rows2` below it:

```
expand1 :: Matrix Choices -> [Matrix Choices]
expand1 rows
  = [rows1 ++ [row1 ++ [c] : row2] ++ rows2 | c<-cs]
where
  (rows1,row:rows2) = break (any smallest) rows
  (row1, cs:row2)   = break smallest row
  smallest cs       = length cs == n
  n                  = minimum (counts rows)
  counts = filter (/=1) . map length . concat

break p xs
  = (takeWhile (not . p) xs, dropWhile (not . p) xs)
```

Remarks on `expand1`

- ▶ The value `n` is the smallest number of choices, not equal to `1` in any cell of the matrix of choices.
- ▶ If the matrix contains only singleton choices, then `n` is the minimum of the empty list, which is not defined.
- ▶ The standard function `break p` splits a list into two.
- ▶ `break (any smallest) rows` thus breaks the matrix into two lists of rows with the head of the second list being some row that contains a cell with the smallest number of choices.
- ▶ Another application of `break` then breaks this row into two sub-rows, with the head of the second being the element `cs` with the smallest number of choices.
- ▶ Each possible choice is installed and the matrix reconstructed.
- ▶ If there are no choices, `expand1` returns an empty list.

Completeness and Safety of a Matrix

The definition of n implies that (J) only holds when

- ▶ applied to matrices with at least one non-singleton choice.

This suggests:

A **matrix** is

- ▶ **complete**, if all choices are singletons,
- ▶ **unsafe**, if the singleton choices in any row, column or box contain duplicates.

It is worth noting:

- ▶ **Incomplete** and **unsafe** matrices can never lead to valid grids.
- ▶ A **complete** and **safe** matrix of choices determines a unique valid grid.

Completeness and Safety Tests

Completeness and safety can be tested as follows.

► **Completeness Test:**

```
complete = all (all single)
```

where `single` is the test for a singleton list.

► **Safety Test:**

```
safe m
  = all ok (rows m) &&
    all ok (cols m) &&
    all ok (boxs m)
```

where

```
ok row = nodups [d | [d] <- row]
```

We can show

If a matrix is **safe** but **incomplete**, we can calculate:

$$\begin{aligned} & \text{filter valid} . \text{expand} \\ = & \{ \text{since } \text{expand} = \text{concat} . \text{map expand} . \text{expand1} \\ & \text{on incomplete matrices} \} \\ & \text{filter valid} . \text{concat} . \text{map expand} . \text{expand1} \\ = & \{ \text{since } \text{filter } p . \text{concat} = \text{concat} . \text{map} (\text{filter } p) \} \\ & \text{concat} . \text{map} (\text{filter valid} . \text{expand}) . \text{expand1} \\ = & \{ \text{since } \text{filter valid} . \text{expand} = \text{filter valid} . \text{expand} . \text{prune} \} \\ & \text{concat} . \text{map} (\text{filter valid} . \text{expand} . \text{prune}) . \text{expand1} \end{aligned}$$

The Final Implementation of solve

Introducing

```
search = filter valid . expand . prune
```

we have on **safe** but **incomplete** matrices that

```
search . prune = concat . map search . expand1
```

This allows:

The Final Implementation of solve:

```
solve = search . choices
```

```
search m
```

```
| not (safe m) = []
```

```
| complete m' = [map (map head) m']
```

```
| otherwise   = concat (map search (expand1 m'))
```

```
  where m' = prune m
```


Quality and Performance Assessment

The final version of the [Sudoku solver](#) has been tested on various [Sudoku puzzles](#) available at

- ▶ haskell.org/haskellwiki/Sudoku

It is reported that the solver

- ▶ turned out to be [most useful](#), and
- ▶ [competitive](#) to (many) of the about a [dozen different Haskell Sudoku solvers](#) available at this site.





While many of the other solvers use [arrays](#) and [monads](#), and reduce or transform the problem to

- ▶ [Boolean satisfiability](#), [constraint satisfaction](#), [model-checking](#), etc.




the solver presented here seems unique in terms of [length](#), [conceptual simplicity](#) and that it has been derived in part by

- ▶ [equational reasoning](#).




Chapter 4: Further Reading (1)

-  Jon R. Bentley. *Programming Pearls*. Addison-Wesley, 1987.
-  Jon R. Bentley. *Programming Pearls*. Addison-Wesley, 2nd edition, 2000. (Sketch of the book online available at www.cs.bell-labs.com/cm/cs/pearls)
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Chapter 4: Further Reading (2)

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Chapter 4: Further Reading (4)

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Part III

Quality Assurance

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

4.1

4.2

4.3

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

336/114

Chapter 5

Testing

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Objective

How can we gain (sufficiently much) **confidence** that

- ▶ ours and
- ▶ other people's programs

are **sound**?

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

338/114

Objective

How can we gain (sufficiently much) **confidence** that

- ▶ ours and
- ▶ other people's programs

are **sound**?

Essentially, there are two means at our disposal:

- ▶ **Verification**
- ▶ **Testing**

Verification vs. Testing

- ▶ **Verification**

- ▶ Formal soundness proof (soundness of the specification, soundness of the implementation).
- ▶ High confidence but often high effort.

- ▶ **Testing**

- ▶ Two Variants

- ▶ **Ad hoc**: Controllable effort but usually unquantifiable, questionable quality statement.
- ▶ **Systematically**: Controllable effort with quantifiable quality statement.

Testing can only show the presence of errors.
Not their absence.

Edsger Dijkstra

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

340/114

Testing can only show the presence of errors.
Not their absence.

Edsger Dijkstra

On the other hand, **testing** is often

- ▶ **amazingly successful** in revealing errors.

Minimum Requirements of Testing

(Systematic) testing of programs should be

- ▶ Specification-based
- ▶ Tool-supported
- ▶ Automatically

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

341/114

Minimum Requirements of Testing (Cont'd)

There shall be reporting on

- ▶ What has been tested?
- ▶ How thoroughly, how comprehensively has been tested?
- ▶ How was **success** defined?

Desirable, too

- ▶ Reproducibility of tests
- ▶ Repeated testing after program modifications

Program Specification

Inevitable

- ▶ **Specification** of the meaning of the program
 - ▶ **Informally** (e.g., as commentary in the program, in a separate documentation)
 - ↪ disadvantage: often ambiguous, open to interpretation
 - ▶ **Formally** (e.g., in terms of pre- and post-conditions, in a formal specification language)
 - ↪ advantage: precise and rigorous, unambiguous

In this chapter

Specification-based, tool-supported testing in Haskell with QuickCheck:

- ▶ QuickCheck (a combinator library)
 - ▶ defines a formal specification language
...that allows property definitions inside of the (Haskell) source code.
 - ▶ defines a test data generator language
...that allows a simple and concise description of a large number of tests.
 - ▶ allows tests to be repeated at will
...which ensures reproducibility.
 - ▶ allows automatic testing of all properties specified in a module, including failure reports
...that are automatically generated.

It is worth noting

QuickCheck and its [specification-](#) and [test data generator languages](#) are:

- ▶ Examples of so-called [domain-specific embedded languages](#)
~> special strength of functional programming.
- ▶ Implemented as a [combinator library](#) in Haskell
~> allows us to make use of the full expressiveness of Haskell when defining properties and test data generators.
- ▶ Part of the standard Haskell-distribution (for both [GHC](#) and [Hugs](#); see module [QuickCheck](#))
~> ensures easy and direct usability.

Chapter 5.1

Property Definitions

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Simple Property Definition w/ QuickCheck (1)

In the simplest cases **properties** are defined in terms of **predicates**, i.e., as **Boolean valued functions**.

Example:

Define inside of the program the property

```
prop_PlusAssociative :: Int -> Int -> Int -> Bool
prop_PlusAssociative x y z = (x+y)+z == x+(y+z)
```

Double-checking the property with Hugs yields:

```
Main>quickCheck prop_PlusAssociative
OK, passed 100 tests
```

Simple Property Definition w/ QuickCheck (2)

Note:

- ▶ The type specification for `prop_PlusAssociative` is required because of the overloading of `(+)` (otherwise there will be an error message on ambiguous overloading: `QuickCheck` needs to know which test data to generate).
- ▶ The type specification allows a `type-specific generation` of test data.

Simple Property Definition w/ QuickCheck (3)

The same example slightly varied:

Define inside of the program the property

```
prop_PlusAssociative :: Float -> Float -> Float
                        -> Bool
prop_PlusAssociative x y z = (x+y)+z == x+(y+z)
```

Double-checking the property with Hugs yields:

```
Main>quickCheck prop_PlusAssociative
Falsifiable, after 13 tests:
1.0
-5.16667
-3.71429
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

349/114

Simple Property Definition w/ QuickCheck (4)

Note:

- ▶ The property is **falsifiable** for type `Float`: think e.g. of rounding errors.

The error report contains:

- ▶ The number of tests successfully passed
- ▶ A counter example

Advanced Property Definition (1)

Given:

- ▶ A function `insert`
- ▶ A predicate `ordered`

Property under test:

- ▶ Insertion into a sorted list

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

351/114

Advanced Property Definition (1)

Given:

- ▶ A function `insert`
- ▶ A predicate `ordered`

Property under test:

- ▶ Insertion into a sorted list

A `straightforward` property definition to double-check the correctness of the insertion function were:

```
prop_InsertOrdered :: Int -> [Int] -> Bool
prop_InsertOrdered x xs = ordered (insert x xs)
```


Advanced Property Definition (1)

Given:

- ▶ A function `insert`
- ▶ A predicate `ordered`

Property under test:

- ▶ Insertion into a sorted list

A `straightforward` property definition to double-check the correctness of the insertion function were:

```
prop_InsertOrdered :: Int -> [Int] -> Bool
prop_InsertOrdered x xs = ordered (insert x xs)
```

However, this property is `falsifiable`.

Advanced Property Definition (1)

Given:

- ▶ A function `insert`
- ▶ A predicate `ordered`

Property under test:

- ▶ Insertion into a sorted list

A `straightforward` property definition to double-check the correctness of the insertion function were:

```
prop_InsertOrdered :: Int -> [Int] -> Bool
prop_InsertOrdered x xs = ordered (insert x xs)
```

However, this property is `falsifiable`.

- ▶ The definition is `naive` and `too strong`
(note that `xs` is not supposed to be sorted).

Advanced Property Definition (2)

First fix (trial-and-error):

```
prop_InsertOrdered :: Int -> [Int] -> Property
prop_InsertOrdered x xs = ordered xs
                        ==> ordered (insert x xs)
```

Note:

- ▶ `ordered xs ==>`: This adds a **precondition** to the property definition.
 - ↪ Generated **test data** that do not match the precondition, are dropped.
- ▶ `==>`: is **not** a Boolean operator; it is an operator that affects the selection of test data.
 - ↪ Property definitions that rely on such operators always have the result type **Property** in **QuickCheck**.
- ▶ **Overall**: A **trial-and-error** approach to generating test data: Generate, then check if usable; if not, drop.

Advanced Property Definition (3)

Second Fix (systematic):

```
prop_InsertOrdered :: Int -> Property
prop_InsertOrdered x =
  forAll orderedLists $ \xs -> ordered (insert x xs)
```

Note:

- ▶ This fix works by **direct quantifying** (in the running example: direct quantifying over sorted lists)
- ▶ **Overall:** A **systematic** approach to generating test data: Only useful test data are generated.

The Operator (\$) — A Quick Reminder

Standard Prelude:

$$(\$) :: (a \rightarrow b) \rightarrow a \rightarrow b$$
$$f \$ x = f x$$

Remark:

- ▶ The operator (\$) is Haskell's **infix function application**.
- ▶ It is useful to avoid the usage of parentheses:

Example: $f (g x)$ can be written as $f \$ g x$.

It is worth noting

Expressiveness:

QuickCheck supports also the specification of more sophisticated properties, e.g.

- ▶ *The list resulting from insertion coincides with the argument list (except of the inserted element).*

Testing multiple properties:

A (small) program (also called `quickCheck`) can be run from the command line

- ▶ `>quickCheck Module.hs`

in order to test all properties defined in `Module.hs` at once.

Chapter 5.2

Testing against Abstract Models

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

356/114

Idea

Testing the correctness of an **implementation** against a **reference implementation**, a so-called

- ▶ **abstract model** (reference model)

In the following:

- ▶ Demonstrating this by an extended example: Developing an **abstract data type for queues**.

Abstract Model of Queues

An [abstract data type](#) for first-in-first-out (FIFO) [queues](#).

Specification:

```
type Queue a = [a]
empty         = []
add x q       = q ++ [x]  -- inefficient!
isEmpty q     = null q
front (x:q)   = x
remove (x:q)  = q
```

This is a simple (but inefficient) implementation that we consider the [abstract model](#) of a FIFO-queue; it is our [reference model](#) of a FIFO-queue.

The Concrete Model of Queues

...the **implementation** of interest, a more efficient implementation than the one of the abstract model.

Basic Idea:

- ▶ Split the list into two portions (a **list front** and a **list back**)
- ▶ Store the back of the list in reverse order

Together this ensures:

- ▶ **Efficient access** to **list front** and **list back**.

The Concrete Model of Queues (Cont'd)

```
type QueueI a    = ([a],[a])
emptyI           = ([],[ ])
addI x (f,b)     = (f,x:b)
isEmptyI (f,b)  = null f
frontI (x:f,b)  = x
removeI (x:f,b) = flipQ (f,b)
  where
    flipQ ([ ],b) = (reverse b, [ ])
    flipQ q       = q
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

360/114

In the following

We think of

- ▶ `Queue` and
- ▶ `QueueI`

in terms of

- ▶ `specification` and
- ▶ `implementation`

of FIFO-queues.

Next we want to `double-check/test` if operations defined on `QueueI` (`implementation / queues`) behave in the same way as the operations defined on `Queue` (`specification / abstract queues`).

Relating Queues and Abstract Queues

...by means of a `retrieve` function:

```
retrieve :: QueueI Integer -> [Integer]
retrieve (f,b) = f ++ reverse b
```

The function `retrieve`

- ▶ transforms each of the (usually many) representations, i.e., values of `QueueI` of an abstract queue, i.e., a value of `Queue`, into their unique canonical representation of an abstract queue.

Soundness Properties for Operations on Queue

The understanding of `QueueI` and `Queue` as lists on integers

- ▶ allows us to omit type specifications in the definitions of properties defined next.

By means of `retrieve` we can double-check, if

- ▶ the results of applying the efficient operations on `QueueI` coincide with those of the abstract operations on `Queue`.

Soundness Properties: Initial Definitions (1)

The below properties can reasonably be expected to hold:

```
prop_empty      = retrieve emptyI == empty
prop_add x q    = retrieve (addI x q)
                  == add x (retrieve q)
prop_isEmpty q = isEmptyI q == isEmpty (retrieve q)
prop_front q   = frontI q   == front (retrieve q)
prop_remove q  = retrieve (removeI q)
                  == remove (retrieve q)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

364/114

Soundness Properties: Initial Definitions (1)

The below properties can reasonably be expected to hold:

```
prop_empty      = retrieve emptyI == empty
prop_add x q    = retrieve (addI x q)
                  == add x (retrieve q)
prop_isEmpty q = isEmptyI q == isEmpty (retrieve q)
prop_front q   = frontI q   == front (retrieve q)
prop_remove q  = retrieve (removeI q)
                  == remove (retrieve q)
```

However, this is not true!

Soundness Properties: Initial Definitions (2)

Testing e.g. `prop_isEmpty` using `QuickCheck` yields:

```
Main>quickCheck prop_isEmpty  
Falsifiable, after 4 tests:  
([],[-1])
```

Soundness Properties: Initial Definitions (2)

Testing e.g. `prop_isEmpty` using `QuickCheck` yields:

```
Main>quickCheck prop_isEmpty  
Falsifiable, after 4 tests:  
([],[-1])
```

Problem:

- ▶ The specification of `isEmpty` assumes implicitly that the following `invariant` holds:
 - ▶ The front of the list is only empty, if the back of the list is empty, too:
`isEmptyI (f,b) = null f`

Soundness Properties: Initial Definitions (3)

In fact:

- ▶ `prop_isEmpty`, `prop_front`, and `prop_remove` are all falsifiable because of this!
- ▶ The implementations of `isEmptyI`, `frontI`, and `removeI` assume implicitly that the front of a queue will only be empty if the back also is.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

366/114

Soundness Properties: Initial Definitions (3)

In fact:

- ▶ `prop_isEmpty`, `prop_front`, and `prop_remove` are all falsifiable because of this!
- ▶ The implementations of `isEmptyI`, `frontI`, and `removeI` assume implicitly that the front of a queue will only be empty if the back also is.

This **silent assumption** has to be made explicit in terms of an **invariant**.

Soundness Properties: Refined Definitions (1)

We define the invariant as follows:

```
invariant :: QueueI Integer -> Bool
invariant (f,b) = not (null f) || null b
```

...and add them to the relevant [property definitions](#):

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

367/114

Soundness Properties: Refined Definitions (1)

We define the invariant as follows:

```
invariant :: QueueI Integer -> Bool
invariant (f,b) = not (null f) || null b
```

...and add them to the relevant [property definitions](#):

```
prop_empty      = retrieve emptyI == empty
prop_add x q    = invariant q ==>
                  retrieve (addI x q) == add x (retrieve q)
prop_isEmpty q  = invariant q ==>
                  isEmptyI q == isEmpty (retrieve q)
prop_front q    = invariant q ==>
                  frontI q == front (retrieve q)
prop_remove q   = invariant q ==>
                  retrieve (removeI q) == remove (retrieve q)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

367/114

Soundness Properties: Refined Definitions (2)

Now, testing `prop_isEmpty` using `QuickCheck` yields:

```
Main>quickCheck prop_isEmpty  
OK, passed 100 tests
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Soundness Properties: Refined Definitions (2)

Now, testing `prop_isEmpty` using `QuickCheck` yields:

```
Main>quickCheck prop_isEmpty
OK, passed 100 tests
```

However, testing `prop_front` still fails:

```
Main>quickCheck prop_front
Program error: front ([], [])
```


Soundness Properties: Refined Definitions (2)

Now, testing `prop_isEmpty` using `QuickCheck` yields:

```
Main>quickCheck prop_isEmpty
OK, passed 100 tests
```

However, testing `prop_front` still fails:

```
Main>quickCheck prop_front
Program error: front ([] , [])
```

Problem:

- ▶ `frontI` (as well as `removeI`) may only be applied to non-empty lists. So far, we did not take care of this.

Soundness Properties: Final Definitions

Fix:

- ▶ Add `not (isEmptyI q)` to the preconditions of the relevant properties.

This leads to:

```
prop_empty      = retrieve emptyI == empty
prop_add x q    = invariant q ==>
                  retrieve (addI x q) == add x (retrieve q)
prop_isEmpty q = invariant q ==>
                  isEmptyI q == isEmpty (retrieve q)
prop_front q    = invariant q && not (isEmptyI q) ==>
                  frontI q == front (retrieve q)
prop_remove q   = invariant q && not (isEmptyI q) ==>
                  retrieve (removeI q) == remove (retrieve q)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

369/114

Soundness Properties: Final Definitions

Fix:

- ▶ Add `not (isEmptyI q)` to the preconditions of the relevant properties.

This leads to:

```
prop_empty      = retrieve emptyI == empty
prop_add x q    = invariant q ==>
                  retrieve (addI x q) == add x (retrieve q)
prop_isEmptyI q = invariant q ==>
                  isEmptyI q == isEmpty (retrieve q)
prop_front q    = invariant q && not (isEmptyI q) ==>
                  frontI q == front (retrieve q)
prop_remove q   = invariant q && not (isEmptyI q) ==>
                  retrieve (removeI q) == remove (retrieve q)
```

Now:

- ▶ All properties pass the test successfully!

Soundness Considerations Continued

We are not yet done – we still need to check:

- ▶ Operations producing queues do only produce queues that satisfy this invariant.

Note:

So far we only tested that

- ▶ operations on queues behave correctly on representations of queues that satisfy the invariant

invariant $(f, b) = \text{not } (\text{null } f) \ || \ \text{null } b$

Adding Missing Soundness Properties

Defining properties for operations producing queues:

```
prop_inv_empty      = invariant emptyI
prop_inv_add x q    = invariant q ==>
                    invariant (addI x q)
prop_inv_remove q  = invariant q &&
                    not (isEmptyI q) ==>
                    invariant (removeI q)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

371/114

Adding Missing Soundness Properties (Cont'd)

Testing by means of `QuickCheck` yields:

```
Main>quickCheck prop_inv_add
Falsifiable, after 0 tests:
0
([], [])
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

372/114

Adding Missing Soundness Properties (Cont'd)

Testing by means of `QuickCheck` yields:

```
Main>quickCheck prop_inv_add
Falsifiable, after 0 tests:
0
([], [])
```

Problem:

- ▶ The invariant must hold
 - ▶ not only after applying `removeI`,
 - ▶ but also after applying `addI` to the empty list; adding to the back of a queue breaks the invariant in this case.

Soundness Properties: Completed Now!

To overcome the last and final problem:

- ▶ Adjust the function `addI` as follows:

```
addI x (f,b) = flipQ (f,x:b)
```

```
-- instead of: addI x (f,b) = (f,x:b)
```

with `flipQ` as defined previously.

Now:

- ▶ All properties pass the test **successfully!**

Summing up

In the course of developing this example it turned out:

- ▶ **Testing** revealed (only) one bug in the implementation (this was in function `addI`).
- ▶ **But:** Several missing preconditions and a missing invariant in the original definitions of properties were found and added.

Both is typical and valuable:

- ▶ The additional conditions and invariants are now explicitly given in the program text.
- ▶ They add to understanding the program and are valuable as documentation, both for the program developer and for future users (think of program maintainance!).

Chapter 5.3

Testing against Algebraic Specifications

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

375/114

Algebraic Specifications

Testing against **algebraic specifications** is (often) a useful alternative to testing against an **abstract model**.

An algebraic specification

- ▶ provides **equational constraints** the operations ought to satisfy.

Algebraic Specifications

For [FIFO-queues](#), e.g., we might start with the following algebraic specifications:

```
prop_isEmpty q      = invariant q ==>
    isEmptyI q == (q == emptyI)
prop_front_empty x  = frontI (addI x emptyI) == x
prop_front_add x q = invariant q &&
    not (isEmptyI q) ==>
    frontI (addI x q) == frontI q
prop_remove_empty x =
    removeI (addI x emptyI) == emptyI
prop_remove_add x q = invariant q &&
    not (isEmptyI q) ==>
    removeI (addI x q) == addI x (removeI q)
```

Testing Algebraic Specifications

Testing `prop_remove_add` using `QuickCheck` yields:

```
Main>quickCheck prop_remove_add  
Falsifiable, after 1 tests:  
0  
([1],[0])
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

378/114

Testing Algebraic Specifications

Testing `prop_remove_add` using QuickCheck yields:

```
Main>quickCheck prop_remove_add
Falsifiable, after 1 tests:
0
([1],[0])
```

Problem:

- ▶ The left hand side, i.e., `removeI (addI x q)`, yields:
`([0],[0])`
- ▶ The right hand side, i.e., `addI x (removeI q)`, yields:
`([0],[0])`
- ▶ The queue representations `([0],[0])` and `([0],[0])` are **equivalent** (representing both the abstract queue `[0,0]`) but are **not equal!**

Testing Algebraic Specifications (Cont'd)

Fix:

- ▶ Consider “**equivalent**” instead of “**equal**”:

`q 'equiv' q' = invariant q && invariant q' &&
retrieve q == retrieve q'`

In fact: Replacing

```
prop_remove_add x q = invariant q &&  
                      not (isEmptyI q) ==>  
                      removeI (addI x q) == addI x (removeI q)
```

by

```
prop_remove_add x q = invariant q &&  
                      not (isEmptyI q) ==>  
                      removeI (addI x q) 'equiv' addI x (removeI q)
```

yields as desired:

- ▶ The test of `prop_remove_add` passes **successfully!**

Testing Algebraic Specifications (Cont'd)

Similar to the setup in Chapter 5.1, we have to check:

- ▶ All operations producing queues yield results that are **equivalent**, if the arguments are.

Testing Algebraic Specifications (Cont'd)

Similar to the setup in Chapter 5.1, we have to check:

- ▶ All operations producing queues yield results that are **equivalent**, if the arguments are.

Example:

For the operation `addI` this can be expressed by:

$$\text{prop_add_equiv } q \ q' \ x = q \ \text{'equiv'} \ q' \ ==> \\ \text{addI } x \ q \ \text{'equiv'} \ \text{addI } x \ q'$$

Summing up

Though **mathematically sound**, the definition of `prop_add_equiv` is inappropriate for **fully automatic testing**.

We might observe:

```
Main>quickCheck prop_add_equiv Arguments exhausted
      after 58 tests.
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

381/114

Summing up

Though **mathematically sound**, the definition of `prop_add_equiv` is inappropriate for **fully automatic testing**.

We might observe:

```
Main>quickCheck prop_add_equiv Arguments exhausted
      after 58 tests.
```

Problem and background:

- ▶ `QuickCheck` generates the lists `q` und `q'` randomly.
- ▶ Most of the generated pairs of lists will **not be equivalent**, and hence be discarded for the actual test.
- ▶ `QuickCheck` generates a maximum number of candidate arguments only (default: 1.000), and then stops, possibly before the number of 100 test cases is met.

Outlook

Enhancing usability of **QuickCheck** by adding support for

- ▶ **Quantifying over subsets**
 - ▶ by means of **filters**
 - ▶ by means of **generators** (**type-based**, **weighted**, **size controlled**,...)
- ▶ ...
- ▶ **Test case monitoring**

In the following:

- ▶ ...illustrating this support by means of examples!

Chapter 5.4

Quantifying over Subsets

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

383/114

Background and Motivation

For QuickCheck holds:

- ▶ By default, **parameters are quantified** over the values of the underlying type
(e.g., all integer lists)

Often, however, it is required:

- ▶ A **quantification over subsets** of these values
(e.g., all sorted integer lists)

Quantifying over Subsets

`QuickCheck` offers several means for achieving this:

Representation of subsets in terms of

- ▶ **Boolean functions** that act as a **filter for test cases**
 - ▶ **Adequate**, if many elements of the underlying set are members of the relevant subset, too.
 - ▶ **Inadequate**, if only a few elements of the underlying set are members of the relevant subset.
- ▶ **generators**
 - ▶ A generator of type `Gen a` yields a random sequence of values of type `a`.
 - ▶ The property `forall set p` successively checks `p` on randomly generated elements of `set`.

Support by QuickCheck

For the [effective usage](#) of generators [QuickCheck](#) supports:

- ▶ different variants for the specification of relations such as [equiv](#)
 - ▶ As a [Boolean function](#)
 - ▶ easy to check equivalence of two values (but difficult to generate values that are equivalent).
 - ▶ As a [function from a set of values to another set of equivalent values](#) ([generator!](#))
 - ▶ easy to generate equivalent values (but difficult to check if two values are equivalent).

Chapter 5.5

Generating Test Data

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Generators

The fundamental function to make a choice:

`choose :: Random a => (a,a) -> Gen a`

Note:

- ▶ The function `choose` generates “randomly” an element of the specified domain.
- ▶ `choose (1,n)` represents the set $\{1, \dots, n\}$.
- ▶ The type `Gen` is a monad (cp. Chapter 10).

Using choose

...we can define `equivQ`:

```
equivQ :: QueueI a -> Gen(QueueI a)
equivQ q = do k <- choose (0,0 'max' (n-1))
            return (take (n-k) els,
                    reverse (drop (n-k) els))
```

where

```
els = retrieve q
n   = length els
```

- ▶ Generates a random queue that contains the same elements as `q`.
- ▶ The number `k` of elements in the back of the queue will be chosen such that it is properly smaller than the total number of elements of the queue (under the assumption that the total number is different from `0`).

Application

This allows us to check that

- ▶ generated elements are related, i.e., **equivalent**.

To this end check:

```
prop_EquivQ q = invariant q ==>
  forall (equivQ q) $ \q' -> q 'equiv' q'
```

Note:

- ▶ Recall that $\$$ means function application. Using $\$$ allows the omission of parentheses (see the λ expression in the example).
- ▶ The property which is dual to `prop_EquivQ`, i.e., that all related elements can be generated, cannot be checked by testing.

Application (Cont'd)

This allows:

- ▶ Reformulating the property that `addI` maps equivalent queues to equivalent queues

```
prop_add_equiv q x = invariant q ==>
  forall (equivQ q) $ \q' ->
    addI x q 'equiv' addI x q'
```

Remark:

- ▶ Other properties analogously

Next we consider: How to define generators.

Defining Generators

...is eased because of the **monadic type** of **Gen**.

It holds:

- ▶ `return a` always yields (generates) `a` and represents the singleton set $\{a\}$
- ▶ `do {x <- s; e}` can be considered the (generated) set $\{e \mid x \in s\}$

Type-based Generators

...by means of the overloaded generator `arbitrary`, e.g. for the generation of arguments of properties:

Example 1:

```
prop_max_le x y = x <= x 'max' y
```

is equivalent to

```
prop_max_le = forAll arbitrary $ \x ->  
  forAll arbitrary $ \y -> x <= x 'max' y
```

Type-based Generators (cont'd)

Example 2:

The set $\{y \mid y \geq x\}$ can be generated by

```
atLeast x = do diff <- arbitrary
           return (x + abs diff)
```

because of the equality

$$\{y \mid y \geq x\} = \{x + \text{abs } d \mid d \in \mathbb{Z}\}$$

that holds for numerical types.

Note: Similar definitions are possible for other types, too.

Selection

...between several generators can be achieved by means of a generator `oneof` that can be thought of as `set union`.

Example: Constructing a sorted list

```
orderedLists = do x <- arbitrary
                  listsFrom x

where
  listsFrom x
    = oneof [return [], do y <- atLeast x
                          liftM (x:) (listsFrom y)]
```

Underlying intuition:

- ▶ A sorted list is either empty or the addition of a new head element to a sorted list of larger elements.

Weighted Selection

- ▶ The `oneof` combinator picks with equal probability one of the alternatives.
- ▶ This often has an unduly impact on the test case generation (in the previous example the empty set will be selected too often).
- ▶ **Remedy:** A weight function `frequency` that assigns different weights to the alternatives.

```
frequency :: [(Int, Gen a)] -> Gen a
```

Weighted Selection (Cont'd)

Application:

```
listsFrom x
  = frequency [(1,return []),
              (4,do y <- atLeast x
                    liftM (x:) (listsFrom y)) ]
```

- ▶ A `QuickCheck` generator corresponds to a probability distribution over a set, not the set itself.
- ▶ The impact of the above assignment of weights is that on average the length of generated lists is 4.

The Type Class Arbitrary

If non-standard generators such as `orderedLists` are used frequently, it is advisable to make this type an instance of type class `Arbitrary`:

```
newtype OrderedList a = OL [a]

instance (Num a, Arbitrary a) =>
    Arbitrary (OrderedList a) where
    arbitrary = liftM OL orderedLists
```

Together with the re-definition of `insert` as

```
insert :: Ord a => a -> OrderedList a
        -> OrderedList a
```

arguments generated for it will automatically be ordered.

Controlling the Size of Generated Test Data

- ▶ This is usually wise for type-based test data generation
- ▶ It is explicitly supported by [QuickCheck](#)

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

399/114

Controlling the Size of Generated Test Data

Generators that depend on the size can be defined by:

```
sized :: (Int -> Gen a) -> Gen a
      -- For defining size aware gen.

sized $ \n -> do len <- choose (0,n)
                 vector len -- Application of sized
                             -- in the Def. of the
                             -- default list generator

vector n = sequence [arbitrary | i <- [1..n]]
          -- generates random list
          -- of length n

resize :: Int -> Gen a -> Gen a
        -- for controlling the size
        -- of generated values

sized $ \n -> resize (round (sqrt (fromInt n))) arbitrary
                  -- Application of resize
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

400/114

Generators for User-defined Types

Test data generators for

- ▶ predefined (“built-in”) types of Haskell
 - ▶ are provided by `QuickCheck`
 - ▶ for user-defined types, this is not possible
- ▶ user-defined types
 - ▶ have to be provided by the user in terms of defining a suitable instance of the type class `Arbitrary`
 - ▶ require usually, especially in case of recursive types, to control the size of generated test data

Example: Binary Trees (1)

Consider type (Tree a):

```
data Tree a = Leaf | Branch (Tree a) a (Tree a)
```

The following definition of the [test-data generator](#) is obvious:

```
instance Arbitrary a => Arbitrary (Tree a) where
  arbitrary =
    frequency [(1,return Leaf),
              (3,liftM3 Branch
                arbitrary arbitrary arbitrary)]
```


Example: Binary Trees (2)

Note:

- ▶ The assignment of weights (1 vs. 3) has been done in order to avoid the generation of all too many trivial trees of size 1.
- ▶ **Problem:** The likelihood that a generator comes up with a **finite** tree, is only one third.

↪ this is because termination is possible only, if all subtrees generated are finite. With increasing breadth of the trees, the requirement of always selecting the “terminating” branch has to be satisfied at ever more places simultaneously.

Example: Binary Trees (3)

Remedy:

- ▶ Usage of the parameter `size` in order to ensure
 - ▶ `termination` and
 - ▶ “reasonable” `size`of the generated trees.

Example: Binary Trees (4)

Implementation:

```
instance Arbitrary a => Arbitrary (Tree a) where
  arbitrary = sized arbTree

arbTree 0 = return Leaf
arbTree n | n>0 =
  frequency [(1,return Leaf),
             (3,liftM3 Branch shrub arbitrary shrub)]
  where
    shrub = arbTree (n `div` 2)
```

Note: `shrub` is a generator for small(er) trees.

Example: Binary Trees (5)

Remark:

- ▶ `shrub` is a **generator** for “small(er)” trees.
- ▶ `shrub` is not bounded to a special tree; the two occurrences of `shrub` will usually generate different trees.
- ▶ Since the size limit for subtrees is halved, the total size is bounded by the parameter `size`.
- ▶ Defining generators for recursive types must usually be handled specifically as in this example.

Chapter 5.6

Monitoring, Reporting, and Coverage

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

407/114

Test-Data Monitoring

In practice, it is useful

- ▶ to monitor the generated test cases in order to obtain a hint on the quality and the coverage of test cases of a QuickCheck run.

For this purpose QuickCheck provides

- ▶ an array of monitoring and reporting possibilities.

Usefulness of Test-Data Monitoring

Why is test-data monitoring meaningful?

Reconsider the example of inserting into a sorted list:

```
prop_InsertOrdered :: Integer -> [Integer]
                                -> Property
prop_InsertOrdered x xs = ordered xs ==>
                            ordered (insert x xs)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

409/114

Test-Data Monitoring and Test Coverage

`QuickCheck` performs the check of `prop_InsertOrdered` such that:

- ▶ lists are generated randomly
- ▶ each generated list will be checked, if it is sorted (used test case) or not (discarded test case)

Obviously, it holds:

- ▶ the likelihood that a randomly generated list is sorted is the higher the shorter the list is

This introduces the danger that

- ▶ the property `prop_InsertOrdered` is mostly tested with lists of length one or two
- ▶ even a successful test is not meaningful

Test-Data Monitoring using `trivial`

For monitoring purposes `QuickCheck` provides a

- ▶ combinator `trivial`, where the meaning of “trivial” is user-definable.

Example:

```
prop_InsertOrdered :: Integer -> [Integer]
                                -> Property
prop_InsertOrdered x xs = ordered xs ==>
  trivial (length xs <= 2) $ ordered (insert x xs)
```

with

```
Main>quickCheck prop_InsertOrdered
OK, passed 100 tests (91% trivial)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

411/114

Test-Data Monitoring using trivial (Cont'd)

Observation:

- ▶ 91% are too many trivial test cases in order to ensure that the total test is meaningful
- ▶ The operator `==>` should be used with care in test-case generators

Remedy:

- ▶ User-defined generators
 \rightsquigarrow as in the example of `prop_InsertOrdered` in Chapter 5.1 (“Second Fix (systematic)”).

Test-Data Monitoring using `classify`

The combinator `trivial` is

- ▶ instance of a more general combinator `classify`

```
trivial p = classify p "trivial"
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

413/114

Test-Data Monitoring using `classify`

(Cont'd)

Multiple application of `classify` allows an even more refined test-case monitoring:

```
prop_InsertOrdered x xs = ordered xs =>
  classify (null xs) "empty lists" $
    classify (length xs == 1) "unit lists" $
      ordered (insert x xs)
```

This yields:

```
Main>quickCheck prop_InsertOrdered
OK, passed 100 tests.
42% unit lists.
40% empty lists.
```

Test-Data Monitoring using collect

Going beyond, the combinator `collect` allows us to keep track on all test cases:

```
prop_InsertOrdered x xs = ordered xs =>
  collect (length xs) $ ordered (insert x xs)
```

This yields a histogram of values:

```
Main>quickCheck prop_InsertOrdered
OK, passed 100 tests.
46% 0.
34% 1.
15% 2.
5% 3.
```

Chapter 5.7

Implementation of QuickCheck

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

On the Implementation of QuickCheck (1)

A Glimpse into the implementation:

```
class Testable a where
  property :: a -> Property

newtype Property = Prop (Gen Result)

instance Testable Bool where
  property b = Prop (return (resultBool b))

instance (Arbitrary a, Show a, Testable b) =>
  Testable (a->b) where
  property f = forAll arbitrary f

instance Testable Property where
  property p = p

quickCheck :: Testable a => a -> IO ()
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

417/114

On the Implementation of QuickCheck (2)

QuickCheck

- ▶ consists in total about 300 lines of code.
- ▶ has initially been presented by [Koen Claessen](#) and [John Hughes](#) in:

Koen Claessen, John Hughes. [QuickCheck: A Lightweight Tool for Random Testing of Haskell Programs](#).

In Proceedings of the ACM SIGPLAN 2000 International Conference on Functional Programming (ICFP 2000), 268-279, 2000.

Summing up (1)

Generally, it holds:

- ▶ Formalizing specifications is meaningful (even without a subsequent formal proof of soundness).

Experience shows:

- ▶ Specifications provided are often (initially) faulty themselves.

Summing up (2)

QuickCheck is an effective tool

- ▶ to disclose bugs in
 - ▶ programs and
 - ▶ specificationswith little effort.
- ▶ to reduce
 - ▶ test costs
 - ▶ while simultaneously testing more thoroughly.

Summing up (3)

Investigations of Richard Hamlet in

- ▶ Richard Hamlet. [Random Testing](#). In J. Marciniak (Ed.), Encyclopedia of Software Engineering, Wiley, 970-978, 1994

suggest that

- ▶ a high number of test cases yields meaningful results even in the case of [random testing](#).

Moreover

- ▶ The generation of random test cases is often “cheap.”

Hence, there are many reasons advising

- ▶ the routine usage of a tool like [QuickCheck!](#)

Summing up (4)

Besides `QuickCheck` there are various other `combinator libraries` supporting the lightweight testing of Haskell programs, e.g.:

- ▶ `EasyCheck`
- ▶ `SmallCheck`
- ▶ `Lazy SmallCheck`
- ▶ `Hat`

Summing up (5)





The presentation of this chapter is closely based on:

- ▶ Koen Claessen, John Hughes. [Specification-based Testing with QuickCheck](#). In Jeremy Gibbons, Oege de Moor (Eds.), [The Fun of Programming](#). Palgrave MacMillan, 17-39, 2003.

For implementation details and applications refer to:

- ▶ Koen Claessen, John Hughes. [QuickCheck: A Lightweight Tool for Random Testing of Haskell Programs](#). In Proceedings of the ACM SIGPLAN 2000 International Conference on Functional Programming (ICFP 2000), 268-279, 2000.
- ▶ Koen Claessen, John Hughes. [Testing Monadic Code with QuickCheck](#). In Proceedings ACM SIGPLAN 2002 Haskell Workshop, 65-77, 2002.

Chapter 5: Further Reading (1)

-  Marco Block-Berlitz, Adrian Neumann. *Haskell Intensivkurs*. Springer Verlag, 2011. (Kapitel 18.2, QuickCheck)
-  Koen Claessen, John Hughes. *QuickCheck: A Lightweight Tool for Random Testing of Haskell Programs*. In Proceedings of the ACM SIGPLAN 2000 International Conference on Functional Programming (ICFP 2000), 268-279, 2000.
-  Koen Claessen, John Hughes. *Testing Monadic Code with QuickCheck*. In Proceedings ACM SIGPLAN 2002 Haskell Workshop, 65-77, 2002.
-  Koen Claessen, John Hughes. *Specification-based Testing with QuickCheck*. In Jeremy Gibbons, Oege de Moor (Eds.), *The Fun of Programming*. Palgrave MacMillan, 17-39, 2003.

Chapter 5: Further Reading (2)

-  Koen Claessen, Colin Runciman, Olaf Chitil, John Hughes, Malcolm Wallace. *Testing and Tracing Lazy Functional Programs Using QuickCheck and Hat*. In Johan Jeuring, Simon Peyton Jones (Eds.) *Advanced Functional Programming – Revised Lectures*. Springer-V., LNCS Tutorial 2638, 59-99, 2003.
-  Jan Christiansen, Sebastian Fischer. *Easycheck – Test Data for Free*. In Proceedings of the 9th International Symposium on Functional and Logic Programming (FLPS 2008), Springer-V., LNCS 4989, 322-336, 2008.
-  Colin Runciman, Matthew Naylor, Fredrik Lindblad. *SmallCheck and Lazy SmallCheck*. In Proceedings ACM SIGPLAN 2008 Haskell Workshop, 37-48, 2008. (Freely available from <http://hackage.haskell.org>)

Chapter 5: Further Reading (3)



Bryan O'Sullivan, John Goerzen, Don Stewart. *Real World Haskell*. O'Reilly, 2008. (Chapter 11, Testing and Quality Assurance; Chapter 26, Advanced Library Design: Building a Bloom Filter – Testing with QuickCheck)

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

5.1

5.2

5.3

5.4

5.5

5.6

5.7

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chapter 6

Verification

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

6.1

6.2

6.3

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

427/114

Induction vs. Recursion

Inductively defined Data Structures

- ▶ e.g., a list is either empty or a pair consisting of an element and another list
- ▶ e.g., a tree is either empty or consists of a node and a set of other trees

It is worth noting:

- ▶ **Definitions of data structures**
...follow often an **inductive** definition pattern
- ▶ **Functions on data structures**
...follow often a **recursive** definition pattern

Chapter 6.1

Inductive Proof Principles

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

6.1

6.2

6.3

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

429/114

Inductive Proving – Proof Principles

Natural (mathematical) (vollständige), strong (verallgemeinerte), structural (strukturelle) induction (Induktion).

As a reminder: The principles of

- ▶ natural (mathematical) induction

$$(P(1) \wedge (\forall n \in \mathbb{N}. P(n) \Rightarrow P(n+1))) \Rightarrow \forall n \in \mathbb{N}. P(n)$$

- ▶ strong induction

$$(\forall n \in \mathbb{N}. (\forall m < n. P(m)) \Rightarrow P(n)) \Rightarrow \forall n \in \mathbb{N}. P(n)$$

- ▶ structural induction

$$(\forall s \in S. \forall s' \in \text{comp}(s). P(s')) \Rightarrow P(s) \Rightarrow \forall s \in S. P(s)$$

where P reminds to “property,” S to “structure” and comp to “component.”

Natural (Mathematical) Induction – Example

Natural (mathematical) induction allows us to prove:

Theorem (6.1.1)

$$\forall n \in \mathbb{N}. \sum_{i=1}^n i = \frac{n * (n + 1)}{2}$$

Proof of Theorem 6.1.1 (1)

Proof of Theorem 6.1.1 by means of natural (mathematical) induction:

Base Case: $n = 1$. In this case a straightforward calculation yields the desired equality:

$$\sum_{i=1}^n i = \sum_{i=1}^1 i = 1 = \frac{1 * (1 + 1)}{2} = \frac{n * (n + 1)}{2}$$

Proof of Theorem 6.1.1 (2)

Inductive Case: Applying the induction hypothesis (IH) once, we obtain the desired equality:

$$\begin{aligned} & \sum_{i=1}^{n+1} i \\ &= (n+1) + \sum_{i=1}^n i \\ \text{(IH)} \quad &= (n+1) + \frac{n * (n+1)}{2} \\ &= (n+1) * \left(\frac{n}{2} + 1\right) \\ &= \frac{(n+1) * (n+2)}{2} \\ &= \frac{(n+1) * ((n+1) + 1)}{2} \end{aligned}$$



Strong Induction – Example

Reconsider the **Fibonacci-Numbers** that are defined by:

$$\text{fib} : \mathbb{N}_0 \rightarrow \mathbb{N}_0$$

$$\text{fib}(n) =_{df} \begin{cases} 0 & \text{if } n = 0 \\ 1 & \text{if } n = 1 \\ \text{fib}(n-1) + \text{fib}(n-2) & \text{otherwise} \end{cases}$$

This means: $(\text{fib}_i)_{i \in \mathbb{N}_0} = 0, 1, 1, 2, 3, 5, 8, 13, 21, 34, \dots$

Strong induction allows us to prove:

Theorem (6.1.2)

$$\forall n \in \mathbb{N}_0. \text{fib}(n) = \frac{\left(\frac{1+\sqrt{5}}{2}\right)^n - \left(\frac{1-\sqrt{5}}{2}\right)^n}{\sqrt{5}}$$

Proof of Theorem 6.1.2 (1)

Proof of Theorem 6.1.2 by means of strong induction:

Using the **induction hypothesis (IH)** that for all $k < n$, $n \in \mathbb{N}_0$, the equality

$$fib(k) = \frac{\left(\frac{1+\sqrt{5}}{2}\right)^k - \left(\frac{1-\sqrt{5}}{2}\right)^k}{\sqrt{5}}$$

holds, we can prove the premise underlying the implication of the **principle of strong induction** for all natural numbers n by investigating the following cases.

Proof of Theorem 6.1.2 (2)

Base Case 1: $n = 0$. In this case, a simple calculation yields the desired equality:

$$\text{fib}(0) = 0 = \frac{1 - 1}{\sqrt{5}} = \frac{\left(\frac{1+\sqrt{5}}{2}\right)^0 - \left(\frac{1-\sqrt{5}}{2}\right)^0}{\sqrt{5}}$$

Proof of Theorem 6.1.2 (2)

Base Case 1: $n = 0$. In this case, a simple calculation yields the desired equality:

$$\text{fib}(0) = 0 = \frac{1 - 1}{\sqrt{5}} = \frac{\left(\frac{1+\sqrt{5}}{2}\right)^0 - \left(\frac{1-\sqrt{5}}{2}\right)^0}{\sqrt{5}}$$

Base Case 2: $n = 1$. Also in this case, a straightforward calculation yields the desired equality:

$$\text{fib}(1) = 1 = \frac{\sqrt{5}}{\sqrt{5}} = \frac{\left(\frac{1+\sqrt{5}}{2}\right)^1 - \left(\frac{1-\sqrt{5}}{2}\right)^1}{\sqrt{5}}$$

Proof of Theorem 6.1.2 (3)

Inductive Case: $n \geq 2$. Applying IH for $n-2, n-1$ we obtain as desired:

(Def. $fib(n)$)

$$fib(n) = fib(n-2) + fib(n-1)$$

(IH (2x))

$$= \frac{\left(\frac{1+\sqrt{5}}{2}\right)^{n-2} - \left(\frac{1-\sqrt{5}}{2}\right)^{n-2}}{\sqrt{5}} + \frac{\left(\frac{1+\sqrt{5}}{2}\right)^{n-1} - \left(\frac{1-\sqrt{5}}{2}\right)^{n-1}}{\sqrt{5}}$$

$$= \frac{\left[\left(\frac{1+\sqrt{5}}{2}\right)^{n-2} + \left(\frac{1+\sqrt{5}}{2}\right)^{n-1}\right] - \left[\left(\frac{1-\sqrt{5}}{2}\right)^{n-2} + \left(\frac{1-\sqrt{5}}{2}\right)^{n-1}\right]}{\sqrt{5}}$$

$$= \frac{\left(\frac{1+\sqrt{5}}{2}\right)^{n-2} \left[1 + \frac{1+\sqrt{5}}{2}\right] - \left(\frac{1-\sqrt{5}}{2}\right)^{n-2} \left[1 + \frac{1-\sqrt{5}}{2}\right]}{\sqrt{5}}$$

$$(*) = \frac{\left(\frac{1+\sqrt{5}}{2}\right)^{n-2} \left(\frac{1+\sqrt{5}}{2}\right)^2 - \left(\frac{1-\sqrt{5}}{2}\right)^{n-2} \left(\frac{1-\sqrt{5}}{2}\right)^2}{\sqrt{5}}$$

$$= \frac{\left(\frac{1+\sqrt{5}}{2}\right)^n - \left(\frac{1-\sqrt{5}}{2}\right)^n}{\sqrt{5}}$$

Proof of Theorem 6.1.2 (4)

...where the equality marked by (*) holds because of the following two sequences of equalities, whose validity can be established by means of the binomial formulae:

$$\left(\frac{1 + \sqrt{5}}{2}\right)^2 = \frac{1 + 2\sqrt{5} + 5}{4} = \frac{6 + 2\sqrt{5}}{4} = \frac{3 + \sqrt{5}}{2} = 1 + \frac{1 + \sqrt{5}}{2}$$

Similarly we can show:

$$\left(\frac{1 - \sqrt{5}}{2}\right)^2 = \frac{1 - 2\sqrt{5} + 5}{4} = \frac{6 - 2\sqrt{5}}{4} = \frac{3 - \sqrt{5}}{2} = 1 + \frac{1 - \sqrt{5}}{2}$$

□

Structural Induction – Example

Let

```
data Tree = Leaf Int
          | Node Tree Tree
```

Structural induction allows us to prove:

Theorem (6.1.3)

The number of leafs of each completely balanced tree t of the data structure `Tree` is a power of 2.

Proof of Theorem 6.1.3 (1)

Proof of Theorem 6.1.3 by means of structural induction:

For each tree t of `Tree` let `numLeafs(t)` denote the number of leafs of t

Base Case: Let $t = \text{Leaf } n$ for some n . In this case we obtain as desired:

$$\text{numLeafs}(t) = \text{numLeafs}(\text{Leaf } n) = 1 = 2^0$$

Proof of Theorem 6.1.3 (2)

Inductive Case: Let $t = \text{Node } t_1 \ t_2$ for some completely balanced trees t_1 and t_2 of **Tree** with the same number of leaves.

By means of the **induction hypothesis (IH)** and the choice of t_1 and t_2 we can assume that the number of leafs of t_1 and t_2 are a powers of 2.

Hence, there exists a natural number k such that

$$\text{numLeaves}(t_1) = 2^k = \text{numLeaves}(t_2)$$

Due to the choice of t as

$$\text{numLeafs}(t) = \text{numLeafs}(\text{Node } t_1 \ t_2)$$

we have the desired equality:

$$\begin{aligned} \text{numLeaves}(t) &= \text{numLeafs}(\text{Node } t_1 \ t_2) = \\ &2^k + 2^k = 2 * 2^k = 2^{(k+1)} \end{aligned}$$



Remark

The proof principles of

- ▶ natural (mathematical)
- ▶ strong
- ▶ structural

induction have the same power.

Chapter 6.2

Inductive Proofs on Lists

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

6.1

6.2

6.3

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

443/114

Inductive Proofs on (finite) Lists

Proof pattern:

Let P be a property on lists.

1. **Base case:** prove that P holds for the empty list, i.e. prove $P([])$.
2. **Inductive case:** prove under the assumption of the validity of $P(xs)$ (**induction hypothesis**) the validity of $P(x : xs)$.

Inductive Proofs on (finite) Lists

Proof pattern:

Let P be a property on lists.

1. **Base case:** prove that P holds for the empty list, i.e. prove $P([])$.
2. **Inductive case:** prove under the assumption of the validity of $P(xs)$ (**induction hypothesis**) the validity of $P(x : xs)$.

Note:

This pattern is an instance of the more general pattern of

- ▶ **structural induction.**

Induction on finite Lists / Example 1(2)

Lemma (6.2.1)

$$\forall xs, ys. \text{length } (xs ++ ys) = \text{length } xs + \text{length } ys$$

Proof on the inductive structure of xs .

Base case:

$$\begin{aligned} & \text{length}([] ++ ys) \\ = & \text{length } ys \\ = & 0 + \text{length } ys \\ = & \text{length } [] + \text{length } ys \end{aligned}$$

Induction on finite Lists / Example 2(2)

Inductive case:

$$\begin{aligned} & \text{length}((x : xs) ++ ys) \\ = & \text{length } (x : (xs ++ ys)) \\ = & 1 + \text{length } (xs ++ ys) \\ \text{(IH)} \quad = & 1 + (\text{length } xs + \text{length } ys) \\ = & (1 + \text{length } xs) + \text{length } ys \\ = & \text{length } (x : xs) + \text{length } ys \end{aligned}$$



Equality of Functions (1)

```
listSum :: Num a => [a] -> a
listSum []     = 0
listSum (x:xs) = x + listSum xs
```

Lemma (6.2.2)

$$\forall xs. \text{listSum } xs = \text{foldr } (+) 0 xs$$

Proof on the inductive structure of xs .

Base case:

$$\begin{aligned} & \text{listSum } [] \\ = & 0 \\ = & \text{foldr } (+) 0 [] \end{aligned}$$

Equality of Functions (2)

Inductive case:

$$\begin{aligned} & \textit{listSum} (x : xs) \\ = & x + \textit{listSum} xs \\ \text{(IH)} \quad = & x + \textit{foldr} (+) 0 xs \\ = & \textit{foldr} (+) 0 (x : xs) \end{aligned}$$



Properties of map and fold (1)

Some more examples of inductively provable properties.

```
map (\x -> x) = \x -> x
```

```
map (f.g) = map f . map g
```

```
map f.tail = tail . map f
```

```
map f . reverse = reverse . map f
```

```
map f . concat = concat . map (map f)
```

```
map f (xs++ys) = map f xs ++ map f ys
```

Supposed that f is strict, we can additionally prove:

```
f . head = head . map f
```

Properties of map and fold (2)

We can also show inductively:

(1) If op is associative with e 'op' $x = x$ and x 'op' $e = x$ for all x , then for all finite xs

$$\text{foldr } op \ e \ xs = \text{foldl } op \ e \ xs$$

(2) If

$$x \text{ 'op1' } (y \text{ 'op2' } z) = (x \text{ 'op1' } y) \text{ 'op2' } z \quad \text{and} \\ x \text{ 'op1' } e = e \text{ 'op2' } x$$

then for all finite xs

$$\text{foldr } op1 \ e \ xs = \text{foldl } op2 \ e \ xs$$

(3) For all finite xs

$$\text{foldr } op \ e \ xs = \text{foldl } (\text{flip } op) \ e \ (\text{reverse } xs)$$

Properties of List Concatenation

...for all xs , ys and zs holds:

$(xs ++ ys) ++ zs = xs ++ (ys ++ zs)$ (Associativity of $(++)$)
 $xs ++ [] = [] ++ xs$ ($[]$ neutral element of $(++)$)

Properties of take and drop

...for all m, n with $m, n \geq 0$ and finite xs holds:

```
take n xs ++ drop n xs = xs
```

```
take m . take n = take (min m n)
```

```
drop m . drop n = drop (m+n)
```

```
take m . drop n = drop n . take (m+n)
```

...for $n \geq m$ additionally holds:

```
drop m . take n = take (n-m) . drop m
```

Properties of reverse

...for all finite `xs` holds:

`reverse (reverse xs) = xs`

`head (reverse xs) = last xs`

`last (reverse xs) = head xs`

Chapter 6.3

Inductive Proofs on Streams

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

6.1

6.2

6.3

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

454/114

Finite Lists vs. Streams

Properties of (finite) lists

- ▶ can
e.g., `take n xs ++ drop n xs = xs`
- ▶ but need not be transferable to streams
e.g., `reverse (reverse xs) = xs`

This necessitates

- ▶ new proof strategies.

Intuition

Successively approximating lists

- ▶ finite situation, e.g., [1,2,3,4]

bottom

1 : bottom

1 : 2 : bottom

1 : 2 : 3 : bottom

1 : 2 : 3 : 4 : bottom

1 : 2 : 3 : 4 : []

- ▶ infinite situation, e.g., [1,2,3,4,..]

bottom

1 : bottom

1 : 2 : bottom

1 : 2 : 3 : bottom

1 : 2 : 3 : 4 : bottom

1 : 2 : 3 : 4 : 5 : bottom

...

We say

- ▶ bottom (*totally undefined list*)
- ▶ 1 : 2 : 3 : 4 : 5 : .. : bottom (*partial list*)

Remark

...each Haskell data type has a special value \perp (bottom).

Polymorphic

```
bot :: a
```

```
bot = bot
```

Concrete

```
bot :: Integer
```

\perp represents

- ▶ faulty or non-terminating computations
- ▶ can be considered the “least” approximation of (ordinary) elements of the corresponding data type

Inductive Proofs over Streams

Proof pattern:

Let P be a property on streams.

1. **Base case:** prove that P holds for the least defined list, i.e. prove $P(\perp)$ (instead of $P([])$).
2. **Inductive case:** prove under the assumption of the validity of $P(xs)$ (**induction hypothesis**) the validity of $P(x : xs)$.

Induction over Streams / Example 1(2)

Lemma (6.3.1)

$$\forall \text{ streams } xs. \text{ take } n \text{ } xs \ ++ \ \text{ drop } n \text{ } xs = xs$$

Proof on the inductive structure of xs .

Base case:

$$\begin{aligned} & \text{take } n \ \perp \ ++ \ \text{drop } n \ \perp \\ = & \ \perp \ ++ \ \text{drop } n \ \perp \\ = & \ \perp \end{aligned}$$





Induction over Streams / Example 2(2)

Inductive case:



$$\begin{aligned} & \text{take } n \ (x : xs) \ ++ \ \text{drop } n \ (x : xs) \\ = & \ x : (\text{take } (n - 1) \ xs \ ++ \ \text{drop } (n - 1) \ xs) \\ \text{(IH)} \ = & \ x : xs \end{aligned}$$






Chapter 6: Further Reading (1)

-  Martin Aigner, Günter M. Ziegler. *Proofs from the Book*. 4th edition, Springer-V., 2010.
-  Richard Bird, Phil Wadler. *An Introduction to Functional Programming*. Prentice Hall, 1988. (Chapter 5, Induction and Recursion)
-  Marco Block-Berlitz, Adrian Neumann. *Haskell Intensivkurs*. Springer Verlag, 2011. (Kapitel 18, Programme verifizieren und testen)
-  Manuel Chakravarty, Gabriele Keller. *Einführung in die Programmierung mit Haskell*. Pearson Studium, 2004. (Kapitel 9.1.2, Induktion; Kapitel 9.1.3, Strukturelle Induktion; Kapitel 9.2, Mit Lemmata und Generalisierung arbeiten; Kapitel 9.3, Programmherleitung)




Chapter 6: Further Reading (2)

-  Antonie J. T. Davie. *An Introduction to Functional Programming Systems using Haskell*. Cambridge University Press, 1992. (Chapter 9, Correctness)
-  Kees Doets, Jan van Eijck. *The Haskell Road to Logic, Maths and Programming*. Texts in Computing, Vol. 4, King's College, UK, 2004. (Chapter 3, The Use of Logic: Proof – Proof Style, Proof Recipes, Strategic (Proof) Guidelines; Chapter 7, Induction and Recursion; Chapter 10, Corecursion – Proof by Approximation, Proof by Coinduction; Chapter 11.1, More on Mathematical Induction)



Chapter 6: Further Reading (3)

-  Paul Hudak. *The Haskell School of Expression: Learning Functional Programming through Multimedia*. Cambridge University Press, 2000. (Chapter 11, Proof by Induction; Chapter 14.6, Inductive Properties of Infinite Lists)
-  Hanne Riis Nielson, Flemming Nielson. *Semantics with Applications: A Formal Introduction*. Wiley, 1992. Chapter 1, Introduction – Structural Induction; Chapter 6, Axiomatic Program Verification – Fixed Point Induction)
-  Hanne Riis Nielson, Flemming Nielson. *Semantics with Applications: An Appetizer*. Springer-V., 2007. Chapter 1, Introduction – Structural Induction; Chapter 9, Axiomatic Program Verification – Fixed Point Induction)

Chapter 6: Further Reading (4)

-  Lawrence C. Paulson. *Logic and Computation – Interactive Proof with Cambridge LCF*. Cambridge University Press, 1987. (Chapter 4, Structural Induction; Chapter 10, Sample Proofs (with Cambridge LCF))
-  Peter Pepper. *Funktionale Programmierung in OPAL, ML, Haskell und Gofer*. Springer-Verlag, 2nd edition, 2003. (Kapitel 11.4.1, Über wohlfundierte Ordnungen; Kapitel 11.4.2, Wie beweist man Terminierung?)
-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-V., 2006. (Kapitel 10, Beispiel: Berechnung von Fixpunkten)

Chapter 6: Further Reading (5)

-  Simon Thompson. *Haskell: The Craft of Functional Programming*. Addison-Wesley/Pearson, 2nd edition, 1999. (Chapter 8, Reasoning about Programs; Chapter 17.9, Proof revisited)
-  Simon Thompson. *Proof for Functional Programming*. In *Research Directions in Parallel Functional Programming*, Kevin Hammond, Greg Michaelson (Eds.), Springer-V., 93-119, 1999.

Part IV

Advanced Language Concepts

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

6.1

6.2

6.3

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

467/114

Chapter 7

Functional Arrays

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

468/114

Imperative Arrays

For **imperative arrays** holds:

- ▶ A value of the array can be accessed or updated in constant time.
- ▶ The update operation does not need extra space.
- ▶ There is no need for chaining the array elements with pointers as they can be stored in contiguous memory locations.

Lists and Functional Arrays

(Functional) lists

- ▶ do not enjoy the favorable list of characteristics of imperative arrays; most importantly, values of a list cannot be accessed or updated in constant time.
 - ▶ Using `(!!)` to access the i th element of a list takes a number of steps **proportional** to i .
- ▶ Lists can be arbitrarily long, potentially even infinite.

Lists and Functional Arrays

(Functional) lists

- ▶ do not enjoy the favorable list of characteristics of imperative arrays; most importantly, values of a list cannot be accessed or updated in constant time.
 - ▶ Using `(!!)` to access the i th element of a list takes a number of steps **proportional** to i .
- ▶ **Lists can be arbitrarily long, potentially even infinite.**

Functional arrays

- ▶ are designed and implemented to get **as close as possible** to the characteristics of imperative arrays.
 - ▶ Using `(!)` to access the i th element of an array takes a **constant** number of steps, regardless of i .
- ▶ **Arrays are of fixed size which must be defined at the time the array is (first) created.**

Functional Arrays

Functional arrays

- ▶ are not part of the standard prelude `Prelude.hs` of Haskell.

Various libraries

- ▶ provide different kinds of functional arrays
 - ▶ `import Array`
 - ▶ `import Data.Array.IArray`
 - ▶ `import Data.Array.Diff`

Most importantly, there are

- ▶ **Static** arrays
- ▶ **Dynamic** arrays

Static Arrays

Creating static arrays

```
import Array
```

There are three functions for creating static arrays:

- ▶ `array` *bounds list_of_associations*
- ▶ `listArray` *bounds list_of_values*
- ▶ `accumArray` *f init bounds list_of_associations*

Creating Static Arrays

The three functions for creating static arrays in more detail:

- ▶ `array :: Ix a => (a,a) -> [(a,b)] -> Array a b`
`array bounds list_of_associations`
- ▶ `listArray :: (Ix a) => (a,a) -> [b] -> Array a b`
`listArray bounds list_of_values`
- ▶ `accumArray :: (Ix a) => (b -> c -> b) -> b`
`-> (a,a) -> [(a,c)] -> Array a b`
`accumArray f init bounds list_of_associations`

The Type Class `Ix`

`Ix` denotes the class of types that are mainly used for indices of arrays.

- ▶ Members of the type class `Ix` must provide implementations of the functions
 - ▶ `range`
 - ▶ `index`
 - ▶ `inRange`
 - ▶ `rangeSize`
- ▶ `Ix` inherits from the type class `Ord` (and indirectly from the type class `Eq`):

```
class (Ord a) => Ix a where
  range      :: (a,a) -> [a]
  index      :: (a,a) -> a -> Int
  inRange    :: (a,a) -> a -> Bool
  rangeSize  :: (a,a) -> Int
```

Creating Static Arrays: The 1st Mechanism

The first and most fundamental array creation mechanism:

- ▶ `array :: Ix a => (a,a) -> [(a,b)] -> Array a b`
array bounds list_of_associations

Meaning of the arguments:

- ▶ *bounds*: gives the value of the lowest and the highest index in the array.

Example: *bounds* of a

- ▶ zero-origin vector of five elements: (0,4)
- ▶ one-origin 10 by 10 matrix: ((1,1), (10,10))

Note: The values of the bounds can be arbitrary expressions.

Creating Static Arrays: The 1st Mechanism

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Example: *bounds* of a

- ▶ zero-origin vector of five elements: (0,4)
- ▶ one-origin 10 by 10 matrix: ((1,1), (10,10))

Note: The values of the bounds can be arbitrary expressions.

- ▶ *list_of_associations*: a list of *associations*, where an association is of the form (i,x) meaning that the value of the array element i is x.

Examples

The expressions

```
a' = array (1,4) [(3,'c'),(2,'a'),(1,'f'),(4,'e')]
f n = array (0,n) [(i,i*i) | i <- [0..n]]
m   = array ((1,1),(2,3))
      [((i,j),(i*j)) | i<-[1..2], j<-[1..3]]
```

have **type**

```
a' :: Array Int Char
f   :: Int -> Array Int Int
m   :: Array (Int,Int) Int
```

and **value**

```
a' ->> array (1,4) [(1,'f'),(2,'a'),(3,'c'),(4,'e')]
f 3 ->> array (0,3) [(0,0),(1,1),(2,4),(3,9)]
m   ->> array ((1,1),(2,3)) [((1,1),1),((1,2),2),
                             ((1,3),3),((2,1),2),
                             ((2,2),4),((2,3),6)]
```

Properties of Array Creation

In general:

Arrays have **type**

- ▶ Array **a b** where
 - ▶ **a**: represents the **type** of the **index**
 - ▶ **b**: represents the **type** of the **value**

Moreover:

- ▶ An array is undefined if any specified index is out of bounds.
- ▶ If two associations in the association list have the same index, the value at that index is undefined.

This means: **array** is **strict** in the bounds but **non-strict (lazy)** in the values. In particular, an array can thus contain 'undefined' elements.

Example

The computation of the Fibonacci numbers:

```
fibs n = a
  where a = array (1,n) [(1,0), (2,1)] ++
            [(i, a!(i-1) + a!(i-2))
             | i <- [3..n]]
```

Applications:

```
fibs 3 ->> array (1,3) [(1,0), (2,1), (3,1)]
fibs 5 ->> array (1,5) [(1,0), (2,1), (3,1),
                       (4,2), (5,3)]
fibs 10 ->> array (1,10) [(1,0), (2,1), (3,1),
                          (4,2), (5,3), (6,5),
                          (7,8), (8,13), (9,21),
                          (10,34)]
```


Example (Cont'd)

More Applications:

```
fibs 5!5      ->> 3
```

```
fibs 10!10   ->> 34
```

```
fibs 100!10  ->> 34 -- Thanks to lazy evaluation
                  -- computation stops at
                  -- fibs 10!10
```

```
fibs 50!50   ->> 7.778.742.049
```

```
fibs 100!100 ->> 218.922.995.834.555.169.026
```

```
fibs 5!10 ->> Program error: Ix.index: index out
                of range
```

The Array Access Function (!)

The signature of the [array access function \(!\)](#):

$$(!) :: \text{Ix } a \Rightarrow \text{Array } a \ b \rightarrow a \rightarrow b$$

Note: The index type must be an element of type class [Ix](#), which contains operations specifically needed for index computations.

Example (Cont'd)

Note:

- ▶ The declaration of `a` in a `where`-clause is crucial for performance.
- ▶ The local declaration of `a` avoids creating new arrays during computation.

For comparison consider:

```
a n = array (1,n) ([[1,0), (2,1)] ++  
                  [(i, a n!(i-1) + a n!(i-2))  
                   | i <- [3..n]])  
xfibs n = a n
```

Example (Cont'd)

Applications:

```
xfibs 3 ->> array (1,3) [(1,0), (2,1), (3,1)]
xfibs 5 ->> array (1,5) [(1,0), (2,1), (3,1),
                        (4,2), (5,3)]
xfibs 10 ->> array (1,10) [(1,0), (2,1), (3,1), (4,2),
                          (5,3), (6,5), (7,8), (8,13),
                          (9,21), (10,34)]

xfibs 5!5 ->> 3
xfibs 10!10 ->> 34
xfibs 25!20 ->> 4.181
xfibs 25!25 ->> ...takes too long to be feasible!
```

Note: Though correct the evaluation of `xfibs n` is most inefficient due to the generation of new arrays during computation.

Creating Static Arrays: The 2nd Mechanism

The second array creation mechanism:

- ▶ `listArray :: (Ix a) => (a, a) -> [b] -> Array a b`
`listArray bounds list_of_values`

Meaning of the arguments:

- ▶ *bounds*: gives the value of the lowest and the highest index in the array.
- ▶ *list_of_values*: a list of *values*.

The function `listArray`

- ▶ is useful for the frequently occurring case where an array is constructed from a list of values in index order.

Example:

```
a'' = listArray (1,4) "face"
```

```
a'' ->> array (1,4) [(1,'f'),(2,'a'),  
                   (3,'c'),(4,'e')]
```

Creating Static Arrays: The 3rd Mechanism

The third array creation mechanism:

- ▶ `accumArray :: (Ix a) => (b -> c -> b) -> b -> (a,a) -> [(a,c)] -> Array a b`
`accumArray f init bounds list_of_associations`

...removes the restriction that a given index may appear at most once in the association list. Instead, 'conflicting' indices are accumulated via a function *f*.

Meaning of the arguments:

- ▶ *f*: an accumulation function.
- ▶ *init*: gives the elements the array is initialized with.
- ▶ *bounds*: gives the value of the lowest and the highest index in the array.
- ▶ *list_of_associations*: a list of `associations`.

A Histogram Function

...using the function `accumArray`:

```
histogram :: (Ix a, Num b) =>
           (a,a) -> [a] -> Array a b
histogram bounds vs =
  accumArray (+) 0 bounds [(i,1) | i <- vs]
```

Applications:

```
histogram (1,5) [4,1,4,3,2,5,5,1,2,1,3,4,2,1,1,3,2,1]
->> array (1,5) [(1,6),(2,4),(3,3),(4,3),(5,2)]
```

```
histogram (-1,4) [1,3,1,1,3,1,1,3,1]
->> array (-1,4) [(-1,0),(0,0),(1,6),(2,0),(3,3),(4,0)]
```

```
histogram (1,3) [5,3,1,3,4,2,(-4),1,1,3,2,1,5,(-9)]
->> array
    Program error: Ix.index: index out of range
```

A Prime Number Test

...using the function `accumArray`:

```
primes :: Int -> Array Int Bool
primes n =
    accumArray (\e e' -> False) True (2,n) 1
    where l = concat [map (flip (,) ())
                      (takeWhile (<=n) [k*i | k<-[2..]]
                               | i<-[2..n 'div' 2])]
```

Applications:

```
(primes 100)!1 ->> Program error: Ix.index: index
                  out of range

(primes 100)!2  ->> True
(primes 100)!4  ->> False
(primes 100)!71 ->> True
(primes 100)!100 ->> False

(primes 100)!101 ->> Program error: Ix.index: index
                    out of range
```


A Prime Number Test (Cont'd)

More Applications:

```
elems (primes 10)
->> [True,True,False,True,False,True,False,False,False]
```

```
assocs (primes 10)
->> [(2,True),(3,True),(4,False),(5,True),(6,False),
     (7,True),(8,False),(9,False),(10,False)]
```

```
yieldPrimes (assocs (primes 100))
->> [2,3,5,7,11,13,17,19,23,29,31,37,41,43,47,53,
     59,61,67,71,73,79,83,89,97]
```

where

```
yieldPrimes :: [(a,Bool)] -> [a]
yieldPrimes [] = []
yieldPrimes ((v,w):t)
  | w          = v : yieldPrimes t
  | otherwise = yieldPrimes t
```

Array Operators

Array operators are:

- ▶ `!`: array **subscripting**.
- ▶ `bounds`: yields **bounds** of an array.
- ▶ `indices`: yields **list of indices** of an array.
- ▶ `elems`: yields **list of elements** of an array.
- ▶ `assocs`: yields **list of associations** of an array.
- ▶ `//`: array updating – the operator `//` takes an array and a list of associations and returns a **new array** identical to the left argument except for every element specified by the right argument list.

This means: `//` does **not** perform a **destructive update!**

- ▶ ...

Array Operators (Cont'd)

- ▶ `(!)` `:: (Ix a) => Array a b -> a -> b`
- ▶ `bounds` `:: (Ix a) => Array a b (a,a)`
- ▶ `indices` `:: (Ix a) => Array a b -> [a]`
- ▶ `elems` `:: (Ix a) => Array a b -> [b]`
- ▶ `assocs` `:: (Ix a) => Array a b -> [(a,b)]`
- ▶ `(//)` `:: (Ix a) => Array a b -> [(a,b)] -> Array a b`
- ▶ ...

Illustrating the Usage of Array Operators

Let

```
m = array ((1,1), (2,3)) [((i,j), (i*j))  
                        | i<-[1..2], j<-[1..3]]
```

Then

```
m ->> array ((1,1), (2,3)) [((1,1),1), ((1,2),2), ((1,3),3),  
                          ((2,1),2), ((2,2),4), ((2,3),6)]
```

```
m!(1,2) ->> 2, m!(2,2) ->> 4, m!(2,3) ->> 6
```

```
bounds m ->> ((1,1), (2,3))
```

```
indices m ->> [(1,1), (1,2), (1,3), (2,1), (2,2), (2,3)]
```

```
elems m ->> [1,2,3,2,4,6]
```

```
assocs m ->> [((1,1),1), ((1,2),2), ((1,3),3),  
             ((2,1),2), ((2,2),4), ((2,3),6)]
```

```
m // [((1,1),4), ((2,2),8)]
```

```
->> array ((1,1), (2,3)) [((1,1),4), ((1,2),2), ((1,3),3),  
                          ((2,1),2), ((2,2),8), ((2,3),6)]
```

Illustrating the Update Operator

The `histogram` function:

```
histogram (lower,upper) xs
  = updHist (array (lower,upper)
                 [(i,0) | i<-[lower..upper]])
            xs

updHist a [] = a
updHist a (x:xs) = updHist (a // [(x, (a!x + 1))]) xs
```

Application:

```
histogram (0,9) [3,1,4,1,5,9,2]
->> array (0,9) [(0,0), (1,2), (2,1), (3,1), (4,1),
                 (5,1), (6,0), (7,0), (8,0), (9,1)]
```

Illustrating the accum Operator

Instead of replacing the old value, values with the same index could also be combined using the predefined:

- ▶ `accum :: (Ix a) => (b -> c -> b) -> Array a b -> [(a,c)] -> Array a b`
`accum function array list_of_associations`

Application:

```
accum (+) m [((1,1),4), ((2,2),8)]
->> array ((1,1),(2,3))
        [((1,1),5), ((1,2),2), ((1,3),3),
         ((2,1),2), ((2,2),12), ((2,3),6)]
```

Note:

- ▶ The result is a **new** matrix identical to **m** except for the elements **(1,1)** and **(2,2)** to which **4** and **8** have been added, respectively.

Higher-Order Array Functions

Higher-order functions can be defined on arrays just as on lists.

For illustration consider:

- ▶ The expression

```
map (\x -> x*10) a
```

...creates a new array where all elements of `a` are multiplied by `10`.

- ▶ The expression

```
ixmap b f a = array b [(k, a ! f k) | k<-range b]
```

...

with

```
ixmap :: (Ix a, Ix b) => (a,a) -> (a -> b)  
      -> Array b c -> Array a c
```

Higher-Order Array Functions (Cont'd)

The functions `row` and `col` return a row and a column of a matrix:

```
row :: (Ix a, Ix b) =>
      a -> Array (a,b) c -> Array b c
row i m = ixmap (l', u') (\j->(i,j)) m
  where ((l,l'),(u,u')) = bounds m

col :: (Ix a, Ix b) =>
      a -> Array (b,a) c -> Array b c
col j m = ixmap (l,u) (\i->(i,j)) m
  where ((l,l'),(u,u')) = bounds m
```


Higher-Order Array Functions (Cont'd)

Applications:

```
row 1 m ->> array (1,3) [(1,1),(2,2),(3,3)]
```

```
row 2 m ->> array (1,3) [(1,2),(2,4),(3,6)]
```

```
row 3 m ->> array (1,3) [(1,
```

```
Program error: Ix.index: index out of  
range
```

```
col 1 m ->> array (1,2) [(1,1),(2,2)]
```

```
col 2 m ->> array (1,2) [(1,2),(2,4)]
```

```
col 3 m ->> array (1,2) [(1,3),(2,6)]
```

```
col 4 m ->> array (1,2) [(1,
```

```
Program error: Ix.index: index out of  
range
```

Dynamic Arrays

Creating dynamic arrays

```
import Data.Array.Diff
```

Instead of

- ▶ type [Array](#)

we now have to use

- ▶ type [DiffArray](#)

...everything else remains the same.

Summing up

Static Arrays

- ▶ **Access operator (!)**: access to each array element in constant time.
- ▶ **Update operator (//)**: no destructive updates; instead an identical copy of the argument array is created except of those elements which were 'updated.' Updates thus do not take constant time.

Dynamic Arrays





- ▶ **Update operator (//)**: destructive updates; updates take constant time per index.
- ▶ **Access operator (!)**: access to array elements may sometimes take longer as for static arrays.

Summing up (Cont'd)





Recommendation

- ▶ Dynamic arrays should only be used if constant time updates are crucial for the application.
- ▶ Often, updates can completely be avoided by smartly formulated recursive array constructions (cp. the [prime number test](#) in this chapter).

Chapter 7: Further Reading (1)

-  Marco Block-Berlitz, Adrian Neumann. *Haskell Intensivkurs*. Springer Verlag, 2011. (Chapter 10.1, Arrays)
-  Antonie J. T. Davie. *An Introduction to Functional Programming Systems using Haskell*. Cambridge University Press, 1992. (Chapter 4.6, Arrays)
-  Fethi Rabhi, Guy Lapalme. *Algorithms – A Functional Programming Approach*. Addison-Wesley, 1999. (Chapter 2.7, Arrays; Chapter 4.3, Arrays)
-  Paul Hudak. *The Haskell School of Expression: Learning Functional Programming through Multimedia*. Cambridge University Press, 2000. (Chapter 19.4, All the World is a Grid; Chapter 24.6, The Index Class)

Chapter 7: Further Reading (2)

-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-Verlag, 2006. (Kapitel 14, Funktionale Arrays und numerische Mathematik)
-  Simon Peyton Jones (Hrsg.). *Haskell 98: Language and Libraries. The Revised Report*. Cambridge University Press, 2003. www.haskell.org/definitions. (Chapter 16, Arrays)
-  Bryan O'Sullivan, John Goerzen, Don Stewart. *Real World Haskell*. O'Reilly, 2008. (Chapter 12, Barcode Recognition – Introducing Arrays)
-  Simon Thompson. *Haskell – The Craft of Functional Programming*. Addison-Wesley, 2nd edition, 1999. (Chapter 19, Time and space behaviour – arrays)

Chapter 8

Abstract Data Types

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Concrete vs. Abstract Data Types

Concrete Data Types (CDTs)

- ▶ A new CDT is specified by **naming its values**.
- ▶ With the exception of functions, each value is of a type is described by a unique expression in terms of constructors.
- ▶ Using definition by pattern matching as a basis, these expressions can be generated, inspected, and modified in various ways.
- ▶ There is no need to specify the operations associated with a type.
- ▶ The Haskell means for defining CDTs are **algebraic** data type definitions.

Concrete vs. Abstract Data Types (Cont'd)

Abstract Data Types (ADTs)

- ▶ A new ADT is not specified by naming its values but by **naming its operations**.
- ▶ How values are represented is thus less important than what operations are provided for manipulating them, whose meaning, of course, has to be described
 - ▶ **degree of freedom for the implementation!**
 - ▶ **Information hiding!**
- ▶ There is no dedicated means in Haskell for defining ADTs; ADTs, however, can be defined using **modules**.

Concrete vs. Abstract Data Types (Cont'd)

Implementing an ADT

- ▶ When implementing an ADT, a representation of its values has to be provided, and a definition of the operations of the type in terms of this representation.
- ▶ The representation can be chosen e.g. for grounds of simplicity or efficiency.
- ▶ It has to be shown that the implemented operations satisfy the prescribed relationships.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

504/114

In the following

...we consider **abstract data types** for

- ▶ Stacks
- ▶ Queues
- ▶ Priority Queues
- ▶ Tables

Chapter 8.1

Stacks

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

The Abstract Data Type Stack (1)

The user-visible interface specification of the Abstract Data Type (ADT) Stack:

```
module Stack (Stack, push, pop, top,
              emptyStack, stackEmpty) where

push      :: a -> Stack a -> Stack a
pop       :: Stack a -> Stack a
top       :: Stack a -> a
emptyStack :: Stack a
stackEmpty :: Stack a -> Bool
```

Note: In a stack elements are removed in a **last-in/first-out (LIFO)** order.

The Abstract Data Type Stack (2)

A user-invisible implementation of Stack as an algebraic data type (using data):

```
data Stack a = EmptyStk
              | Stk a (Stack a)

push x s = Stk x s

pop EmptyStk = error "pop from an empty stack"
pop (Stk _ s) = s

top EmptyStk = error "top from an empty stack"
top (Stk x _) = x

emptyStack = EmptyStk

stackEmpty EmptyStk = True
stackEmpty _         = False
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

508/114

The Abstract Data Type Stack (3)

A user-invisible implementation of Stack as an algebraic data type (using `newtype`):

```
newtype Stack a = Stk [a]
```

```
push x (Stk xs) = Stk (x:xs)
```

```
pop (Stk [])      = error "pop from an empty stack"
```

```
pop (Stk (_:xs)) = Stk xs
```

```
top (Stk [])      = error "top from an empty stack"
```

```
top (Stk (x:_)) = x
```

```
emptyStack = Stk []
```

```
stackEmpty (Stk []) = True
```

```
stackEmpty (Stk _) = False
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

509/114

Displaying Stacks (1)

Note:

- ▶ The constructors `EmptyStk` and `Stk` are not exported from the module.
- ▶ This implies that a user of the module can not use or create a `Stack` by any other way than the operations exported by the module
- ▶ While this is actually so desired, the user can also not display a value of type `Stack` except for the crude and cumbersome way of completely popping the whole stack.

Next, we describe and compare to ways to display stacks and their elements more elegantly.

Displaying Stacks (2)

The easy way: Using a deriving-clause

```
data Stack a = EmptyStk
              | Stk a (Stack a) deriving Show
```

```
newtype Stack a = Stk [a] deriving Show
```

Effect:

```
push 3 (push 2 (push 1 emptyStack))
->> Stk 3 (Stk 2 (Stk 1 EmptyStk))
```

```
push 3 (push 2 (push 1 emptyStack))
->> Stk [3,2,1]
```

Displaying Stacks (3)

Using the deriving-clause for type class Show:

Advantage

- ▶ Simplicity, no effort.

Displaying Stacks (3)

Using the deriving-clause for type class Show:

Advantage

- ▶ Simplicity, no effort.

Disadvantage

- ▶ The implementation of the ADT `Stack` is disclosed to the programmer (though the user cannot access the representation in any way outside the module definition of the ADT `Stack`).

Displaying Stacks (4)

A smarter solution:

```
instance (Show a) => Show (Stack a) where
  showsPrec _ EmptyStk str = showChar '-' str
  showsPrec _ (Stk x s) str
    = shows x (showChar '|' (shows s str))
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

513/114

Displaying Stacks (4)

A smarter solution:

```
instance (Show a) => Show (Stack a) where
  showsPrec _ EmptyStk str = showChar '-' str
  showsPrec _ (Stk x s) str
    = shows x (showChar '|' (shows s str))
```

```
instance (Show a) => Show (Stack a) where
  showsPrec _ (Stk []) str = showChar '-' str
  showsPrec _ (Stk (x:xs)) str
    = shows x (showChar '|' (shows (Stk xs) str))
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

513/114

Displaying Stacks (4)

A smarter solution:

```
instance (Show a) => Show (Stack a) where
  showsPrec _ EmptyStk str = showChar '-' str
  showsPrec _ (Stk x s) str
    = shows x (showChar '|' (shows s str))
```

```
instance (Show a) => Show (Stack a) where
  showsPrec _ (Stk []) str = showChar '-' str
  showsPrec _ (Stk (x:xs)) str
    = shows x (showChar '|' (shows (Stk xs) str))
```

Effect:

```
push 3 (push 2 (push 1 emptyStack)) ->> 3|2|1|-
```

Displaying Stacks (5)

This way:

- ▶ The implementation of the ADT `Stack` remains hidden. It is not disclosed to the user.
- ▶ The output is the same for both implementations!

Note:

- ▶ The first argument of `showsPrec` is an unused precedence value.

Last but not least

An implementation of stacks in terms of

- ▶ predefined lists in Haskell: `type Stack a = [a]` would be possible, too.

Advantage

- ▶ Even less conceptual overhead as for the implementation in terms of `newtype Stack a = Stk [a]`

Disadvantage

- ▶ All predefined functions on lists would be available on stacks, too.
- ▶ Many of these, however, e.g. for reversing a list, for picking some arbitrary element, are not meaningful for stacks.
- ▶ Implementing stacks in terms of predefined lists would not automatically exclude the application of such meaningless functions but require to explicitly abstain from them. Conceptually, this is disadvantageous.

Chapter 8.2

Queues

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

The Abstract Data Type Queue (1)

The user-visible interface specification of the Abstract Data Type (ADT) Queue:

```
module Queue (Queue,emptyQueue,queueEmpty,
              enqueue,deQueue,front) where

emptyQueue  :: Queue a
queueEmpty  :: Queue a -> Bool
enqueue     :: a -> Queue a -> Queue a
deQueue     :: Queue a -> Queue a
front       :: Queue a -> a
```

Note: In a queue elements are removed in a **first-in/first-out (FIFO)** order.

The Abstract Data Type Queue (2)

A user-invisible implementation of Queue as an algebraic data type:

```
newtype Queue a = Q [a]
```

```
emptyQueue = Q []
```

```
queueEmpty (Q []) = True
```

```
queueEmpty _      = False
```

```
enqueue x (Q q) = Q (q ++ [x])
```

```
dequeue (Q [])      = error "dequeue: empty queue"
```

```
dequeue (Q (_:xs)) = Q xs
```

```
front (Q [])      = error "front: empty queue"
```

```
front (Q (x:_)) = x
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

518/114

Displaying Queues

The easy way: Using a deriving-clause

```
newtype Queue a = Q [a] deriving Show
```

Advantages, disadvantages:

- ▶ Cp. Chapter 8.1.

Chapter 8.3

Priority Queues

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

The Abstract Data Type PQueue (1)

The user-visible interface specification of the Abstract Data Type (ADT) PQueue:

```
module PQueue (PQueue, emptyPQ, pqEmpty,
              enPQ, dePQ, frontPQ) where

emptyPQ :: PQueue a
pqEmpty :: PQueue a -> Bool
enPQ    :: (Ord a) => a -> PQueue a -> PQueue a
dePQ    :: (Ord a) => PQueue a -> PQueue a
frontPQ :: (Ord a) => PQueue a -> a
```

Note: In a priority queue each entry has a priority associated with it. The **dequeue** operation always removes the entry with the highest (or lowest) priority. Technically, this is ensured by the **enqueue** operation, which places a new element according to its priority in a queue.

The Abstract Data Type PQueue (2)

A user-invisible implementation of PQueue as an algebraic data type:

```
newtype PQueue a = PQ [a]
emptyPQ = PQ []
pqEmpty (PQ []) = True
pqEmpty _      = False
enPQ x (PQ q) = PQ (insert x q)
  where insert x [] = [x]
        insert x r@(e:r') | x <= e = x:r
                          | otherwise = e:insert x r'
dePQ (PQ []) = error "dePQ: empty priority queue"
dePQ (PQ (_:xs)) = PQ xs
frontPQ (PQ []) = error "frontPQ: empty priority queue"
frontPQ (PQ (x:_)) = x
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

522/114

Displaying Priority Queues

The easy way: Using a deriving-clause

```
newtype PQueue a = PQ [a] deriving Show
```

Advantages, disadvantages:

- ▶ Cp. Chapter 8.1.

Chapter 8.4

Tables

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

The Abstract Data Type Table (1)

The user-visible interface specification of the Abstract Data Type (ADT) Table:

```
module Table (Table,newTable,findTable,updTable)
where

newTable  :: (Eq b) => [(b,a)] -> Table a b
findTable :: (Eq b) => Table a b -> b -> a
updTable  :: (Eq b) => (b,a) -> Table a b
                                     -> Table a b
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

525/114

The Abstract Data Type Table (1)

The user-visible interface specification of the Abstract Data Type (ADT) Table:

```
module Table (Table,newTable,findTable,updTable)
  where

  newTable  :: (Eq b) => [(b,a)] -> Table a b
  findTable :: (Eq b) => Table a b -> b -> a
  updTable  :: (Eq b) => (b,a) -> Table a b
                                     -> Table a b
```

Note:

- ▶ The function `newTable` takes a list of `(index,value)` pairs and returns the corresponding table.
- ▶ The functions `findTable` and `updTable` are used to retrieve and update values in the table.

The Abstract Data Type Table (2)

A user-invisible implementation of Table as a function:

```
newtype Table a b = Tbl (b -> a)

newTable assoc =
  foldr updTable
    (Tbl (\_ -> error "updTable: item not found"))
    assoc

findTable (Tbl f) i = f i

updTable (i,x) (Tbl f) = Tbl g
  where g j | j==i      = x
           | otherwise = f j
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

526/114

Displaying Tables Represented as Functions

Using an instance-clause

```
instance Show (Table a b) where
  showsPrec _ _ str = showString "<<A Table>>" str
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

527/114

The Abstract Data Type Table (3)

A user-invisible implementation of Table as a list:

```
newtype Table a b = Tbl [(b,a)]

newTable t = Tbl t

findTable (Tbl []) i
  = error "findTable: item not found"
findTable (Tbl ((j,v):r)) i
  | i==j      = v
  | otherwise = findTable (Tbl r) i

updTable e (Tbl []) = Tbl [e]
updTable e'@(i,_) (Tbl (e@(j,_) : r))
  | i==j      = Tbl (e' : r)
  | otherwise = Tbl (e : r')
  where Tbl r' = updTable e' (Tbl r)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

528/114

Displaying Tables Represented as Lists

The easy way: Using a deriving-clause

```
newtype Table a b = Tbl [(b,a)] deriving Show
```

Advantages, disadvantages:

- ▶ Cp. Chapter 8.1.

The Abstract Data Type Table (4)

The user-visible interface specification of the Abstract Data Type (ADT) Table for implementation as an Array:

```
module Table (Table,newTable,findTable,updTable)
where
```

```
newTable  :: (Ix b) => [(b,a)] -> Table a b
findTable :: (Ix b) => Table a b -> b -> a
updTable  :: (Ix b) => (b,a) -> Table a b
                                     -> Table a b
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

530/114

The Abstract Data Type Table (4)

The user-visible interface specification of the Abstract Data Type (ADT) Table for implementation as an Array:

```
module Table (Table,newTable,findTable,updTable)
where

newTable    :: (Ix b) => [(b,a)] -> Table a b
findTable   :: (Ix b) => Table a b -> b -> a
updTable    :: (Ix b) => (b,a) -> Table a b
                                     -> Table a b
```

Note:

- ▶ The function `newTable` takes a list of `(index,value)` pairs and returns the corresponding table.
- ▶ The functions `findTable` and `updTable` are used to retrieve and update values in the table.

The Abstract Data Type Table (5)

A user-invisible implementation of Table as an Array:

```
newtype Table a b = Tbl (Array b a)
```

```
newTable l      = Tbl (array (lo,hi) l)
```

```
  where indices = map fst l
```

```
      lo      = minimum indices
```

```
      hi      = maximum indices
```

```
findTable (Tbl a) i = a ! i
```

```
updTable p@(i,x) (Tbl a) = Tbl (a // [p])
```

The Abstract Data Type Table (6)

Note:

- ▶ The function `newTable` determines the boundaries of the new table by computing the maximum and the minimum key in the association list.
- ▶ In the function `findTable`, access to an invalid key returns a system error, not a user error.

Displaying Tables Represented as Arrays

The easy way: Using a deriving-clause

```
newtype Table a b = Tbl (Array b a) deriving Show
```

Advantages, disadvantages:

- ▶ Cp. Chapter 8.1.

Chapter 8.5

Summing Up

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Summing up

Benefits of using **abstract data types**:

- ▶ **Information hiding**: Only the interface is publicly known; the implementation itself is hidden. This offers:
 - ▶ **Security** of the data (structure) from uncontrolled or unintended/not admitted access.
 - ▶ **Simple exchangeability** of the underlying implementation (e.g. **simplicity vs. performance**).
 - ▶ **Work-sharing** of implementation.

Summing up

Benefits of using **abstract data types**:

- ▶ **Information hiding**: Only the interface is publicly known; the implementation itself is hidden. This offers:
 - ▶ **Security** of the data (structure) from uncontrolled or unintended/not admitted access.
 - ▶ **Simple exchangeability** of the underlying implementation (e.g. **simplicity vs. performance**).
 - ▶ **Work-sharing** of implementation.

There are many more implementations of data types in terms of an **abstract data type**. E.g.:

- ▶ Sets
- ▶ Heaps
- ▶ (Binary Search) Trees
- ▶ Arrays
- ▶ ...

Arrays: An Abstract Data Type

```
module Array (  
  module Ix, -- export all of Ix for convenience  
  Array, array, listarray (!), bounds, indices,  
  elems, assocs, accumArray, (//),  
  accum, ixmap ) where  
  
import Ix  
infixl 9 !, //  
data (Ix a) => Array a b = ... -- Abstract  
  
array      :: (Ix a) => (a,a) -> [(a,b)] -> Array a b  
listArray  :: (Ix a) => (a,a) -> [b] -> Array a b  
(!)       :: (Ix a) => Array a b -> a -> b  
bounds    :: (Ix a) => Array a b (a,a)  
indices    :: (Ix a) => Array a b -> [a]  
elems     :: (Ix a) => Array a b -> [b]  
assocs    :: (Ix a) => Array a b -> [(a,b)]
```


Arrays: An Abstract Data Type (Cont'd)

```
accumArray :: (Ix a) => (b -> c -> b) -> b
              -> (a,a) -> [(a,c)] -> Array a b
(//)       :: (Ix a) => Array a b -> [(a,b)]
              -> Array a b
accum      :: (Ix a) => (b -> c -> b) -> Array a b
              -> [(a,c)] -> Array a b
ixmap     :: (Ix a, Ix b) => (a,a) -> (a -> b)
              -> Array b c -> Array a c

instance Functor (Array a) where...
instance (Ix a, Eq b) => Eq (Array a b) where...
instance (Ix a, Ord b) => Ord (Array a b) where...
instance (Ix a, Show a, Show b)
    => Show (Array a b) where...
instance (Ix a, Read a, Read b)
    => Read (Array a b) where...
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

537/114

Arrays: An Abstract Data Type (Cont'd)

Cf.

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Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

8.1

8.2

8.3

8.4

8.5

Chap. 9

Chap. 10

Chap. 11

Chap. 12





Chap. 13

Chap. 14





Chap. 15

538/114

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-  John V. Guttag. *Abstract Data Types and the Development of Data Structures*. Communications of the ACM 20(6): 396-404, 1977.
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(Kapitel 14.1, Abstrakte Datentypen; Kapitel 14.3, Generische abstrakte Datentypen; Kapitel 14.4, Abstrakte Datentypen in ML und Gofer; Kapitel 15.3, Ein abstrakter Datentyp für Sequenzen)
-  Simon Thompson. *Haskell – The Craft of Functional Programming*. Addison-Wesley, 2nd edition, 1999.
(Chapter 16, Abstract data types)

Chapter 9

Functors

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

542/114

Outline

In Chapter 7 of LVA 185.A03 we were going

- ▶ from [functions](#) to [higher-order functions](#)

In this chapter we are going

- ▶ from [type classes](#) to [higher-order type classes](#)

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

543/114

Chapter 9.1

Motivation

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

544/114

Recall “Kapitel 7, LVA 185.A03”

Funktionale Abstraktion höherer Stufe (1)

(siehe Fethi Rabhi, Guy Lapalme. [Algorithms - A Functional Approach](#), Addison-Wesley, 1999, S. 7f.)

Betrachte folgende Beispiele:

- ▶ Fakultätsfunktion:

$$\begin{aligned} \text{fac } n \mid n==0 &= 1 \\ &\mid n>0 = n * \text{fac } (n-1) \end{aligned}$$

- ▶ Summe der n ersten natürlichen Zahlen:

$$\begin{aligned} \text{natSum } n \mid n==0 &= 0 \\ &\mid n>0 = n + \text{natSum } (n-1) \end{aligned}$$

- ▶ Summe der n ersten natürlichen Quadratzahlen:

$$\begin{aligned} \text{natSquSum } n \mid n==0 &= 0 \\ &\mid n>0 = n*n + \text{natSquSum } (n-1) \end{aligned}$$

Kap. 1

Kap. 2

Kap. 3

Kap. 4

Kap. 5

Kap. 6

Kap. 7

Kap. 8

Kap. 9

Kap. 10

Kap. 11

Kap. 12

Kap. 13

Kap. 14

Kap. 15

Kap. 16

Kap. 17

Literatur

1/873

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

545/114

Recall “Kapitel 7, LVA 185.A03”

Funktionale Abstraktion höherer Stufe (2)

Beobachtung:

- ▶ Die Definitionen von `fac`, `sumNat` und `sumSquNat` folgen demselben **Rekursionsschema**.

Dieses zugrundeliegende gemeinsame **Rekursionsschema** ist gekennzeichnet durch:

- ▶ Festlegung eines Wertes der Funktion im
 - ▶ **Basisfall**
 - ▶ verbleibenden **rekursiven Fall** als **Kombination** des Argumentwerts `n` und des Funktionswerts für `n-1`

Kap. 1

Kap. 2

Kap. 3

Kap. 4

Kap. 5

Kap. 6

Kap. 7

Kap. 8

Kap. 9

Kap. 10

Kap. 11

Kap. 12

Kap. 13

Kap. 14

Kap. 15

Kap. 16

Kap. 17

Literatur

1/873

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

546/114

Recall “Kapitel 7, LVA 185.A03”

Funktionale Abstraktion höherer Stufe (3)

Dies legt nahe:

- ▶ Obiges **Rekursionsschema**, gekennzeichnet durch **Basisfall** und **Funktion zur Kombination von Werten**, herauszuziehen (zu abstrahieren) und musterhaft zu realisieren.

Wir erhalten:

- ▶ Realisierung des **Rekursionsschemas**

```
recScheme base comb n
  | n==0 = base
  | n>0  = comb n (recScheme base comb (n-1))
```

Kap. 1

Kap. 2

Kap. 3

Kap. 4

Kap. 5

Kap. 6

Kap. 7

Kap. 8

Kap. 9

Kap. 10

Kap. 11

Kap. 12

Kap. 13

Kap. 14

Kap. 15

Kap. 16

Kap. 17

Literatur

1/873

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

547/114

Recall “Kapitel 7, LVA 185.A03”

Funktionale Abstraktion höherer Stufe (4)

Funktionale Abstraktion höherer Stufe:

```
fac n      = recScheme 1 (*) n
```

```
natSum n   = recScheme 0 (+) n
```

```
natSquSum n = recScheme 0 (\x y -> x*x + y) n
```

Noch einfacher: In argumentfreier Ausführung

```
fac      = recScheme 1 (*)
```

```
natSum   = recScheme 0 (+)
```

```
natSquSum = recScheme 0 (\x y -> x*x + y)
```

Kap. 1

Kap. 2

Kap. 3

Kap. 4

Kap. 5

Kap. 6

Kap. 7

Kap. 8

Kap. 9

Kap. 10

Kap. 11

Kap. 12

Kap. 13

Kap. 14

Kap. 15

Kap. 16

Kap. 17

Literatur

1/873

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

548/114

Funktionale Abstraktion höherer Stufe (5)

Unmittelbarer Vorteil obigen Vorgehens:

- ▶ **Wiederverwendung** und dadurch
 - ▶ kürzerer, verlässlicherer, wartungsfreundlicherer Code

Erforderlich für erfolgreiches Gelingen:

- ▶ **Funktionen höherer Ordnung**; kürzer: **Funktionale**.

Intuition: Funktionale sind (spezielle) Funktionen, die Funktionen als Argumente erwarten und/oder als Resultat zurückgeben.

Kap. 1

Kap. 2

Kap. 3

Kap. 4

Kap. 5

Kap. 6

Kap. 7

Kap. 8

Kap. 9

Kap. 10

Kap. 11

Kap. 12

Kap. 13

Kap. 14

Kap. 15

Kap. 16

Kap. 17

Literatur

1/873

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

549/114

Recall “Kapitel 7, LVA 185.A03”

Funktionale Abstraktion höherer Stufe (6)

Illustriert am obigen Beispiel:

- ▶ Die Untersuchung des Typs von `recScheme`

`recScheme :: Int -> (Int -> Int -> Int) -> Int`
zeigt:

- ▶ `recScheme` ist ein **Funktional!**

In der Anwendungssituation des Beispiels gilt weiter:

	Wert i. Basisf. (base)	Fkt. z. Kb. v. W. (comb)
<code>fac</code>	1	(*)
<code>natSum</code>	0	(+)
<code>natSquSum</code>	0	$\backslash x y \rightarrow x*x + y$

Kap. 1
Kap. 2
Kap. 3
Kap. 4
Kap. 5
Kap. 6
Kap. 7
Kap. 8
Kap. 9
Kap. 10
Kap. 11
Kap. 12
Kap. 13
Kap. 14
Kap. 15
Kap. 16
Kap. 17
Literatur
1/873

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

550/114

Let's switch to a slightly more complex example

The higher-order function `map` on

- ▶ Lists

```
mapList :: (a -> b) -> [a] -> [b]
```

```
mapList g [] = []
```

```
mapList g (l:ls) = g l : mapList g ls
```

- ▶ (Binary) Trees

```
data Tree a = Leaf a | Node a (Tree a) (Tree a)
```

```
mapTree :: (a -> b) -> Tree a -> Tree b
```

```
mapTree g (Leaf v) = Leaf (g v)
```

```
mapTree g (Node v l r)
```

```
    = Node (g v) (mapTree g l) (mapTree g r)
```

From Higher-Order Functions

...to Higher-Order Type Classes.

It is worth noting that the implementations of

- ▶ `mapList`
- ▶ `mapTree`

like the implementations of `fac`, `natSum`, and `natSquSum` are structurally similar, too.

This similarity suggests

- ▶ striving for a function `genericMap` that covers `mapList`, `mapTree`, and more

...and leads us to the

- ▶ (type) constructor class `Functor`.

Chapter 9.2

Constructor Class Functor

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

9.1

9.2

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

553/114

The Constructor Class Functor

Functors are instances of the **constructor class Functor**:

```
class Functor f where
  fmap :: (a -> b) -> f a -> f b
```

...where the implementation of the **functor operation fmap** needs to satisfy the so-called **functor laws**.

Note:

- ▶ The argument **f** of **Functor** is applied to type variables. This means, **f** is **not a type variable** but a **type constructor** that is applied to the **type variables a and b**.
- ▶ **Members of (type) constructor classes are type constructors**, no types.
- ▶ The functor operation of an instance of **Functor** takes a polymorphic function **g :: a -> b** and yields a polymorphic function **g' :: f a -> f b**, e.g., **g :: Int -> String**, and **g' :: Month Int -> Season String**.

The Type Class Eq

For comparison recall the type class `Eq`:

```
class Eq a where
  (==), (/=) :: a -> a -> Bool
  x /= y      = not (x==y)
  x == y      = not (x/=y)
```

Note:

- ▶ The argument `a` of `Eq` is a **type variable**. Functions declared in `Eq` operate on `a`; `a` itself operates on nothing.
- ▶ This holds as well for the other type classes we considered so far such as `Ord`, `Num`, `Fractional`, etc.

Constructor Classes vs. Type Classes

In principle, these are similar concepts but with different members.

- ▶ **Constructor classes** (`Functor`, `Monad`, ...)
 - ▶ have **type constructors** (e.g., `Tree`, `[]`, `(,)`, ...) as members.
- ▶ **Type classes** (`Eq a`, `Ord a`, `Num a`, ...)
 - ▶ have **types** (e.g., `Tree a`, `[a]`, `(a,a)`, ...) as members.

Type constructors are

- ▶ functions, which from given types construct new ones.

Examples: Tuple constructors `(,)`, `(,,)`, `(,,,)`; List constructor `[]`; Functional constructor `->`; Input/output constructor `IO`, ...

The Laws of Functor

Members of the constructor class `Functor` must satisfy the following two **laws**:

$$\text{fmap id} = \text{id} \quad (\text{FL1})$$

$$\text{fmap (g.h)} = \text{fmap g} . \text{fmap h} \quad (\text{FL2})$$

Intuitively:

- ▶ The “shape of the container type” is preserved.
- ▶ The contents of the container is not regrouped.

Note:

- ▶ It needs to be proven that these laws are satisfied by a concrete instance of class `Functor` such as trees, lists, etc. This is a **proof obligation** for the **programmer!**

Creating Instances of Class Functor (1)

```
instance Functor [] where
  fmap g []      = []
  fmap g (l:ls) = g l : fmap g ls
```

```
instance Functor Tree where
  fmap g (Leaf v) = Leaf (g v)
  fmap g (Node v l r)
    = Node (g v) (fmap g l) (fmap g r)
```

Note:

- ▶ The symbol `[]` is used above in two roles, as a
 - ▶ type constructor in the line `instance Functor [a] where...`
 - ▶ value of some list type in the line `fmap g [] = []`.
- ▶ The declarations `instance Functor [a] where...` and `instance Functor (Tree a) where...` were incorrect, since `[a]` and `(Tree a)` are types, no type constructors.

Creating Instances of Class Functor (2)

The next instance declarations are equivalent but more concise:

```
instance Functor [] where
  fmap = mapList    -- user-defined mapList
```

```
instance Functor [] where
  fmap = map        -- predefined map
```

```
instance Functor Tree where
  fmap = mapTree    -- user-defined mapTree
```

Creating Instances of Class Functor (3)

Applications:

```
t = Node 2 (Node 3 (Leaf 5) (Leaf 7)) (Leaf 11)
```

```
fmap (*2) t  
->> Node 4 (Node 6 (Leaf 10) (Leaf 14)) (Leaf 22)
```

```
fmap (^3) t  
->> Node 8 (Node 27 (Leaf 125) (Leaf 343))  
      (Leaf 1331)
```

```
fmap (*2) [1..5] ->> [2,4,6,8,10]
```

```
fmap (^3) [1..5] ->> [1,8,27,64,125]
```


Quintessence

The function `fmap` of constructor class `Functor` is

- ▶ the function `genericMap`

that we were looking and striving for.

Members of the constructor class `Functor` can be

- ▶ pre-defined and user-defined `type constructors`.

Predefined Type Constructors

Examples of predefined **type constructors**:

- ▶ `(,)`, `(, ,)`, `(, , ,)`, etc.: constructors for **tuple types**
- ▶ `[]`: constructor for **list types**
- ▶ `(->)`: constructor for **functional types**

Notational Remarks

The following notations are equivalent:

- ▶ (a,b) is equivalent to $(,)$ a b
 (a,b,c) is equivalent to $(, ,)$ a b c , etc.
- ▶ $[a]$ is equivalent to $[]$ a
- ▶ $f \rightarrow g$ is equivalent to (\rightarrow) f g
- ▶ $T a b$ is equivalent to $((T a) b)$ (i.e. associativity to the left as for function application)

Illustration (1)

The signatures of the functions `fac` and `list2pair`

```
fac :: Int -> Int
```

```
fac 0 = 1
```

```
fac n = n * fac (n-1)
```

```
list2pair :: [a] -> (a,a)
```

```
list2pair (x : (y : _ )) = (x,y)
```

```
list2pair (x : _)       = (x,x)
```

Illustration (2)

...can equivalently be specified as follows:

```
fac :: (->) Int Int

list2pair :: [] a -> (a,a)
list2pair :: [a] -> (,) a a
list2pair :: (->) [a] (a,a)
list2pair :: [] a -> (,) a a
...
list2pair :: (->) ([] a) ((,) a a)
```

Nonetheless, more [easily understandable](#) (maybe only because [we are more accustomed to](#)) seem the “classical” variants:

```
fac :: Int -> Int

list2pair :: [a] -> (a,a)
```

Summing up (1)

The constructor class Functor:

```
class Functor f where
  fmap :: (a -> b) -> f a -> f b
```

Laws of Functor:

`fmap id = id` (FL1)

`fmap (g.h) = fmap g . fmap h` (FL2)

Summing up (2)

Some instance declarations:

```
instance Functor Tree where
  fmap g (Leaf v) = Leaf (g v)
  fmap g (Node v l r)
    = Node (g v) (fmap g l) (fmap g r)
```

```
instance Functor [] where
  fmap g [] = []
  fmap g (l:ls) = g l : fmap g ls
```

Summing up (3)

More concise instance declarations:

```
instance Functor [] where
  fmap = mapList    -- user-defined mapList
```

```
instance Functor [] where
  fmap = map        -- predefined map
```

```
instance Functor Tree where
  fmap = mapTree    -- user-defined mapTree
```


Summing up (4)

Some applications:

```
t = Node 2 (Node 3 (Leaf 5) (Leaf 7)) (Leaf 11)
```

```
fmap (*2) t  
->> Node 4 (Node 6 (Leaf 10) (Leaf 14)) (Leaf 22)
```

```
fmap (^3) t  
->> Node 8 (Node 27 (Leaf 125) (Leaf 343))  
      (Leaf 1331)
```




```
fmap (3^) t  
->> Node 9 (Node 27 (Leaf 243) (Leaf 2187))  
      (Leaf 177147)
```

```
fmap (*2) [1..5] ->> [2,4,6,8,10]
```

```
fmap (^3) [1..5] ->> [1,8,27,64,125]
```

```
fmap (3^) [1..5] ->> [3,9,27,81,243]
```

Chapter 9: Further Reading (1)

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Chapter 10

Monads

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Motivation

Monads – A mundane approach for composing functions, for

- ▶ functional composition!

The monad approach succeeds in

- ▶ linking and composing functions

whose types are incompatible and thus inappropriate to allow their

- ▶ simple functional composition.

Monads: A Suisse Knife for Programming

Monadic programming works well for problems involving:

- ▶ Global state
 - ▶ Updating data during computation is often simpler than making all data dependencies explicit (**State Monad**).
- ▶ Huge data structures
 - ▶ No need for replicating a data structure that is not needed otherwise.
- ▶ Side-effects and explicit evaluation orders
 - ▶ **Canonical scenario: Input/output operations (IO Monad)**.
- ▶ Exception and error handling
 - ▶ Maybe Monad

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

574/114

Illustration

Consider:

```
a-b  -- Evaluation order of a and b is not
      -- fixed. This is crucial, if input/output
      -- is involved.
```

Monads

- ▶ allow us to **explicitly specify** the order, in which operations are applied; this way, they bring an **imperative** flavour into **functional** programming.

```
do a <- getInt  -- Evaluation order is
  b <- getInt  -- explicitly fixed:
  return (a-b) -- first a, then b.
```

Chapter 10.1

Motivation

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

576/114

Setting the Stage

Consider:

$$f :: a \rightarrow b$$
$$g :: b \rightarrow c$$

Functional composition for f and g works perfectly:

$$(g \cdot f) = g (f v)$$

where

$$(g \cdot f) :: a \rightarrow c$$

Case Study “Debugging” (1)

Objective:

- ▶ Empowering `f` and `g` such that `debug-information` in terms of a string is collected and output during computation.

To this end, replace `f` and `g` by two new functions `f'` and `g'`:

```
type DebugInfo = String
```

```
f' :: a -> (b, DebugInfo)
```

```
g' :: b -> (c, DebugInfo)
```

Unfortunately:

- ▶ `f'` and `g'` cannot be composed easily: `Simple functional composition` does not work any longer because of incompatible argument and result types of `f'` and `g'`.

Case Study “Debugging” (2)

The below *ad hoc* composition works:

```
h v =  
  let (fResult,fInfo) = f' v  
      (gResult,gInfo)  = g' fResult in (gResult,gInfo++fInfo)
```

...but were impractical in practice as it continuously required implementing *new specific composition operations*.

Case Study “Debugging” (3)

Towards a more systematic approach:

- ▶ Define a new “link” function.

```
link :: (a, DebugInfo) -> (a -> (b, DebugInfo))  
                                -> (b -> DebugInfo)
```

```
link (v,s) g = let  
    (gResult,gInfo) = g v in (gResult,s++gInfo)
```

The function `link` allows us to compose `f'` and `g'` comfortably again:

```
h' v = f' v 'link' g'
```

Making it Practical: `link`, `unit`, `lift`

Introduce a new `identity` function that is a unit for `link`, and a new `lift` function that makes each function working with `link`:

```
unit v = (v, "")
lift f = unit . f
```

The functions `link`, `unit`, and `lift` can now be applied in concert.

Example:

```
f v = (v, "f called. ")
g v = (v, "g called. ")
h v = f v 'link' g 'link' (\x -> (x, "done."))
```

We obtain:

```
h 5 ->> (5, "f called. g called. done.")
```

Note that functions are applied “left to right” as desired.

Case Study “Random Numbers” (1)

The library `Data.Random` provides a function

```
random :: StdGen -> (a,StdGen)
```

for computing (pseudo) random numbers.

Ordinary functions can use random numbers, if they can (additionally) manage a value of type `StdGen` that can be used by the next operation to generate a random number:

```
f :: a -> StdGen -> (b,StdGen)
```

Problem:

- ▶ How to compose functions `f` and `g`?

```
f :: a -> StdGen -> (b,StdGen)
```

```
g :: b -> StdGen -> (c,StdGen)
```

Case Study “Random Numbers” (2)

An *ad hoc* composition:

```
h :: a -> StdGen -> (c,StdGen)
h v gen = let
  (fResult,fGen) = f v gen in g fResult fGen
```

More appropriate:

- ▶ The trio of functions `link`, `unit`, `lift`.

```
link :: (StdGen -> (a,StdGen)) ->
      (a -> StdGen -> (b,StdGen)) ->
      StdGen -> (b,StdGen)
link :: g f gen = let (v,gen') = g gen in f v gen'

unit v gen = (v,gen)
lift f      = unit . f
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

583/114

Quintessence

The previous examples enjoy

- ▶ a **common structure**.

This common structure can be encapsulated in a

- ▶ **new (type) constructor class**.

This type class will be the **(constructor) class**

- ▶ **Monad**.

Prospect: The Constructor Class Monad

```
data Debug a = D (a,String)
data Random a = R (StdGen -> (a,StdGen))

class Monad m where
-- link
(>>=) :: m a -> (a -> m b) -> m b

-- link but ignore the result component of the
-- first function
(>>) :: m a -> m b -> m b

-- neutral element wrt (>>=)
return :: a -> m a
fail :: String -> m a

-- default implementation
m >> k = f >>= _ -> k
fail    = error
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

585/114

Prospect: Instance Declaration for Random

The [instance declaration](#) for type constructor [Random](#):

```
instance Monad Random where
  (R m) >>= f = R $ \gen -> (let
                                (a,gen') = m gen
                                (R b) = f a in b gen')
  return x    = R $ \gen -> (x,gen)
```

Chapter 10.2

Constructor Class Monad

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

587/114

The Constructor Class Monad

Monads are instances of the constructor class `Monad`:

```
class Monad m where
  (>>=)  :: m a -> (a -> m b) -> m b
  return :: a -> m a
  (>>)   :: m a -> m b -> m b
  fail   :: String -> m a

m >> k = m >>= _ -> k -- default implementation
fail s = error s      -- default implementation:
                       -- represents a failing
                       -- computation that outputs
                       -- the error message s
```

...where the implementations of the monad operations `(>>=)`, `(>>)`, `return`, `fail` must satisfy the so-called monad laws.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

588/114

The Laws of Monad

Members of the constructor class `Monad` must satisfy the following three laws:

$$\text{return } a \gg= f \qquad = f \ a \qquad \text{(ML1)}$$

$$c \gg= \text{return} \qquad = c \qquad \text{(ML2)}$$

$$c \gg= (\backslash x \rightarrow (f \ x) \gg= g) = (c \gg= f) \gg= g \qquad \text{(ML3)}$$

Intuitively:

- ▶ `return` passes the value without any other effect; `return` is `unit` of (`>>=`).
- ▶ sequencings given by (`>>=`) do not depend on how they are bracketed; (`>>=`) is `associative`.

Note:

- ▶ It needs to be proven that these laws are satisfied by a concrete instance of class `Monad` such as trees, lists, etc. This is a `proof obligation` for the `programmer`!

The Laws of Monad in Terms of ($>@>$) (1)

The derived operation ($>@>$) makes the intuitive meaning of the monad laws more obvious; i.e. as obvious as **associativity** is for the ($>>$) operation:

$$c1 \gg (c2 \gg c3) = (c1 \gg c2) \gg c3$$

(**Note:** Associativity of ($>>$) is implied by that of ($>>=$).)

The operation ($>@>$) is defined by:

$$\begin{aligned} >@> &:: \text{Monad } m \Rightarrow (a \rightarrow m b) \rightarrow (b \rightarrow m c) \\ &\hspace{15em} \rightarrow (a \rightarrow m c) \\ f >@> g &= \lambda x \rightarrow (f x) \gg= g \end{aligned}$$

The Laws of Monad in Terms of ($>@>$) (2)

The **monad laws** in terms of ($>@>$):

$$\text{return } >@> f = f \quad (\text{ML1}')$$

$$f >@> \text{return} = f \quad (\text{ML2}')$$

$$(f >@> g) >@> h = f >@> (g >@> h) \quad (\text{ML3}')$$

Intuitively

- ▶ (ML1'), (ML2'): `return` is unit of ($>@>$).
- ▶ (ML3'): ($>@>$) is associative.

Note: As mentioned before, the above properties need to be ensured by the instance declaration. They do not hold *per se*.

Syntactic Sugar: The do-Notation

Monadic operations

- ▶ allow to specify the sequencing of operations explicitly.

This introduces

- ▶ an **imperative** flavour into **functional** programming.

The **syntactic sugar** of the so-called

- ▶ **do**-notation

makes this flavour more explicit.

do-Notation: A Useful Notational Variant (1)

The `do`-notation makes **composing monadic operations** syntactically more **concise**.

Four **transformation rules**

- ▶ allow to convert compositions of monadic operations into **equivalent** (`<=>`) `do`-blocks and vice versa.

(R1) `do e <=> e`

(R2) `do e1;e2;...;en <=> e1 >>= _ -> do e2;...;en`
`<=> e1 >> do e2;...;en`

(R3) `do let declist;e2;...;en <=> let declist`
`in do e2;...;en`

(R4) `do pattern <- e1;e2;...;en <=>`
`let ok pattern = do e2;...;en`
`ok _ = fail "..."`
`in e1 >>= ok`

do-Notation: A Useful Notational Variant (2)

A special case of the “[pattern rule](#)” (R4):

```
(R4') do x <- e1; e2; ...; en <=>
      e1 >>= \x -> do e2; ...; en
```

Remarks:

- ▶ (R2): If the return value of an operation is not needed, it can be moved to the front.
- ▶ (R3): A `let`-expression storing a value can be placed in front of the `do`-block.
- ▶ (R4): Return values that are bound to a pattern, require a supporting function that handles the pattern matching and the execution of the remaining operations, or that calls `fail`, if the pattern matching fails.

Note: It is rule (R4) that necessitates `fail` as a monadic operation in `Monad`. Overwriting this operation allows a monad-specific exception and error handling.

Illustrating the do-Notation

...using the **monad laws** as example.

- ▶ The **monad laws** using the **monadic operations**:

`return a >>= f` = `f a` (ML1)

`c >>= return` = `c` (ML2)

`c >>= (\x -> (f x) >>= g)` = `(c >>= f) >>= g` (ML3)

- ▶ The **monad laws** using the **do-notation**:

`do x <- return a; f x` = `f a` (ML1)

`do x <- c; return x` = `c` (ML2)

`do x <- c; y <- f x; g y` =
`do y <- (do x <- c; f x); g y` (ML3)

Quintessence: The Constructor Class Monad

```
class Monad m where
  (>>=)  :: m a -> (a -> m b) -> m b
  return :: a -> m a
  (>>)   :: m a -> m b -> m b
  fail   :: String -> m a

m >> k = m >>= \_ -> k  -- default implementation
fail s = error s        -- default implementation
```

Intuitively:

Monad operations

- ▶ describe actions with side effects.
- ▶ allow to fix the order of evaluation steps.
- ▶ support an imperative-like programming style w/out breaking the functional paradigm.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

596/114

Quintessence: Monadic Operations

Intuitively

- ▶ `(>>=)`: The sequence operator (read as **then** (according to Simon Thompson) or **bind** (according to Paul Hudak)), or – maybe – as **link**.
- ▶ **return**: Returns a value w/out any other effect.
- ▶ `(>>)`: From `(>>=)` derived sequence operator (read as **sequence** (according to Paul Hudak)).
- ▶ **fail**: Exception and error handling.

Useful Supporting Functions for Monads

```
sequence    :: Monad m => [m a] -> m [a]
sequence    = foldr mcons (return [])
              where mcons p q = do l  <- p
                                   ls <- q
                                   return (l:ls)

sequence_   :: Monad m => [m a] -> m ()
sequence_   = foldr (>>) (return ())

mapM        :: Monad m => (a -> m b) -> [a] -> m [b]
mapM f as   = sequence (map f as)

mapM_       :: Monad m => (a -> m b) -> [a] -> m ()
mapM_ f as  = sequence_ (map f as)

(=<<)       :: Monad m => (a -> m b) -> m a -> m b
f =<< x      = x >>= f
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

598/114

A Law linking Classes Monad and Functor

Type constructors that are an instance of both

- ▶ class `Monad` and class `Functor`

must satisfy the `law`:

```
fmap g xs = xs >>= return . g           (MFL)
           ( = do x <- xs; return (g x) )
```

Chapter 10.3

Predefined Monads

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

600/114

Predefined Monads

A selection of predefined monads in Haskell:

- ▶ Identity monad
- ▶ List monad
- ▶ Maybe monad
- ▶ State monad

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

601/114

The Identity Monad (1)

The [identity monad](#), conceptually the simplest monad:

```
newtype Id a = Id a

instance Monad Id where
  (Id x) >>= f = f x
  return      = Id
```

Note:

- ▶ ([>>](#)) and [fail](#) are implicitly defined by their default implementations.

The Identity Monad (2)

Remarks:

- ▶ The identity monad maps a type to itself.
- ▶ It represents the trivial state, in which no actions are performed, and values are returned immediately.
- ▶ It is useful because it allows to specify computation sequences on values of its type.
- ▶ The operation $(>@>)$ becomes for the identity monad **forward composition** of functions, i.e., $(>.>)$:
$$(>.>) :: (a \rightarrow b) \rightarrow (b \rightarrow c) \rightarrow (a \rightarrow c)$$
$$g >.> f = f . g$$
- ▶ Forward composition of functions $(>.>)$ is **associative** with **unit id**.

The List Monad (1)

The `list monad`:

```
instance Monad [] where
  xs >>= f = concat (map f xs)
  return x = [x]
  fail s   = []
```

where `concat` is from the `Standard Prelude`:

```
concat    :: [[a]] -> [a]
concat lss = foldr (++) [] lss
```

The List Monad (2)

The **list monad** can **equivalently** be defined by:

```
instance Monad [] where
  (x:xs) >>= f = f x ++ (xs >>= f)
  [] >>= f = []
  return x = [x]
  fail s = []
```

Note:

- ▶ For the **list monad** the monadic operations (**>>=**) and **return** have the types:

```
(>>=)  :: [a] -> (b -> [b]) -> [b]
return :: a -> [a]
```

The List Monad (3)

The `list monad` is closely related to `list comprehension`:

```
do x <- [1,2,3]
   y <- [4,5,6]
   return (x,y)
->> [(1,4), (1,5), (1,6), (2,4), (2,5),
      (2,6), (3,4), (3,5), (3,6)]
```

Hence, the following notations are equivalent:

```
[(x,y) | x <- [1,2,3], y <- [4,5,6] ] <=>
do x <- [1,2,3]
   y <- [4,5,6]
   return (x,y)
```

List comprehension is syntactic sugar for monadic syntax!

The List Monad (4)

List comprehension: Syntactic sugar for monadic syntax.

We have:

```
[f x | x <- xs]    <=> do x <- xs; return (f x)
```

```
[a | a <- as, p a] <=>  
  do a <- as; if (p a) then return a else fail ""
```

The Maybe Monad (1)

The `Maybe` monad:

```
data Maybe a = Nothing | Just a
```

```
instance Monad Maybe where
```

```
  (Just x) >>= k = k x
```

```
  Nothing  >>= k = Nothing
```

```
  return   = Just
```

```
  fail s   = Nothing
```

Remark:

- ▶ The `Maybe` monad is useful for computation (sequences) that might produce a result, but might also produce an error.

The Maybe Monad (2)

For the **Maybe monad** the monadic operations (`>>=`) and `return` have the types:

```
(>>=)  :: Maybe a -> (a -> Maybe b) -> Maybe b
return :: a -> Maybe a
```

The **Maybe** type is also a predefined member of the **Functor** class:

```
instance Functor Maybe where
  fmap f Nothing  = Nothing
  fmap f (Just x) = Just (f x)
```

The Maybe Monad (3)

Composing functions like

```
f :: Int -> Int
g :: Int -> Int
x :: Int
```

in `g (f x)` while assuming that the evaluation of `f` and `g` may fail, is possible by embedding the computation into the `Maybe` type:

```
case (f x) of
  Nothing -> Nothing
  Just y   -> case (g y) of
                Nothing -> Nothing
                Just z   -> z
```

Though possible, this is “[inconvenient](#).”

The Maybe Monad (4)

Embedding gets a lot easier by exploiting the membership of the **Maybe** type in the **Maybe** monad:

```
f x >>= \y -> g y >>= \z -> return z
```

which is equivalent to:

```
do y <- f x
   z <- g y
   return z
```

...the “**nasty**” error check is “**hidden**” in the **Maybe** monad.

The Maybe Monad (5)

Note that

```
f x >>= \y -> g y >>= \z -> return z
```

can also be simplified to:

```
f x >>= \y -> g y >>= \z -> return z
```

(Simplification by currying) <->

```
f x >>= \y -> g y >>= return
```

(Monad law for return) <->

```
f x >>= \y -> g y
```

(Simplification by currying) <->

```
f x >>= g
```

This way, `g (f x)` gets `f x >>= g`.

The Maybe Monad (6)

Another possibility to better cope with $(g \cdot f) x$ were to introduce the function:

```
composeM :: Monad m => (b -> m c) ->
              (a -> m b) -> (a -> m c)
(g 'composeM' f) x = f x >>= g
```

Using `composeM` we obtain:

$(g \cdot f) x$ gets $(g \text{ 'composeM' } f) x$

Note:

- ▶ Both this and the previous handling of embedding the function composition of g and f into the `Maybe` type preserve the original notation of composing g and f in an almost `1-to-1` kind.

The State Monad (1)

Objective:

- ▶ Modelling of programs with **global (internal) state** and **side effects** by means of
 - ▶ functions that applied to an **initial state** yield a **final state** as part of the overall result of the computation.

The (resp. a) **state monad**:

```
newtype State s a = St (s -> (s,a))

instance Monad (State s) where
  return x      = St (\s -> (s,x))  -- The identity
  (St m) >>= f =                    -- on states!
    St (\s -> let (s1,x) = m s      -- m applied to
                  St f'  = f x      -- s yields s1
                  in f' s1)        -- and x to which
                                     -- then f is
                                     -- applied to.
```

The State Monad (2)

Intuitively

State transformers

- ▶ model and transform **global (internal)** states.
- ▶ are (in this setting) mappings of the type $s \rightarrow (s, a)$.
- ▶ map an **initial state** to a pair consisting of a (possibly modified) **final state** and another result component of type **a**.

The State Monad (3)

A slightly different definition of the [state monad](#) for `S` some suitable type:

```
data SM a = SM (S -> (S,a))

instance Monad SM where
  return a
    = SM (\s -> (s,a))
  SM sm0 >>= fsm1
    = SM $ \s0 ->
      let (s1,a1) = sm0 s0
          SM sm1  = fsm1 a1
          (s2,a2) = sm1 s1
      in (s2,a2)
```


Predefined Monads

There are many more [predefined monads in Haskell](#):

- ▶ Writer monad
- ▶ Reader monad
- ▶ Failure monad
- ▶ ...
- ▶ [Input/output monad](#)

The Input/Output Monad (1)

The IO monad:

```
instance Monad IO where
  (>>=) :: IO a -> (a -> IO b) -> IO b
  return :: a -> IO a
```

Intuitively:

- ▶ `(>>=)`: If `p` and `q` are commands, then `p >>= q` is the command that first executes `p`, yielding thereby the return value `x` of type `a`, and then executes `q x`, thereby yielding the return value `y` of type `b`.
- ▶ `return`: Generates a return value w/out any input/output action.

The Input/Output Monad (2)

It is worth noting:

- ▶ The `IO monad` is similar in spirit to the `state monad`: It passes around the “`state of the world`.”

In more detail:

For a given suitable type `World`

- ▶ whose values represent the `current state of the world`

the notion of an `interactive program`, i.e., an `IO-program`, can be represented by a function of type

- ▶ `World -> World`

which may be abbreviated as:

```
type IO = World -> World
```

The Input/Output Monad (3)

In general:

- ▶ **Interactive programs** do not only modify the state of the world but may also **return a result value**, e.g., echoing a character that has been read from a keyboard.

This suggests to change the type of **interactive programs** to

```
type IO = World -> (a, World)
```

Chapter 10.4

Constructor Class MonadPlus

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

621/114

The Monad MonadPlus

...for members of `Monad` with `Null` and `Plus` operation:

```
class Monad m => MonadPlus m where
  mzero  :: m a
  mplus  :: m a -> m a -> m a
```

The Laws of MonadPlus

Members of the constructor class `MonadPlus` must satisfy in addition to the monad laws `laws` for the `Null` and `Plus` operations:

Two `laws` for the `Null` operation:

$$m \gg= (\backslash x \rightarrow mzero) = mzero \quad (\text{MPL1})$$

$$mzero \gg= m = mzero \quad (\text{MPL2})$$

Two `laws` for the `Plus` operation:

$$m \text{ 'mplus' } mzero = m \quad (\text{MPL3})$$

$$mzero \text{ 'mplus' } m = m \quad (\text{MPL4})$$

Note:

- ▶ As for `Functor` and `Monad`, proving the validity of the above laws for an instance of class `MonadPlus` is a proof obligation for the programmer.

Instances of MonadPlus

Instance declarations for the `Maybe` and `[]` types for the class `MonadPlus`:

```
instance MonadPlus Maybe where
    mzero          = Nothing
    Nothing 'mplus' ys = ys
    xs 'mplus' ys   = xs
```

```
instance MonadPlus [] where
    mzero = []
    mplus = (++)
```

Note:

- ▶ List concatenation `(++)` is a special case of the `mplus` operation.
- ▶ `IO` is not an instance of `MonadPlus` because of the missing null element.

Chapter 10.5

Monadic Programming

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

625/114

Outline

We will consider three case studies for illustration:

- ▶ **Case study I:** Summing labels of a tree.
- ▶ **Case study II:** Replacing the leaf labels of a tree by leaf labels of another type.
- ▶ **Case study III:** Replacing the labels of a tree by the number of occurrences of this label in the tree.

Case Study I

Given:

```
data Tree a = Nil | Node a (Tree a) (Tree a)
```

Objective:

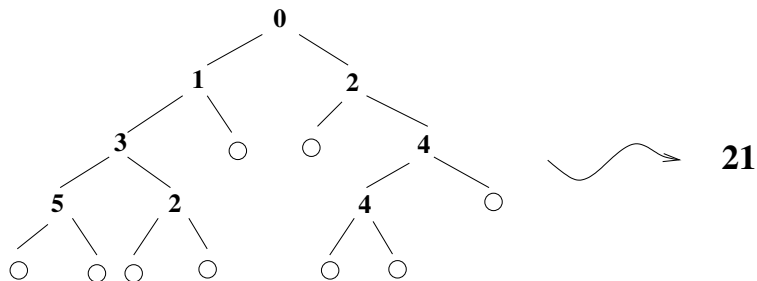
- ▶ Write a function that computes the sum of the values of all labels of a tree of type `Tree Int`.

Means:

Opposing two different **functional approaches**:

- ▶ A classical functional approach **w/out monads**
- ▶ A functional approach **w/ monads**.

Illustration



Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

628/114

A Functional Approach w/out Monads

1st Approach: No monads

```
sTree :: Tree Int -> Int
sTree Nil           = 0
sTree (Node n t1 t2) = n + sTree t1 + sTree t2
```

Note:

- ▶ The order of the evaluation is **not fixed** (degrees of freedom!)

A Functional Approach w/ Monads

2nd Approach: Using the identity monad Id

```
sumTree :: Tree Int -> Id Int
sumTree Nil = return 0
sumTree (Node n t1 t2) = do num <- return n
                             s1  <- sumTree t1
                             s2  <- sumTree t2
                             return (num + s1 + s2)
```

Note:

- ▶ The order of the evaluation is **explicitly fixed** (no degrees of freedom!)

The Identity Monad

Recall the [identity monad](#):

```
data Id a = Id a

instance Monad Id where
  (>>=) (Id x) f = f x
  return          = Id
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

631/114

Opposing the Two Approaches

Comparing the two approaches **w/** and **w/out** monads, we observe:

- ▶ Unlike `sTree`, function `sumTree` has an “imperative” flavour very similar to the sequential sequence of (imperative) assignments:

Imperative

```
num := n;  
s1  := sumTree t1;  
s2  := sumTree t2;  
return (num + s1 + s2);
```

Monadic

```
do num <- return n  
   s1 <- sumTree t1  
   s2 <- sumTree t2  
   return (num + s1 + s2)
```


Another Functional Approach w/ Monads

3rd Approach: Using monad `Id` and an extraction function

```
extract :: Id a -> a
extract (Id x) = x
```

Using `extract` we get a function of type `Tree Int -> Int`:

```
extract . sumTree :: Tree Int -> Int
```

Example:

```
(extract . sumTree)
  (Node 5 (Node 3 Nil Nil) (Node 7 Nil Nil))
->>
extract (sumTree
  (Node 5 (Node 3 Nil Nil) (Node 7 Nil Nil)))
->>
extract (Id 15) ->> 15
```

Case Study II

Given:

```
data Tree a = Leaf a | Branch (Tree a) (Tree a)
```

Objective:

- ▶ Replace the labels of the leafs that are supposed to be of type `Char` by continuous natural numbers.

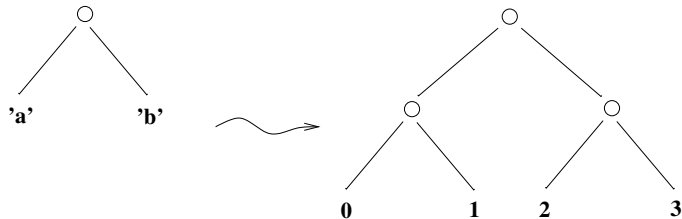
Illustration

Let `test` be defined by

```
test = let t = Branch (Leaf 'a') (Leaf 'b')
      in label (Branch t t)
```

Then `test` shall be transformed to:

```
Branch (Branch (Leaf 0) (Leaf 1))
      (Branch (Leaf 2) (Leaf 3))
```



A Functional Approach w/out Monads

1st Approach: No monads

```
label    :: Tree a -> Tree Int
label t = snd (lab t 0)
```

```
lab :: Tree a -> Int -> (Int, Tree Int)
```

```
lab (Leaf a) n
    = (n+1, Leaf n)
```

```
lab (Branch t1 t2) n
    = let (n1,t1') = lab t1 n
          (n2,t2') = lab t2 n1
        in (n2, Branch t1' t2')
```

Note:

- ▶ Simple but passing the value `n` through the incarnations of `lab` is “intricate.”

A Functional Approach w/ Monads (1)

2nd Approach: Using the state monad

```
newtype Label a = Label (Int -> (Int,a))
```

... “**matches**” the pattern of the state monad **SM**.

We define:

```
instance Monad Label where
  return a
    = Label (\s -> (s,a))
  Label lt0 >>= f!t1
    = Label $ \s0 ->
      let (s1,a1) = lt0 s0
          Label lt1 = f!t1 a1
      in lt1 s1
```

Note: The **\$**-operator in the definition of (**>>=**) can be dropped, if the expression **\s0 -> let ... in lt1 s1** is bracketed.

A Functional Approach w/ Monads (2)

This allows solving the renaming of labels as follows:

```
mlabel    :: Tree a -> Tree Int
mlabel t = let Label lt = mlab t
            in snd (lt 0)

mlab :: Tree a -> Label (Tree Int)
mlab (Leaf a)
    = do n <- getLabel
         return (Leaf n)
mlab (Branch t1 t2)
    = do t1' <- mlab t1
         t2' <- mlab t2
         return (Branch t1' t2')

getLabel :: Label Int
getLabel = Label (\n -> (n+1,n))
```

A Functional Approach w/ Monads (3)

Let `mtest` be defined by

```
mtest = let t = Branch (Leaf 'a') (Leaf 'b')
        in mlabel (Branch t t)
```

Then we get:

- ▶ `mlabel` applied to

```
Branch (Leaf 'a') (Leaf 'b')
```

yields as desired:

```
Branch (Branch (Leaf 0) (Leaf 1))
      (Branch (Leaf 2) (Leaf 3))
```

Case Study III

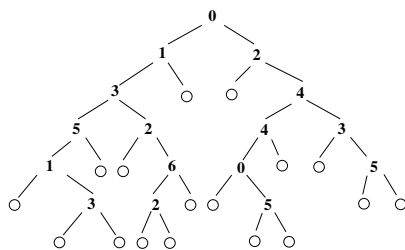
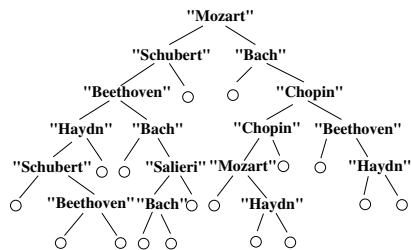
Given:

```
data Tree a = Nil | Node a (Tree a) (Tree a)
```

Objective:

- ▶ Replace labels of equal value that are supposed to be of type `String` by the same natural number.

Illustration



Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

641/114

A Functional Approach w/ Monads (1)

Ultimate Goal: A function `numTree` of type

```
numTree :: Eq a => Tree a -> Tree Int
```

solving this task with monadic programming using the `state monad`.

In order to eventually arrive at this function we start with:

```
numberTree :: Eq a => Tree a -> State a (Tree Int)
numberTree Nil = return Nil
numberTree (Node x t1 t2) =
  do num <- numberNode x
     nt1 <- numberTree t1
     nt2 <- numberTree t2
     return (Node num nt1 nt2)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

642/114

A Functional Approach w/ Monads (2)

Next, we are storing **pairs** of the form

(<string>, <number of occurrences>)

in a **table** of type:

```
type Table a = [a]
```

In particular:

The table

```
[True, False]
```

encodes that the value **True** is associated with **0** and **False** with **1**.

A Functional Approach w/ Monads (3)

Defining the state monad we consider:

```
data State a b = State (Table a -> (Table a, b))

instance Monad (State a) where
  (State st) >>= f
    = State (\tab -> let
                        (newTab,y)    = st tab
                        (State trans) = f y
                      in
                        trans newTab)
  return x = State (\tab -> (tab,x))
```

Intuitively:

- ▶ Values of type **b**: **Result** of the monadic operation.
- ▶ Update of the table: **Side effect** of the monadic operation.

A Functional Approach w/ Monads (4)

Defining the missing function `numberNode`:

```
numberNode :: Eq a => a -> State a Int
numberNode x = State (nNode x)

nNode :: Eq a => a -> (Table a -> (Table a, Int))
nNode x table
  | elem x table = (table,      lookup x table)
  | otherwise    = (table++[x], length table)
-- nNode yields the position of x in the table:
-- via lookup, if stored in the table; after
-- adding x to the table via length otherwise

lookup :: Eq a => a -> Table a -> Int
lookup ... (still to complete)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

645/114

A Functional Approach w/ Monads (5)

Putting the pieces together, we get for

```
exampleTree :: Eq a => Tree a:
```

```
numberTree exampleTree :: State a (Tree Int)
```

Using an extraction function we get now the desired implementation of the function `numTree` of type

```
numTree :: Eq a => Tree a -> Tree Int:
```

```
extract :: State a b -> b
```

```
extract (State st) = snd (st [])
```

```
numTree :: Eq a => Tree a -> Tree Int
```

```
numTree = extract . numberTree
```

Chapter 10.6

Monadic Input/Output

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Handling Input/Output so Far

The programs we considered so far, handle **input/output monolithically**, in a way that resembles

- ▶ **batch processing**.



Peter Pepper. *Funktionale Programmierung*.
Springer-Verlag, 2003, S.245

In fact, there is **no interaction** between a **program** and a **user**:

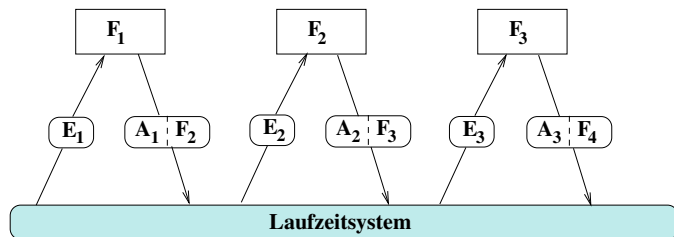
- ▶ All input data must be provided at the very beginning.
- ▶ Once called there is no opportunity for the user to react on a program's response and behaviour.

Handling Input/Output Hentforth

Our Objective:

Modifying the handling of **input/ouput** such that programs become and behave like

- ▶ (sequentially) composed **dialogue** components while preserving **referential transparency** as far as possible.



Peter Pepper. *Funktionale Programmierung*. Springer-Verlag, 2003, S.253

It is worth noting

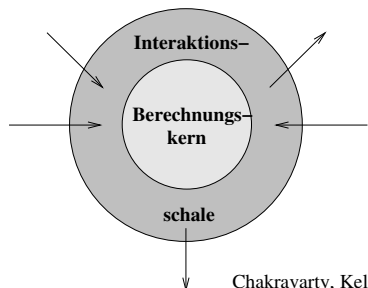
As illustrated by the previous figure, [input/output](#) is

- ▶ a [major source for side effects](#) in programs: e.g., each read statement like [read](#) will usually yield a different value for each call, i.e. [referential transparency](#) is lost.

Monadic Input/Output in Haskell

Conceptually, a **Haskell program** consists of

- ▶ a **computational core** and
- ▶ an **interaction component**.



Chakravarty, Keller. *Einführung in die Programmierung mit Haskell* Pearson, 2004, S.89

Monadic Input/Output

The **monad concept** of Haskell allows to

- ▶ distinguish (and conceptually separate) functions that belong to the
 - ▶ **computational core** (pure functions)
 - ▶ **interaction component** (impure functions, i.e. having side effects).

by assigning different **types** to them:

\rightsquigarrow **Int**, **Real**, **String**,... vs. **IO Int**, **IO Real**, **IO String**,... where the type constructor **IO** is an instance of **Monad**.

- ▶ specify the evaluation order of functions of the interaction component (i.e., of basic **input/output** primitives provided by Haskell) by explicitly using the features of **monadic programming**.

Recall “Chapter 9”

The Input/Output Monad (1)

The `IO monad`:

```
instance Monad IO where
  (>>=) :: IO a -> (a -> IO b) -> IO b
  return :: a -> IO a
```

Intuitively:

- ▶ `(>>=)`: If `p` and `q` are commands, then `p >>= q` is the command that first executes `p`, yielding thereby the return value `x` of type `a`, and then executes `q x`, thereby yielding the return value `y` of type `b`.
- ▶ `return`: Generates a return value w/out any input/output action.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 18

Chap. 19

Exercises

1/1219

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

653/114

Recall “Chapter 9”

The Input/Output Monad (2)

It is worth noting:

- ▶ The **IO monad** is similar in spirit to the **state monad**: It passes around the “**state of the world.**”

In more detail:

For a given suitable type **World**

- ▶ whose values represent the **current state of the world**

the notion of an **interactive program**, i.e., an **IO-program**, can be represented by a function of type

- ▶ **World -> World**

which may be abbreviated as:

```
type IO = World -> World
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 18

Chap. 19

Exercises

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

654/114

Recall “Chapter 9”

The Input/Output Monad (3)

In general:

- ▶ **Interactive programs** do not only modify the state of the world but may also **return a result value**, e.g., echoing a character that has been read from a keyboard.

This suggests to change the type of **interactive programs** to

type IO = World -> (a, World)

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 18

Chap. 19

Exercises

1/1219

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

655/114

Typical Interaction Examples (1)

A simple question/response interaction with the user:

```
ask          :: String -> IO String
ask question = do
                putStrLn question
                getLine

interAct :: IO ()
interAct =
    do name <- ask "May I ask your name?"
       putStrLn ("Welcome " ++ name ++ "!")
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

656/114

Typical Interaction Examples (2)

Input/output from/to files:

```
type FilePath = String    -- file names according
                           -- to the conventions of
                           -- the operating system

writeFile  :: FilePath -> String -> IO ()
appendFile :: FilePath -> String -> IO ()
readFile   :: FilePath -> IO String
isEOF      :: FilePath -> IO Bool

interAct :: IO ()
interAct = do
    putStrLn "Please input a file name: "
    fname <- getLine
    contents <- readFile fname
    putStrLn contents
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

657/114

Typical Interaction Examples (3)

Note the relationship of the do-notation

```
do writeFile "testFile.txt" "Hello File System!"
  putStr "Hello World!"
```

and the monadic operations:

```
writeFile "testFile.txt" "Hello File System!" >>
putStr "Hello World!"
```

Note also the (subtle) difference in the result types:

```
Main>putStr ('a':('b':('c':[]))) Main>putChar (head ['x', 'y', 'z'])
->> abc :: IO ()                ->> x :: IO ()
```

but

```
Main>('a':('b':('c':[]))) Main>head ['x', 'y', 'z']
->> "abc" :: [Char]         ->> 'x' :: Char
```

```
Main>print "abc" Main>print 'x'
->> "abc" :: IO ()     ->> 'a' :: IO ()
```

More Examples (1)

The output command sequence

```
do writeFile "testFile.txt" "Hello File System!"  
    putStr "Hello World!"
```

...is equivalent to:

```
writeFile "testFile.txt" "Hello File System!" >>  
putStr "Hello World!"
```

More Examples (2)

It is worth noting:

From

```
(>>) :: Monad m => m a -> m b -> m b
```

and

```
writeFile "testFile.txt"  
    "Hello File System!" :: IO ()  
putStr "Hello World!"    :: IO ()
```

...we conclude for our example that $m = IO$, $a = ()$, and $b = ()$. Overall, we thus obtain:

```
(>>) :: IO () -> IO () -> IO ()
```

More Examples (3)

Illustrating local declarations within do-constructs:

```
reverse2lines :: IO ()
reverse2lines
  = do line1 <- getLine
       line2 <- getLine
       let rev1 = reverse line1
           rev2 = reverse line2
       putStrLn rev2
       putStrLn rev1
```

is equivalent to:

```
reverse2lines :: IO ()
reverse2lines
  = do line1 <- getLine
       line2 <- getLine
       putStrLn (reverse line2)
       putStrLn (reverse line1)
```

Summing up (1)

Overall, the monadic handling of input/output in Haskell renders possible:

The shift from

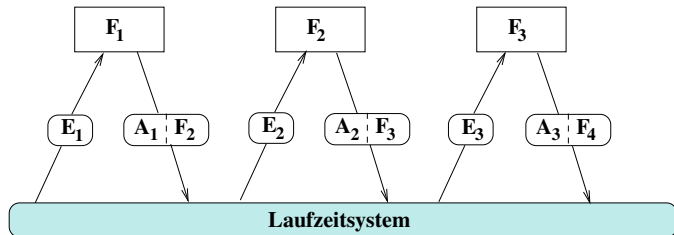
- ▶ “batch-like” input/output processing that works exclusively by pure functions of the computational core as illustrated below



Peter Pepper. *Funktionale Programmierung*.
Springer-Verlag, 2003, S.245

Summing up (2)

...to an interactive, dialogue-oriented input/output processing w/out breaking the functional paradigm (keyword: referential transparency!)



Peter Pepper. *Funktionale Programmierung*.
Springer-Verlag, 2003, S.253

Stream-based Input/Output (1)

Early versions of Haskell foresaw a **stream-based** handling of input/output:

- ▶ **Stream-based** considering programs **functions on streams**:
`I0prog :: String -> String`



Peter Pepper. *Funktionale Programmierung*.
Springer-Verlag, 2003, S.271

Input/output streams on terminals, file systems, printers,...

Stream-based Input/Output (2)

Advantages and disadvantages:

- ▶ **Stream-based** input/output handling for languages with
 - ▶ **eager** semantics:
 - ▶ there is **no real stream model** (the input must completely be provided and consumed at the beginning and must thus be finite); hence, input/output is limited to a batch- or stack-like processing.
 - ▶ **lazy** semantics:
 - ▶ Interactions are possible; thanks to **lazy evaluation** inputs/outputs are always in “proper” order.
 - ▶ **But:** the causal and temporal relationship between input and output is often “obscure”; special synchronization might be used to overcome that.
 - ▶ **Overall:** streambased input/output reaches its limit when switching to graphical user interfaces and random access to files.

ML-Style Input/Output

The **ML-style** of handling **input/output** is

- ▶ a **Unix-like handling** of display, keyboard, etc. as files:
`std_in`, `std_out`, `open_in`, `open_out`,
`close_in`, ...

Advantages and disadvantages:

- ▶ The handling is simple but at the cost of anomalies like those discussed in LVA 185.A03; in particular, **referential transparency** is lost.

Last but not least

Input/output handling in functional languages is an important research topic:

- ▶ A. J. Gordon. [Functional Programming and Input/Output](#). British Computer Society Distinguished Dissertations in Computer Science. Cambridge University Press, 1994.

Chapter 10.7

A Fresh Look at the Haskell Class Hierarchy

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

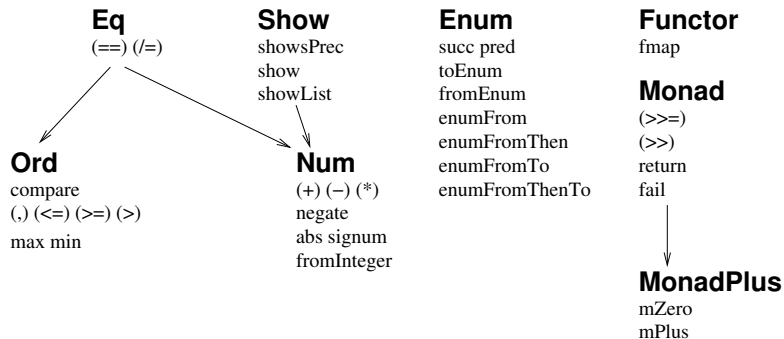
Chap. 13

Chap. 14

668/114

A Section of the Haskell Class Hierarchy (1)

...including the constructor classes `Monad`, `MonadPlus`, and `Functor`:



Fethi Rabhi, Guy Lapalme *Algorithms*.
Addison–Wesley, 1999, Figure 2.4, p.46

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

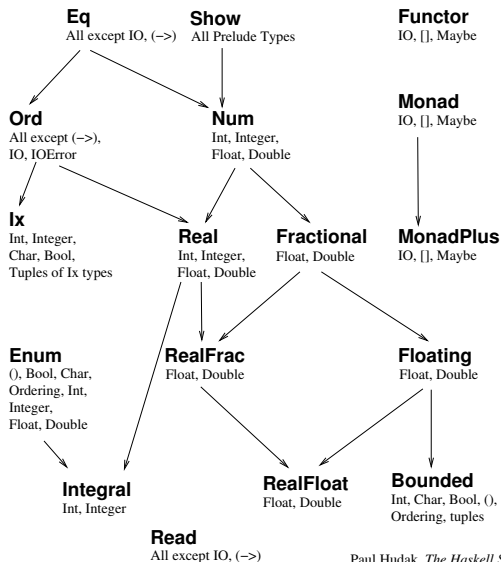
Chap. 12

Chap. 13

Chap. 14

669/114

A Section of the Haskell Class Hierarchy (2)



Paul Hudak. *The Haskell School of Expression*.
Cambridge University Press, 2000, p.156

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

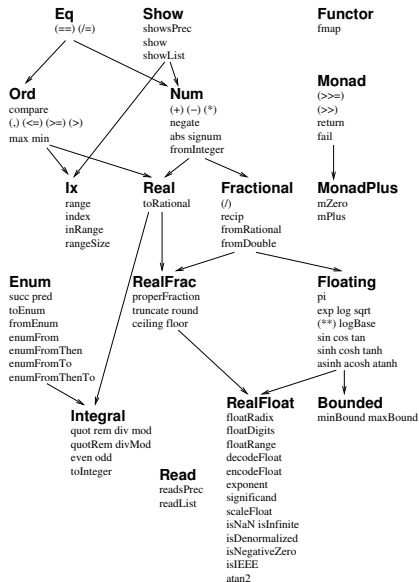
Chap. 12

Chap. 13

Chap. 14

670/114

A Section of the Haskell Class Hierarchy (3)



Fethi Rabbi, Guy Lapalme. *Algorithms*.
Addison-Wesley, 1999, Figure 2.4, p.46

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

671/114

Selected Types and their Class Membership

Type	Instance of	Derivation
()	Read	Eq Ord Enum Bounded
[a]	Read Functor Monad	Eq Ord
(a,b)	Read	Eq Ord Bounded
(->)		
Array	Functor Eq Ord Read	
Bool		Eq Ord Enum Read Bounded
Char	Eq Ord Enum Read	
Complex	Floating Read	
Double	RealFloat Read	
Either		Eq Ord Read
Float	RealFloat Read	
Int	Integral Bounded Ix Read	
Integer	Integral Ix Read	
IO	Functor Monad	
IOError	Eq	
Maybe	Functor Monad	Eq Ord Read
Ordering		Eq Ord Enum Read Bounded
Ratio	RealFrac Read	

Fethi Rabhi, Guy Lapalme. *Algorithms*.
Addison-Wesley, 1999, Table 2.4, p. 47

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

10.1

10.2

10.3

10.4

10.5

10.6

10.7

Chap. 11

Chap. 12

Chap. 13

Chap. 14

672/114

Last but not least (1)

Monads – where does the term come from?

Monads, a term that

- ▶ has already been used by [Gottfried Wilhelm Leibniz](#) as a counterpart to the term “atom.”
- ▶ has been introduced into [programming language theory](#) by [Eugenio Moggi](#) in the realm of [category theory](#) as a means for describing the [semantics of programming languages](#):





[Eugenio Moggi](#). [Computational Lambda Calculus and Monads](#). In Proceedings IEEE Symposium on Logic in Computer Science, 198.

Last but not least (2)






Monads, a term that

- ▶ has become popular in the world of functional programming (but w/out the background from category theory), especially because monads (Philip Wadler, 1992)
 - ▶ allow to introduce some useful aspects of imperative programming into functional programming,
 - ▶ are well suited for integrating input/output into functional programming, as well as for many other application domains,
 - ▶ provide a suitable interface between functional programming and programming paradigms with side effects, in particular, imperative and object-oriented programming.
- without breaking the functional paradigm!




Chapter 10: Further Reading (1)

-  Marco Block-Berlitz, Adrian Neumann. *Haskell Intensivkurs*. Springer Verlag, 2011. (Kapitel 17, Monaden)
-  Manuel Chakravarty, Gabriele Keller. *Einführung in die Programmierung mit Haskell*. Pearson Studium, 2004. (Kapitel 7, Eingabe und Ausgabe)
-  Andrew D. Gordon. *Functional Programming and Input/Output*. PhD thesis. University of Cambridge, 1992.
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Chapter 10: Further Reading (2)

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-  John Launchbury, Simon Peyton Jones. *State in Haskell*. *Lisp and Symbolic Computation* 8(4):293-341, 1995.
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-  Eugenio Moggi. *Notions of Computation and Monads*. *Inf. Comput.* 93:55-92, 1991.





Chapter 10: Further Reading (3)

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-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-Verlag, 2006. (Kapitel 11, Beispiel: Monaden; Kapitel 17, Zeit und Zustand in der funktionalen Welt)
-  Peter Pepper. *Funktionale Programmierung in OPAL, ML, Haskell und Gofer*. Springer-Verlag, 2nd edition, 2003. (Kapitel 21.2, Ein kommandobasiertes Ein-/Ausgabemodell; Kapitel 22.2, Kommandos; Kapitel 22.6.4, Anmerkungen zu Monaden)




Chapter 10: Further Reading (4)

-  Simon Peyton Jones, John Launchbury. *State in Haskell*. Lisp and Symbolic Computation 8(4):293-341, 1995.
-  Simon Peyton Jones, Philip Wadler. *Imperative Functional Programming*. In Conference Record of the 20 ACM SIGPLAN-SIGACT Symposium on Principles of Programming Languages (POPL'93), 71-84, 1993.
-  Simon Peyton Jones. *Tackling the Awkward Squad: Monadic Input/Output, Concurrency, Exceptions, and Foreign-language Calls in Haskell*. In Tony Hoare, Manfred Broy, Ralf Steinbruggen (Eds.), *Engineering Theories of Software Construction*, IOS Press, 47-96, 2001 (Presented at the 2000 Marktoberdorf Summer School).

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Chapter 10: Further Reading (6)

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-  Philip Wadler. *How to Declare an Imperative*. In Proceedings of the International Logic Programming Symposium, MIT Press, 1995.
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Chapter 11

Arrows

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

681/114

Motivation

The **higher-order type** (constructor) **class**

- ▶ generalizes the type class **Monad**.

and provides an even more general concept for

- ▶ **composing** functions.

that is particularly useful for

- ▶ **functional reactive programming** (cp. Chapter 15).

The Constructor Class Arrow

Arrows are instances of the **constructor class Arrows**:

```
class Arrow a where
  pure  :: (b -> c) a b c
  (>>>) :: a b c -> a c d -> a b d
  first :: a b c -> a (b,d) (c,d)
```

Note:

- ▶ **pure** allows embedding of ordinary functions into the constructor class **Arrow**.
- ▶ **(>>>)** serves the composition of computations.
- ▶ **first** has as an analogue on the level of ordinary functions the function **firstfun** with
`firstfun f = \ (x,y) -> (f x, y)`

The Laws of Arrow

Members of the constructor class `Arrow` must satisfy the following nine laws:

- | | |
|--|---|
| <code>pure id >>> f = f</code> | <code>(AL1): identity</code> |
| <code>f >>> pure id = f</code> | <code>(AL2): identity</code> |
| <code>(f >>> g) >>> h = f >>> (g >>> h)</code> | <code>(AL3): associativity</code> |
| <code>pure (g . f) = pure f >>> pure g</code> | <code>(AL4): functor composition</code> |
| <code>first (pure f) = pure (f × id)</code> | <code>(AL5): extension</code> |
| <code>first (f >>> g) = first f >>> first g</code> | <code>(AL6): functor</code> |
| <code>first f >>> pure (id × g) = pure (id × g) >>> first f</code> | <code>(AL7): exchange</code> |
| <code>first f >>> pure fst = pure fst >>> f</code> | <code>(AL8): unit</code> |
| <code>first (first f) >>> pure assoc = pure assoc >>> first f</code> | <code>(AL9): association</code> |

Creating Instances of Class Arrow

Ordinary functions as instance of constructor class Arrow:

```
instance Arrow (->) where
```

```
  pure f  = f
```

```
  f >>> g = g . f
```

```
  first f = f × id
```

Note:

- ▶ The function `first` could also be defined by:

```
first f = \ (b,d) -> (f b, d)
```

Useful Supporting Functions (1)

$(\times) :: (a \rightarrow a') \rightarrow (b \rightarrow b') \rightarrow (a,b) \rightarrow (a',b')$
 $(f \times g) (a,b) = (f a, g b)$

$assoc :: ((a,b),c) \rightarrow (a,(b,c))$
 $assoc \sim (\sim(x,y),z) = (x,(y,z))$

$second :: Arrow\ a \Rightarrow a\ b\ c \rightarrow a\ (d,b)\ (d,c)$
 $second\ f = pure\ swap \ggg\ first\ f \ggg\ pure\ swap$

$swap :: (a,b) \rightarrow (b,a)$
 $swap \sim (x,y) = (y,x)$

Useful Supporting Functions (2)

...related to the constructor class `Arrow`:

```
(***)   :: Arrow a => a b c -> a b' c' ->  
                                               a (b.b') (c,c')
```

```
f *** g = first f >>> second g
```

```
(&&&)   :: Arrow a => a b c -> a b c' -> a b (c,c')
```

```
f &&& g = pure (\b -> (b,b)) >>> f *** g
```

```
idA :: Arrow a => a b b
```

```
idA = pure id
```

Background and Motivation (1)

Notions of computation:

```
add :: (b -> Int) -> (b -> Int) -> (b -> Int)
add f g z = f z + g z
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

688/114

Background and Motivation (2)

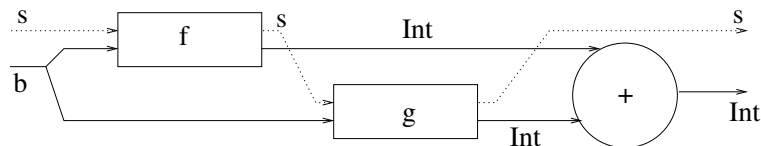
Generalizing `add` to `state transformers`:

```
type State s i o = (s,i) -> (s,o)
```

```
addST :: State s b Int -> State s b Int ->  
      State s b Int
```

```
addST f g (s,z) = let (s',x) = f (s,z)  
                    (s'',y) = g (s',z)  
                    in (s'',x+y)
```

Illustration:



Background and Motivation (3)

Generalizing `add` to non-determinism:

```
type NonDet i o = i -> [o]
```

```
addND :: NonDet b Int -> NonDet b Int ->  
                                             NonDet b Int  
addND f g z = [ x+y | x <- f z, y <- g z ]
```

Background and Motivation (4)

Generalizing `add` to `mapping transformers`:

```
type MapTrans s i o = (s -> i) -> (s -> o)
```

```
addMT :: MapTrans s b Int -> MapTrans s b Int ->  
                                             MapTrans s b Int
```

```
addMT f g m z = f m z + g m z
```

Background and Motivation (5)

Generalizing `add` to `simple automata`:

```
newtype Auto i o = A (i -> (o, Auto i o))
```

```
addAuto :: Auto b Int -> Auto b Int -> Auto b Int
```

```
addAuto (A f) (A g)
```

```
  = A (\z -> let (x,f') = f z
```

```
              (y,g') = g z
```

```
              in (x+y), addAuto f' g'))
```

All together, this

- ▶ allows `modelling of synchronous circuits`.

Background and Motivation (6)

- ▶ Functions and programs often contain components that are “function-like” “w/out being just functions.”
- ▶ **Arrows** define a common interface for coping with the “notion of computation” of such function-like components.
- ▶ **Monads** are a special case of **arrows**.
- ▶ Like **monads**, **arrows** allow to meaningfully structure programs.

Back to the Examples (1)

- ▶ The preceding examples have in common that there is a type $A \rightsquigarrow B$ of **computations**, where inputs of type A are transformed into outputs of type B .
- ▶ **Arrows** yield a sufficiently general interface to describe these commonalities uniformly and to encapsulate them in a class.

Back to the Examples (2)

Implementing the preceding examples as instances of the class `Arrow`:

```
newtype State s i o = ST ((s,i) -> (s,o))
```

```
newtype NotDet i o = ND (i -> [o])
```

```
newtype MapTrans s i o = MT ((s -> i) -> (s -> o))
```

```
newtype Auto i o = A (i -> (o, Auto i o))
```

Back to the Examples (3)

State transformers:

```
instance Arrow (State s) where
  pure f          = ST (id x f)
  ST f >>> ST g = ST (g . f)
  first (ST f)   = ST (assoc . (f x id) . unassoc)

unassoc          :: (a,(b,c)) -> ((a,b),c)
unassoc~(x,~(y,z)) = ((x,y),z)
```


Back to the Examples (4)

Non-determinism:

```
instance Arrow NonDet where
  pure f          = ND (\b -> [f b])
  ND f >>> ND g = ND (\b -> [d | c <- f b, d <- g c])
  first (ND f)   = ND (\(b,d) -> [(c,d) | c <- f b])
```

Back to the Examples (5)

Mapping transformers:

```
instance Arrow (MapTrans s) where
  pure f          = MT (f .)
  MT f >>> MT g = MT (g . f)
  first (MT f)   = MT (zipMap . (f x id) . unzipMap)
```

```
zipMap      :: (s -> a, s -> b) -> (s -> (a,b))
zipMap h s = (fst h s, snd h s)
```

```
unzipMap    :: (s -> (a,b)) -> (s -> a, s -> b)
unzipMap h = (fst . h, snd . h)
```

Back to the Examples (6)

Simple automata:

```
instance Arrow Auto where
  pure f      = A (\b -> (f b, pure f))
  A f >>> A g = A (\b -> let (c,f') = f b
                          (d,g') = g c
                          in (d, f' >>> g'))
  first (A f) = A (\(b,d) -> let (c,f') = f b
                              in ((c,d),first f'))
```

Back to the Examples (7)

Generalization

Consider the general combinator:

```
addA :: Arrow a => a b Int -> a b Int -> a b Int
addA f g = f &&& g >>> pure (uncurry (+))
```





It is worth noting:

- ▶ Each of the considered variants of `add` results as a specialization of `addA` with the corresponding `arrow`-type.

Summing up

- ▶ **Arrow**-combinators operate on “**computations**”, not on values. They are **point-free** in distinction to the “common case” of functional programming.
- ▶ Analogous to the monadic case a **do**-like notational variant makes programming with **arrow**-operations often easier and more suggestive (cf. literature hint at the end of the chapter), whereas the pointfree variant is more useful and advantageous for proof-theoretic reasoning.

Chapter 11: Further Reading

-  Paul Hudak, Antony Courtney, Herik Nilsson, John Peterson. *Arrows, Robots, and Functional Reactive Programming*. Summer School on Advanced Functional Programming 2002, Springer-V., LNCS 2638, 159-187, 2003.
-  John Hughes. *Generalising Monads to Arrows*. *Science of Computer Programming* 37:67-111, 2000.
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-  Ross Paterson. *Arrows and Computation*. In Jeremy Gibbons, Oege de Moor (Eds.), *The Fun of Programming*. Palgrave MacMillan, 201-222, 2003.

Part V

Applications

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

703/114

Chapter 12

Parsing

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

704/114

Parsing

Parsing: Lexical and syntactical analysis

- ▶ **Combinator** parsing
- ▶ **Monadic** parsing

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

705/114

Lexical and Syntactical Analysis

...in the following summarized as [parsing](#).

Parsing

- ▶ an(other) application of functional programming often used to demonstrate its power and elegance.
- ▶ enjoys a long history. As an example of early work see e.g.:
 - ▶ W. Burge. [Recursive Programming Techniques](#). Addison-Wesley, 1975.

Functional Implementation Approaches for Parsing

Two conceptually different implementation approaches:

- ▶ **Combinator parsing (higher-order functions parsing)**
 - ↪ recursive descent parsing
 - ▶ Graham Hutton. **Higher-Order Functions for Parsing**. Journal of Functional Programming 2(3):323-343, 1992.
- ▶ **Monadic parsing**
 - ▶ Graham Hutton, Erik Meijer. **Monadic Parser Combinators**. Technical Report NOTTCS-TR-96-4, Dept. of Computer Science, University of Nottingham, 1996.

The presentation in this chapter

...is based on:

- ▶ Chapter 17
Simon Thompson. [Haskell – The Craft of Functional Programming](#), Addison-Wesley, 2nd edition, 1999.
- ▶ Graham Hutton, Erik Meijer. [Monadic Parsing in Haskell](#).
Journal of Functional Programming 1(1), 1993.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

708/114

Parsing informally

The basic problem:

- ▶ **Read** a sequence of objects of type **a**.
- ▶ **Extract** from this sequence an object or a list of objects of type **b**.

Illustrating Example: Parsing of Expressions

Consider:

- ▶ Expressions

```
data Exp = Lit Int | Var Name | Op Ops Exp Exp
```

```
data Ops = Add | Sub | Mul | Div | Mod
```

```
Op Mul (Op Add (Lit 2) (Lit 3)) (Lit 3)
```

corresponds to $((2+3)*3)$

Illustrating Example: Parsing of Expressions

Consider:

- ▶ Expressions

```
data Exp = Lit Int | Var Name | Op Ops Exp Exp
```

```
data Ops = Add | Sub | Mul | Div | Mod
```

```
Op Mul (Op Add (Lit 2) (Lit 3)) (Lit 3)
```

corresponds to $((2+3)*3)$

The parsing task to be solved:

- ▶ Read an expression of the form $((2+3)*5)$ and yield/“extract” the corresponding expression of type `Exp`.

(Note: This can be considered the reverse of the `show` function. It is similar to the derived `read` function, but differs in the arguments it takes (expressions of the form $((2+3)*5)$ vs. expressions of the form `Op Mul (Add (Lit 2) (Lit 3)) (Lit 5)`).

Towards the Type of a Parser Function (1)

What shall be the **type of a parsing function**?

Naive specification of the type of a parser function:

```
type BSParse1 a b = [a] -> b
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

711/114

Towards the Type of a Parser Function (1)

What shall be the **type of a parsing function**?

Naive specification of the type of a parser function:

```
type BSParse1 a b = [a] -> b
```

<code>-- Parser</code>	<code>Input</code>	<code>Expected Output</code>
<code>bracket</code>	<code>"(xyz"</code>	<code>->> ' ('</code>
<code>number</code>	<code>"234"</code>	<code>->> 2 or 23 or 234 ?</code>
<code>bracket</code>	<code>"234"</code>	<code>->> no result, failure?</code>

Towards the Type of a Parser Function (1)

What shall be the **type of a parsing function**?

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type BSParse1 a b = [a] -> b
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<code>bracket</code>	<code>"(xyz"</code>	<code>->> ' ('</code>
<code>number</code>	<code>"234"</code>	<code>->> 2 or 23 or 234 ?</code>
<code>bracket</code>	<code>"234"</code>	<code>->> no result, failure?</code>

Open issues to be answered:

How shall the parser behave if there

- ▶ are **multiple results**?
- ▶ is a **failure**?

Towards the Type of a Parser Function (2)

First refinement of the type of a parser function:

```
type BSParse2 a b = [a] -> [b]
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

712/114

Towards the Type of a Parser Function (2)

First refinement of the type of a parser function:

```
type BSParse2 a b = [a] -> [b]
```

<code>-- Parser</code>	<code>Input</code>	<code>Expected Output</code>
<code>bracket</code>	<code>"(xyz"</code>	<code>->> ['(']</code>
<code>number</code>	<code>"234"</code>	<code>->> [2, 23, 234]</code>
<code>bracket</code>	<code>"234"</code>	<code>->> []</code>

Towards the Type of a Parser Function (2)

First refinement of the type of a parser function:

```
type BSParse2 a b = [a] -> [b]
```

<code>-- Parser</code>	<code>Input</code>	<code>Expected Output</code>
<code>bracket</code>	<code>"(xyz"</code>	<code>->> ['(']</code>
<code>number</code>	<code>"234"</code>	<code>->> [2, 23, 234]</code>
<code>bracket</code>	<code>"234"</code>	<code>->> []</code>

Open issue to be answered:

- ▶ What shall the parser do with the **remaining input**?

The Type of a Parser Function

The final specification of the type of a parser function:

```
type Parse a b = [a] -> [(b, [a])]
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

713/114

The Type of a Parser Function

The final specification of the type of a parser function:

```
type Parse a b = [a] -> [(b, [a])]
```

<code>-- Parser</code>	<code>Input</code>	<code>Expected Output</code>
<code>bracket</code>	<code>"(xyz"</code>	<code>->> [('(', "xyz")]</code>
<code>number</code>	<code>"234"</code>	<code>->> [(2, "34"), (23, "4"), (234, "")]</code>
<code>bracket</code>	<code>"234"</code>	<code>->> []</code>

Remarks and Conventions

It is worth noting:

- ▶ The capability of delivering multiple results enables the analysis of ambiguous grammars
 ↪ list of successes technique
- ▶ Each element in the output list represents a successful parse.

Convention:

- ▶ Delivery of the empty list: Signals failure of the analysis.
- ▶ Delivery of a non-empty list: Signals success of the analysis; each element of the list is a pair, whose first component is the identified object (token) and whose second component is the input not yet considered.

Chapter 12.1

Combinator Parsing

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

715/114

Basic Parsers (1)

Primitive, input-independent parsing functions:

- ▶ The always failing parsing function

```
none :: Parse a b
```

```
none inp = []
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

716/114

Basic Parsers (1)

Primitive, input-independent parsing functions:

- ▶ The always failing parsing function

```
none :: Parse a b  
none inp = []
```

- ▶ The always successful parsing function

```
succeed :: b -> Parse a b  
succeed val inp = [(val,inp)]
```

Basic Parsers (1)

Primitive, input-independent parsing functions:

- ▶ The always failing parsing function

```
none :: Parse a b
none inp = []
```

- ▶ The always successful parsing function

```
succeed :: b -> Parse a b
succeed val inp = [(val,inp)]
```

Remark:

- ▶ The `none` parser always fails. It does not accept anything.
- ▶ The `succeed` parser does not consume its input. In BNF-notation this corresponds to the symbol ε representing the empty word.

Basic Parsers (2)

Primitive, input-**dependent** parsing functions:

- ▶ Recognizing single objects (token):

```
token :: Eq a => a -> Parse a a
```

```
token t (x:xs)
```

```
  | t == x      = [(t,xs)]
```

```
  | otherwise   = []
```

```
token t []      = []
```

Basic Parsers (2)

Primitive, input-**dependent** parsing functions:

- ▶ Recognizing single objects (token):

```
token :: Eq a => a -> Parse a a
token t (x:xs)
  | t == x      = [(t,xs)]
  | otherwise   = []
token t []     = []
```

- ▶ Recognizing single objects satisfying a particular property:

```
spot :: (a -> Bool) -> Parse a a
spot p (x:xs)
  | p x      = [(x,xs)]
  | otherwise = []
spot p []   = []
```

Simple Applications of Basic Parsers

Application:

```
bracket = token '('  
dig     = spot isDigit
```

```
isDigit :: Char -> Bool  
isDigit ch = ('0' <= ch) && (ch <= '9')
```

Note: token can be defined using `spot`

```
token t = spot (== t)
```

Intuition and Motivation for Combining Parsers

...obtaining (more) complex (re-usable) parsing functions:

- ▶ **Combinator Parsing**

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

719/114

Intuition and Motivation for Combining Parsers

...obtaining (more) complex (re-usable) **parsing functions**:

- ▶ **Combinator Parsing**

Objective

- ▶ Building a **library of higher-order polymorphic functions**, which are then used to construct parsers.

Combining Parsers – Alternatives

1) Composition of parsers as alternatives:

`alt :: Parse a b -> Parse a b -> Parse a b`

`alt p1 p2 inp = p1 inp ++ p2 inp`

Underlying intuition:

- ▶ An expression, e.g., is **either** a literal, **or** a variable **or** an operator expression.

Combining Parsers – Alternatives

1) Composition of parsers as alternatives:

```
alt :: Parse a b -> Parse a b -> Parse a b
alt p1 p2 inp = p1 inp ++ p2 inp
```

Underlying intuition:

- ▶ An expression, e.g., is **either** a literal, **or** a variable **or** an operator expression.

Example:

```
(bracket 'alt' dig) "234" ->> [] ++ [(2,"34")]
```

↪ The **alt parser** combines the results of the parses given by the parsers **p1** and **p2**.

Combining Parsers – Sequential Composition

2) Sequential composition of parsers:

```
infixr 5 >*>
```

```
(>*>) :: Parse a b -> Parse a c -> Parse a (b,c)
```

```
(>*>) p1 p2 inp
```

```
  = [((y,z),rem2) | (y,rem1) <- p1 inp,  
                  (z,rem2) <- p2 rem1 ]
```

Underlying intuition:

- ▶ An operator expression starts with a bracket followed by a number.

Combining Parsers – Sequential Composition

Example:

Because of `number "24(" ->> [(2,"4("), (24,"(")]` we obtain:

```
(number >*> bracket) "24("
->> [((y,z),rem2) | (y,rem1) <- [(2,"4("), (24,"(")],
      (z,rem2) <- bracket rem1 ]
->> [((2,z),rem2) | (z,rem2) <- bracket "4(" ] ++
      [((24,z),rem2) | (z,rem2) <- bracket "(" ]
->> [] ++ [((24,z),rem2) | (z,rem2) <- bracket "(" ]
```

Because of `bracket "(" ->> [('(', "")]` we finally get:

```
->> [((24,z),rem2) | (z,rem2) <- [('(', "")] ]
->> [ ((24,'('), "") ]
```

Combining Parsers – Transformation

3) Transformation by parsers:

↪ `transform` the item returned by the parser, e.g., build something from it.

```
build :: Parse a b -> (b -> c) -> Parse a c
build p f inp = [ (f x, rem) | (x,rem) <- p inp ]
```

Combining Parsers – Transformation

3) Transformation by parsers:

↪ `transform` the item returned by the parser, e.g., build something from it.

```
build :: Parse a b -> (b -> c) -> Parse a c
build p f inp = [ (f x, rem) | (x,rem) <- p inp ]
```

Example: Note, `digList` returns a list of numbers and shall be embedded such that the number represented by it is returned.

```
(digList 'build' digsToNum) "21a3"
->> [ (digsToNum x,rem) | (x,rem) <- digList "21a3" ]
->> [ (digsToNum x,rem) | (x,rem) <-
      [ ("2", "1a3"), ("21", "a3") ] ]
->> [ (digsToNum "2", "1a3"), (digsToNum "21", "a3") ]
->> [ (2, "1a3"), (21, "a3") ]
```

Universal Parser Basis

The Clou:

The

- ▶ basic parsers

together with the combinators

- ▶ alt
- ▶ (>*>)
- ▶ build

constitute a universal “parser basis,” i.e., allow to build any parser which might be desired.

Example: A Parser for a List of Objects

We suppose to be given a parser recognizing single objects:

```
list :: Parse a b -> Parse a [b]
list p = (succeed []) 'alt'
        ((p >*> list p) 'build' (uncurry ()))
```

Intuition:

- ▶ A list can be empty.
↪ this is recognized by the parser `succeed []`.
- ▶ A list can be non-empty, i.e., it consists of an object followed by a list of objects.
↪ this is recognized by the combined parser `p >*> list p`, where we use `build` to turn a pair `(x,xs)` into the list `(x:xs)`.

Summing up

...on combining parsers ([parser combinators](#)):

- ▶ Parsing functions in the above fashion are structurally similar to grammars in BNF-form. For each operator of the BNF-grammar there is a corresponding (higher-order) parsing function.
- ▶ These higher-order functions [combine](#) simple(r) parsing functions to (more) complex parsing functions.
- ▶ They are thus also called [combining forms](#), or, as a short hand, [combinators](#) (cf. Graham Hutton. [Higher-Order Functions for Parsing](#)).

Summary of the Universal Parser Basis (1)

Priority of the sequence operator

```
infixr 5 >*>
```

Parser type

```
type Parse a b = [a] -> [(b, [a])]
```

Input-independent parsing functions

```
none :: Parse a b
```

```
none inp = []
```

```
succeed :: b -> Parse a b
```

```
succeed val inp = [(val, inp)]
```

Summary of the Universal Parser Basis (2)

Recognizing single objects

```
token :: Eq a => a -> Parse a a
token t = spot (==t)
```

Recognizing single objects satisfying a particular property

```
spot :: (a -> Bool) -> Parse a a
spot p (x:xs)
  | p x      = [(x,xs)]
  | otherwise = []
spot p []   = []
```

Summary of the Universal Parser Basis (3)

Alternatives

```
alt :: Parse a b -> Parse a b -> Parse a b
alt p1 p2 inp = p1 inp ++ p2 inp
```

Sequences

```
(>*>) :: Parse a b -> Parse a c -> Parse a (b,c)
(>*>) p1 p2 inp
  = [((y,z),rem2) | (y,rem1) <- p1 inp,
                  (z,rem2) <- p2 rem1 ]
```

Transformation

```
build :: Parse a b -> (b -> c) -> Parse a c
build p f inp = [ (f x, rem) | (x,rem) <- p inp ]
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

729/114

1st Application of the Universal Parser Basis

Example

```
list :: Parse a b -> Parse a [b]
list p = (succeed []) 'alt'
        ((p >*> list p) 'build' (uncurry (:)))
```

2nd Application of the Universal Parser Basis

Back to the initial example – a parser for expressions.

We consider expressions of the form:

```
data Expr = Lit Int | Var Name | Op Ops Expr Expr
data Ops  = Add | Sub | Mul | Div | Mod
```

Op Add (Lit 2) (Lit 3) corresponds to 2+3

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

731/114

2nd Application of the Universal Parser Basis

Back to the initial example – a parser for expressions.

We consider expressions of the form:

```
data Expr = Lit Int | Var Name | Op Ops Expr Expr
data Ops  = Add | Sub | Mul | Div | Mod
```

Op Add (Lit 2) (Lit 3) corresponds to 2+3

where the following convention shall hold:

- ▶ **Literals:** 67, ~89, etc., where ~ is used for unary minus.
- ▶ **Names:** the lower case characters from 'a' to 'z'.
- ▶ **Applications of the binary operations** ...+, *, -, /, %, where % is used for mod and / for integer division.
- ▶ Expressions are fully bracketed; white space is not permitted.

A Parser for Expressions (1)

The parser

```
parser :: Parse Char Expr
```

```
parser = litParse 'alt' nameParse 'alt' opExpParse
```

... consists of three parts corresponding to the three sorts of expressions.

A Parser for Expressions (1)

The parser

```
parser :: Parse Char Expr
parser = litParse 'alt' nameParse 'alt' opExpParse
```

... consists of three parts corresponding to the three sorts of expressions.

Part I: Parsing names of variables

```
nameParse :: Parse Char Expr
nameParse = spot isName 'build' Name
```

```
isName :: Char -> Bool
isName x = ('a' <= x && x <= 'z')
```

A Parser for Expressions (2)

Part II: Parsing (fully bracketed binary) operator expressions

```
opExpParse
= (token '(' >*>
   parser >*>
   spot isOp >*>
   parser >*>
   token ')')
'build' makeExpr
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

733/114

A Parser for Expressions (2)

Part II: Parsing (fully bracketed binary) operator expressions

```
opExpParse
= (token '(' >*>
   parser >*>
   spot isOp >*>
   parser >*>
   token ')')
  'build' makeExpr
```

Part III: Parsing literals (numerals)

```
litParse
= ((optional (token '~')) >*>
   (neList (spot isDigit)))
  'build' (charlistToExpr . uncurry (++)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

733/114

A Parser for Expressions (3)

Two further parsers

`neList` :: Parse a b -> Parse a [b]

`optional` :: Parse a b -> Parse a [b]

such that:

- ▶ `neList p` recognizes a non-empty list of the objects which are recognized by `p`.
- ▶ `optional p` recognizes an object recognized by `p` or succeeds immediately.

Note that `neList` and `optional` as well as a number of other supporting functions used such as:

- ▶ `isOp`
- ▶ `charlistToExpr`
- ▶ ...

are yet to be defined (\rightsquigarrow homework).

The Top-level Parser: Putting it all Together

Converting a string to the expression it represents:

```
topLevel :: Parse a b -> [a] -> b
topLevel p inp
  = case results of
      [] -> error "parse unsuccessful"
      _  -> head results
  where
    results = [ found | (found, []) <- p inp ]
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

735/114

The Top-level Parser: Putting it all Together

Converting a string to the expression it represents:

```
topLevel :: Parse a b -> [a] -> b
topLevel p inp
  = case results of
      [] -> error "parse unsuccessful"
      _  -> head results
  where
    results = [ found | (found, []) <- p inp ]
```

It is worth noting:

- ▶ The input string is provided by the value of `inp`.
- ▶ The parse is successful, if the result contains at least one parse, in which all the input has been read.

Summing up (1)

Parsers of the form:

```
type Parse a b = [a] -> [(b, [a])]
```

```
none :: Parse a b
```

```
succeed :: b -> Parse a b
```

```
spot :: (a -> Bool) -> Parse a a
```

```
alt :: Parse a b -> Parse a b -> Parse a b
```

```
>*> :: Parse a b -> Parse a c -> Parse a (b,c)
```

```
build :: Parse a b -> (b -> c) -> Parse a c
```

```
topLevel :: Parse a b -> [a] -> b
```





...support particularly well the construction of so-called **recursive descent** parsers.

Summing up (2)





The following language features proved invaluable for **combinator parsing**:

- ▶ **Higher-order functions**: `Parse a b` is of a functional type; all parser combinators are thus **higher-order functions**, too.
- ▶ **Polymorphism**: Consider again the type of `Parse a b`: We do need to be specific about either the input or the output type of the parsers we build. Hence, the above parser combinator can immediately be reused for other (token-) and data types.
- ▶ **Lazy evaluation**: “On demand” generation of the possible parses, automatical backtracking (the parsers will backtrack through the different options until a successful one is found).

Chapter 12.1: Further Reading (1)

-  Richard Bird. *Introduction to Functional Programming using Haskell*. Prentice-Hall, 2nd edition, 1998. (Chapter 11, Parsing)
-  Manuel Chakravarty, Gabriele Keller. *Einführung in die Programmierung mit Haskell*. Pearson Studium, 2004. (Kapitel 13.1.3, Ausdrücke parsen; Kapitel B.1, Der Quellcode für den Ausdrucksparser)
-  Jan van Eijck, Christina Unger. *Computational Semantics with Functional Programming*. Cambridge University Press, 2010. (Chapter 9, Parsing)
-  J. Fokker. *Functional Parsers*. In: *Advanced Functional Programming, First International Summer School*, Springer-V, LNCS 925, 1-23, 1995.



Chapter 12.1: Further Reading (2)

-  S. Hill. *Combinators for Parsing Expressions*. Journal of Functional Programming 6:445-463, 1996.
-  Graham Hutton. *Higher-Order Functions for Parsing*. Journal of Functional Programming 2(3):323-343, 1992.
-  P. Koopman, R. Plasmeijer. *Efficient Combinator Parsers*. In Proceedings of Implementation of Functional Languages, Springer-V., LNCS 1595, 122-138, 1999.
-  S. Doaitse Swierstra, P. Azero Alcocer. *Fast, Error Correcting Parser Combinators: A Short Tutorial*. In Proceedings SOFSEM'99, Theory and Practice of Informatics, 26th Seminar on Current Trends in Theory and Practice of Informatics, Springer-V., LNCS 1725, 111-129, 1999.

Chapter 12.1: Further Reading (3)

-  Peter Pepper. *Funktionale Programmierung in OPAL, ML, Haskell und Gofer*. Springer-V., 2nd edition, 2003. (Kapitel 18.6.2, Ausdrücke als Bäume)
-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-Verlag, 2006. (Kapitel 3, Parser als Funktionen höherer Ordnung)
-  S. Doaitse Swierstra, L. Duponcheel. *Deterministic, Error Correcting Combinator Parsers*. In: *Advanced Functional Programming, Second International Spring School*, Springer-V., LNCS 1129, 184-207, 1996.

Chapter 12.1: Further Reading (4)

-  Simon Thompson. *Haskell – The Craft of Functional Programming*. Addison-Wesley, 2nd edition, 1999.
(Chapter 17.5, Case study: parsing expressions)
-  Philip Wadler. *How to Replace Failure with a List of Successes*. In: *Functional Programming Languages and Computer Architectures*, Springer-V., LNCS 201, 113 - 128, 1985.

Chapter 12.2

Monadic Parsing

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

742/114

Monadic Parsing

The class `Monad`

```
class Monad m where
  return :: a -> m a
  (>>=)  :: m a -> (a -> m b) -> m b
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

743/114

Monadic Parsing

The class `Monad`

```
class Monad m where
  return :: a -> m a
  (>>=)  :: m a -> (a -> m b) -> m b
```

The type of a parser function:

```
newtype Parser a = Parser (String -> [(a,String)])
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

743/114

Monadic Parsing

The class `Monad`

```
class Monad m where
  return :: a -> m a
  (>>=)  :: m a -> (a -> m b) -> m b
```

The type of a parser function:

```
newtype Parser a = Parser (String -> [(a,String)])
```

We then use the same convention as in Chapter 12.1, i.e.:

- ▶ Delivery of the empty list: Signals failure of the analysis.
- ▶ Delivery of a non-empty list: Signals success of the analysis; each element of the list is a pair, whose first component is the identified object (token) and whose second component the input still to be examined.

A Monad of Parsers

Basic Parsers:

- ▶ Recognizing single characters

```
item :: Parser Char
item = Parser (\cs -> case cs of
                    ""      -> []
                    (c:cs) -> [(c,cs)])
```

Note:

- ▶ The functions `item` and `token` correspond to each other.

The Parser Monad

`Parser` is a [type constructor](#). This allows:

```
instance Monad Parser where
  return a = Parser (\cs -> [(a,cs)])
  p >>= f
    = Parser (\cs -> concat [parse (f a) cs' |
                             (a,cs') <- parse p cs])
```

As required for instances of the class [Monad](#), we can show:

```
return a >>= f = f a
p >>= return = p
p >>= (\a -> (f a >>= g)) = (p >>= (\a -> f a)) >>= g
```

Properties of return and (>>=)

Reminder:

- ▶ The above properties are required for each instance of class `Monad`, not just for the specific instance of the parser monad
 - ▶ `return` is left-unit and right-unit for `(>>=)`
 - ↪ allows a simpler and more concise definition of some parsers.
 - ▶ `(>>=)` is associative
 - ↪ allows suppression of parentheses when parsers are applied sequentially.

The Parser Monad

This way we get another two important parsers:

- ▶ The always successful parser: `return`
- ▶ Sequencing of parsers: `(>>=)`

Note:

The functions

- ▶ `return` and `succeed`
- ▶ `(>>=)` and `(>*>)`

correspond to each other.

Typical Structure of a Parser (1)

Using the sequencing operator ($\gg=$):

```
p1 >>= \a1 ->  
p2 >>= \a2 ->  
...  
pn >>= \an ->  
f a1 a2 ... an
```

Typical Structure of a Parser (2)

Intuition:

There is a natural operational reading of such a parser:

- ▶ Apply parser p_1 and denote its result value a_1 .
- ▶ Apply subsequently parser p_2 and denote its result value a_2 .
- ▶ ...
- ▶ Apply concludingly parser p_n and denote its result value a_n .
- ▶ Combine finally the intermediate result values by applying some suitable function f .

Typical Structure of a Parser (3)

The do-notation allows a more appealing notation:

```
do a1 <- p1
   a2 <- p2
   ...
   an <- pn
   f a1 a2 ... an
```

Alternatively, in just one line:

```
do {a1 <- p1; a2 <- p2; ...; an <- pn; f a1 a2...an}
```


Notational Conventions

Expressions of the form

- ▶ $ai \leftarrow pi$ are called **generators**
(since they generate values for the variables ai)

Remark:

A generator of the form $ai \leftarrow pi$ can be

- ▶ replaced by pi , if the generated value will not be used afterwards.

Example: A Simple Parser

Write a parser `p` that

- ▶ reads three characters,
- ▶ drops the second character of these, and
- ▶ returns the first and the third character as a pair.

Example: A Simple Parser

Write a parser `p` that

- ▶ reads three characters,
- ▶ drops the second character of these, and
- ▶ returns the first and the third character as a pair.

Implementation:

```
p :: Parser (Char,Char)
p = do {c <- item; item; d <- item; return (c,d)}
```

Parser Extensions (1)

Monads with a `zero` and a `plus` are captured by two built-in class definitions in Haskell:

```
class Monad m => MonadZero m where
    zero :: m a
```

```
class MonadZero m => MonadPlus m where
    (++) :: m a -> m a -> m a
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15

Chap. 16

753/114

Parser Extensions (2)

The type constructor `Parser` can be made instances of these two classes as follows giving two further parsers:

- ▶ The parser that always fails:

```
instance MonadZero Parser where
  zero = Parser (\cs -> [])
```

- ▶ The parser that non-deterministically selects:

```
instance MonadPlus Parser where
  p ++ q = (\cs -> parse p cs ++ parse q cs)
```

Simple Properties (1)

We can prove:

$$\begin{aligned} \text{zero} \ ++ \ p &= p \\ p \ ++ \ \text{zero} &= p \\ p \ ++ \ (q \ ++ \ r) &= (p \ ++ \ q) \ ++ \ r \end{aligned}$$

Informally:

- ▶ `zero` is left-unit and right-unit for `(++)`
- ▶ `(++)` is associative

Remark: The above properties are required to hold for each monad with `zero` and `plus`.

Simple Properties (2)

Specifically for the parser monad we can additionally prove:

$$\text{zero} \gg= f = \text{zero}$$

$$p \gg= \text{const zero} = \text{zero}$$

$$(p \text{ ++ } q) \gg= f = (p \gg= f) \text{ ++ } (q \gg= f)$$

$$p \gg= (\backslash a \rightarrow f a \text{ ++ } g a) = (p \gg= f) \text{ ++ } (p \gg= g)$$

Informally:

- ▶ `zero` is left-zero and right-zero element for `(>>=)`
- ▶ `(>>=)` distributes through `(++)`

Deterministic Selection

- ▶ The parser that deterministically selects:

$$\begin{aligned} (+++) &:: \text{Parser } a \rightarrow \text{Parser } a \rightarrow \text{Parser } a \\ p \text{ +++ } q &= \text{Parser } (\backslash cs \rightarrow \text{case parse } (p \text{ ++ } q) \text{ cs of} \\ &\quad [] \quad \rightarrow [] \\ &\quad (x:xs) \rightarrow [x]) \end{aligned}$$

It is worth noting:

- ▶ $(+++)$ shows the same behavior as $(++)$, but yields at most one result
- ▶ $(+++)$ satisfies all of the previously listed properties of $(++)$

Further Parsers

Recognizing

- ▶ Single objects

```
char  :: Char -> Parser Char
char c = sat (c ==)
```

- ▶ Single objects satisfying a particular property

```
sat  :: (Char -> Bool) -> Parser Char
sat p
  = do {c <- item; if p c then return c else zero}
```

- ▶ Sequences of numbers, lower case and upper case characters, etc.
...analogously to `char`

It is worth noting:

- ▶ `sat` and `char` correspond to `spot` and `token`.

Recursion Combinators (1)

Useful parsers can often recursively be defined:

- ▶ Parse a specific string

```
string :: String -> Parser String
string "" = return ""
string (c:cs)
  = do {char c; string cs; return (c:cs)}
```

- ▶ Repeated applications of a parser p

(Zero or more applications of p)

```
many :: Parser a -> Parser [a]
many p = many1 p +++ return []
```

(One or more applications of p)

```
many1 :: Parser a -> Parser [a]
many1 p
  = do a <- p; as <- many p; return (a:as)
```

Recursion Combinators (2)

- ▶ A variant of the parser `many` with interspersed applications of the parser `sep`, whose result values are thrown away

```
sepby :: Parser a -> Parser b -> Parser [a]
p 'sepby' sep
    = (p 'sepby1' sep) +++ return []
```

```
sepby1 :: Parser a -> Parser b -> Parser [a]
p 'sepby1' sep
    = do a <- p
        as <- many (do {sep; p})
        return (a:as)
```

Recursion Combinators (3)

- Repeated applications of a parser p , separated by applications of a parser op , whose result value is an operator that is assumed to associate to the left, and which is used to combine the results from the p parsers

```
chainl :: Parser a -> Parser (a -> a -> a)
      -> a -> Parser a
```

```
chainl p op a = (p 'chainl1' op) +++ return a
```

```
chainl1 :: Parser a -> Parser (a -> a -> a)
      -> Parser a
```

```
p 'chainl1' op = do {a <- p; rest a}
```

```
  where
```

```
    rest a = (do f <- op
              b <- p
              rest (f a b))
    +++ return a
```

Lexical Combinators (1)

Suitable combinators allow suppression of a lexical analysis (token recognition), which traditionally precedes parsing:

- ▶ Parsing of a string with blanks and line breaks

```
space :: Parser String
space = many (sat isSpace)
```

- ▶ Parsing of a token by means of parsers `p`

```
token :: Parser a -> Parser a
token p = do {a <- p; space; return a}
```

Lexical Combinators (2)

- ▶ Parsing of a symbol token

```
symb  :: String -> Parser String
symb cs = token (string cs)
```

- ▶ Application of parser *p*, removal of initial blanks

```
apply  :: Parser a -> String -> [(a,String)]
apply p = parse (do {space; p})
```

Example: Parsing of Expressions (1)

Grammar:

...for arithmetic expressions built up from single digits using the operators +, -, *, /, and parentheses:

```
expr    ::=  expr addop term | term
term    ::=  term mulop factor | factor
factor  ::=  digit | (expr)
digit   ::=  0 | 1 | ... | 9

addop   ::=  + | -
mulop   ::=  * | /
```

Example: Parsing of Expressions (2)

Parsing and evaluating expressions (yielding integer values) using the `chain1` combinator to implement the left-recursive production rules for `expr` and `term`:

```
expr  :: Parser Int
addop :: Parser (Int -> Int -> Int)
mulop :: Parser (Int -> Int -> Int)

expr  = term    'chain1' addop
term  = factor  'chain1' mulop
factor = digit +++
        do {symb "("; n <- expr; symb ")"; return n}
digit
  = do {x <- token (sat isDigit); return (ord x - ord '0')}
addop
  = do {symb "+"; return (+)} +++ do {symb "-"; return (-)}
mulop
  = do {symb "*"; return (*)} +++ do {symb "/"; return (div)}
```


Example: Parsing of Expressions (3)

Example:

Evaluating

```
apply expr " 1 - 2 * 3 + 4 "
```

gives the singleton list

```
[(-1,"")] as desired
```

as desired.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

12.1

12.2

Chap. 13

Chap. 14

Chap. 15


Chap. 16

766/114

Chapter 12.2: Further Reading (1)

-  Marco Block-Berlitz, Adrian Neumann. *Haskell Intensivkurs*. Springer Verlag, 2011. (Kapitel 19.10.5, λ -Parser)
-  W. Burge. *Recursive Programming Techniques*. Addison-Wesley, 1975.
-  A. Gill, S. Marlow. *Happy – The Parser Generator for Haskell*. University of Glasgow, 1995.
www.haskell.org/happy
-  Graham Hutton. *Programming in Haskell*. Cambridge University Press, 2007. (Chapter 8, Functional parsers)
-  Graham Hutton, Erik Meijer. *Monadic Parsing in Haskell*. *Journal of Functional Programming* 8(4):437-444, 1998.

Chapter 12.2: Further Reading (2)

-  Graham Hutton, Erik Meijer. *Monadic Parser Combinators*. Technical Report NOTTCS-TR-96-4, Dept. of Computer Science, University of Nottingham, 1996.
-  Daan Leijen, Erik Meijer. *Parsec: A Practical Parser Library*. Electronic Notes in Theoretical Computer Science 41(1), 2001.
-  Simon Peyton Jones, D. Lester. *Implementing Functional Languages: A Tutorial*. Prentice Hall, 1992.
-  Bryan O'Sullivan, John Goerzen, Don Stewart. *Real World Haskell*. O'Reilly, 2008. (Chapter 10, Code Case Study: Parsing a Binary Data Format)

Chapter 13

Logical Programming Functionally

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

769/114

Logical Programming Functionally

Declarative programming

- ▶ Functional style
- ▶ Logical style

If each of these two styles is appealing

- ▶ a combination of (features of) functional and logical programming

should be even more appealing.

Recent Article

- ▶ Sergio Antoy, Michael Hanus. [Functional Logic Programming](#). Communications of the ACM 53(4):74-85, 2010.

...highlights the [benefits of combining the paradigm features of both logical and functional programming](#).

Some of the essence of this article is summarized on the next couple of slides.

Evolution of Programming Languages

...the **stepwise introduction of abstractions** hiding the underlying computer hardware and the details of program execution.

- ▶ **Assembly languages** introduce mnemonic instructions and symbolic labels for hiding machine codes and addresses.
- ▶ **FORTRAN** introduces arrays and expressions in standard mathematical notation for hiding registers.
- ▶ **ALGOL-like languages** introduce structured statements for hiding gotos and jump labels.
- ▶ **Object-oriented languages** introduce visibility levels and encapsulation for hiding the representation of data and the management of memory.

Evolution of Prog. Lang. (Cont'd)

- ▶ **Declarative languages**, most prominently **functional** and **logic languages** hide the order of evaluation by removing assignment and other control statements.
 - ▶ A declarative program is a set of logical statements describing properties of the application domain.
 - ▶ The execution of a declarative program is the computation of the value(s) of an expression wrt these properties.

This way:

- ▶ The programming effort in a declarative language shifts from encoding the steps for computing a result to structuring the application data and the relationships between the application components.
- ▶ Declarative languages are similar to formal specification languages **but** executable.

Functional vs. Logic Languages

Functional languages

- ▶ are based on the notion of **mathematical function**
- ▶ **programs are sets of functions** that operate on data structures and are defined by equations using case distinction and recursion
- ▶ **provide efficient, demand-driven evaluation strategies** that support infinite structures

Logic languages

- ▶ are based on **predicate logic**
- ▶ **programs are sets of predicates** defined by restricted forms of logic formulas, such as Horn clauses (implications)
- ▶ **provide non-determinism and predicates** with multiple input/output modes that offer code reuse

Functional Logic Languages: Examples

- ▶ Curry

Michael Hanus (Ed.). [Curry: An Integrated Functional Logic Language \(vers. 0.8.2, 2006\)](#),
<http://www.curry-language.org/>

- ▶ TOY

F. López-Fraguas, J. Sánchez-Hernández. [TOY: A Multiparadigm Declarative System](#). In Proceedings of RTA'99, Springer LNCS 1631, 1999, 244 - 247.

- ▶ Mercury

Zoltan Somogyi, Fergus Henderson, Thomas Conway. [The Execution Algorithm of Mercury: An Efficient Purely Declarative Logic Programming Language](#). Journal of Logic Programming 29 (1-3), 1996, 17 - 64.

See also: The Mercury Project.

<http://www.mercury.scce.unimelb.edu.au>

Functional Logic Languages: Examples

And there are many more:

- ▶ Escher
- ▶ Oz
- ▶ HAL
- ▶ ...

A Curry Appetizer

Regular Expressions

```
data RE a = Lit a
          | Alt (RE a) (RE a)
          | Conc (RE a) (RE a)
          | Star (RE a)
```

The Semantics of Regular Expressions

```
sem :: RE a -> [a]
sem (Lit c)      = [c]
sem (Alt r s)    = sem r ? sem s
sem (Conc r s)   = sem r ++ sem s
sem (Star r)     = [] ? sem (Conc r (Star r))
```

Note: The Curry-operator `?` denotes **nondeterministic choice**.

A Curry Appetizer (Cont'd)

```
abstar = Conc (Lit 'a') (Star (Lit 'b'))
```

```
sem abstar ->> ["a","ab","abb"]
```

The **Curry**-operator `:=` indicates that an equation is to be solved rather than an operation to be defined; here it checks whether a given word `w` is in the language of a given regular expression `re`:

```
sem re := w
```

The following equation checks whether a string `s` contains a word generated by a regular expression `re` (similar to Unix's `grep` utility):

```
xs ++ sem re ++ ys := s  
  where xs, ys free
```

In this chapter

...we will follow a different approach that has been presented in

- ▶ Michael Spivey, Silvija Seres. [Combinators for Logic Programming](#). In Jeremy Gibbons, Oege de Moor (Eds.), [The Fun of Programming](#). Palgrave MacMillan, 2003.

We will show how to

- ▶ integrate features of logical programming into functional programming.

Central means:

- ▶ [Monads](#) and [monadic programming](#).

Declarative Programming

- ▶ **Distinguishing:** Emphasizes the “what”, rather than the “how”
 - ▶ **Essence:** Programs are declarative assertions about a problem rather than imperative solution procedures.
- ▶ **Variants:** functional and logical programming.
- ▶ **Question:** Can functional and logical programming be uniformly combined?

Combining Features of Functional and Logical Programming

Basic approaches:

- ▶ **Classical:** Designing new programming languages, which enjoy features of both programming styles (e.g. Curry).
- ▶ **Simpler:** Implementing an interpreter for one style using the other style.
- ▶ **Still simpler:** Write “logical” programs in Haskell using a library of combinators.
~> this is the approach taken in the following!

Further Reading

...on functional/logical programming languages:

- ▶ Michael Hanus, Herbert Kuchen, Juan Jose Moreno-Navarro. [Curry: A Truly Functional Logic Language](#). In Proceedings of ILPS'95 Workshop on Visions for the Future of Logic Programming, 1995, 95-107.
- ▶ Zoltan Somogyi, Fergus Henderson, Thomas Conway. [Mercury: An Efficient Purely Declarative Logic Programming Language](#). In Proceedings of the Australian Computer Science Conference, 1995, 499-512.

Remarks on the present Combinator Approach

Advantages and disadvantages

- ▶ compared to dedicated functional/logical programming languages
 - ▶ less costly
 - ▶ but less expressive

Key problems

- ▶ Modelling logical programs
 - ▶ yielding multiple answers
 - ▶ with **logical** variables (no distinction between input and output variables)
- ▶ Modelling the evaluation strategy inherent to logical programs

Running Example: Factoring of Nat. Numbers

Factoring of Natural Numbers: Decomposing a positive integer into the set of pairs of its factors.

Example:

Integer	Factor-Pairs
24	(1,24), (2,12), (3,8), (4,6), ..., (24,1)

Obvious Solution:

```
factor :: Int -> [(Int,Int)]
factor n = [(r,s) | r<-[1..n], s<-[1..n], r*s == n]
```

In fact, we get:

```
?factor 24
[(1,24), (2,12), (3,8), (4,6), (6,4), (8,3), (12,2), (24,1)]
```

It is worth noting

The previous solution exploits:

- ▶ Explicit domain knowledge
 - ▶ E.g. $r * s = n \Rightarrow r \leq n \wedge s \leq n$
 - ▶ This renders possible: Restriction to a finite search space $[1..24] \times [1..24]$

Often such knowledge is not available; in general:

- ▶ The search space cannot be restricted a priori
- ▶ In the following thus: Considering the factoring problem as a search problem over an infinite search space $[1..] \times [1..]$

Tackling the 1st Problem: Several Results

Solution: Lists of successes
 \rightsquigarrow lazy lists (Phil Wadler)

Idea

- ▶ A function of type $a \rightarrow b$ can be replaced by a function of type $a \rightarrow [b]$.
- ▶ **Lazy evaluation** ensures that the elements of the result list (**list of successes**) are provided as they are found, rather than as a complete list after termination of the computation.

Back to the Example

Realizing this idea in the factoring example (assuming that the search space cannot be bounded a priori):

```
factor    :: Int -> [(Int,Int)]
factor n = [(r,s) | r<-[1..], s<-[1..], r*s == n]
```

```
?factor 24
[(1,24)
```

...followed by an *infinite wait*.

Back to the Example

Realizing this idea in the factoring example (assuming that the search space cannot be bounded a priori):

```
factor    :: Int -> [(Int,Int)]  
factor n = [(r,s) | r<-[1..], s<-[1..], r*s == n]
```

```
?factor 24  
[(1,24)
```

...followed by an *infinite wait*.

↪ This is of *no practical value!*

Remedy: Fair Order via Diagonalization (1)

Explore the search space of pairs in a fair order:

```
factor n
  = [(r,s) | (r,s)<-diagprod [1..][1..], r*s == n]
```

where

```
diagprod      :: [a] -> [b] -> [(a,b)]
diagprod xs ys
  = [(xs!!i, y!!(n-i)) | n<-[0..], i<-[0..n]]
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

788/114

Remedy: Fair Order via Diagonalization (1)

Explore the search space of pairs in a fair order:

```
factor n
  = [(r,s) | (r,s)<-diagprod [1..][1..], r*s == n]
```

where

```
diagprod      :: [a] -> [b] -> [(a,b)]
diagprod xs ys
  = [(xs!!i, y!!(n-i)) | n<-[0..], i<-[0..n]]
```

Effect: Each pair (x,y) is now reached after a finite number of steps:

```
[(1,1), (1,2), (2,1), (1,3), (2,2), (3,1), (1,4),
 (2,3), (3,2), ...]
```

Remedy: Fair Order via Diagonalization (2)

Applied to our running example, we obtain:

?factor 24

$[(4,6), (6,4), (3,8), (8,3), (2,12), (12,2), (1,24), (24,1)]$

...this means, we obtain all results; followed again, however, by an [infinite wait](#).

Remedy: Fair Order via Diagonalization (2)

Applied to our running example, we obtain:

?factor 24

$[(4,6), (6,4), (3,8), (8,3), (2,12), (12,2), (1,24), (24,1)]$

...this means, we obtain all results; followed again, however, by an [infinite wait](#).

Of course, this was expected, since the search space is [infinite](#).

Systematic Remedy: Using Monads

Reminder:

```
class Monad m where
  return :: a -> m a
  (>>=)  :: m a -> (a -> m b) -> m b
```

Notational conventions for the following development:

- ▶ `Stream a` ...for (potentially) **infinite lists**
- ▶ `[a]` ...for **finite lists**
- ▶ **Note:** The distinction between `Stream a` for **infinite lists** and `[a]` for **finite lists** is only conceptually; the following definition makes this explicit:

```
type Stream a = [a]
```

List Monad

The monad of (potentially infinite) lists

Definition of the monad operations

- ▶ **return** (yields the singleton list):

```
return :: a -> Stream a  
return x = [x]
```

- ▶ **binding operator (>>=)**:

```
(>>=) :: Stream a -> (a -> Stream b) -> Stream b  
xs >>= f = concat (map f xs)
```

Other monad operations are irrelevant in our context.

Benefit

The monad operations `return` and `(>>=)` allow us to model/replace `list comprehension`:

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

792/114

Benefit

The monad operations `return` and `(>>=)` allow us to model/replace `list comprehension`:

The meaning of the expression, for example,

```
[(x,y) | x <- [1..], y <- [10..]]
```

...using `list comprehension` is equivalent to

```
concat (map (\x -> [(x,y) | y <- [10..]]) [1..])
```

...that itself is equivalent to

```
concat (map (\x ->
             concat (map (\y -> [(x,y)]) [10..])) [1..])
```

Benefit

The monad operations `return` and `(>>=)` allow us to model/replace `list comprehension`:

The meaning of the expression, for example,

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[(x,y) | x <- [1..], y <- [10..]]
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...using `list comprehension` is equivalent to

```
concat (map (\x -> [(x,y) | y <- [10..]]) [1..])
```

...that itself is equivalent to

```
concat (map (\x ->
             concat (map (\y -> [(x,y)]) [10..])) [1..])
```

Using `return` and `(>>=)` this can `concisely be expressed by`:

```
[1..] >>= (\x -> [10..] >>= (\y -> return (x,y)))
```


Benefit (Cont'd)

Haskell's `do`-notation allows an even more compact equivalent representation:

```
do x <- [1..]; y <- [10..]; return (x,y)
```

Benefit (Cont'd)

Haskell's `do`-notation allows an even more compact equivalent representation:

```
do x <- [1..]; y <- [10..]; return (x,y)
```

Recalling the general rule:

The expression

```
do x1 <- e1; x2 <- e2; ... ; xn <- en; e
```

is a shorthand for

```
e1 >>= (\x1 -> e2 >>= (\x2 -> ... >>= (\xn -> e)...))
```

Fairness: Adapting the binding op. ($\gg=$) (1)

Are we done? Not yet, since:

- ▶ Exploring the pairs of the search space is **still not fair**.

The expression

```
do x <- [1..]; y <- [10..]; return (x,y)
```

yields the stream

```
[(1,10), (1,11), (1,12), (1,13), (1,14), ...]
```

Fairness: Adapting the binding op. ($\gg=$) (1)

Are we done? Not yet, since:

- ▶ Exploring the pairs of the search space is **still not fair**.

The expression

```
do x <- [1..]; y <- [10..]; return (x,y)
```

yields the stream

```
[(1,10), (1,11), (1,12), (1,13), (1,14), ...]
```

This problem is going to be tackled next.

Fairness: Adapting the binding op. ($\gg=$) (2)

Idea: Embedding diagonalization into ($\gg=$)

Implementation

Introducing a new type `Diag a`:

```
newtype Diag a = MkDiag (Stream a) deriving Show
```

...together with an auxiliary function for stripping off the type constructor `MkDiag`:

```
unDiag (MkDiag xs) = xs
```

Fairness: Adapting the binding op. ($\gg=$) (3)

`Diag` is made an instance of the constructor class `Monad`:

```
instance Monad Diag where
  return x = MkDiag [x]
  MkDiag xs >>= f
    = MkDiag (concat (diag (map (unDiag . f) xs)))
```

where `diag` rearranges the values into a **fair order**:

```
diag :: Stream (Stream a) -> Stream [a]
diag [] = []
diag (xs:xss)
  = lzw (++) [ [x] | x <- xs] ([] : diag xss)
```

Fairness: Adapting the binding op. ($\gg=$) (4)

where

$$\text{lzw} :: (a \rightarrow a \rightarrow a) \rightarrow \text{Stream } a \rightarrow \text{Stream } a \rightarrow \text{Stream } a$$
$$\text{lzw } f \ [] \ ys \quad = \ ys$$
$$\text{lzw } f \ xs \ [] \quad = \ xs$$
$$\text{lzw } f \ (x:xs) \ (y:ys) = (f \ x \ y) : (\text{lzw } f \ xs \ ys)$$

It is worth noting:

- ▶ `lzw` equals `zipWith` except that the non-empty remainder of a non-empty argument list is attached, if one of the argument lists gets empty.

Fairness: Adapting the binding op. ($\gg=$) (5)

Intuition:

- ▶ `return` yields the singleton list.
- ▶ `undiag` strips off the constructor added by the function `f :: a -> Diag b`.
- ▶ `diag` arranges the elements of the list into a fair order (and works equally well for finite and infinite lists).
- ▶ `lzw` reminds to “like `zipWith`.”

Fairness: Adapting the binding op. ($\gg=$) (6)

The idea underlying diag:

- ▶ Transform an infinite list of infinite lists

`[[x11,x12,x13,..],[x21,x22,..],[x31,x32,..],..]`

- ▶ ...into an infinite list of finite diagonals

`[[x11],[x12,x21],[x13,x22,x31],..]`

This way:

```
?do x <- MkDiag [1..]; y<-MkDiag [10..]; return (x,y)
MkDiag[(1,10),(1,11),(2,10),(1,12),(2,11),
      (3,10),(1,13),..]
```

Fairness: Adapting the binding op. ($\gg=$) (6)

The idea underlying diag:

- ▶ Transform an infinite list of infinite lists

```
[[x11,x12,x13,...],[x21,x22,...],[x31,x32,...],...]
```

- ▶ ...into an infinite list of finite diagonals

```
[[x11],[x12,x21],[x13,x22,x31],...]
```

This way:

```
?do x <- MkDiag [1..]; y<-MkDiag [10..]; return (x,y)
MkDiag[(1,10),(1,11),(2,10),(1,12),(2,11),
       (3,10),(1,13),...]
```

Summing up

- ▶ We have achieved: The pairs are delivered in a fair order!

Back to the Factoring Problem (1)

Current state of our solution:

- ▶ Generating pairs (in a fair order): **done**.
- ▶ Selecting (those pairs being part of the solution): **still open**.

Back to the Factoring Problem (1)

Current state of our solution:

- ▶ Generating pairs (in a fair order): **done**.
- ▶ Selecting (those pairs being part of the solution): **still open**.

Approach for solving the selection problem, i.e., filtering out the pairs (r, s) satisfying the equality $r \times s = n$:

- ▶ Filtering with conditions!

Back to the Factoring Problem (2)

For that purpose:

```
class Monad m => Bunch m where
  zero :: m a          -- empty result, no answer
  alt  :: m a -> m a -> m a -- all answers either
                                -- in xm or ym
  wrap :: m a -> m a  -- answers yielded by auxi-
                                -- liary calculations; right
                                -- now, wrap is defined as
                                -- the identity function
```

It is worth noting:

- ▶ The value `zero` allows to express an `empty answer set`.

Back to the Factoring Problem (3)

In detail:

The instance declaration for ordinary lazy lists:

```
instance Bunch [] where
  zero      = []
  alt xs ys = xs ++ ys
  wrap xs   = xs
```

...and for the monad `Diag`:

```
instance Bunch Diag where
  zero      = MkDiag[]
  alt (MkDiag xs)(MkDiag ys) = MkDiag (shuffle xs ys)
  wrap xm      = xm

  shuffle [] ys      = ys
  shuffle (x:xs) ys = x : shuffle ys xs
```

([Remark](#): `alt` and `wrap` will be used later.)

Back to the Factoring Problem (4)

By means of `zero`, the function `test` yields the key for filtering:

```
test    :: Bunch m => Bool -> m()
test b = if b then return() else zero
```

This does not look useful, but it provides the key to filtering:

```
?do x <- [1..]; () <- test (x 'mod' 3 == 0); return x
[3,6,9,12,15,18,21,24,27,30,33,..]
```

```
?do x <- MkDiag [1..]; test (x 'mod' 3 == 0); return x
MkDiag[3,6,9,12,15,18,21,24,27,30,33,..]
```

Are we done? (1)

Not yet!

Consider:

```
?do r <- MkDiag[1..]; s <- MkDiag[1..];  
    test(r*s==24); return (r,s)  
MkDiag[(1,24)
```

...followed by an infinite wait.

Are we done? (1)

Not yet!

Consider:

```
?do r <- MkDiag[1..]; s <- MkDiag[1..];  
  test(r*s==24); return (r,s)  
MkDiag[(1,24)
```

...followed by an infinite wait.

What are the reasons for that?

```
do r <- MkDiag[1..]; s <- MkDiag[1..];  
  test(r*s==24); return (r,s)
```

is equivalent to

```
do x <- MkDiag[1..]  
  (do y <- MkDiag[1..]; test(x*y==24);  
   return (x,y))
```

Are we done? (2)

I.e., the generator for y is merged with the subsequent test to the following (sub-) expression:

```
do y <- MkDiag[1..]; test(x*y==24); return (x,y)
```

Intuition:

- ▶ This expression yields for a given value of x all values of y with $x * y = 24$.
- ▶ For $x = 1$ the answer $(1, 24)$ will be found, in order to search in vain for further values of y .
- ▶ For $x = 5$ we thus do not observe any output.

Solution Approach

The deeper reason for this undesired behaviour:

The missing associativity of ($\gg=$) for `Diag`, i.e.,

$$(xm \gg= f) \gg= g = xm \gg= (\backslash x \rightarrow f x \gg= g)$$

...does not hold for ($\gg=$) and `Diag`!

Solution Approach

The deeper reason for this undesired behaviour:

The missing associativity of ($\gg=$) for `Diag`, i.e.,

$$(xm \gg= f) \gg= g = xm \gg= (\backslash x \rightarrow f x \gg= g)$$

...does not hold for ($\gg=$) and `Diag`!

Remedy: Explicit grouping of generators to ensure fairness

```
?do (x,y) <- (do u <- MkDiag[1..];  
      v <- MkDiag[1..]; return (u,v))  
      test (x*y==24); return (x,y)  
MkDiag[(4,6), (6,4), (3,8), (8,3), (2,12), (12,2),  
        (1,24), (24,1)]
```

...all results, subsequently followed by an infinite wait.

Remarks

- ▶ All results, subsequently followed by an infinite wait
~> this is the best we can hope for if the search space is infinite.
- ▶ Explicit grouping
~> required only because of missing associativity of $(>>=)$, otherwise both expressions would be equivalent.
- ▶ In the following
~> avoid infinite waiting by indicating that a result has not (yet) been found.

Indicating that no solution is found

To this purpose: Introducing a new type `Matrix` together with breadth search.

Intuition

- ▶ Type `Matrix`: Infinite list of finite lists.
- ▶ `Goal`: A program that yields a matrix of answers, where row i contains all answers that can be computed with costs $c(i)$.
- ▶ `Solving the indication problem`: By returning the empty list in a row (means “nothing found”).

Implementation (1)

The new type `Matrix`

```
newtype Matrix a
  = MkMatrix (Stream [a]) deriving Show
```

...with an auxiliary function for stripping off the constructor:

```
unMatrix (MkMatrix xm) = xm
```

Implementation (2)

Preliminary definitions for making `Matrix` an instance of class `Bunch`:

```
return x = MkMatrix[[x]]    -- Matrix with a single row
zero = MkMatrix[]          -- Matrix without rows
alt(MkMatrix xm) (MkMatrix ym) = MkMatrix(lzw (++) xm ym)
wrap(MkMatrix xm) = MkMatrix([],xm)  -- the clou is en-
                                       -- coded in wrap!

(>>=) :: Matrix a -> (a -> Matrix b) -> Matrix b
(MkMatrix xm) >>= f = MkMatrix (bindm xm (unMatrix . f))

bindm :: Stream[a] -> (a -> Stream[b]) -> Stream[b]
bindm xm f = map concat (diag (map (concatAll . map f) xm))

concatAll :: [Stream [b]] -> Stream [b]
concatAll = foldr (lzw (++)) []
```


Implementation (3)

In total we are now ready to make `Matrix` an instance of the classes `Monad` and `Bunch`:

```
instance Monad Matrix where
  return x          = MkMatrix[[x]]
  (MkMatrix xm) >>= f = MkMatrix(bindm xm (unMatrix . f))

instance Bunch Matrix where
  zero          = MkMatrix[]
  alt(MkMatrix xm)(MkMatrix ym) = MkMatrix(lzw (++) xm ym)
  wrap(MkMatrix xm)           = MkMatrix([],xm)

intMat = MkMatrix[[n] | n <- [1..]]
```

Example:

```
?do r <- intMat; s <- intMat; test(r*s==24); return (r,s)
MkMatrix([],[],[],[],[],[],[],[],[(4,6),(6,4)],
  [(3,8),(8,3)],[],[],[(2,12),(12,2)],[],[],[],
  [[],[],[],[],[],[],[],(1,24),(24,1)],[],[],[],...
```

A Variety of Search Strategies

(i) Breadth search (`MkMatrix[[n] | n<-[1..]]`), (ii) depth search (`[1..]`), (iii) diagonalization:

...by means of additional functions that allow us to fix the strategy of interest at the time of calling (`"just in time"`).

A Variety of Search Strategies

(i) Breadth search (`MkMatrix[[n] | n<-[1..]]`), (ii) depth search (`[1..]`), (iii) diagonalization:

...by means of additional functions that allow us to fix the strategy of interest at the time of calling (“just in time”).

Control via a monad type:

```
choose      :: Bunch m => Stream a -> m a
choose (x:xs) = wrap (return x 'alt' choose xs)
```

```
factor     :: Bunch m => Int -> m(Int, Int)
factor n = do r <- choose[1..]; s <- choose[1..];
           test(r*s==n); return (r,s)
```

Selecting a Search Strategy

This allows:

- ▶ Usage of `factor` with different search strategies.
- ▶ The specified type of `factor` determines the `search monad` (and thus the `search strategy`).

```
?factor 24 :: Stream(Int,Int)
[(1,24)
```

```
?factor 24 :: Matrix(Int, Int)
Matrix[[], [], [], [], [], [], [], [], [], [], [(4,6), (6,4)],
        [(3,8), (8,3)], [], [], [(2,12), (12,2)], [], [], [], [],
        [], [], [], [], [], [], [(1,24), (24,1)], [], [], [], ...
```

Summary of Progress

Recall:

The 3 key problems we had/have to deal with:

- ▶ Modelling logical programs with
 - ▶ **multiple results:** **done** (essentially by means of lazy lists)
 - ▶ **logical variables:** **still open**
 - ▶ Common for logical programs: not a pure simplification of an initially completely given expression, but a simplification of an expression containing variables, for which appropriate values have to be determined. In the course of the computation, variables can be replaced by other subexpressions containing variables themselves, for which then appropriate values have to be found.
 - ▶ **Modelling of the evaluation strategy inherent to logical programs:** **done**
 - ▶ implicit search of logical programming languages has been made explicit.
 - ▶ by means of type classes of Haskell even different search strategies were conveniently be realizable.

Tackling the Final Problem: Terms, Substitutions & Predicates (1)

Towards the modeling in Haskell:

Terms will describe values of logical variables:

```
data Term = Int Int
          | Nil
          | Cons Term Term
          | Var Variable deriving Eq
```

Named variables will be used for formulating queries, **generated variables** evolve in the course of the computation:

```
data Variable = Named String
              | Generated Int deriving (Show, Eq)
```

Terms, Substitutions & Predicates (2)

Some auxiliary functions

- ▶ for transforming a string into a named variable

```
var    :: String -> Term
var s = Var (Named s)
```

- ▶ for constructing a term representation of a list of integers

```
list    :: [Int] -> Term
list xs = foldr Cons Nil (map Int xs)
```

Terms, Substitutions & Predicates (3)

Substitution and unification:

```
-- Substitution is essentially a mapping
-- from variables to terms (details later)
newtype Subst
```

Further support functions:

```
apply :: Subst -> Term -> Term
idsubst :: Subst
unify :: (Term, Term) -> Subst -> Maybe Subst
```


Terms, Substitutions & Predicates (4)

Logical programs (in our Haskell environment) with `m` of type `bunch`:

```
-- Logical programs have type Pred m
type Pred m = Answer -> m Answer

-- Answers; the integer-component controls
-- the generation of new variables
newtype Answer = MkAnswer (Subst, Int)
```

Terms, Substitutions & Predicates (5)

```
-- "Initial answer"
initial :: Answer
initial = MkAnswer (idsubst, 0)
run     :: Bunch m => Pred m -> m Answer
run p = p initial

-- "Program run of a predicate as query", where
-- p is applied to the initial answer
run p :: Stream Answer
```

Writing logical programs

Example:

`append(a,b,c)` where `a,b` denote lists and `c` the concatenation of the lists `a` and `b`.

Implementation as a function of terms on predicates:

```
append :: Bunch m => (Term, Term, Term) -> Pred m
-- The implementation of append (will follow!) and
-- of appropriate Show-Functions is supposed:
?run(append(list[1,2],list[3,4],var "z"))
:: Stream Answer
[z=[1,2,3,4]]
-- Note: Equivalent to the above list but more
-- accurate would be:
Cons 1 (Cons 2 (Cons 3 (Cons 4 Nil)))
```

Combinators for logical programs (1)

Simple predicates are formed by means of the operators (`==`) (equality of terms):

```
?run(var "x" == Int 3) :: Stream Answer  
[ {x=3} ]
```

Implementation of (`==`) by means of `unify`:

```
(==) :: Bunch m => Term -> Term -> Pred m  
(t==u)(MkAnswer(s,n)) =  
  case unify(tu) s of  
    Just s' -> return(MkAnswer(s',n))  
    Nothing -> zero
```

Combinators for logical programs (2)

Conjunction of predicates by means of the operator (&&&) (conjunction):

```
?run(var "x" ::= Int 3 &&& var "y" ::= Int 4)
      :: Stream Answer
```

```
[{x=3,y=4}]
```

```
?run(var "x" ::= Int 3 &&& var "x" ::= Int 4)
      :: Stream Answer
```

```
[]
```

Implementation by means of the operator (>>=) of type bunch:

```
(&&&) :: Bunch m => Pred m -> Pred m -> Pred m
```

```
(p &&& q) s = p s >>= q
```

```
-- equivalent and highlighting the
```

```
-- sequentiality would be
```

```
do t <- p s; u <- q t; return u
```

Combinators for logical programs (3)

Disjunction of predicates by means of the operator (`|||`)
(Disjunction):

```
?run(var "x" ::= Int 3 ||| var "x" ::= Int 4)
      :: Stream Answer
[{x=3,x=4}]
```

Implementation by means of the operator `alt` of type `bunch`:

```
(|||) :: Bunch m => Pred m -> Pred m -> Pred m
(p ||| q) s = alt (p s) (q s)
```

Combinators for logical programs (4)

Introducing new variables in predicates (exploiting the integer-component of answers)

...on the construction of local variables in recursive predicates:

```
exists :: Bunch m => (Term -> Pred m) -> Pred m
exists p (MkAnswer (s,n)) =
  p (Var(Generated n)) (MkAnswer(s,n+1))
```

Also for handling recursive predicates

...ensures that in connection with `Matrix` the costs per recursion unfolding increase by 1:

```
step      :: Bunch m => Pred m -> Pred m
step p s = wrap (p s)
```

Example

Examples of applications of `wrap` and `step`:

```
?run (var "x" ::= Int 0) :: Matrix Answer  
MkMatrix[[{x=0}]]
```

```
?run(step(var "x" ::= Int 0)) :: Matrix Answer  
MkMatrix[[], [{x=0}]]
```


Recursive Programs (1)

This allows us to provide the implementation of `append`:

```
append(p,q,r) =  
  step(p := Nil &&& q := r  
    ||| exists (\x -> exists (\a -> exists (\b ->  
      p := Cons x a &&& r := Cons x b  
      &&& append(a,q,b))))))
```

Recursive Programs (2)

As common for logical programs, also the following application of `append` is possible:

- ▶ The concatenation of which lists equals the list `[1,2,3]`?

```
?run(append(var "x", var "y", list[1,2,3]))  
      :: Stream Answer
```

```
{x = Nil, y = [1,2,3]},  
 {x = [1], y = [2,3]},  
 {x = [1,2], y = [3]},  
 {x = [1,2,3], y = Nil}]
```

A More Complex Example (1)

Constructing “good” sequences consisting of 0s and 1s.

Definition:

1. The sequence [0] is good.
2. If the sequences s_1 and s_2 are good, then also the sequence [1] ++ s_1 ++ s_2 .
3. Except of the sequences according to 1. and 2., there are no other good sequences.

A More Complex Example (2)

Implementation as a predicate:

```
good(s) =  
  step (s := Cons(Int 0) Nil  
    ||| exist (\t -> exists (\q -> exists (\r ->  
      s := Cons (Int 1) t &&& append(q,r,t)  
      &&& good(q) &&& good(r))))))
```

Applications (1)

1) Test of being “good”:

```
?run (good (list[1,0,1,1,0,0,1,0,0]))  
                                     :: Stream Answer  
[{}] -- empty answer set, if argument list is good  
  
?run (good (list[1,0,1,1,0,0,1,0,1]))  
                                     :: Stream Answer  
[]  -- no answer, if argument list is not good
```

It is worth noting:

- ▶ “empty answer” and “no answer” correspond to “yes” and “no” of a Prolog system.

Applications (2)

2) Constructing “good” lists

```
-- With an unfair bunch-type: Some answers  
-- are missing  
?run(good(var "s")) :: Stream Answer  
[s=[0],  
 s=[1,0,0],  
 s=[1,0,1,0,0],  
 s=[1,0,1,0,1,0,0],  
 s=[1,0,1,0,1,0,1,0,0],...
```

Applications (3)

-- For comparison: With a fair bunch-type

```
?run(good(var "s")) :: Diag Answer
```

```
Diag[s=[0],  
      s=[1,0,0],  
      s=[1,0,1,0,0],  
      s=[1,0,1,0,1,0,0],  
      s=[1,1,0,0,0],  
      s=[1,0,1,0,1,0,1,0,0],  
      s=[1,1,0,0,1,0,0],  
      s=[1,0,1,1,0,0,0],  
      s=[1,1,0,0,1,0,1,0,0],...
```

Applications (4)

```
-- For comparison: With a breadth-first search  
-- bunch-type. Effect: The output of results is  
-- more "predictable".
```

```
?run(good(var "s")) :: Matrix Answer
```

```
MkMatrix[[],  
  [s=[0]], [], [], [],  
  [s=[1,0,0]], [], [], [],  
  [s=[1,0,1,0,0]], [],  
  [s=[1,1,0,0,0]], [],  
  [s=[1,0,1,0,1,0,0]], [],  
  [s=[1,0,1,1,0,0,0]], s=[1,1,0,0,1,0,0]], [],  
  ..
```


Delivering Missing Definitions (1)

Priorities of new infix operators:

```
infixr 4 ::=
infixr 3 &&&
infixr 2 |||
```

Substitution:

```
newtype Subst = MkSubst [(Var, Term)]
unSubst(MkSubst s) = s

idsubst = MkSubst []
extend x t (MkSubst s) = MkSubst ((x,t):s)
```

Delivering Missing Definitions (2)

Application of substitution:

```
apply :: Subst -> Term -> Term
apply s t =
  case deref s t of
    Cons x xs -> Cons (apply s x) (apply s xs)
    t'         -> t'
```

```
deref :: Subst -> Term -> Term
deref s (Var v) =
  case lookup v (unSubst s) of
    Just t    -> deref s t
    Nothing   -> Var v
deref s t = t
```

Delivering Missing Definitions (3)

Unification:

```
unify :: (Term, Term) -> Subst -> Maybe Subst
unify (t,u) s =
  case (deref s t, deref s u) of
    (Nil, Nil) -> Just s
    (Cons x xs, Cons y ys) ->
      unify (x,y) s >>= unify (xs, ys)
    (Int n, Int m) | (n==m) -> Just s
    (Var x, Var y) | (x==y) -> Just s
    (Var x, t) -> if occurs x t s
      then Nothing
      else Just (extend x t s)
    (t, Var x) -> if occurs x t s
      then Nothing
      else Just (extend x t s)
    (_,_) -> Nothing
```

Delivering Missing Definitions (4)

```
occurs :: Variable -> Term -> Subst -> Bool
occurs x t s =
  case deref s t of
    Var y      -> x == y
    Cons y ys  -> occurs x y s || occurs x ys s
    _         -> False
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

837/114

Summing up

Current functional logic languages aim at balancing

- ▶ generality (in terms of paradigm integration)
- ▶ efficient implementations




Functional logic programming offers

- ▶ support of specification, prototyping, and application programming within a single language
- ▶ terse, yet clear, support for rapid development by avoiding some tedious tasks, and allowance of incremental refinements to improve efficiency





Overall: Functional logic programming

- ▶ an emerging paradigm with appealing features

Chapter 13: Further Reading (1)

-  Sergio Antoy, Michael Hanus. *Functional Logic Programming*. Communications of the ACM 53(4):74-85, 2010.
-  Norbert Eisinger, Tim Geisler, Sven Panne. *Logic Implemented Functionally*. In Proceedings of the 9th International Symposium on Programming Languages: Implementations, Logics, and Programs (PLILP'97), Springer-V., LNCS 1292, 351-368, 1997.
-  Michael Hanus (Ed.). *Curry: An Integrated Functional Logic Language*. Vers. 0.8.2, 2006.
www.curry-language.org/

Chapter 13: Further Reading (2)

-  Michael Hanus. *The Integration of Functions into Logic Programming: From Theory to Practice*. Journal of Functional Programming 19&20:583-628, 1994.
-  Michael Hanus, Herbert Kuchen, Juan Jose Moreno-Navarro. *Curry: A Truly Functional Logic Language*. In Proceedings of ILPS'95 Workshop on Visions for the Future of Logic Programming, 95-107, 1995.
-  F. López-Fraguas, J. Sánchez-Hernández. *TOY: A Multiparadigm Declarative System*. In Proceedings of RTA'99, Springer-V., LNCS 1631, 244-247, 1999.
-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-Verlag, 2006. (Kapitel 22, Integration von Konzepten anderer Programmiersprachen)

Chapter 13: Further Reading (3)

-  Zoltan Somogyi, Fergus Henderson, Thomas Conway. *The Execution Algorithm of Mercury: An Efficient Purely Declarative Logic Programming Language*. *Journal of Logic Programming* 29(1-3):17-64, 1996.
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-  Silvija Seres, Michael Spivey. *Embedding Prolog in Haskell*. In *Proceedings of the 1999 Haskell Workshop*, 25-38, 1999.
-  Michael Spivey, Silvija Seres. *Combinators for Logic Programming*. In Jeremy Gibbons, Oege de Moor (Eds.), *The Fun of Programming*. Palgrave MacMillan, 177-199, 2003.

Chapter 14

Pretty Printing

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

842/114

Motivation

Pretty Printing is

- ▶ like lexical and syntactical analysis another typical application used for demonstrating the elegance of functional programming.

What's it all about?

A **pretty-printer** is

- ▶ a tool (often a library of routines) designed for converting a **tree** into plain **text**.

Essential goal of pretty printing:

- ▶ Preserving and reflecting the structure of the tree by indentation while using a minimum number of lines.

Hence

- ▶ Pretty printing can be considered the **converse** problem to parsing.

A “Good” Pretty-Printer

...is distinguished by properly balancing

- ▶ **Simplicity** of usage
- ▶ **Flexibility** of the format
- ▶ “**Prettiness**” of output

The presentation in this chapter

...is based on:

- ▶ Philip Wadler. [A Prettier Printer](#). In Jeremy Gibbons, Oege de Moor (Eds.), [The Fun of Programming](#). Palgrave MacMillan, 2003.

It shall improve (see end of chapter) on the below [pretty printer library](#) proposed by [John Hughes](#) that is widely recognized as a [standard](#):

- ▶ John Hughes. [The design of a pretty-printer library](#). In Johan Jeuring, Erik Meijers (Eds.), [Advanced Functional Programming](#), Springer-V., LNCS 925, 1995.

A Simple Pretty Printer: Basic Approach

Requirement: For each document there shall be only one possible layout (e.g., no attempt is made to compress structure onto a single line).

The **basic operators** needed are:

```
(<>)    :: Doc -> Doc -> Doc    -- associative concatenation of documents
nil     :: Doc                  -- The empty document: Right and left unit for (<>)
text    :: String -> Doc        -- Conversion function: Converts a string to a document
line    :: Doc                  -- Line break
nest    :: Int -> Doc -> Doc    -- Adding indentation
layout  :: Doc -> String        -- Output: Converts a document to a string
```

Convention

- ▶ Arguments of `text` are free of `newline` characters.

A Simple Implementation

Implement

- ▶ `doc` as strings (i.e. as data type `String`)

with

- ▶ `(<>)` as `concatenation` of strings
- ▶ `nil` as `empty` string
- ▶ `text` as `identity` on strings
- ▶ `line` as `new line`
- ▶ `nest i` as `indentation`: adding `i` spaces (after each line break by means of `line`) \rightsquigarrow essential difference to Hughes' pretty printer that also allows inserting spaces in front of strings allowing here to drop one concatenation operator
- ▶ `layout` as `identity` on strings

Example

Converting trees into documents (here: `Strings`) which are output as text (here: `Strings`).

Consider the following type of trees:

```
data Tree = Node String [Tree]
```

A concrete value `B` of type `Tree`:

```
Node "aaa" [Node "bbbbbb" [Node "cc" [], Node "dd" []],  
           Node "eee" [],  
           Node "ffff" [Node "gg" [],  
                        Node "hhh" [],  
                        Node "ii" []]  
          ]  
]
```

...and its desired output

A `text`, where `indentation` reflects the structure of tree `B`:

```
aaa[bbbb[ccc,  
        dd],  
    eee,  
    ffff[gg,  
        hhh,  
        ii]]
```

It is worth noting:

- ▶ `Sibling trees` start on a new line, properly indented.

Implementation

The below implementation achieves this:

```
data Tree          = Node String [Tree]

showTree :: Tree -> Doc
showTree (Node s ts) = text s <>
                        nest (length s) (showBracket ts)

showBracket :: [Tree] -> Doc
showBracket []       = nil
showBracket ts       = text "[" <>
                        nest 1 (showTrees ts) <> text "]"

showTrees :: [Tree] -> Doc
showTrees [t]        = showTree t
showTrees (t:ts)    = showTree t <> text ", " <>
                        line <> showTrees ts
```

Another possibly wanted output of B

```
aaa[
  bbbb[
    ccc,
    dd
  ],
  eee,
  ffff[
    gg,
    hhh,
    ii
  ]
]
```

Note:

- ▶ **each subtree** starts on a new line, properly indented.

An implementation producing the latter output

```
data Tree = Node String [Tree]

showTree' :: Tree -> Doc
showTree' (Node s ts) = text s <> showBracket' ts

showBracket' :: [Tree] -> Doc
showBracket' [] = nil
showBracket' ts = text "[" <> nest 2 (line <>
    showTrees' ts) <> line <> text "]"

showTrees' :: [Tree] -> Doc
showTrees' [t] = showTree t
showTrees' (t:ts) = showTree t <> text "," <> line
    <> showTrees ts
```

Normal Form of Documents

Documents can always be reduced to **normal form**.

Normal form

- ▶ **Text alternating with line breaks** nested to a given indentation:

```
text s0 <> nest i1 line <> text s1 <> ...  
                        <> nest ik line <> text sk
```

where

- ▶ each s_j is a (possibly empty) string
- ▶ each i_j is a (possibly zero) natural number

Example on Normal Forms 1(2)

A document

```
text "bbbb" <> text "[" <>
nest 2 (
  line <> text "ccc" <> text "," <>
  line <> text "dd"
) <>
line <> text "]"
```

...and how it is output:

```
bbbb[
  ccc,
  dd
]
```

Example on Normal Forms 2(2)

The same document

```
text "bbbbbb" <> text "[" <>
nest 2 (
  line <> text "ccc" <> text "," <>
  line <> text "dd"
) <>
line <> text "]"
```

...and its normal form:

```
text "bbbbbb[" <>
nest 2 line <> text "ccc," <>
nest 2 line <> text "dd" <>
nest 0 line <> text "]"
```


Why does it work?

...because of the **properties (laws)** the functions enjoy.

In more detail

...because of the fact that

- ▶ (`<>`) is associative with unit `nil`
- ▶ the **laws** summarized on the next slide.

Note:

- ▶ All of these laws except of the last one are paired; they are paired with a corresponding law for their units.

Properties of the Functions/Laws 1(2)

We have the following (pairs of) laws (except for the last one):

```
text (s ++ t)    = text s <> text t -- text is a homomor-
text ""          = nil              -- phism from string
                                     -- concatenation to
                                     -- document concate-
                                     -- nation
```

```
nest (i+j) x     = nest i (nest j x) -- nest is a homomor-
nest 0 x         = x                 -- phism from addition
                                     -- to composition
```

```
nest i (x <> y)  = nest i x <> nest i y -- nest distributes
nest i nil      = nil                  -- through document
                                     -- concatenation
```

```
nest i (text s) = text s -- Nesting is absorbed by text;
                       -- different to Hughes' pretty
                       -- printer)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

859/114

Properties of the Functions/Laws 2(2)

Relevance and Impact

- ▶ The above laws are sufficient to ensure that documents can always be transformed into normal form
 - ▶ First four laws: applied from left to right
 - ▶ Last three laws: applied from right to left

Further Properties/Laws

...that relate documents to their layouts:

```
layout (x <> y)      = layout x ++ layout y
layout nil           = ""  -- layout is a homomorphism
                       -- from document concatenate-
                       -- nation to string concatenate-
```

```
layout (text s)      = s   -- layout is the inverse
                       -- of text
```

```
layout (nest i line) = '\n' : copy i ' '
                       -- layout of a nested line
                       -- is a newline followed by
                       -- one space for each level
                       -- of indentation
```

The Implementation of Doc

Intuition

- ▶ Represent documents as a concatenation of items, where each item is a `text` or a `line break` indented to a given amount.

This is realized as a sum type (the `algebra of documents`):

```
data Doc = Nil
         | String 'Text' Doc
         | Int 'Line' Doc
```

The `constructors` relate to the document operators as follows:

```
Nil          = nil
s 'Text' x   = text s <> x
i 'Line' x   = nest i line <> x
```

Example

Using this new algebraic type `Doc`, the **normal form** (considered previously)

```
text "bbbbbb[" <>
nest 2 line <> text "ccc," <>
nest 2 line <> text "dd" <>
nest 0 line <> text "]"
```

...is represented by the following value of `Doc`:

```
"bbbbbb[" 'Text' (
2 'Line' ("ccc," 'Text' (
2 'Line' ("dd," 'Text' (
0 'Line' ("]," 'Text' Nil))))))
```

Derived Implementations 1(2)

Implementations of the document operators can easily be derived from the above equations:

```
nil                = Nil
text s             = s 'Text' Nil
line               = 0 'Line' Nil

(s 'Text' x) <> y  = s 'Text' (x <> y)
(i 'Line' x) <> y  = i 'Line' (x <> y)
Nil <> y           = y
```

Derived Implementations 2(2)

```
nest i (s 'Text' x) = s 'Text' nest i x
nest i (j 'Line' x) = (i+j) 'Line' nest i x
nest i Nil = Nil
```

```
layout (s 'Text' x) = s ++ layout x
layout (i 'Line' x) = '\n' : copy i ' ' ++ layout x
layout Nil          = ""
```


Correctness of the derived Implementations

...can be shown for each of them, e.g.:

► Derivation of

$$(s \text{ 'Text' } x) \langle \rangle y = s \text{ 'Text' } (x \langle \rangle y)$$

$$\begin{aligned} & (s \text{ 'Text' } x) \langle \rangle y \\ = & \quad \{ \text{Definition of Text} \} \\ & (\text{text } s \langle \rangle x) \langle \rangle y \\ = & \quad \{ \text{Associativity of } \langle \rangle \} \\ & \text{text } s \langle \rangle (x \langle \rangle y) \\ = & \quad \{ \text{Definition of Text} \} \\ & s \text{ 'Text' } (x \langle \rangle y) \end{aligned}$$

Correctness of the derived Implementations

...can be shown for each of them, e.g.:

- Derivation of

$$(s \text{ 'Text' } x) \langle \rangle y = s \text{ 'Text' } (x \langle \rangle y)$$

$$\begin{aligned} & (s \text{ 'Text' } x) \langle \rangle y \\ = & \quad \{ \text{Definition of Text} \} \\ & (\text{text } s \langle \rangle x) \langle \rangle y \\ = & \quad \{ \text{Associativity of } \langle \rangle \} \\ & \text{text } s \langle \rangle (x \langle \rangle y) \\ = & \quad \{ \text{Definition of Text} \} \\ & s \text{ 'Text' } (x \langle \rangle y) \end{aligned}$$

The remaining equations can be shown using similar reasoning.

Documents with Multiple Layouts

Adding Flexibility:

- ▶ **Up to now:** Documents were **equivalent to a string** (i.e., they have **a fixed single layout**)
- ▶ **Next:** Documents shall be **equivalent to a set of strings** (i.e., they may have **multiple layouts**)

where each string corresponds to a layout.

This can be rendered possible by just adding a new function:

```
group :: Doc -> Doc
```

Informally:

Given a document, representing a set of layouts, `group` returns the set with one new element added that represents the layout in which everything is compressed on one line: Replace each newline (plus indentation) by a single space.

Preferred Layouts

“Beauty” needs to be specified/defined:

- ▶ `pretty` replaces `layout`

```
pretty :: Int -> Doc -> String
```

and picks the prettiest layout depending on the preferred maximum line width argument.

Remark: `pretty`'s integer-argument specifies the preferred maximum line length of the output (and hence the `prettiest layout` out of the set of alternatives at hand).

Example

Using the modified `showTree` function based on `group`:

```
showTree (Node s ts)
  = group (text s
           <> nest (length s) (showBracket ts))
```

...the call of `pretty 30` (once completely specified) will yield the output:

```
aaa[bbbb[ccc, dd],
     eee,
     ffff[gg, hhh, ii]]
```

This ensures:

- ▶ Trees are fit onto one line where possible (i.e., length ≤ 30).
- ▶ Insertion of sufficiently many line breaks in order to avoid exceeding the given maximum line length.

Implementation of the new Functions

The following supporting functions are required:

```
-- Forming the union of two sets of layouts
(<|>)  :: Doc -> Doc -> Doc

-- Replacement of each line break (and its
-- associated indentation) by a single space
flatten :: Doc -> Doc
```

Implementation of the new Functions (Cont'd)

- ▶ **Observation:** A document always represents a non-empty set of layouts.
- ▶ **Requirements:**
 - ▶ In $(x \langle | \rangle y)$ all layouts of x and y enjoy the same flat layout (mandatory invariant of $\langle | \rangle$).
 - ▶ Each first line in x is at least as long as each first line in y (second invariant).
- ▶ **Note:** $\langle | \rangle$ and `flatten` are not directly exposed to the user (only via `group` and other supporting functions).

Properties/Laws of ($\langle | \rangle$)

Operators on simple documents are extended pointwise through union:

$$(x \langle | \rangle y) \langle \rangle z = (x \langle \rangle z) \langle | \rangle (y \langle \rangle z)$$

$$x \langle \rangle (y \langle | \rangle z) = (x \langle \rangle y) \langle | \rangle (x \langle \rangle z)$$

$$\text{nest } i (x \langle | \rangle y) = \text{nest } i x \langle | \rangle \text{nest } i y$$

Properties/Laws of flatten

The interaction of `flatten` with other document operators:

```
flatten (x <|> y) = flatten x -- distribution law

flatten (x <> y)  = flatten x <> flatten y
flatten nil      = nil
flatten (text s) = text s
flatten line     = text " " -- the most interesting case: line-
                        -- breaks are replaced
                        -- by a single space

flatten (nest i x) = flatten x
```

Implementation of group

...by means of `flatten` and `(<>)`, the implementation of `group` can be given:

```
group x = flatten x <|> x
```

Intuitively: `group` adds the `flattened layout` to a set of layouts.

Note: A document always represents a non-empty set of layouts where all layouts in the set flatten to the same layout.

Normal Form

Based on the previous laws each document can be reduced to a **normal form** of the form

$$x_1 \langle | \rangle \dots \langle | \rangle x_n$$

where each x_i is in the normal form of simple documents (which was introduced previously).

Selecting a “best” Layout out of a Set of Layouts

...by defining an **ordering relation on lines** in dependence of the given maximum line length.

Out of two lines

- ▶ which do not exceed the maximum length, select the longer one
- ▶ of which at least one exceeds the maximum length, select the shorter one

Note: Sometimes we have to pick a layout where some line exceeds the limit (a key difference to the approach of Hughes). However, this is done only, if this is unavoidable.

The Adapted Implementation of Doc

The new implementation of `Doc` as algebraic type. It is similar to the previous one except for the new construct representing the `union of two documents`:

```
data Doc = -- As before: The first 3 alternatives
  Nil
  | String 'Text' Doc
  | Int 'Line' Doc
  -- New: We add a construct representing
  -- the union of two documents
  | Doc 'Union' Doc
```

Relationship of Constructors and Document Operators

The following relationships hold between the constructors and the document operators:

```
Nil          = nil
s 'Text' x   = text s <> x
i 'Line' x   = nest i line <> x
x 'Union' y  = x <|> y
```

Example 1(8)

The document

```
group(  
  group(  
    group(  
      group( text "hello" <> line <> text "a")  
      <> line <> text "b")  
      <> line <> text "c")  
    <> line <> text "d")  
  )  
)
```

Example 2(8)

...has the following 5 possible layouts:

hello a b c d	hello a b c	hello a b	hello a	hello
	d	c	b	a
		d	c	b
			d	c
				d

Example 3(8)

Task: Print the above document under the constraint that the maximum line width is 5.

↪ the right-most layout of the previous slide is requested.

Initial (performance) considerations:

- ▶ Factoring out "hello" of all the layouts in x and y
"hello" 'Text' ((" " 'Text' x) 'Union' (0 'Line' y))
- ▶ Defining additionally the interplay of ($\langle \rangle$) and `nest` with `Union`

$$(x \text{ 'Union' } y) \langle \rangle z = (x \langle \rangle z) \text{ 'Union' } (y \langle \rangle z)$$
$$\text{nest } k (x \text{ 'Union' } y) = \text{nest } k x \text{ 'Union' } \text{nest } k y$$

Example 4(8)

Implementations of `group` and `flatten` can easily be derived:

```
group Nil                = Nil
group (i 'Line' x)      = (" " 'Text' flatten x)
                        'Union' (i 'Line' x)
```

```
group (s 'Text' x)      = s 'Text' group x
group (x 'Union' y)     = group x 'Union' y
```

```
flatten Nil             = Nil
flatten (i 'Line' x)    = " " 'Text' flatten x
flatten (s 'Text' x)    = s 'Text' flatten x
flatten (x 'Union' y)   = flatten x
```

Example 5(8)

Considerations on correctness (similar reasoning as earlier):

Derivation of `group (i 'Line' x)` (see line two) (preserving the `invariant` required by `union`)

```
group (i 'Line' x)
=   { Definition of Line }
group (nest i line <> x)
=   { Definition of group }
flatten (nest i line <> x) <|> (nest i line s <> x)
=   { Definition of flatten }
(text " " <> flatten x) <|> (nest i line <> x)
=   { Definition of Text, Union, Line }
(" " 'Text' flatten x) 'Union' (i 'Line' x)
```

Example 6(8)

Correctness considerations (cont'd):

Derivation of `group (s 'Text' x)` (see line three)

```
group (s 'Text' x)
= { Definition Text }
  group (text s <> x)
= { Definition group }
  flatten (text s <> x) <|> (text s <> x)
= { Definition flatten }
  (text s <> flatten x) <|> (text s <> x)
= { <> distributes through <|> }
  text s <> (flatten x <|> x)
= { Definition group }
  text s <> group x
= { Definition Text }
  s 'Text' group x
```

Example 7(8)

Selecting the “best” layout:

```
best w k Nil = Nil
best w k (i 'Line' x) = i 'Line' best w i x
best w k (s 'Text' x)
    = s 'Text' best w (k + length s) x
best w k (x 'Union' y)
    = better w k (best w k x) (best w k y)
better w k x y
    = if fits (w-k) x then x else y
```

Remark:

- ▶ **best**: Converts a “union”-afflicted document into a “union”-free document.
- ▶ Argument **w**: Maximum line width.
- ▶ Argument **k**: Already consumed letters (including indentation) on current line.

Example 8(8)

Check, if the first document line stays within the maximum line length `w`:

```
fits w x | w < 0      = False -- cannot fit
fits w Nil           = True   -- fits trivially
fits w (s 'Text' x)
  = fits (w - length s) x    -- fits if x fits into
                             -- the remaining space
                             -- after placing s
fits w (i 'Line' x) = True   -- yes, it fits
```

Last but not least, the output routine (layout remains unchanged):

Select the best layout and convert it to a string:

```
pretty w x = layout (best w 0 x)
```

Enhancing Performance: A More Efficient Variant

Sources of inefficiency:

1. Concatenation of documents might pile up to the left.
2. Nesting of documents adds a layer of processing to increment the indentation of the inner document.

Problem fix:

- ▶ For 1.): Add an explicit representation for concatenation, and generalize each operation to act on a list of concatenated documents.
- ▶ For 2.): Add an explicit representation for nesting, and maintain a current indentation that is incremented as nesting operators are processed.

Enhancing Performance: A More Efficient Variant (Cont'd)

Implementing this fix by means of a new implementation of documents:

```
data DOC = NIL          -- Here is one constructor
  | DOC :<> DOC          -- corresponding to each
  | NEST Int DOC        -- operator that builds a
  | TEXT String        -- document
  | LINE
  | DOC :<|> DOC
```

Remark:

- ▶ In distinction to the previous document type we here use capital letters in order to avoid name clashes with the previous definitions

Implementing the Document Operators

Defining the operators to build a document are straightforward:

```
nil      = NIL
x <> y   = x :<> y
nest i x = NEST i x
text s   = TEXT s
line     = LINE
```

Implementing group and flatten

As before, we require the following invariants:

- ▶ In $(x :<|> y)$ all layouts in x and y flatten to the same layout.
- ▶ No first line in x is shorter than any first line in y .

Definitions of `group` and `flatten` are then straightforward:

```
group x                = flatten x :<|> x

flatten NIL            = NIL
flatten (x :<> y)     = flatten x:<> flatten y
flatten (NEST i x)    = NEST i (flatten x)
flatten (TEXT s)      = TEXT s
flatten LINE           = TEXT " "
flatten (x :<|> y)    = flatten x
```

Representation Function

Generating the document from an indentation-afflicted document (“indentation-document pair”):

```
rep z = fold (<>) nil [nest i x | (i,x) <- z ]
```

Selecting the “best” Layout

Generalizing the function “best” by composing the old function with the representation function to work on lists of indentation-document pairs:

```
be w k z = best w k (rep z)      (Hypothesis)
best w k x          = be w k [(0,x)]
```

where the definition is derived from the old one:

```
be w k []          = Nil
be w k ((i,NIL):z) = be w k z
be w k ((i,x :<> y) : z) = be w k ((i,x) : (i,y) : z)
be w k ((i,NEST j x) : z) = be w k ((i+j),x) : z)
be w k ((i,TEXT s) : z)
    = s 'Text' be w (k+length s) z
be w k ((i,LINE) : z)      = i 'Line' be w i z
be w k ((i.x :<|> y) : z)
    = better w k (be w k ((i.x) : z))
```

Preparing the XML-Application 1(3)

First some useful supporting functions:

```
x <+> y           = x <> text " " <> y
```

```
x </> y           = x <> line <> y
```

```
folddoc f []      = nil
```

```
folddoc f [x]     = x
```

```
folddoc f (x:xs) = f x (folddoc f xs)
```

```
spread           = folddoc (<+>)
```

```
stack           = folddoc (</>)
```

Preparing the XML-Application 2(3)

Further supportive functions:

-- An often recurring output pattern

```
bracket l x r    = group (text l <>
                        nest 2 (line <> x) <>
                        line <> text r)
```

-- Abbreviation of the alternative tree

-- layout function

```
showBracket' ts = bracket "[" (showTrees' ts) "]"
```

-- Filling up lines (using words out of the

-- Haskell Standard Lib.)

```
x <+> y          = x <> (text " " :<|> line) <> y
fillwords        = folddoc (<+>) . map text . words
```

Preparing the XML-Application 3(3)

`fill`, a variant of `fillwords`

↪ collapses a list of documents to a single document.

```
fill []           = nil
```

```
fill [x]         = x
```

```
fill (x:y:zs)
```

```
  = (flatten x <+> fill (flatten y : zs)) :<|>  
      (x </> fill (y : zs))
```

Application

Printing XML-documents (simplified syntax):

```
data XML
    = Elt String [Att] [XML]
    | Txt String

data Att
    = Att String String

showXML x
    = folddoc (<>) (showXMLs x)

showXMLs (Elt n a [])
    = [text "<" <> showTag n a <> text ">"]
showXMLs (Elt n a c)
    = [text "<" <> showTag n a <> text ">" <>
        showFill showXMLs c <>
        text "</" <> text n <> text ">"]
showXMLs (Txt s)
    = map text (words s)

showAtts (Att n v)
    = [text n <> text "=" <> text (quoted v)]
```


Application (Cont'd)

Continuation:

```
quoted s      = "\"" ++ s ++ "\""  
  
showTag n a   = text n <> showFill showAtts a  
  
showFill f [] = nil  
showFill f xs  
    = bracket "" (fill (concat (map f xs))) ""
```

1st XML Example

...for a given maximum line length of 30 letters:

```
<p
  color="red" font="Times"
  size="10"
>
  Here is some
  <em> emphasized </em> text.
  Here is a
  <a
    href="http://www.eg.com/"
  > link </a>
  elsewhere.
</p>
```

2nd XML Example

...for a given maximum line length of 60 letters:

```
<p color="red" font="Times" size="10" >  
  Here is some <em> emphasized </em> text. Here is a  
  <a href="http://www.eg.com/" > link </a> elsewhere.  
</p>
```

3rd XML Example

...after dropping of `flatten` in `fill`:

```
<p color="red" font="Times" size="10" >  
  Here is some <em>  
    emphasized  
  </em> text. Here is a <a  
    href="http://www.eg.com/"  
  > link </a> elsewhere.  
</p>
```

...start and close tags are crammed together with other text
↪ less beautifully than before.

Summing up: Why “prettier” than “pretty”?

The below [pretty printer library](#) proposed by [John Hughes](#) is widely recognized as a [standard](#):

- ▶ John Hughes. [The design of a pretty-printer library](#). In Johan Jeuring, Erik Meijers (Eds.), [Advanced Functional Programming](#), Springer-V., LNCS 925, 1995.

From a technical perspective, the library of John Hughes enjoys the following characteristics:

- ▶ There are [two ways](#) (horizontal and vertical) to concatenate documents, one of which
 - ▶ without unit ([vertical](#))
 - ▶ with right-unit but no left-unit ([horizontal](#))

Summing up (Cont'd)

Philip Wadler considers his “Prettier Printer” an improvement of John Hughes’ pretty printer library.

From a [technical perspective](#), a distinguishing feature of the “Prettier Printer” proposed by Philip Wadler is:

- ▶ There is only [a single way](#) to [concatenate](#) documents that is
 - ▶ [associative](#)
 - ▶ with a [left-unit](#) and a [right-unit](#).

Moreover, John Hughes’ pretty printer library

- ▶ consists of ca. [40% more code](#),
- ▶ is ca. [40% slower](#)

as the “prettier printer” of Philip Wadler’s proposal.

Summary of the Code 1(12)

[Source](#): Philip Wadler. [A Prettier Printer](#). In Jeremy Gibbons, Oege de Moor (Eds.), [The Fun of Programming](#). Palgrave MacMillan, 2003.

```
infixr 5:<|>
infixr 6:<>
infixr 6 <>

data DOC = NIL
    | DOC :<> DOC
    | NEST Int DOC
    | TEXT String
    | LINE
    | DOC :<|> DOC

data Doc = Nil
    | String 'Text' Doc
    | Int 'Line' Doc
```

Summary of the Code 2(12)

```
nil                = NIL
x <> y             = x :<> y
nest i x           = NEST i x
text s             = TEXT s
line               = LINE

group x            = flatten x :<|> x

flatten NIL        = NIL
flatten (x :<> y)  = flatten x:<> flatten y
flatten (NEST i x) = NEST i (flatten x)
flatten (TEXT s)   = TEXT s
flatten LINE       = TEXT " "
flatten (x :<|> y) = flatten x
```


Summary of the Code 3(12)

```
layout Nil          = ""
layout (s 'Text' x) = s ++ layout x
layout (i 'Line' x) = '\n': copy i ' ' ++ layout x

copy i x            = [x | _ <- [1..i]]
```

Summary of the Code 4(12)

```
best w k x                = be w k [(0,x)]
be w k []                 = Nil
be w k ((i,NIL):z)       = be w k z
be w k ((i,x :<> y) : z)
    = be w k ((i,x) : (i,y) : z)
be w k ((i,NEST j x) : z) = be w k ((i+j),x) : z)
be w k ((i,TEXT s) : z)
    = s 'Text' be w (k+length s) z
be w k ((i,LINE) : z)    = i 'Line' be w i z
be w k ((i.x :<|> y) : z)
    = better w k (be w k ((i.x) : z))
                          (be w k (i,y) : z))

better w k x y
    = if fits (w-k) x then x else y
```

Summary of the Code 5(12)

```
fits w x | w<0      = False
fits w Nil          = True
fits w (s 'Text' x) = fits (w - length s) x
fits w (i 'Line' x) = True
```

```
pretty w x          = layout (best w 0 x)
```

-- Utility functions

```
x <+> y             = x <> text " " <> y
x </> y             = x <> line <> y
```

```
folddoc f []        = nil
folddoc f [x]       = x
folddoc f (x:xs)    = f x (folddoc f xs)
```

Summary of the Code 6(12)

```
spread          = folddoc (<+>)
stack           = folddoc (</>)

bracket l x r = group (text l <>
                      nest 2 (line <> x) <>
                      line <> text r)

x <+/> y        = x <> (text " " :<|> line) <> y

fillwords       = folddoc (<+/>) . map text . words

fill []         = nil
fill [x]        = x
fill (x:y:zs)   = (flatten x <+> fill (flatten y : zs))
                  :<|> (x </> fill (y : zs))
```

Summary of the Code 7(12)

```
-- Tree example
```

```
data Tree          = Node String [Tree]
```

```
showTree (Node s ts) = group (text s <>  
    nest (length s) (showBracket ts))
```

```
showBracket []      = nil  
showBracket ts     = text "[" <>  
    nest 1 (showTrees ts) <> text "]"
```

```
showTrees [t]       = showTree t  
showTrees (t:ts)   = showTree t <> text "," <>  
    line <> showTrees ts
```

Summary of the Code 8(12)

```
showTree' (Node s ts) = text s <> showBracket' ts
```

```
showBracket' [] = nil
```

```
showBracket' ts  
  = bracket "[" (showTrees' ts) "]"
```

```
showTrees' [t] = showTree t
```

```
showTrees' (t:ts)  
  = showTree t <> text "," <> line <> showTrees ts
```

Summary of the Code 9(12)

```
tree      = Node "aaa" [ Node "bbbb" [ Node "ccc" [],
                                       Node "dd" []
                                   ],
                       Node "eee" [],
                       Node "ffff" [ Node "gg" [],
                                       Node "hhh" [],
                                       Node "ii" []
                                   ]
          ]
```

```
testtree w = putStr(pretty w (showTree tree))
testtree' w = putStr(pretty w (showTree' tree))
```

Summary of the Code 10(12)

-- XML Example

```
data XML = Elt String [Att] [XML]
         | Txt String
```

```
data Att = Att String String
```

```
showXML x = folddoc (<>) (showXMLs x)
```

```
showXMLs (Elt n a [])
  = [text "<" <> showTag n a <> text ">"]
```

```
showXMLs (Elt n a c)
  = [text "<" <> showTag n a <> text ">" <>
      showFill showXMLs c <>
      text "</" <> text n <> text ">"]
```

```
showXMLs (Txt s) = map text (words s)
```


Summary of the Code 11(12)

```
showAtts (Att n v)
  = [text n <> text "=" <> text (quoted v)]

quoted s      = "\" ++ s ++ "\""

showTag n a   = text n <> showFill showAtts a

showFill f [] = nil
showFill f xs
  = bracket "" (fill (concat (map f xs))) ""
```

Summary of the Code 12(12)

```
xml =
  Elt "p"[Att "color" "red",
          Att "font" "Times",
          Att "size" "10"
        ] [ Txt "Here is some",
            Elt "em" [] [ Txt "emphasized"],
            Txt "text.",
            Txt "Here is a",
            Elt "a" [ Att "href" "http://www.eg.com/" ]
                  [ Txt "link" ],
            Txt "elsewhere."
        ]

testXML w = putStr (pretty w (showXML xml))
```

Background Reading

On an early imperative “Pretty Printer:”

- ▶ Derek Oppen. [Pretty-printing](#). ACM Transactions on Programming Languages and Systems 2(4):465-483, 1980.

...and a functional realization of it:

- ▶ Olaf Chitil. [Pretty printing with lazy dequeues](#). In ACM SIGPLAN Haskell Workshop, 183-201, Florence, Italy, Universiteit Utrecht UU-CS-2001-23, 2001.

Background Reading (Cont'd)





Overview on the evolution of a [Pretty Printer Library](#) and origin of the development of the [Prettier Printers](#) proposed by [Phil Wadler](#):

- ▶ John Hughes. [The design of a pretty-printer library](#). In Johan Jeuring, Erik Meijers (Eds.), [Advanced Functional Programming](#), Springer-V., LNCS 925, 1995.




...a variant is implemented in the [Glasgow Haskell Compiler](#):

- ▶ Simon Peyton Jones. [Haskell pretty-printer library](#). www.haskell.org/libraries/#prettyprinting, 1997.

Chapter 14: Further Reading (1)

-  Manuel Chakravarty, Gabriele Keller. *Einführung in die Programmierung mit Haskell*. Pearson Studium, 2004. (Kapitel 13.1.2, Ausdrücke formatieren; Kapitel 13.2.1, Formatieren und Auswerten in erweiterter Version)
-  Olaf Chitil. *Pretty printing with lazy dequeues*. In Proceedings of the ACM SIGPLAN 2001 Haskell Workshop, Universiteit Utrecht UU-CS-2001-23, 183-201, 2001.
-  John Hughes. *The design of a pretty-printer library*. In Johan Jeuring, Erik Meijers (Eds.), *Advanced Functional Programming*, Springer-V., LNCS 925, 1995.
-  Derek Oppen. *Pretty-printing*. ACM Transactions on Programming Languages and Systems 2(4):465-483, 1980.

Chapter 14: Further Reading (2)

-  Bryan O'Sullivan, John Goerzen, Don Stewart. *Real World Haskell*. O'Reilly, 2008. (Chapter 5, Writing a Library: Working with JSON Data – Pretty Printing a String, Fleshing Out the Pretty-Printing Library)
-  Simon Peyton Jones. *Haskell pretty-printer library*. www.haskell.org/libraries/#prettyprinting, 1997.
-  Philip Wadler. *A Prettier Printer*. In Jeremy Gibbons, Oege de Moor (Eds.), *The Fun of Programming*. Palgrave MacMillan, 223-243, 2003.

Chapter 15

Functional Reactive Programming

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

919/114

Motivation

Hybrid systems are systems that are composed of

- ▶ continuous and
- ▶ discrete

components.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

920/114

Mobile Robots

Mobile robots are special **hybrid systems**:

- ▶ From a **physical** perspective:
 - ▶ **Continuous components**: Voltage-controlled motors, batteries, range finders,...
 - ▶ **Discrete components**: Microprocessors, bumper switches, digital communication,...
- ▶ From a **logical** perspective:
 - ▶ **Continuous** notions: Wheel speed, orientation, distance from a wall,...
 - ▶ **Diskrete** notions: Running into another object, receiving a message, achieving a goal,...

Objective of this Chapter

Designing and implementing two

- ▶ **imperative-style languages for controlling robots** which will be done in terms of a **simulation** (in order to allow running the simulations at home without having to buy (possibly expensive) robots first).

This will deliver two examples of a

- ▶ **domain specific language (DSL)**.

Simultaneously, it yields a nice application of the

- ▶ **higher-order type (constructor) classes**
 - ▶ **Functor**
 - ▶ **Monad**
 - ▶ **Arrows**

Reading for this Chapter

For Chapter 15.1:

- ▶ Paul Hudak. [The Haskell School of Expression – Learning Functional Programming through Multimedia](#). Cambridge University Press, 2000. (Chapter 19, An Imperative Robot Language)

For Chapter 15.2:

- ▶ Paul Hudak, Antony Courtney, Herik Nilsson, John Peterson. [Arrows, Robots, and Functional Reactive Programming](#). Summer School on Advanced Functional Programming 2002, Springer-V., LNCS 2638, 159-187, 2003.

Remark:

- ▶ Chapter 15.1 and 15.2 are independent of each other; they do not build on each other.

Chapter 15.1

An Imperative Robot Language

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

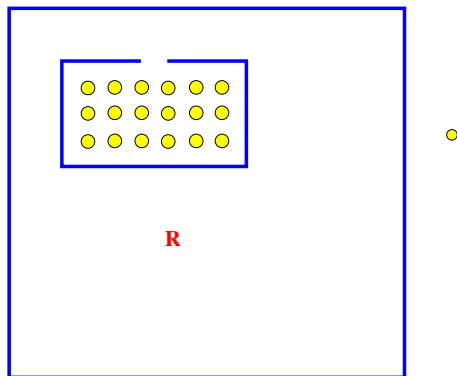
15.3

Chap. 16

924/114

The World of Robots – Illustration (1)

Our robots' world:



...is two-dimensional with gold coins as treasures!.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

925/114

The World of Robots – Illustration (2)

In more detail:

The **world** the robots live in

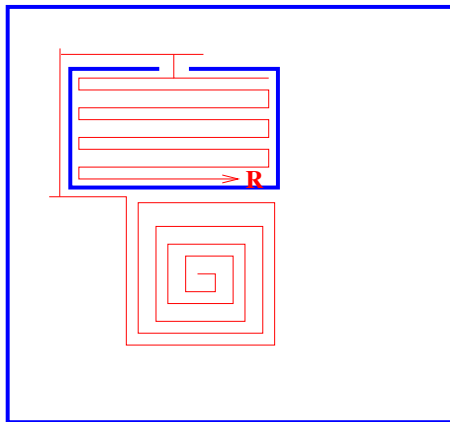
- ▶ is a finite **two-dimensional grid** of square form
 - ▶ equipped with **walls**
 - ▶ that might form **rooms** and might have **doors**
 - ▶ with placed **gold coins** on some grid points

The preceding illustration shows an example of a

- ▶ robot's world with one room full of **gold coins: Eldorado!**
- ▶ and a robot sitting in the centre of the world ready for exploring it!

The World of Robots – Illustration (3)

A robot's job:



...exploring the world, collecting treasures, leaving footprints!

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

927/114

The World of Robots – Illustration (4)

In more detail:

A robot's job

- ▶ is to explore its world, to collect the treasures in it, and to leave footprints of its exploration, i.e.,
 - ▶ to systematically stroll through its world, e.g., in the form of an outward-oriented **spiral**
 - ▶ **picking up** the **gold coins** it finds and saving them in its **pocket**
 - ▶ **dropping gold coins** at some grid points
 - ▶ **marking** its way with a colored pen

Objective

...enabling the robots to explore and shape their world!

In other words, we would like to write **programs** such as:

```
(1) drawSquare =      (2) moveToWall =
    do penDown          while (isnt blocked)
      move              do move
      turnRight
      move
      turnRight
      move
      turnRight
      move              (3) getRich =
                        while (isnt blocked) $
                        do move
                        checkAndPickCoin
```

Modeling the World

Modeling the world our robots live and act in:

```
type Grid = Array Position [Direction]
```

```
type Position = (Int,Int)
```

```
data Direction = North | East | South | West  
  deriving (Eq, Show, Enum)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

930/114

Modeling the Robots (1)

The internal states of the robots are made up by:

1. Robot position
2. Robot orientation
3. Pen status (up or down)
4. Pen color
5. Placement of gold coins on the grid
6. Number of coins in the robot's pocket

Modeling the Robots (2)

Modeling the internal states of the robots:

```
data RobotState
  = RobotState
    {position :: Position
    , facing  :: Direction
    , pen     :: Bool
    , color   :: Color
    , treasure :: [Position]
    , pocket  :: Int
    }
  deriving Show
```

where

```
data Color = Black | Blue | Green | Cyan
           | Red | Magenta | Yellow | White
  deriving (Eq, Ord, Bounded, Enum, Ix, Show, Read)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

932/114

Remarks (1)

Note that the above definition takes advantage of Haskell's [field-label syntax](#):

- ▶ Field labels (here [position](#), [facing](#), [pen](#), [color](#), [treasure](#), [pocket](#)) allow access to components by names instead of position without necessitating specific selector functions.

Remarks (2)

Robot states could have been equivalently be defined without referring to [field label syntax](#):

```
data RobotState
  = RobotState
    Position
    Direction
    Bool
    Color
    [Position]
    Int
  deriving Show
```

[...losing the advantage](#) of accessing fields by names.

Remarks (3)

Illustrating the usage of field labels: Generating, accessing, modifying values of state components.

Example 1: Generating field values

The definition

```
s1 = RobotState (0,0) East True Green  
      [(2,3), (7,9), (12,42)] 2 :: RobotState
```

is *equivalent* to

```
s2 = RobotState { position = (0,0)  
                  , facing   = East  
                  , pen      = True  
                  , color    = Green  
                  , treasure = [(2,3), (7,9), (12,42)]  
                  , pocket   = 2  
                } :: RobotState
```

Remarks (4)

Advantages of using field label syntax:

- ▶ It is more “informative.”
- ▶ The order of fields gets irrelevant.

For example: The definition of `s3`

```
s3 = RobotState
    { position = (0,0)
      , pocket  = 2
      , pen     = True
      , color   = Green
      , treasure = [(2,3), (7,9), (12,42)]
      , facing  = East
    } :: RobotState
```

is equivalent to that of `s2`.

Remarks (5)

Example 2: Accessing field values

```
position s2 ->> (0,0)
treasure s3 ->> [(2,3), (7,9), (12,42)]
color     s3 ->> Green
```

Example 3: Modifying field values

```
s3 { position = (22,43), pen = False }
->> RobotState { position = (22,43)
                , facing = East
                , pen = False
                , color = Green
                , treasure = [(2,3), (7,9), (12,42)]
                , pocket = 2
                } :: RobotState
```

Remarks (6)

Example 4: Using field names in patterns

```
jump (RobotState { position = (x,y) }) = (x+2,y+1)
```

Robots as a Member of Type Class Monad

Defining `Robot` as an algebraic data type

```
newtype Robot a
  = Robot (RobotState -> Grid
          -> Window -> IO (RobotState,a))
```

...allows making `Robot` an instance of type class `Monad`:

```
instance Monad Robot where
  Robot sf0 >>= f = Robot $ \s0 g w -> do
    (s1,a1) <- sf0 s0 g w
    let Robot sf1 = f a1
        (s2,a2) <- sf1 s1 g w
    return (s2,a2)
  return a      = Robot (\s _ _ -> return(s,a))
```

Remarks (1)

Note that

```
instance Monad Robot where
  return a      = Rob (\s _ _ -> return(s,a))
  Rob sf0 >>= f = Rob $ \s0 g w -> do
    (s1,a1) <- sf0 s0 g w
    let Rob sf1 = f a1
    (s2,a2) <- sf1 s1 g w
    return (s2,a2)
```

requires **function application** “\$”, not **function composition** “.”
(For clarity, `Robot` has been replaced by `Rob` (cp. next slide)).

Remarks (2)

The `Window` argument

```
newtype Robot a
  = Rob (RobotState -> Grid
        -> Window -> IO (RobotState,a))
```

...allows to specify the `window`, in which the graphics is displayed.

Robots – Simulation and Control

The implementation environment:

```
module Robot where
import Array
import List
import Monad
import SOEGraphics
import Win32Misc (timeGetTime)
import qualified GraphicsWindows as GW (getEvent)
```

Note:

- ▶ `Graphics`, `SOEGraphics` are two commonly used graphics libraries being Windows-compatible.
- ▶ Double-check the SOE homepage at haskell.org/soe regarding the availability of the modules `SOEGraphics` and `GraphicsWindows`.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

942/114

IRL – The Imperative Robot Language (1)

Key insight:

- ▶ Taking state as input
- ▶ Possibly querying the state in some way
- ▶ Returning a possibly modified state

...makes the **imperative nature** of **IRL commands** obvious.

IRL – The Imperative Robot Language (2)

IRL commands and their implementation:

- ▶ **Commands not related to graphics:**

```
right, left :: Direction -> Direction
```

```
right d = toEnum (succ (mod (fromEnum d) 4))
```

```
left d = toEnum (pred (mod (fromEnum d) 4))
```

- ▶ **Supporting functions for updating and querying states:**

```
updateState :: (RobotState -> RobotState)  
             -> Robot ()
```

```
updateState u = Robot (\s _ _ -> return (u s, ()))
```

```
queryState :: (RobotState -> a) -> Robot a
```

```
queryState q = Robot (\s _ _ -> return (s, q s))
```


The Type Class Enum (1)

...of the [Standard Prelude](#):

```
class Enum a where
  succ, pred      :: a -> a
  toEnum          :: Int -> a
  fromEnum       :: a -> Int
  enumFrom       :: a -> [a]           -- [n..]
  enumFromThen   :: a -> a -> [a]     -- [n,n'..]
  enumFromTo     :: a -> a -> [a]     -- [n..m]
  enumFromThenTo :: a -> a -> a -> [a] -- [n,n'..m]

  succ          = toEnum . (+1) . fromEnum
  pred         = toEnum . (subtract 1) . fromEnum
  enumFrom x    = map toEnum [fromEnum x..]
  enumFromThen x y = map toEnum [fromEnum x, fromEnum y..]
  enumFromTo x y = map toEnum [fromEnum x..fromEnum y]
  enumFromThenTo x y z = map toEnum [fromEnum x,
                                     fromEnum y..fromEnum z]

  toEnum, fromEnum = ...implementation is type-dependent
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

945/114

The Type Class Enum (2)

The following equivalences hold:

```
enumFrom n           ~ [n..]
enumFromThen n n'    ~ [n,n'..]
enumFromTo n m       ~ [n..m]
enumFromThenTo n n' m ~ [n,n'..m]
```

Example:

```
data Color = Red | Orange | Yellow | Green
           | Blue | Indigo | Violet

instance Enum Color where
  ...

[Red..Green]    ->> [Red, Orange, Yellow, Green]
[Red, Yellow..] ->> [Red, Yellow, Blue, Violet]
fromEnum Blue   ->> 4
toEnum 3        ->> Green
```

IRL – The Imperative Robot Language (3)

► **Commands for robot orientation:**

```
turnLeft :: Robot ()
```

```
turnLeft =
```

```
  updateState (\s -> s {facing = left (facing s)})
```

```
turnRight :: Robot ()
```

```
turnRight =
```

```
  updateState (\s -> s {facing = right (facing s)})
```

```
turnTo :: Direction -> Robot ()
```

```
turnTo d = updateState (\s -> s {facing = d})
```

```
direction :: Robot Direction
```

```
direction = queryState facing
```

IRL – The Imperative Robot Language (4)

- ▶ Commands for blockade checking:

```
blocked :: Robot Bool
```

```
blocked =
```

```
  Robot $ \s g _ ->
```

```
    return(s, facing s 'notElem' (g 'at' position s))
```

IRL – The Imperative Robot Language (5)

- ▶ Commands for moving a robot:

```
move :: Robot ()
move =
  cond1 (isnt blocked)
    (Rob $ \s _ w -> do
      let newPos = movePos (position s) (facing s)
      graphicsMove w s newPos
      return (s {position = newPos}, ()))
    )
movePos :: Position -> Direction -> Position
movePos (x,y) d
  = case d of
      North -> (x,y+1)
      South -> (x,y-1)
      East   -> (x+1,y)
      West   -> (x-1,y)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

949/114

IRL – The Imperative Robot Language (6)

► Commands for using the pen:

```
penUp :: Robot ()
```

```
penUp = updateState (\s -> s {pen = False})
```

```
penDown :: Robot ()
```

```
penDown = updateState (\s -> s {pen = True})
```

```
setPenColor :: Color -> Robot ()
```

```
setPenColor c = updateState (\s -> s {color = c})
```

IRL – The Imperative Robot Language (7)

► **Commands for handling coins:**

```
onCoin :: Robot Bool
```

```
onCoin = queryState (\s ->  
                position s 'elem' treasure s)
```

```
coins :: Robot Int
```

```
coins = queryState pocket
```

IRL – The Imperative Robot Language (8)

- ▶ More commands for handling coins:

```
pickCoin :: Robot ()
pickCoin =
  cond1 onCoin
    (Robot $ \s _ w ->
      do eraseCoin w (position s)
        return (s {treasure =
                    position s 'delete' treasure s,
                    pocket = pocket s+1}), ())
    )
```


IRL – The Imperative Robot Language (9)

- ▶ More commands for handling coins:

```
dropCoin :: Robot ()
dropCoin =
  cond1 (coins >* return 0)
  (Robot $ \s _ w ->
    do drawCoin w (position s)
    return (s {treasure =
              position s : treasure s,
              pocket = pocket s-1}, ()))
)
```

Logic and Control (1)

► Logic and control functions:

```
cond :: Robot Bool -> Robot a
```

```
      -> Robot a -> Robot a
```

```
cond p c a = do pred <- p
```

```
          if pred then c else a
```

```
cond1 p c = cond p c (return ())
```

```
while :: Robot Bool -> Robot () -> Robot ()
```

```
while p b = cond1 p (b >> while p b)
```

```
(||*) :: Robot Bool -> Robot Bool -> Robot Bool
```

```
b1 ||* b2 = do p <- b1
```

```
          if p then return True
```

```
          else b2
```

Logic and Control (2)

► Logic and control functions (cont'd):

```
(&&*) :: Robot Bool -> Robot Bool -> Robot Bool
b1 &&* b2 = do p <- b1
           if p then b2
           else return False
```

```
isnt :: Robot Bool -> Robot Bool
isnt = liftM not
```

```
(>*) :: Robot Int -> Robot Int -> Robot Bool
(>*)      = liftM2 (>)
```

```
(<*) :: Robot Int -> Robot Int -> Robot Bool
(<*)      = liftM2 (<)
```

Logic and Control (3)

The higher-order functions `liftM` and `liftM2` are defined in the library `Monad` (as well as `liftM3`, ..., `liftM5`):

```
liftM    :: (Monad m) => (a -> b) -> (m a -> m b)
liftM f = \a -> do a' <- a
           return (f a')
```



```
liftM2   :: (Monad m) => (a -> b -> c)
           -> (m a -> m b -> m c)
liftM2 f = \a b -> do a' <- a
                     b' <- b
                     return (f a' b')
```

Logic and Control (4)

It is worth noting:

- ▶ Basing the implementations of `isnt`, `(>*)` and `(<*)` on `liftM` and `liftM2` allows to dispense the usage of special `lift` functions.
- ▶ No basing of the implementations of `(||*)` and `(&&*)` on `liftM2` in order to avoid (unnecessary) strictness in their second arguments.

Further Data Structures

```
colors :: Array Int Color
colors = array (0,7)
             [(0,Black), (1,Blue), (2,Green), (3,Cyan),
              (4,Red), (5,Magenta), (6,Yellow), (7,White)]
```

where (as a reminder!)

```
data Color = Black | Blue | Green | Cyan
            | Red | Magenta | Yellow | White
            deriving (Eq, Ord, Bounded, Enum, Ix, Show, Read)
```

Note:

- ▶ `Color` is defined as in the library `Graphics`.
- ▶ Equivalently we could have defined more concisely:

```
colors :: Array Int Color
colors = array (0,7) (zip [0..7] [Black..White])
```

Shaping the Robots' Initial World g0

The robots' world is a grid of type Array:

```
type Grid = Array Position [Direction]
```

We can access the grid points using:

```
at :: Grid -> Position -> [Direction]
at = (!)
```

The size of the initial grid g0 is given by:

```
size :: Int
size = 20
```

with

- ▶ centre (0,0) and
- ▶ corners (size,size), ((-size),size), ((-size),(-size)) and (size,(-size)).

The Initial World `g0` (1)

...and the 4 surrounding walls (no walls inside):

- ▶ Inner points of `g0` are given by:

```
interior = [North, South, East, West]
```

- ▶ Extremal points on the grid borders (north border, north-east corner, etc.) are given by:

```
nb = [South, East, West] -- nb: north border
```

```
sb = [North, East, West]
```

```
eb = [North, South, West]
```

```
wb = [North, South, East] -- wb: west border
```

```
nwc = [South, East] -- nwc: northwest corner
```

```
nec = [South, West]
```

```
swc = [North, East]
```

```
sec = [North, West] -- sec: southeast corner
```


The Initial World g0 (2)

This allows:

...enumerating **inner** and **border** grid points using a **list comprehension**:

```
g0 :: Grid
g0 = array ((-size, -size), (size, size))
  [((i, size), nb) | i <- r ] ++
  [((i, -size), sb) | i <- r ] ++
  [((size, i), eb) | i <- r ] ++
  [((-size, i), wb) | i <- r ] ++
  [((size, i), eb) | i <- r ] ++
  [((i,j), interior) | i <- r, j <- r ] ++
  [((size, size), nec), ((size, -size), sec),
   ((-size, size), nwc),
   ((-size, -size), swc)])
where r = [1-size..size-1]
```

The new World g1 that extends World g0 (1)

...evolves from building **new walls** using the **array library functions (//)**:

```
(//) :: Ix a => Array a b -> [(a,b)] -> Array a b
```

Example: Application of (//)

- ▶ Reversing the positions of “black” und “white” in **colors**:

```
colors//[ (0,White), (7,Black) ]  
->> array (0,7)  
      [(0,White), (1,Blue), (2,Green), (3,Cyan),  
       (4,Red), (5,Magenta), (6,Yellow),  
       (7,Black)] :: Array Integer Color
```

The new World g1 that extends World g0 (2)

Supporting functions for building new walls:

```
-- Building horizontal and vertical walls
mkHorWall, mkVerWall ::
  Int -> Int -> Int -> [(Position, [Direction])]

-- Building west/east-oriented walls
-- leading from (x1,y) to (x2,y)
mkHorWall x1 x2 y
  = [((x,y), nb) | x <- [x1..x2]] ++
    [((x,y+1), sb) | x <- [x1..x2]]

-- Building north/south-oriented walls
-- leading from (x,y1) to (x,y2)
mkVerWall y1 y2 x
  = [((x,y), eb) | y <- [y1..y2]] ++
    [((x+1,y), wb) | y <- [y1..y2]]
```

The new World `g1` that extends World `g0` (3)

World `g1` evolves from world `g0` by

- ▶ building a west/east-oriented wall leading from `(-5,10)` to `(5,10)`:

```
g1 :: Grid
```

```
g1 = g0//mkHorWall (-5) 5 10
```

The World g2 that extends g0 (1)

Supporting functions for building a “room:”

```
mkBox :: Position -> Position
      -> [(Position, [Direction])]
mkBox (x1, y1) (x2, y2)
      = mkHorWall (x1+1) x2 y1 ++
        mkHorWall (x1+1) x2 y2 ++
        mkVerWall (y1+1) y2 x1 ++
        mkVerWall (y1+1) y2 x2
```

Note:

- ▶ The above function creates two field entries for each of the four inner corners.
- ▶ After creation the value of these entries are still undefined.
- ▶ Using the function `accum` allows initializing these entries on-the-fly of their creation:

```
accum :: (Ix a) => (b -> c -> b)
      -> Array a b -> [(a,c)] -> Array a b
```

The World g2 that extends g0 (2)

Recall the function `accum`:

```
accum :: (Ix a) => (b -> c -> b)
      -> Array a b -> [(a,c)] -> Array a b
```

The function `accum`

- ▶ is quite similar to the function `(//)`.
- ▶ in case of replicated entries the function of the first argument is used for resolving conflicts.
- ▶ the List-library function `intersect` is suitable for this for the case of our example:

Example:

```
[South, East, West] 'intersect'
  [North, South, West] ->> [South, West]
```

which corresponds to a northeast corner.

The World `g2` that extends `g0` (3)

Example: Building a room with `(-10,5)` as lower left corner and `(-5,10)` as upper right corner

- ▶ using `accum` und `intersect`.

World `g2` then extends world `g0`:

```
g2 :: Grid
g2 = accum intersect g0 (mkBox (-15,8) (2,17))
```

The World `g3` that extends `g2`

Continuing the example: Adding a door (to the middle of the top wall of the room)

- ▶ using `accum` und `union`.

World `g2` evolves to world `g3`:

```
g3 :: Grid
g3 = accum union g2 [((-7,17), interior),
                    ((-7,18), interior)]
```


Animation: Robot Graphics (1)

Animation

- ▶ by means of incrementally updating the world.

To this end we make use of the function:

```
drawLine :: Window -> Color
           -> Point -> Point -> IO ()
drawLine w c p1 p2
  = drawInWindowNow w (withColor c (line p1 p2))
```

which makes use of the Graphics-library function [drawInWindowNow](#).

Animation: Robot Graphics (2)

The incremental update of the world must ensure

- ▶ absence of interferences of graphics actions.

To this end we assume:

1. Grid points are 10 pixels apart.
2. Wall are drawn halfway between grid points.
3. Lines drawn by a robot's pen directly connects two grid points.
4. Coins are drawn as yellow circles just to the above and to to the left of a grid point.
5. Erasing coins is done by drawing black circles over already existing yellow ones.

Animation: Robot Graphics (3)

Using the below top level constants ensures the absence of interferences:

```
d      :: Int
d      = 5      -- half the distance
              -- between grid points

wc, cc  :: Color
wc      = Blue   -- color of walls
cc      = Yellow -- color of coins

xWin, yWin :: Int
xWin     = 600
yWin     = 500
```

Animation in Action (1)

Putting it all together.

User-control of program progress by the program's awaiting the user's hitting the spacebar:

```
spaceWait    :: Window -> IO ()
spaceWait w = do k <- getKey w
                if k==' ' then return ()
                    else spaceWait w
```

Animation in Action (2)

Running an IRL program:

```
runRobot :: Robot () -> RobotState -> Grid -> IO ()
runRobot (Robot sf) s g =
  runGraphics $
  do w <- openWindowEx "Robot World" (Just (0,0))
      (Just (xWin, yWin)) drawGraphic (Just 10)
  drawGrid w g
  drawCoins w s
  spaceWait w
  sf s g w
  spaceClose w
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

973/114

Animation in Action (3)

Intuitively, `runRobot` causes:

- ▶ Opening a window
- ▶ Drawing a grid
- ▶ Drawing the coins
- ▶ Waiting for the user to hit the spacebar
- ▶ Continuing running the program with starting state `s` and grid `g`

Animation in Action (4)

Fixing a suitable starting state:

```
s0 :: RobotState
s0 = RobotState {position = (0,0)
                 , pen = False
                 , color = Red
                 , facing = North
                 , treasure = tr
                 , pocket = 0
                 }
```

```
tr :: [Position]
tr = [(x,y) | x <- [-13,-11..1], y <- [9,11..15]]
```

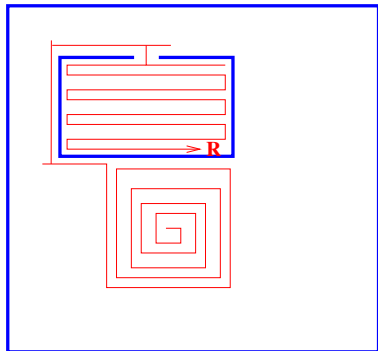
...i.e., all coins are placed inside of the room of grid `g3`.

Animation in Action (5)

Last but not least:

```
main = runRobot spiral s0 g0
```

...leads to the “spiral” example discussed at the beginning of this chapter:



Additional Supporting Functions (1)

For drawing a grid:

```
drawGrid :: Window -> Grid -> IO ()
drawGrid w wld =
  let (low@(xMin,yMin),hi@(xMax,yMax)) = bounds wld
      (x1,y1)                          = trans low
      (x2,y2)                          = trans hi
  in
  do
    drawLine w wc (x1-d,y1+d) (x1-d,y2-d)
    drawLine w wc (x1-d,y1+d) (x1+d,y2+d)
    sequence_ [drawPos w (trans (x,y)) (wld 'at' (x,y))
              | x <- [xMin..xMax], y <- [yMin..yMax]]
```

Additional Supporting Functions (2)

```
drawPos :: Window -> Point -> [Direction] -> IO ()
drawPos x (x,y) ds
  = do if North 'notElem' ds
        then drawLine w wc (x-d,y-d) (x+d,y-d)
        else return ()
    if East 'notElem' ds
        then drawLine w wc (x+d,y-d) (x+d,y+d)
        else return ()
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

978/114

Additional Supporting Functions (3)

For dropping and erasing coins:

```
drawCoins      :: Window -> RobotState -> IO ()
drawCoins w s  = mapM_ (drawCoin w) (treasure s)

drawCoin      :: Window -> Position -> IO ()
drawCoin w p  =
  let (x,y) = trans p
  in drawInWindowNow w
     (withColor cc (ellipse (x-5,y-1) (x-1,y-5)))

eraseCoin     :: Window -> Position -> IO ()
eraseCoin w p =
  let (x,y) = trans p
  in drawInWindowNow w
     (withColor Black (ellipse (x-5,y-1) (x-1,y-5)))
```

Further Supporting Functions (4)

```
graphicsMove :: Window -> RobotState
              -> Position -> IO ()

graphicsMove w s newPos
= do
  if pen s
    then
      drawLine w (color s) (trans (position s))
                (trans newPos)
    else return ()
getWindowTick w
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

980/114

Further Supporting Functions (5)

```
trans      :: Position -> Point
trans (x,y) = (div xWin 2+2*d*x, div yWin 2-2*d*y)

getWindowTick :: Window -> IO ()
-- causes a short delay after each robot move

bounds :: Ix a => Array a b -> (a,a)
-- from the Array-library; yields the bounds
-- of an array argument
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

981/114

Chapter 15.2

Robots on Wheels

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

982/114

Outline

A second simulation of

- ▶ **mobile robots** by means of **functional reactive programming**.

This time we will make use of

- ▶ the type class **Arrows** that is another example of a **higher-order type class** that generalizes the concept of a **monad**.

The Scenario (1)

Mobile robots are assumed to be configured as follows:

“Roboter haben zwei Räder, die von je einem Motor unabhängig voneinander angetrieben werden. Die relative Geschwindigkeit der Räder zueinander legt die Richtung fest, in die sich der Roboter bewegt. Bewegen sich beide Räder gleich schnell, fährt der Roboter geradeaus.

*Roboter verfügen über unterschiedliche Sensoren wie etwa einen **Berührungssensor**, ob der Roboter auf ein Hindernis trifft, **Entfernungssensor**, um die Entfernung zum nächstgelegenen Objekt in einer bestimmten Richtung zu bestimmen (in der Folge nur für vorwärts, rückwärts, rechts und links), einen **Objektsensor**, der die aktuelle Position aller anderen Roboter liefert und ggf. die Position weiterer beweglicher Objekte wie z.B. von Bällen innerhalb einer bestimmten Entfernung vom Roboter (Objektsensoren etwa reali-*

The Scenario (2)

siert durch visuelle Subsysteme oder Kommunikationssysteme zum Austausch von Koordinaten).

Roboter haben eine eindeutige Kennung (ID) und ggf. weitere (bei Bedarf) eingeführte Sensoren."

Motivation of the Scenario: Robot Soccer

Robot soccer provides a motivation for such a scenario:

“Schreibe ein Programm “robocup soccer” wie folgt:

Erzeuge mithilfe von Wandsegmenten zwei Tore an jedem Spielfeldende.

Bestimme die Anzahl von Spielern pro Mannschaft und schreibe Steuerungsprogramme für diese Spieler. Zweckmäßigerweise sind die Steuerungsprogramme generisch für unterschiedliche Spielertypen, etwa für Torhüter, Stürmer, Verteidiger.

Erzeuge eine initiale Welt, in der der Ball am Anstoßpunkt im Mittelkreis liegt und jeder der Spieler strategisch günstig in der jeweils eigenen Spielhälfte und außerhalb des Mittelkreises positioniert ist. Jede Mannschaft mag die gleichen oder auch unterschiedliche Steuerungsprogramme nutzen.”

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

986/114

Simulation Code for “Robots on Wheels”

...can be down-loaded at the [Yampa homepage](#) at

www.haskell.org/yampa

In the following we will consider some [code snippets](#).

Structure of the Program

```
module MyRobotShow where
  import AFrob
  import AFrobRobotSim

  main :: IO ()
  main = runSim (Just world) rcA rcB

  world :: WorldTemplate
  world = ...

  rcA :: SimbotController -- controller for simbot A's
  rcA = ...

  rcB :: SimbotController -- controller for simbot B's
  rcB = ...
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

988/114

The World

```
type WorldTemplate = [ObjectTemplate]
```

```
data ObjectTemplate =
```

```
    OTBlock      otPos  :: Position2  -- Square obstacle
| OTVWall       otPos  :: Position2  -- Vertical wall
| OTHWall       otPos  :: Position2  -- Horizontal wall
| OTBall        otPos  :: Position2  -- Ball
| OTSimbotA     otRId  :: RobotId,    -- Simbot A robot
                otPos  :: Position2,
                otHdng :: Heading
| OTSimbotB     otRId  :: RobotId,    -- Simbot B robot
                otPos  :: Position2,
                otHdng :: Heading
```

Robot Control

```
type SimbotController =  
    SimbotProperties -> SF SimbotInput SimbotOutput
```

Class HasRobotProperties i where

```
rpType      :: i -> RobotType      -- Type of robot  
rpId        :: i -> RobotId        -- Identity of robot  
rpDiameter  :: i -> Length         -- Distance between wheels  
rpAccMax    :: i -> Acceleration   -- Max translational acc  
rpWSMax     :: i -> Speed          -- Max wheel speed
```

```
type RobotType = String
```

```
type RobotId   = Int
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

990/114

Robot Simulation in Action

Running the robot simulation:

```
runSim :: Maybe WorldTemplate
        -> SimbotController
        -> SimbotController -> IO ()
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

991/114

Robot Control

```
rcA :: SimbotController
rcA rProps =
  case rrpId rProps of
    1 -> rcA1 rProps
    2 -> rcA2 rProps
    3 -> rcA3 rProps

rcA1, rcA2, rcA3 :: SimbotController
rcA1 = ...
rcA2 = ...
rcA3 = ...
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

992/114

Robot Actions: Control Programs (1)

A stationary robot:

```
rcStop :: SimbotController
rcStop _ = constant (mrFinalize ddBrake)
```

A blind robot moving at constant speed:

```
rcBlind1 _ =
  constant (mrFinalize $ ddVelDiff 10 10)
```

A blind robot moving at half the maximum speed:

```
rcBlind2 rps =
  let max = rpWSMax rps
  in constant (mrFinalize $
                ddVelDiff (max/2) (max/2))
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

993/114

Robot Actions: Control Programs (2)

A robot rotating at a pre-given speed:

```
rcTurn :: Velocity -> SimbotController
rcTurn vel rps =
  let vMax = rpWSMax rps
      rMax = 2 * (vMax - vel) / rpDiameter rps
  in constant (mrFinalize $ ddVelTR vel rMax)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

994/114

Classes of Robots (1)

- ▶ Usually, there are different types of robots with different features (2 wheels, 3 wheels, camera, sonar, speaker, blinker, etc.)
- ▶ The kind of a robot is fixed by its input and output types.

The kind of robots is encoded in **input** and **output classes** together with the functions operating on them.

Kinds of Robots (2)

Input classes and functions operating on them:

```
class HasRobotStatus i where
  rsBattStat :: i -> BatteryStatus -- Current battery
                                       -- status
  rsIsStuck  :: i -> Bool          -- Currently stuck
                                       -- or not stuck

data BatteryStatus = BSHigh | BSLow | BSCritical
  deriving (Eq, Show)

-- derived event sources:
rsBattStatChanged  :: HasRobotStatus i
                    => SF i (Event BatteryStatus)
rsBattStatLow      :: HasRobotStatus i => SF i (Event ())
rsBattStatCritical :: HasRobotStatus i => SF i (Event ())
rsStuck            :: HasRobotStatus i => SF i (Event ())
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

Classes of Robots (3)

```
class HasOdometry where
  odometryPosition :: i -> Position2 -- Current
                                          -- position
  odometryHeading  :: i -> Heading   -- Current
                                          -- heading

class HasRangeFinder i where
  rfRange      :: i -> Angle -> Distance
  rfMaxRange   :: i -> Distance

-- derived range finders:
rfFront :: HasRangeFinder i => i -> Distance
rfBack  :: HasRangeFinder i => i -> Distance
rfLeft  :: HasRangeFinder i => i -> Distance
rfRight :: HasRangeFinder i => i -> Distance
```

Classes of Robots (4)

```
class HasAnimateObjectTracker i where
  aotOtherRobots :: i -> [(RobotType, Angle, Distance)]
  aotBalls       :: i -> [(Angle, Distance)]

class HasTextualConsoleInput i where
  tciKey :: i -> Maybe Char

tciNewKeyDown :: HasTextualConsoleInput i =>
                Maybe Char -> SF i (Event Char)
tciKeyDown    :: HasTextualConsoleInput i =>
                SF i (Event Char)
```

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

998/114

Classes of Robots (5)

Output classes and functions operating on them:

```
class MergeableRecord o => HasDiffDrive o where
  ddBrake :: MR o -- Brake both wheels
  ddVelDiff :: Velocity -> Velocity
                    -> MR o -- Set wheel
                               -- velocities

  ddVelTR    :: Velocity -> RotVel
                    -> MR o -- Set veloc.
                               -- and rotat.

class MergeableRecord o =>
  HasTextConsoleOutput o where
  tcoPrintMessage :: Event String -> MR o
```

Arrows and Mobile Robots

SF is an instance of class `Arrow`:

```
SF a b    = Signal a -> Signal b
```

```
Signal a  = Time -> a
```

```
type Time = Double
```

Note:

- ▶ Values of type `SF` are `signal transformers` resp. `signal functions`; therefore the name `SF`.

Chapter 15.3

More on the Background of FRP

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

1001/11

Origins of FRP

The origins of **functional reactive programming (FRP)** lie in **functional reactive animation (FRAn)**:

- ▶ Conal Elliot, Paul Hudak. **Functional Reactive Animation**. In Proceedings of the 2nd ACM SIGPLAN 1997 International Conference on Functional Programming (ICFP'97), 263 - 273, 1997.
- ▶ Conal Elliot. **Functional Implementations of Continuous Modeled Animation**. In Proceedings of PLILP/ALP'98, Springer-Verlag, 1998.

Seminal Works on FRP

Seminal works on **function reactive programming (FRP)**:

- ▶ Zhanyong Wan, Paul Hudak. **Functional Reactive Programming from First Principles**. In Proceedings of the ACM SIGPLAN 2000 Conference on Programming Languages Design and Implementation (PLDI 2000), ACM Press, 2000.
<http://www.haskell.org/frp/manual.html>
- ▶ John Peterson, Zhanyong Wan, Paul Hudak, Henrik Nilsson. **Yale FRP User's Manual**. Department of Computer Science, Yale University, January 2001.
- ▶ Henrik Nilsson, Antony Courtney, John Peterson. **Functional Reactive Programming, Continued**. In Proceedings of the ACM SIGPLAN'02 Haskell Workshop, October 2002.

Applications of FRP (1)

On Functional Animation Languages (FAL):

- ▶ Paul Hudak. [The Haskell School of Expression – Learning Functional Programming through Multimedia](#). Cambridge University Press, 2000. (Chapter 15, A Module of Reactive Animations)

On Functional Reactive Robotics (FRob):

- ▶ Izzet Pembeci, Henrik Nilsson, Gregory Hager. [Functional Reactive Robotics: An Exercise in Principled Integration of Domain-Specific Languages](#). In Proceedings of the International Conference on Principles and Practice of Declarative Programming (PPDP'02), October 2002.
- ▶ John Peterson, Gregory Hager, Paul Hudak. [A Language for Declarative Robotic Programming](#). In Proceedings of the International Conference on Robotics and Automation, 1999.

Applications of FRP (2)

On [Functional Vision Systems \(FVision\)](#):

- ▶ Alastair Reid, John Peterson, Gregory Hager, Paul Hudak. [Prototyping Real-Time Vision Systems: An Experiment in DSL Design](#). In Proceedings of the International Conference on Software Engineering, May 1999.

On [Functional Reactive User Interfaces \(FRUIt\)](#):

- ▶ Antony Courtney, Conal Elliot. [Genuinely Functional User Interfaces](#). In Proceedings of the 2001 Haskell Workshop, September 2001.

Applications of FRP (3)




Towards [Real-Time FRP \(RT-FRP\)](#):

- ▶ Zhanyong Wan, Walid Taha, Paul Hudak. [Real-Time FRP](#). In Proceedings of the 6th ACM SIGPLAN'01 International Conference on Functional Programming (ICFP 2001), ACM Press, 2001.
- ▶ Zhanyong Wan. [Functional Reactive Programming for Real-Time Embedded Systems](#). PhD Thesis, Department of Computer Science, Yale University, December 2002.




Towards [Event-Driven FRP \(ED-FRP\)](#):

- ▶ Zhanyong Wan, Walid Taha, Paul Hudak. [Event-Driven FRP](#). In Proceedings of the 4th International Symposium on Practical Aspects of Declarative Languages (PADL 2002), ACM Press, January 2002.

Chapter 15: Further Reading (1)

-  Antony Courtney, Conal Elliot. *Genuinely Functional User Interfaces*. In Proceedings of the 2001 Haskell Workshop, September 2001.
-  Conal Elliot, Paul Hudak. *Functional Reactive Animation*. In Proceedings of the 2nd ACM SIGPLAN 1997 International Conference on Functional Programming (ICFP'97), 263-273, 1997.
-  Conal Elliot. *Functional Implementations of Continuous Modeled Animation*. In Proceedings of PLILP/ALP'98, Springer-V., 1998.

Chapter 15: Further Reading (2)

-  Paul Hudak. *The Haskell School of Expression – Learning Functional Programming through Multimedia*. Cambridge University Press, 2000. (Chapter 15, A Module of Reactive Animations; Chapter 18, Higher-Order Types; Chapter 19, An Imperative Robot Language)
-  Paul Hudak, Antony Courtney, Herik Nilsson, John Peterson. *Arrows, Robots, and Functional Reactive Programming*. Summer School on Advanced Functional Programming 2002, Springer-V., LNCS 2638, 159-187, 2003.
-  John Hughes. *Generalising Monads to Arrows*. *Science of Computer Programming* 37:67-111, 2000.




Chapter 15: Further Reading (3)

-  Henrik Nilsson, Antony Courtney, John Peterson. *Functional Reactive Programming, Continued*. In Proceedings of the ACM SIGPLAN'02 Haskell Workshop, October 2002.
-  J. Nordlander. *Reactive Objects and Functional Programming*. PhD thesis. Chalmers University of Technology, 1999.
-  Ross Paterson. *A New Notation for Arrows*. In Proceedings of the 6th ACM SIGPLAN Conference on Functional Programming (ICFP 2001), 229-240, 2001.
-  Ross Paterson. *Arrows and Computation*. In Jeremy Gibbons, Oege de Moor (Eds.), *The Fun of Programming*. Palgrave MacMillan, 201-222, 2003.

Chapter 15: Further Reading (4)

-  Izzet Pembeci, Henrik Nilsson, Gregory Hager. *Functional Reactive Robotics: An Exercise in Principled Integration of Domain-Specific Languages*. In Proceedings of the International Conference on Principles and Practice of Declarative Programming (PPDP'02), October 2002.
-  John Peterson, Gregory Hager, Paul Hudak. *A Language for Declarative Robotic Programming*. In Proceedings of the International Conference on Robotics and Automation, 1999.
-  John Peterson, Paul Hudak, Conal Elliot. *Lambda in Motion: Controlling Robots with Haskell*. In Proceedings of the 1st International ACM SIGPLAN Workshop on Practical Aspects of Declarative Languages, 1999.

Chapter 15: Further Reading (5)

-  John Peterson, Zhanyong Wan, Paul Hudak, Henrik Nilsson. *Yale FRP User's Manual*. Department of Computer Science, Yale University, January 2001.
www.haskell.org/frp/manual.html
-  Alastair Reid, John Peterson, Gregory Hager, Paul Hudak. *Prototyping Real-Time Vision Systems: An Experiment in DSL Design*. In Proceedings of the International Conference on Software Engineering, May 1999.
-  Zhanyong Wan. *Functional Reactive Programming for Real-Time Embedded Systems*. PhD Thesis, Department of Computer Science, Yale University, December 2002.

Chapter 15: Further Reading (6)

-  Zhanyong Wan, Paul Hudak. *Functional Reactive Programming from First Principles*. In Proceedings of the ACM SIGPLAN 2000 Conference on Programming Language Design and Implementation (PLDI 2000), 242-252, 2000.
-  Zhanyong Wan, Walid Taha, Paul Hudak. *Real-Time FRP*. In Proceedings of the 6th ACM SIGPLAN'01 International Conference on Functional Programming (ICFP 2001), ACM Press, 2001.
-  Zhanyong Wan, Walid Taha, Paul Hudak. *Event-Driven FRP*. In Proceedings of the 4th International Symposium on Practical Aspects of Declarative Languages (PADL 2002), ACM Press, January 2002.

Part VI

Extensions and Perspectives

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

15.1

15.2

15.3

Chap. 16

1013/11

Chapter 16

Extensions

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

16.1

16.2

1014/11

Chapter 16.1

Parallelism in Functional Languages

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

16.1

16.2

1015/11

Motivation

Recall:

- ▶ Konrad Hinsen. [The Promises of Functional Programming](#). Computing in Science and Engineering 11(4):86-90, 2009.

...adopting a functional programming style could make your programs more robust, more compact, and **more easily parallelizable**.

Reading for this Chapter

- ▶ [Kapitel 21, Massiv Parallele Programme](#)

Peter Pepper, Petra Hofstedt. [Funktionale Programmierung](#), Springer, 2006. (In German).

Parallelism in Imperative Languages

Predominant:

- ▶ **Data-parallel Languages** (e.g. High Performance Fortran)
- ▶ **Libraries** (PVM, MPI) \rightsquigarrow **Message Passing Model** (C, C++, Fortran)

Parallelism in Functional Languages

Predominant:

- ▶ Implicit (expression) parallelism
- ▶ Explicit parallelism
- ▶ Algorithmic skeletons

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

16.1

16.2

1019/11

Implicit Parallelism

...also known as **expression parallelism**.

Let $f(e_1, \dots, e_n)$ be a functional expression:

Then

- ▶ Arguments (and functions) can be evaluated **in parallel**.
- ▶ **Most important advantage**: Parallelism **for free!** No effort for the programmer at all.
- ▶ **Most important disadvantage**: Results often unsatisfying; e.g. granularity, load distribution, etc. is not taken into account.

Summing up, **expression parallelism** is

- ▶ **easy to detect** (i.e., for the compiler) but **hard to fully exploit**.

Explicit Parallelism

By means of

- ▶ Introducing **meta-statements** (e.g. to control the data and load distribution, communication)
- ▶ **Most important advantage:** Often very good results thanks to explicit hands-on control of the programmer.
- ▶ **Most important disadvantage:** High programming effort and loss of functional elegance.

Algorithmic Skeletons

...a compromise between

- ▶ **explicit imperative** parallel programming
- ▶ **implicit functional** expression parallelism

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

16.1

16.2

1022/11

In the following

We assume a scenario with

- ▶ Massively parallel systems
- ▶ Algorithmic skeletons

Massively Parallel Systems

...characterized by

- ▶ large number of processors with
 - ▶ local memory
 - ▶ communication by message exchange
- ▶ MIMD-Parallel Processor Architecture (Multiple Instruction/Multiple Data)

Here we restrict ourselves to:

- ▶ SPMD-Programming Style (Single Program/Multiple Data)

Algorithmic Skeletons

Algorithmic skeletons

- ▶ represent typical patterns for parallelization (**Farm**, **Map**, **Reduce**, **Branch&Bound**, **Divide&Conquer**,...)
- ▶ are **easy to instantiate** for the programmer
- ▶ allow parallel programming at a **high level of abstraction**

Implementation of Algorithmic Skeletons

...in functional languages

- ▶ by special **higher-order functions**
- ▶ with parallel implementation
- ▶ embedded in sequential languages

Advantages:

- ▶ **Hiding** of parallel implementation details in the skeleton
- ▶ **Elegance and (parallel) efficiency** for special application patterns.

Example: Parallel Map on Distributed List

Consider the higher-order function `map` on lists:

```
map :: (a -> b) -> [a] -> [b]
```

```
map _ [] = []
```

```
map f (x:xs) = (f x) : (map f xs)
```

Observation:

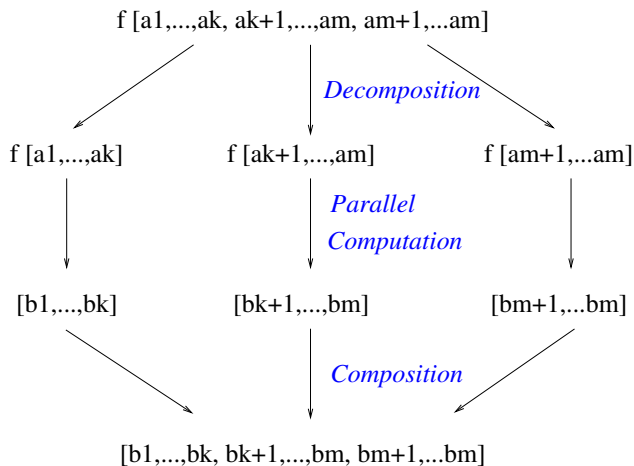
- ▶ Applying `f` to a list element does not depend on other list elements.

Obviously:

- ▶ Dividing the list into sublists followed by `parallel` application of `map` to the sublists: parallelization pattern `Farm`.

Parallel Map on Distributed Lists

Illustration:



Peter Pepper, Petra Hofstedt. Funktionale Programmierung.
Springer, 2006, S. 445.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

16.1

16.2

1028/11

On the Implementation

Implementing the **parallel map function** requires

- ▶ special data structures, which take into account the aspect of **distribution** (ordinary lists are inefficient for this purpose).

Skeletons on distributed data structures

- ▶ so-called **data-parallel skeletons**.

Note the difference:

- ▶ **Data-parallelism**: Supposes an **a priori** distribution of data on different processors.
- ▶ **Task-parallelism**: Processes and data to be distributed are not known **a priori**, hence dynamically generated.

Programming of a Parallel Application

...using algorithmic skeletons:

- ▶ Recognizing problem-inherent parallelism.
- ▶ Selecting an adequate data distribution (granularity).
- ▶ Selecting a suitable skeleton from a library.
- ▶ Instantiating a problem-specific skeleton.

Remark:

- ▶ Some languages (e.g. [Eden](#)) support the implementation of skeletons (in addition to those which might be provided by a library).

Data Distribution on Processors

...is crucial for

- ▶ the structure of the complete algorithm
- ▶ efficiency

The hardness of the distribution problems depends on

- ▶ Independence of all data elements (like in the map-example): Distribution is easy.
- ▶ Independence of subsets of data elements.
- ▶ Complex dependences of data elements: Adequate distribution is challenging.

Auxiliary means:

- ▶ So-called **covers** (investigated by various researchers).

Covers

...describe the

- ▶ **decomposition** and **communication pattern** of a data structure.

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

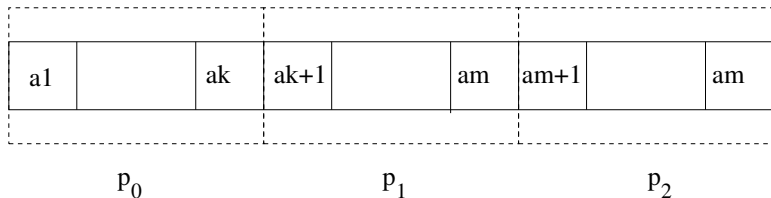
16.1

16.2

1032/11

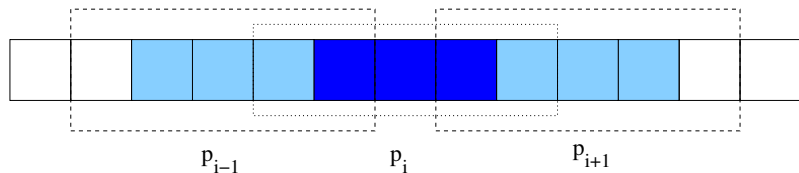
Illustration of a Simple List Cover

Distributing a list on 3 processors p_0 , p_1 , and p_2 :



Peter Pepper, Petra Hofstedt. Funktionale Programmierung.
Springer, 2006, S. 446.

Illustration of a List Cover with Overlapping Elements



Peter Pepper, Petra Hofstedt. Funktionale Programmierung.
Springer, 2006, S. 446.

General Cover Structure

```
Cover =  
  Type S a      -- Whole object  
        C b      -- Cover  
        U c      -- Local sub-objects  
  
split :: S a -> C (U a) -- Decomposing the  
                                -- original object  
glue  :: C (U a) -> S a  -- Composing the  
                                -- original object
```

It is required:

```
glue . split = id
```

Note: The above code snippet is not (valid) [Haskell](#).

Implementation in a Programming Language

Implementing covers requires support for

- ▶ the specification of covers.
- ▶ the programming of algorithmic skeletons on covers.
- ▶ the provision of often used skeletons in libraries.

It is






- ▶ currently a [hot research topic](#) in functional programming.

Last but not least





Implementing skeletons

- ▶ by message passing via skeleton hierarchies.




Chapter 16.1: Further Reading (1)

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Chapter 16.2

Haskell for “Real World Programming”

“Real World” Haskell (1)

Haskell these days provides considerable, mature, and stable support for:

- ▶ Systems Programming
- ▶ (Network) Client and Server Programming
- ▶ Data Base and Web Programming
- ▶ Multicore Programming
- ▶ Foreign Language Interfaces
- ▶ Graphical User Interfaces
- ▶ File I/O and filesystem programming
- ▶ Automated Testing, Error Handling, and Debugging
- ▶ Performance Analysis and Tuning
- ▶ ...

“Real World” Haskell (2)

This support, which comes mostly in terms of




- ▶ sophisticated libraries

makes [Haskell](#) a reasonable choice for addressing and solving

- ▶ Real World Problems

since such a choice depends much on the ability and support a [programming language \(environment\)](#) provides for linking and connecting to the “outer world.”

Chapter 16.2: Further Reading (1)

-  M. Carlsson, T. Hallgren. *Fudgets – A Graphical User Interface in a Lazy Functional Language*. In *FPCA*, 321-330, 1993.
-  Antony Courtney, Conal Elliot. *Genuinely Functional User Interfaces*. In *Proceedings of the 2001 Haskell Workshop*, September 2001.
-  Bryan O'Sullivan, John Goerzen, Don Stewart. *Real World Haskell*. O'Reilly, 2008. (Chapter 17, Interfacing with C: The FFI; Chapter 19, Error Handling; Chapter 20, Systems Programming in Haskell; Chapter 21, Using Data Bases; Chapter 22, Extended Example: Web Client Programming; Chapter 23, GUI Programming with gtk2hs; Chapter 24, Concurrent and Multicore Programming; Chapter 27, Sockets and Syslog; Chapter 25, Profiling and Optimization; Chapter 28, Software Transactional Memory)

Chapter 16.2: Further Reading (2)

-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-Verlag, 2006. (Kapitel 19, Agenten und Prozesse; Kapitel 20, Graphische Schnittstellen (GUIs))
-  “Haskell community.” *Hackage: A Repository for Open Source Haskell Libraries*. hackage.haskell.org
-  “Haskell community.” *Haskell wiki*.
haskell.org/haskellwiki/Applications_and_libraries
-  Useful search engines: Hoogle and Hayoo.
www.haskell.org/hoogle,
holumbus.fh-wedel.de/hayoo/hayoo.html

Chapter 17

Conclusions and Perspectives

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

1046/11

Research Venues, Research Topics, and More

...for functional programming and functional programming languages:

- ▶ Research/publication/dissemination venues
 - ▶ Conference and Workshop Series
 - ▶ Archival Journals
 - ▶ Summer Schools
- ▶ Research Topics
- ▶ Functional Programming in the Real World

Relevant Conference and Workshop Series

For functional programming:

- ▶ Annual ACM SIGPLAN International Conference on Functional Programming (ICFP) Series, since 1996.
- ▶ Annual Symposium on Functional and Logic Programming (FLPS) Series, since 2000.
- ▶ Annual ACM SIGPLAN Haskell Workshop Series, since 2002.
- ▶ HAL workshop series, since 2006.

For programming in general:

- ▶ Annual ACM SIGPLAN-SIGACT Symposium on Principles of Programming Languages and Systems (POPL), since 1973.
- ▶ Annual ACM SIGPLAN Conference on Programming Language Design and Implementation (PLDI), since 1988 (resp. 1973).

Relevant Archival Journals

For functional programming:

- ▶ [Journal of Functional Programming](#), since 1991.

For programming in general:

- ▶ [ACM Transactions on Programming Languages and Systems \(TOPLAS\)](#), since 1979.
- ▶ [ACM Computing Surveys](#), since 1969.

Summer Schools

Focused on functional programming:

- ▶ Summer School Series on [Advanced Functional Programming](#). Springer-V., LNCS series.

Hot Research Topics (1)

...in theory and practice of functional programming considering the 2012 Call for Papers of the Haskell Symposium:

“The purpose of the Haskell Symposium is to discuss experiences with Haskell and future developments for the language.

Topics of interest include, but are not limited to:

- ▶ **Language Design**, with a focus on possible extensions and modifications of Haskell as well as critical discussions of the status quo;
- ▶ **Theory**, such as formal treatments of the semantics of the present language or future extensions, type systems, and foundations for program analysis and transformation;
- ▶ **Implementations**, including program analysis and transformation, static and dynamic compilation for sequential, parallel, and distributed architectures, memory management as well as foreign function and component interfaces;

Hot Research Topics (2)

- ▶ **Tools**, in the form of profilers, tracers, debuggers, pre-processors, testing tools, and suchlike;
- ▶ **Applications**, using Haskell for scientific and symbolic computing, database, multimedia, telecom and web applications, and so forth;
- ▶ **Functional Pearls**, being elegant, instructive examples of using Haskell;
- ▶ **Experience Reports**, general practice and experience with Haskell, e.g., in an education or industry context.

More on [Haskell 2012](http://www.haskell.org/haskell-symposium/2012/), Copenhagen, DK, 13 Sep 2012:
<http://www.haskell.org/haskell-symposium/2012/>

Hot Research Topics (3)

...in theory and practice of functional programming considering the 2012 Call for Papers of ICFP:

“ICFP 2012 seeks original papers on the **art and science of functional programming**. Submissions are invited on all topics from **principles to practice**, from **foundations to features**, and from **abstraction to application**. The scope includes all languages that encourage functional programming, including both purely applicative and imperative languages, as well as languages with objects, concurrency, or parallelism.

Topics of interest include (but are not limited to):

- ▶ **Language Design**: concurrency and distribution; modules; components and composition; metaprogramming; interoperability; type systems; relations to imperative, object-oriented, or logic programming

Hot Research Topics (4)

- ▶ **Implementation**: abstract machines; virtual machines; interpretation; compilation; compile-time and run-time optimization; memory management; multi-threading; exploiting parallel hardware; interfaces to foreign functions, services, components, or low-level machine resources
- ▶ **Software-Development Techniques**: algorithms and data structures; design patterns; specification; verification; validation; proof assistants; debugging; testing; tracing; profiling
- ▶ **Foundations**: formal semantics; lambda calculus; rewriting; type theory; monads; continuations; control; state; effects; program verification; dependent types
- ▶ **Analysis and Transformation**: control-flow; data-flow; abstract interpretation; partial evaluation; program calculation

Hot Research Topics (5)

- ▶ **Applications and Domain-Specific Languages:** symbolic computing; formal-methods tools; artificial intelligence; systems programming; distributed-systems and web programming; hardware design; databases; XML processing; scientific and numerical computing; graphical user interfaces; multimedia programming; scripting; system administration; security
- ▶ **Education:** teaching introductory programming; parallel programming; mathematical proof; algebra
- ▶ **Functional Pearls:** elegant, instructive, and fun essays on functional programming
- ▶ **Experience Reports:** short papers that provide evidence that functional programming really works or describe obstacles that have kept it from working"

Contest Announcement at ICFP 2012 (1)

The [ICFP Programming Contest 2012](#) is the 15th instance of the annual programming contest series sponsored by [The ACM SIGPLAN International Conference on Functional Programming](#). This year, [the contest starts at 12:00 July 13 Friday UTC and ends at 12:00 July 16 Monday UTC](#). There will be a lightning division, ending at 12:00 July 14 Saturday UTC.

The task description will be published at icfpcontest2012.wordpress.com/task when the contest starts. Solutions to the task must be submitted online before the contest ends. Details of the submission procedure will be announced along with the contest task.

This is an [open contest](#). [Anybody may participate](#) except for the contest organisers and members of the same group as the contest chairs. [No advance registration or entry fee is required](#).

Contest Announcement at ICFP 2012 (2)

Any programming language(s) may be used as long as the submitted program can be run by the judges on a standard Linux environment with no network connection. Details of the judges environment will be announced later.

There will be cash prizes for the first and second place teams, the team winning the lightning division, and a discretionary judges prize. There may also be travel support for the winning teams to attend the conference. (The prizes and travel support are subject to the budget plan of ICFP 2012 pending approval by ACM.)...

More on [ICFP 2012](http://icfpconference.org/icfp2012/cfp.html), Copenhagen, DK, 10-12 Sep 2012:
<http://icfpconference.org/icfp2012/cfp.html>

Functional Programming in the Real World

- ▶ Curt J. Simpson. [Experience Report: Haskell in the “Real World”: Writing a Commercial Application in a Lazy Functional Language](#). In Proceedings of the 14th ACM SIGPLAN International Conference on Functional Programming (ICFP 2009), 185-190, 2009.
- ▶ Jerzy Karczmarczuk. [Scientific Computation and Functional Programming](#). Computing in Science and Engineering 1(3):64-72, 1999.
- ▶ Bryan O’Sullivan, John Goerzen, Don Stewart. [Real World Haskell](#). O’Reilly, 2008.
- ▶ Yaron Minsky. [OCaml for the Masses](#). Communications of the ACM, 54(11):53-58, 2011.
- ▶ [Haskell in Industry and Open Source](#):
www.haskell.org/haskellwiki/Haskell_in_industry

Recall Edsger W. Dijkstra's Prediction

The clarity and economy of expression that the language of functional programming permits is often very impressive, and, but for human inertia, functional programming can be expected to have a brilliant future.^(*)

Edsger W. Dijkstra (11.5.1930-6.8.2002)
1972 Recipient of the ACM Turing Award

^(*) Quote from: Introducing a course on calculi. Announcement of a lecture course at the University of Texas at Austin, 1995.

In the Words of John Carmack

*Sometimes, the elegant implementation is a function.
Not a method. Not a class. Not a framework.
Just a function.*

John Carmack

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16




Chap. 17

Page 11




Chapter 17: Further Reading (1)

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Bibliography

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

Bibliography

Reading

...for further deepened and independent studies.

- ▶ I Textbooks
- ▶ II Monographs
- ▶ III Volumes
- ▶ IV Articles
- ▶ V Haskell 98 – Language Definition
- ▶ V The History of Haskell

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14






Chap. 15

Chap. 16

Chap. 17

Bibliography






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-  Richard E. Bellman. *Dynamic Programming*. Princeton University Press, 1957.

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Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14






Chap. 15

Chap. 16

Chap. 17

Bibliography






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Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14





Chap. 15

Chap. 16



Chap. 17

Bibliography

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Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

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Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14




Chap. 15

Chap. 16





Chap. 17

Bibliography




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Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15




Chap. 16

Chap. 17



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1103/11

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Appendix

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

B-1106/11

A

Mathematical Foundations

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

B 1107/11

A.1

Sets and Relations

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

B.1108/11

Sets and Relations

Let M be a set and R a relation on M , i.e. $R \subseteq M \times M$.

Then R is called

- ▶ **reflexive** iff $\forall m \in M. m R m$
- ▶ **transitive** iff $\forall m, n, p \in M. m R n \wedge n R p \Rightarrow m R p$
- ▶ **anti-symmetric** iff $\forall m, n \in M. m R n \wedge n R m \Rightarrow m = n$

Related notions... (though less important for us here)

- ▶ **symmetric** iff $\forall m, n \in M. m R n \iff n R m$
- ▶ **total** iff $\forall m, n \in M. m R n \vee n R m$

A.2

Partially Ordered Sets

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

B.110/11

Partially Ordered Sets

A relation R on M is called a

- ▶ **quasi-order** iff R is reflexive and transitive
- ▶ **partial order** iff R is reflexive, transitive, and anti-symmetric

For the sake of completeness we recall

- ▶ **equivalence relation** iff R is reflexive, transitive, and symmetric

...i.e., a partial order is an anti-symmetric quasi-order, an equivalence relation a symmetric quasi-order.

Note: We here use terms like “partial order” as a short hand for the more accurate term “partially ordered set”.

Bounds, least and greatest Elements

Let (Q, \sqsubseteq) be a quasi-order, let $q \in Q$ and $Q' \subseteq Q$.

Then q is called

- ▶ **upper (lower) bound** of Q' , in signs: $Q' \sqsubseteq q$ ($q \sqsubseteq Q'$), if for all $q' \in Q'$ holds: $q' \sqsubseteq q$ ($q \sqsubseteq q'$)
- ▶ **least upper (greatest lower) bound** of Q' , if q is an upper (lower) bound of Q' and for every other upper (lower) bound \hat{q} of Q' holds: $q \sqsubseteq \hat{q}$ ($\hat{q} \sqsubseteq q$)
- ▶ **greatest (least) element** of Q , if holds: $Q \sqsubseteq q$ ($q \sqsubseteq Q$)

Uniqueness of Bounds

- ▶ Given a partial order, least upper and greatest lower bounds are uniquely determined, if they exist.
- ▶ Given existence (and thus uniqueness), the least upper (greatest lower) bound of a set $P' \subseteq P$ of the basic set of a partial order (P, \sqsubseteq) is denoted by $\sqcup P'$ ($\sqcap P'$). These elements are also called **supremum** and **infimum** of P' .
- ▶ Analogously this holds for least and greatest elements. Given existence, these elements are usually denoted by \perp and \top .

A.3

Lattices

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

B.114/11

Lattices and Complete Lattices

Let (P, \sqsubseteq) be a partial order.

Then (P, \sqsubseteq) is called a...

- ▶ **lattice**, if each **finite** subset P' of P contains a least upper and a greatest lower bound in P
- ▶ **complete lattice**, if **each** subset P' of P contains a least upper and a greatest lower bound in P

...(complete) lattices are special partial orders.

A.4

Complete Partially Ordered Sets

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

1116/11

Complete Partial Orders

...a slightly weaker, in computer science, however, often sufficient and thus more adequate notion:

Let (P, \sqsubseteq) be a partial order.

Then (P, \sqsubseteq) is called

- ▶ **complete**, or shorter a **CPO** (complete partial order), if each ascending chain $C \subseteq P$ has a least upper bound in P .

We have:

- ▶ A CPO (C, \sqsubseteq) (more accurate would be: “chain-complete partially ordered set (CCPO)”) has always a least element. This element is uniquely determined as supremum of the empty chain and usually denoted by \perp : $\perp =_{df} \bigsqcup \emptyset$.

Chains

Let (P, \sqsubseteq) be a partial order.

A subset $C \subseteq P$ is called

- ▶ **chain** of P , if the elements of C are totally ordered. For $C = \{c_0 \sqsubseteq c_1 \sqsubseteq c_2 \sqsubseteq \dots\}$ ($\{c_0 \supseteq c_1 \supseteq c_2 \supseteq \dots\}$) we also speak more precisely of an **ascending (descending)** chain of P .

A chain C is called

- ▶ **finite**, if C is finite; **infinite** otherwise.

Finite Chains, finite Elements

A partial order (P, \sqsubseteq) is called

- ▶ **chain-finite** (German: kettenendlich) iff P is free of infinite chains

An element $p \in P$ is called

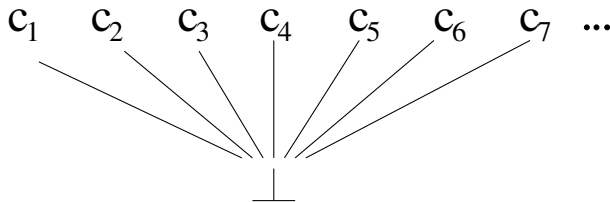
- ▶ **finite** iff the set $Q =_{df} \{q \in P \mid q \sqsubseteq p\}$ is free of infinite chains
- ▶ **finite relative to $r \in P$** iff the set $Q =_{df} \{q \in P \mid r \sqsubseteq q \sqsubseteq p\}$ is free of infinite chains

(Standard) CPO Constructions 1(4)

Flat CPOs:

Let (C, \sqsubseteq) be a CPO. Then (C, \sqsubseteq) is called

- **flat**, if for all $c, d \in C$ holds: $c \sqsubseteq d \Leftrightarrow c = \perp \vee c = d$



(Standard) CPO Constructions 2(4)

Product construction.

Let $(P_1, \sqsubseteq_1), (P_2, \sqsubseteq_2), \dots, (P_n, \sqsubseteq_n)$ be CPOs. Then...

- ▶ the **non-strict (direct) product** $(\times P_i, \sqsubseteq)$ with
 - ▶ $(\times P_i, \sqsubseteq) = (P_1 \times P_2 \times \dots \times P_n, \sqsubseteq)$ with
 $\forall (p_1, p_2, \dots, p_n),$
 $(q_1, q_2, \dots, q_n) \in \times P_i. (p_1, p_2, \dots, p_n) \sqsubseteq$
 $(q_1, q_2, \dots, q_n) \Leftrightarrow \forall i \in \{1, \dots, n\}. p_i \sqsubseteq_i q_i$
- ▶ and the **strict (direct) product (smash product)** with
 - ▶ $(\otimes P_i, \sqsubseteq) = (P_1 \otimes P_2 \otimes \dots \otimes P_n, \sqsubseteq)$, where \sqsubseteq is defined as above under the additional constraint:

$$(p_1, p_2, \dots, p_n) = \perp \Leftrightarrow \exists i \in \{1, \dots, n\}. p_i = \perp_i$$

are CPOs, too.

(Standard) CPO Constructions 3(4)

Sum construction.

Let $(P_1, \sqsubseteq_1), (P_2, \sqsubseteq_2), \dots, (P_n, \sqsubseteq_n)$ CPOs. Then

- ▶ the **direct sum** $(\bigoplus P_i, \sqsubseteq)$ with...
 - ▶ $(\bigoplus P_i, \sqsubseteq) = (P_1 \dot{\cup} P_2 \dot{\cup} \dots \dot{\cup} P_n, \sqsubseteq)$ disjoint union of P_i ,
 $i \in \{1, \dots, n\}$ and $\forall p, q \in \bigoplus P_i. p \sqsubseteq q \Leftrightarrow \exists i \in \{1, \dots, n\}. p, q \in P_i \wedge p \sqsubseteq_i q$

is a CPO.

Note: The least elements of (P_i, \sqsubseteq_i) , $i \in \{1, \dots, n\}$ are usually identified, i.e., $\perp =_{df} \perp_i, i \in \{1, \dots, n\}$

(Standard) CPO Constructions 4(4)

Function space.

Let (C, \sqsubseteq_C) and (D, \sqsubseteq_D) be two CPOs and $[C \rightarrow D] =_{df} \{f : C \rightarrow D \mid f \text{ continuous}\}$ the set of continuous functions from C to D .

Then

- ▶ the **continuous function space** $([C \rightarrow D], \sqsubseteq)$ is a CPO where
 - ▶ $\forall f, g \in [C \rightarrow D]. f \sqsubseteq g \iff \forall c \in C. f(c) \sqsubseteq_D g(c)$

Functions on CPOs / Properties

Let (C, \sqsubseteq_C) and (D, \sqsubseteq_D) be two CPOs and let $f : C \rightarrow D$ be a function from C to D .

Then f is called

- ▶ **monotone** iff $\forall c, c' \in C. c \sqsubseteq_C c' \Rightarrow f(c) \sqsubseteq_D f(c')$
(Preservation of the ordering of elements)
- ▶ **continuous** iff $\forall C' \subseteq C. f(\bigsqcup_C C') =_D \bigsqcup_D f(C')$
(Preservation of least upper bounds)

Let (C, \sqsubseteq) be a CPO and let $f : C \rightarrow C$ be a function on C .

Then f is called

- ▶ **inflationary (increasing)** iff $\forall c \in C. c \sqsubseteq f(c)$

Functions on CPOs / Results

Using the notations introduced before

Lemma

f is monotone iff $\forall C' \subseteq C. f(\bigsqcup_C C') \sqsupseteq_D \bigsqcup_D f(C')$

Corollary

A continuous function is always monotone, i.e. f continuous $\Rightarrow f$ monotone.

A.5

Fixed Point Theorem

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

B.1126/11

Least and greatest Fixed Points 1(2)

Let (C, \sqsubseteq) be a CPO, $f : C \rightarrow C$ be a function on C and let c be an element of C , i.e., $c \in C$.

Then c is called

- ▶ **fixed point** of f iff $f(c) = c$

A fixed point c of f is called

- ▶ **least fixed point** of f iff $\forall d \in C. f(d) = d \Rightarrow c \sqsubseteq d$
- ▶ **greatest fixed point** of f iff $\forall d \in C. f(d) = d \Rightarrow d \sqsubseteq c$

Least and greatest Fixed Points 2(2)

Let $d, c_d \in C$. Then c_d is called

- ▶ **conditional (German: bedingter) least fixed point** of f wrt d iff c_d is the least fixed point of C with $d \sqsubseteq c_d$, i.e. for all other fixed points x of f with $d \sqsubseteq x$ holds: $c_d \sqsubseteq x$.

Notations:

The least resp. greatest fixed point of a function f is usually denoted by μf resp. νf .

Fixed Point Theorem

Theorem (Knaster/Tarski, Kleene)

Let (C, \sqsubseteq) be a CPO and let $f : C \rightarrow C$ be a continuous function on C .

Then f has a least fixed point μf , which equals the least upper bound of the chain (so-called *Kleene-Chain*) $\{\perp, f(\perp), f^2(\perp), \dots\}$, i.e.

$$\mu f = \bigsqcup_{i \in \mathbb{N}_0} f^i(\perp) = \bigsqcup \{\perp, f(\perp), f^2(\perp), \dots\}$$

Proof of the Fixed Point Theorem 1(4)

We have to prove: μf

1. exists
2. is a fixed point
3. is the least fixed point

Proof of the Fixed Point Theorem 2(4)

1. Existence

- ▶ It holds $f^0 \perp = \perp$ and $\perp \sqsubseteq c$ for all $c \in C$.
- ▶ By means of (natural) induction we can show:
 $f^n \perp \sqsubseteq f^n c$ for all $c \in C$.
- ▶ Thus we have $f^n \perp \sqsubseteq f^m \perp$ for all n, m with $n \leq m$.
Hence, $\{f^n \perp \mid n \geq 0\}$ is a (non-finite) chain of C .
- ▶ The existence of $\bigsqcup_{i \in \mathbb{N}_0} f^i(\perp)$ is thus an immediate consequence of the CPO properties of (C, \sqsubseteq) .

Proof of the Fixed Point Theorem 3(4)

2. Fixed point property

$$\begin{aligned} & f\left(\bigsqcup_{i \in \mathbb{N}_0} f^i(\perp)\right) \\ (f \text{ continuous}) &= \bigsqcup_{i \in \mathbb{N}_0} f(f^i \perp) \\ &= \bigsqcup_{i \in \mathbb{N}_1} f^i \perp \\ (K \text{ chain} \Rightarrow \bigsqcup K = \perp \sqcup \bigsqcup K) &= \left(\bigsqcup_{i \in \mathbb{N}_1} f^i \perp\right) \sqcup \perp \\ (f^0 \perp = \perp) &= \bigsqcup_{i \in \mathbb{N}_0} f^i \perp \end{aligned}$$

Proof of the Fixed Point Theorem 4(4)

3. Least fixed point

- ▶ Let c be an arbitrarily chosen fixed point of f . Then we have $\perp \sqsubseteq c$, and hence also $f^n \perp \sqsubseteq f^n c$ for all $n \geq 0$.
- ▶ Thus, we have $f^n \perp \sqsubseteq c$ because of our choice of c as fixed point of f .
- ▶ Thus, we also have that c is an upper bound of $\{f^i(\perp) \mid i \in \mathbb{N}_0\}$.
- ▶ Since $\bigsqcup_{i \in \mathbb{N}_0} f^i(\perp)$ is the least upper bound of this chain by definition, we obtain as desired $\bigsqcup_{i \in \mathbb{N}_0} f^i(\perp) \sqsubseteq c$.

Conditional Fixed Points

Theorem (Conditional Fixed Points)

Let (C, \sqsubseteq) be a CPO, let $f : C \rightarrow C$ be a continuous, inflationary function on C , and let $d \in C$.

Then f has a unique conditional fixed point μf_d . This fixed point equals the least upper bound of the chain $\{d, f(d), f^2(d), \dots\}$, d.h.

$$\mu f_d = \bigsqcup_{i \in \mathbb{N}_0} f^i(d) = \bigsqcup \{d, f(d), f^2(d), \dots\}$$

Finite Fixed Points

Theorem (Finite Fixed Points)

Let (C, \sqsubseteq) be a CPO and let $f : C \rightarrow C$ be a continuous function on C .

Then we have: If two elements in a row occurring in the Kleene-chain of f are equal, e.g. $f^i(\perp) = f^{i+1}(\perp)$, then we have: $\mu f = f^i(\perp)$.

Existence of Finite Fixed Points

Sufficient conditions for the existence of finite fixed points
e.g. are

- ▶ Finiteness of domain and range of f
- ▶ f is of the form $f(c) = c \sqcup g(c)$ for monotone g on some chain-complete domain

A.6

Cones and Ideals

Contents

Chap. 1

Chap. 2

Chap. 3

Chap. 4

Chap. 5

Chap. 6

Chap. 7

Chap. 8

Chap. 9

Chap. 10

Chap. 11

Chap. 12

Chap. 13

Chap. 14

Chap. 15

Chap. 16

Chap. 17

B.1

Cones und Ideals

Let (P, \sqsubseteq) be a partial order and Q be a subset of P , i.e., $Q \subseteq P$.

Then Q is called

- ▶ **directed** set (German: **gerichtet** (**gerichtete Menge**)), if each *finite* subset $R \subseteq Q$ has a supremum in Q , i.e. $\exists q \in Q. q = \bigsqcup R$
- ▶ **cone** (German: **Kegel**), if Q is downward closed, i.e. $\forall q \in Q \forall p \in P. p \sqsubseteq q \Rightarrow p \in Q$
- ▶ **ideal** (German: **Ideal**), if Q is a directed cone, i.e. if Q is downward closed and each finite subset has a supremum in Q .

Note: If Q is a directed set, then, we have because of $\emptyset \subseteq Q$ also $\bigsqcup \emptyset = \perp \in Q$ and thus $Q \neq \emptyset$.

Completion of Ideals

Theorem (Completion of Ideals)

Let (P, \sqsubseteq) be a partial order and let I_P be the set of all ideals of P . Then we have:

- ▶ (I_P, \subseteq) is a CPO.

Induced “completion”

- ▶ Identifying each element $p \in P$ with its corresponding ideal $I_p =_{df} \{q \mid q \sqsubseteq p\}$ yields an embedding of P into I_P with $p \sqsubseteq q \Leftrightarrow I_p \subseteq I_q$

Corollary (Extensability of Functions)

Let (P, \sqsubseteq_P) be a partial order and let (C, \sqsubseteq_C) be a CPO. Then we have: All monotone functions $f : P \rightarrow C$ can be extended to a uniquely determined continuous function $\hat{f} : I_P \rightarrow C$.

Appendix A: Further Reading

-  Paul Hudak. *The Haskell School of Expression: Learning Functional Programming through Multimedia*. Cambridge University Press, 2000. (Chapter 11, Proof by Induction; Chapter 14.6, Inductive Properties of Infinite Lists)
-  Hanne Riis Nielson, Flemming Nielson. *Semantics with Applications: A Formal Introduction*. Wiley, 1992. (Chapter 4, Denotational Semantics)
-  Hanne Riis Nielson, Flemming Nielson. *Semantics with Applications: An Appetizer*. Springer-V., 2007. (Chapter 5, Denotational Semantics)
-  Peter Pepper, Petra Hofstedt. *Funktionale Programmierung*. Springer-Verlag, 2006. (Kapitel 10, Beispiel: Berechnung von Fixpunkten)

Appendix A: Further Reading (Cont'd)



Simon Thompson. *Haskell: The Craft of Functional Programming*. Addison-Wesley/Pearson, 2nd edition, 1999. (Chapter 8, Reasoning about Programs; Chapter 17.9, Proof revisited)