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Introduction to Programming Language Semantics

Lecture 1: Structural Operational Semantics

Some motivation

- ▶ It's hopeless to try to reason about program behavior without knowing program semantics
- ▶ Programs can be very complicated beasts — **modularity**, **compositionality**, and **abstraction** are essential
- ▶ Reduce as much as possible to a few **formal rules** that can be applied mindlessly
- ▶ Ideally the rules should be **consistent** and **complete**, and the simpler the better

Styles of Semantics

Three Styles of Semantics

- ▶ **Operational:** Focus on **states**, local, forward-moving in time
- ▶ **Denotational:** Focus on **states**, global, forward-moving in time
- ▶ **Axiomatic:** Focus on **observations**, backward-moving in time

Roadmap

- ▶ Lecture 1: Structural operational semantics
IMP language, small-step rules, big-step rules, evaluation contexts, big-step rules as binary relations, algebraic properties
- ▶ Lecture 2: The λ -calculus
 λ -terms, safe substitution, binding and scope, α - and β -reduction, Church-Rosser theorem, data encodings, recursion, simple types, progress and preservation
- ▶ Lecture 3: Denotational semantics
CPOs, least fixpoints, Knaster-Tarski theorem, domain equations
- ▶ Lecture 4: Axiomatic semantics, probabilistic semantics
Weakest preconditions, semantics of Hoare logic, Dynamic logic, probabilistic semantics

A simple imperative language — IMP

Syntax specified by a BNF grammar

- ▶ Arithmetic expressions (AExp)

$a ::= n \in \mathbb{N} \mid x \in \mathbf{Var} \mid a_1 + a_2 \mid a_1 * a_2 \mid \dots$

- ▶ Boolean expressions (BExp)

$b ::= \mathbf{true} \mid \mathbf{false} \mid a_1 \leq a_2 \mid \dots \mid b_1 \wedge b_2 \mid \neg b \mid \dots$

- ▶ Commands (Com)

$c ::= x := a \mid c_1; c_2 \mid \mathbf{if } b \mathbf{ then } c_1 \mathbf{ else } c_2 \mid \mathbf{while } b \mathbf{ do } c \mid \mathbf{skip}$

This specifies the **abstract syntax trees (ASTs)** of expressions

Environments and configurations

An **environment** is a function $s : \text{Var} \rightarrow \mathbb{N}$

- ▶ used to evaluate variables in an expression
- ▶ Env is the set of environments

A **configuration** is a pair $\langle c, s \rangle$, where $c \in \text{Com}$ and $s \in \text{Env}$

- ▶ represents the current state of the computation

Small-step semantics of IMP

Small-step semantics specifies the operation of a program one step at a time

- ▶ Formally: define a **small-step relation** $\rightarrow_c$ on configurations
 $\langle c, s \rangle \rightarrow_c \langle c', s' \rangle$ means $\langle c, s \rangle$ goes to $\langle c', s' \rangle$ in one step
- ▶ $\rightarrow_c^*$ is the **reflexive transitive closure** of $\rightarrow_c$
 $\langle c, s \rangle \rightarrow_c^* \langle c', s' \rangle$ means $\langle c, s \rangle$ goes to $\langle c', s' \rangle$ in 0 or more steps
- ▶ Continue until reaching a **halt configuration** $\langle \text{skip}, s \rangle$ (if ever!)

Small-step semantics of IMP

Need auxiliary evaluation relations $\rightarrow_a$ and $\rightarrow_b$ for arithmetic and Boolean expressions

$$\rightarrow_a : (\text{AExp} \times \text{Env}) \rightarrow (\text{AExp} \times \text{Env})$$

$$\rightarrow_b : (\text{BExp} \times \text{Env}) \rightarrow (\text{BExp} \times \text{Env})$$

$$\rightarrow_c : (\text{Com} \times \text{Env}) \rightarrow (\text{Com} \times \text{Env})$$

Arithmetic and Boolean expressions

$$\frac{\langle a_1, s \rangle \rightarrow_a \langle a'_1, s \rangle}{\langle a_1 + a_2, s \rangle \rightarrow_a \langle a'_1 + a_2, s \rangle} \qquad \frac{\langle a_2, s \rangle \rightarrow_a \langle a'_2, s \rangle}{\langle n_1 + a_2, s \rangle \rightarrow_a \langle n_1 + a'_2, s \rangle}$$

$$\frac{}{\langle x, s \rangle \rightarrow_a \langle s(x), s \rangle} \qquad \frac{}{\langle n_1 + n_2, s \rangle \rightarrow_a \langle n_3, s \rangle}$$

where in the last rule, n_3 is the sum of n_1 and n_2 in $\mathbb{N}$

These rules say: **If the reduction above the line can be performed, then the reduction below the line can be performed**

- ▶ There is no rule that applies to $\langle n, s \rangle$ — it is **irreducible**
- ▶ In all other cases, exactly one rule applies
- ▶ No rule affects s
- ▶ The rules for $*$ and Boolean operators are similar

Commands

► Assignment:

$$\frac{}{\langle x := n, s \rangle \rightarrow_c \langle \text{skip}, s[n/x] \rangle} \quad \frac{\langle a, s \rangle \rightarrow_a \langle a', s' \rangle}{\langle x := a, s \rangle \rightarrow_c \langle x := a', s' \rangle}$$

► Sequential composition:

$$\frac{\langle c_0, s \rangle \rightarrow_c \langle c'_0, s' \rangle}{\langle c_0; c_1, s \rangle \rightarrow_c \langle c'_0; c_1, s' \rangle} \quad \frac{}{\langle \text{skip}; c_1, s \rangle \rightarrow_c \langle c_1, s \rangle}$$

► Conditional test:

$$\frac{\langle b, s \rangle \rightarrow_b \langle b', s' \rangle}{\langle \text{if } b \text{ then } c_0 \text{ else } c_1, s \rangle \rightarrow_c \langle \text{if } b' \text{ then } c_0 \text{ else } c_1, s' \rangle}$$

$$\frac{}{\langle \text{if true then } c_0 \text{ else } c_1, s \rangle \rightarrow_c \langle c_0, s \rangle}$$

$$\frac{}{\langle \text{if false then } c_0 \text{ else } c_1, s \rangle \rightarrow_c \langle c_1, s \rangle}$$

Commands

- ▶ While loop:

$$\frac{}{\langle \text{while } b \text{ do } c, s \rangle \rightarrow_c \langle \text{if } b \text{ then } (c; \text{while } b \text{ do } c) \text{ else skip}, s \rangle}$$

- ▶ There is no rule for skip; any configuration $\langle \text{skip}, s \rangle$ is **irreducible**
- ▶ In all other cases, there is **exactly one rule** that applies

Example

$\langle x := 0; \text{while } x \leq 2 \text{ do } x := x + 1, [] \rangle$
 $\rightarrow_c \langle \text{skip}; \text{while } x \leq 2 \text{ do } x := x + 1, [x = 0] \rangle$
 $\rightarrow_c \langle \text{while } x \leq 2 \text{ do } x := x + 1, [x = 0] \rangle$
 $\rightarrow_c \langle \text{if } x \leq 2 \text{ then } (x := x + 1; \text{while } x \leq 2 \text{ do } x := x + 1) \text{ else skip}, [x = 0] \rangle$
 $\rightarrow_c \langle \text{if } 0 \leq 2 \text{ then } (x := x + 1; \text{while } x \leq 2 \text{ do } x := x + 1) \text{ else skip}, [x = 0] \rangle$
 $\rightarrow_c \langle \text{if true then } (x := x + 1; \text{while } x \leq 2 \text{ do } x := x + 1) \text{ else skip}, [x = 0] \rangle$
 $\rightarrow_c \langle x := x + 1; \text{while } x \leq 2 \text{ do } x := x + 1, [x = 0] \rangle$
 $\rightarrow_c \langle x := 0 + 1; \text{while } x \leq 2 \text{ do } x := x + 1, [x = 0] \rangle$
 $\rightarrow_c \langle x := 1; \text{while } x \leq 2 \text{ do } x := x + 1, [x = 0] \rangle$
 $\rightarrow_c \langle \text{skip}; \text{while } x \leq 2 \text{ do } x := x + 1, [x = 1] \rangle$
 $\rightarrow_c \langle \text{while } x \leq 2 \text{ do } x := x + 1, [x = 1] \rangle$
 $\rightarrow_c \langle \text{if } x \leq 2 \text{ then } (x := x + 1; \text{while } x \leq 2 \text{ do } x := x + 1) \text{ else skip}, [x = 1] \rangle$
 $\rightarrow_c \dots$
 $\rightarrow_c \langle \text{if } x \leq 2 \text{ then } (x := x + 1; \text{while } x \leq 2 \text{ do } x := x + 1) \text{ else skip}, [x = 3] \rangle$
 $\rightarrow_c \langle \text{if } 3 \leq 2 \text{ then } (x := x + 1; \text{while } x \leq 2 \text{ do } x := x + 1) \text{ else skip}, [x = 3] \rangle$
 $\rightarrow_c \langle \text{if false then } (x := x + 1; \text{while } x \leq 2 \text{ do } x := x + 1) \text{ else skip}, [x = 3] \rangle$
 $\rightarrow_c \langle \text{skip}, [x = 3] \rangle$

Big-step semantics of IMP

Big-step semantics specifies a relation between a configuration and its final output

- ▶ Formally define a **big-step relation** $\downarrow_c$ between configurations and environments
 $\langle c, s \rangle \downarrow_c s'$ means $\langle c, s \rangle$ eventually halts in final configuration $\langle \text{skip}, s' \rangle$
- ▶ Also need auxiliary evaluation big-step relations $\downarrow_a$ and $\downarrow_b$ for arithmetic and Boolean expressions

$$\downarrow_a : (\text{AExp} \times \text{Env}) \rightarrow \mathbb{N}$$

$$\downarrow_b : (\text{BExp} \times \text{Env}) \rightarrow \{\text{true}, \text{false}\}$$

$$\downarrow_c : (\text{Com} \times \text{Env}) \rightarrow \text{Env} \quad \text{partial function!}$$

Arithmetic and Boolean expressions

$$\overline{\langle n, s \rangle \downarrow_a n} \qquad \overline{\langle x, s \rangle \downarrow_a s(x)}$$

$$\frac{\langle a_1, s \rangle \downarrow_a n_1 \quad \langle a_2, s \rangle \downarrow_a n_2}{\langle a_1 + a_2, s \rangle \downarrow_a n_3}$$

where in the last rule, n_3 is the sum of n_1 and n_2 in $\mathbb{N}$

The rules for $*$, comparisons, and Boolean expressions are similar

Commands

► Skip:

$$\frac{}{\langle \text{skip}, s \rangle \downarrow_c s}$$

► Assignment:

$$\frac{\langle a, s \rangle \downarrow_a n}{\langle x := a, s \rangle \downarrow_c s[n/x]}$$

► Sequential composition:

$$\frac{\langle c_0, s \rangle \downarrow_c s' \quad \langle c_1, s' \rangle \downarrow_c s''}{\langle c_0; c_1, s \rangle \downarrow_c s''}$$

► Conditional test:

$$\frac{\langle b, s \rangle \downarrow_b \text{true} \quad \langle c_0, s \rangle \downarrow_c s'}{\langle \text{if } b \text{ then } c_0 \text{ else } c_1, s \rangle \downarrow_c s'} \quad \frac{\langle b, s \rangle \downarrow_b \text{false} \quad \langle c_1, s \rangle \downarrow_c s'}{\langle \text{if } b \text{ then } c_0 \text{ else } c_1, s \rangle \downarrow_c s'}$$

Commands

► While loop:

$$\frac{\langle b, s \rangle \downarrow_b \text{false}}{\langle \text{while } b \text{ do } c, s \rangle \downarrow_c s}$$

$$\frac{\langle b, s \rangle \downarrow_b \text{true} \quad \langle c, s \rangle \downarrow_c s' \quad \langle \text{while } b \text{ do } c, s' \rangle \downarrow_c s''}{\langle \text{while } b \text{ do } c, s \rangle \downarrow_c s''}$$

Big-step vs small-step SOS

Big-step semantics essentially specifies a recursive evaluation procedure — easy to build an interpreter from the rules

Small-step semantics gives finer view of computation — can reason about processes that are not supposed to halt

For terminating IMP programs, big- and small-step agree:

Theorem

For all commands $c \in \text{Com}$ and environments $s, s' \in \text{Env}$,

$$\langle c, s \rangle \xrightarrow{*}_c \langle \text{skip}, s' \rangle \Leftrightarrow \langle c, s \rangle \downarrow_c s'$$

Evaluation Contexts

The rules for SOS can be classified into two types:

- **reduction rules** describing actual computation steps, e.g.

$$\frac{}{\langle \text{if true then } c_0 \text{ else } c_1, s \rangle \rightarrow_c \langle c_0, s \rangle}$$

$$\frac{}{\langle \text{if false then } c_0 \text{ else } c_1, s \rangle \rightarrow_c \langle c_1, s \rangle}$$

- **evaluation order rules** describing which reduction to perform next, e.g.

$$\frac{\langle b, s \rangle \rightarrow_b \langle b', s' \rangle}{\langle \text{if } b \text{ then } c_0 \text{ else } c_1, s \rangle \rightarrow_c \langle \text{if } b' \text{ then } c_0 \text{ else } c_1, s' \rangle}$$

Evaluation Contexts

The evaluation order rules, although accurate, require a lot of work for complicated expressions, e.g.

$$\frac{\frac{\frac{\langle x, s \rangle \rightarrow_b \langle 0, s' \rangle}{\langle x \leq y, s \rangle \rightarrow_b \langle 0 \leq y, s' \rangle}}{\langle x \leq y \wedge \neg(y \leq z), s \rangle \rightarrow_b \langle 0 \leq y \wedge \neg(y \leq z), s' \rangle}}{\langle \neg(x \leq y \wedge \neg(y \leq z)), s \rangle \rightarrow_b \langle \neg(0 \leq y \wedge \neg(y \leq z)), s' \rangle}}{\langle \text{if } \neg(x \leq y \wedge \neg(y \leq z)) \text{ then } c_0 \text{ else } c_1, s \rangle \rightarrow_c \langle \text{if } \neg(0 \leq y \wedge \neg(y \leq z)) \text{ then } c_0 \text{ else } c_1, s' \rangle}$$

One would like a more succinct way of expressing evaluation order

Evaluation Contexts

- ▶ **Evaluation contexts** are a family of expressions with one occurrence of a special variable (called the **hole**, usually denoted $[]$) that say where rules can be applied
- ▶ Typically specified by a BNF grammar
- ▶ The evaluation contexts for IMP are

$$E_a ::= []_a \mid E_a + a \mid n + E_a \mid E_a * a \mid n * E_a$$

$$E_b ::= []_b \mid E_b \wedge b \mid \neg E_b \mid E_a \leq a \mid n \leq E_a$$

$$E_c ::= []_c \mid \text{if } E_b \text{ then } c_1 \text{ else } c_2 \mid x := E_a \mid E_c; c$$

- ▶ There should be exactly one evaluation context matching any unevaluated expression

Evaluation Contexts

So if $s(x) = 0$, instead of

$$\frac{\frac{\frac{\langle x, s \rangle \rightarrow_b \langle 0, s' \rangle}{\langle x \leq y, s \rangle \rightarrow_b \langle 0 \leq y, s' \rangle}}{\langle x \leq y \wedge \neg(y \leq z), s \rangle \rightarrow_b \langle 0 \leq y \wedge \neg(y \leq z), s' \rangle}}{\langle \neg(x \leq y \wedge \neg(y \leq z)), s \rangle \rightarrow_b \langle \neg(0 \leq y \wedge \neg(y \leq z)), s' \rangle}}{\langle \text{if } \neg(x \leq y \wedge \neg(y \leq z)) \text{ then } c_0 \text{ else } c_1, s \rangle \rightarrow_c \langle \text{if } \neg(0 \leq y \wedge \neg(y \leq z)) \text{ then } c_0 \text{ else } c_1, s' \rangle}$$

we just have

`if  $\neg([\ ] \leq y \wedge \neg(y \leq z))$  then  $c_0$  else  $c_1$`

Evaluation Contexts

Every evaluation context E represents a **context rule**

$$\frac{\langle e, s \rangle \rightarrow \langle e', s' \rangle}{\langle E[e], s \rangle \rightarrow \langle E[e'], s' \rangle}$$

which says that we may apply the reduction $\langle e, s \rangle \rightarrow \langle e', s' \rangle$ in the context $E[e]$

Here $E[e]$ simply means E with e substituted for the special variable $[]$

Evaluation contexts vastly simplify the specification of an evaluation order

Big-step semantics as binary relations

As presented earlier, the big-step relations had types

$$\downarrow_a : (\text{AExp} \times \text{Env}) \rightarrow \mathbb{N}$$

$$\downarrow_b : (\text{BExp} \times \text{Env}) \rightarrow \{\text{true}, \text{false}\}$$

$$\downarrow_c : (\text{Com} \times \text{Env}) \rightarrow \text{Env}$$

For $c \in \text{Com}$ and $b \in \text{BExp}$, define

$$\llbracket c \rrbracket = \{(s, s') \mid \langle c, s \rangle \downarrow_c s'\} \subseteq \text{Env} \times \text{Env}$$

$$\llbracket b \rrbracket = \{(s, s) \mid \langle b, s \rangle \downarrow_b \text{true}\} \subseteq \text{Env} \times \text{Env}$$

$\llbracket c \rrbracket$ is the **input/output relation** of c , a binary relation on Env

$\llbracket b \rrbracket$ is the **guard relation** of b , a subset of the identity relation on Env

Some operations on binary relations

For $R, S \subseteq X \times X$,

$$R \cup S = \{(u, v) \mid (u, v) \in R \text{ or } (u, v) \in S\}$$

$$R \cdot S = \{(u, v) \mid \exists w (u, w) \in R, (w, v) \in S\}$$

the relational composition of R and S

$$\text{id}_X = \{(u, u) \mid u \in X\} \quad \text{the identity relation on } X$$

$$R^* = \bigcup_n R^n, \text{ where } R^0 = \text{id}_X \text{ and } R^{n+1} = R^n \cdot R$$

the reflexive transitive closure of R

For $B \subseteq \text{id}_X$,

$$\sim B = \text{id}_x \setminus B = \{(u, u) \mid (u, u) \notin B\}$$

the complement of B in id_X

Programs as binary relations on Env

The input/output relations of programs can be defined in terms of operations on binary relations

$$\llbracket c_1; c_2 \rrbracket = \llbracket c_1 \rrbracket \cdot \llbracket c_2 \rrbracket$$

$$\llbracket \neg b \rrbracket = \sim \llbracket b \rrbracket$$

$$\llbracket b_1 \vee b_2 \rrbracket = \llbracket b_1 \rrbracket \cup \llbracket b_2 \rrbracket$$

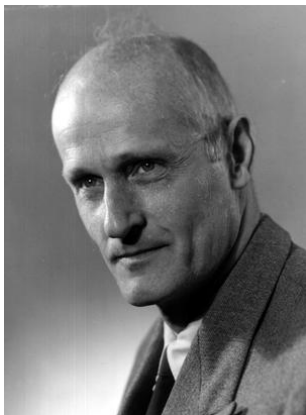
$$\llbracket \text{if } b \text{ then } c_1 \text{ else } c_2 \rrbracket = (\llbracket b \rrbracket \cdot \llbracket c_1 \rrbracket) \cup (\sim \llbracket b \rrbracket \cdot \llbracket c_2 \rrbracket)$$

$$\llbracket \text{while } b \text{ do } c \rrbracket = (\llbracket b \rrbracket \cdot \llbracket c \rrbracket)^* \cdot \sim \llbracket b \rrbracket$$

$$\llbracket \text{skip} \rrbracket = \text{id}_{\text{Env}}$$

These are equivalent to the big-step definitions

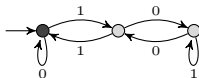
Kleene Algebra (KA)



Stephen Cole Kleene
(1909–1994)

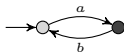
$$(0 + 1(01^*0)^*1)^*$$

{multiples of 3 in binary}



$$(ab)^*a = a(ba)^*$$

{a, aba, ababa, ...}



$$(a + b)^* = a^*(ba^*)^*$$

{all strings over {a, b}}



Axioms of Kleene algebra

Idempotent Semiring Axioms

$$p + (q + r) = (p + q) + r \qquad p(qr) = (pq)r$$

$$p + q = q + p \qquad 1p = p1 = p$$

$$p + 0 = p \qquad p0 = 0p = 0$$

$$p + p = p$$

$$p(q + r) = pq + pr$$

$$a \leq b \stackrel{\Delta}{\iff} a + b = b$$

$$(p + q)r = pr + qr$$

Axioms for $*$

$$1 + pp^* \leq p^*$$

$$q + px \leq x \Rightarrow p^*q \leq x$$

$$1 + p^*p \leq p^*$$

$$q + xp \leq x \Rightarrow qp^* \leq x$$

Standard Model

Regular sets of strings over Σ

$$A + B = A \cup B$$

$$AB = \{xy \mid x \in A, y \in B\}$$

$$A^* = \bigcup_{n \geq 0} A^n = A^0 \cup A^1 \cup A^2 \cup \dots$$

$$1 = \{\varepsilon\}$$

$$0 = \emptyset$$

This is the **free KA** on generators Σ

An equation is a **deductive consequence** of the axioms iff it holds in this model

Relational Models

Binary relations on a set X

$$R + S = R \cup S$$

$$RS = R \cdot S = \{(u, v) \mid \exists w (u, w) \in R, (w, v) \in S\}$$

$$R^* = \bigcup_n R^n = R^0 \cup R^1 \cup R^2 \cup \dots$$

$$1 = \text{id}_X = \{(u, u) \mid u \in X\}$$

$$0 = \emptyset$$

KA is **sound and complete** for relational models

An equation is a **deductive consequence of the axioms** iff it holds in all relational models

Kleene Algebra with Tests (KAT)

$$(K, B, +, \cdot, *, \neg, 0, 1), \quad B \subseteq K$$

- ▶ $(K, +, \cdot, *, 0, 1)$ is a Kleene algebra
- ▶ $(B, +, \cdot, \neg, 0, 1)$ is a Boolean algebra
- ▶ $(B, +, \cdot, 0, 1)$ is a subalgebra of $(K, +, \cdot, 0, 1)$
- ▶ $p, q, r, \dots$ range over K
- ▶ $a, b, c, \dots$ range over B

Program verification with KAT

Modeling IMP

$p ; q = pq$ if b then p else $q = bp + \bar{b}q$ while b do $p = (bp)^* \bar{b}$

KAT Subsumes Hoare Logic

$$\{b\} p \{c\} \Leftrightarrow bp \leq pc \Leftrightarrow bp = bpc \Leftrightarrow bp\bar{c} = 0$$

The Hoare while rules become universal Horn formulas — e.g.

$$\frac{\{bc\} p \{c\}}{\{c\} \text{ while } b \text{ do } p \{\bar{b}c\}}$$

becomes

$$bcp \leq pc \Rightarrow c(bp)^* \bar{b} \leq (bp)^* \bar{b} \bar{b} c$$

Example

The following two programs are equivalent:

while b do {	if b then {
p ;	p ;
while c do q	while $b + c$ do {
}	if c then q else p
	}
	} else skip

Expressed in KAT:

$$(bp(cq)^* \bar{c})^* \bar{b} = bp((b + c)(cq + \bar{c}p))^* \overline{b + c} + \bar{b}$$

First-order reasoning — SKAT

$$x := s ; y := t = y := t[s/x] ; x := s \quad y \notin \text{FV}(s)$$

$$x := s ; y := t = x := s ; y := t[s/x] \quad x \notin \text{FV}(s)$$

$$x := s ; x := t = x := t[s/x]$$

$$\varphi[t/x] ; x := t = x := t ; \varphi$$

where in the first two, x and y are distinct variables and $\text{FV}(s)$ denotes the set of free variables of s

Special cases of the first and last are

$$x := s ; y := t = y := t ; x := s \quad x \notin \text{FV}(t), y \notin \text{FV}(s)$$

$$\varphi ; x := t = x := t ; \varphi \quad x \notin \text{FV}(\varphi)$$

First-order reasoning — SKAT

The assignment axiom of Hoare Logic is

$$\{\varphi[t/x]\} x := t \{\varphi\}$$

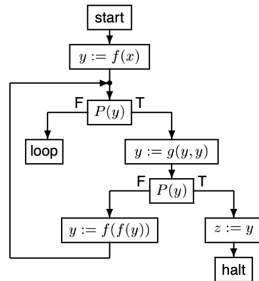
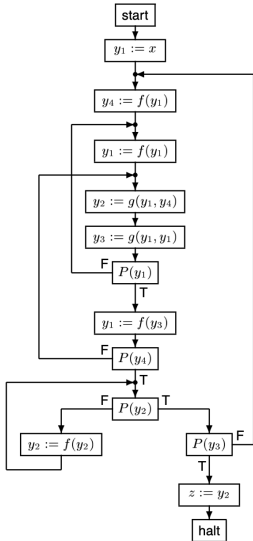
which is represented in SKAT by any of

$$\begin{aligned}\varphi[t/x] ; x := t ; \varphi &= \varphi[t/x] ; x := t \\ \varphi[t/x] ; x := t ; \neg\varphi &= 0 \\ \varphi[t/x] ; x := t &\leq x := t ; \varphi\end{aligned}$$

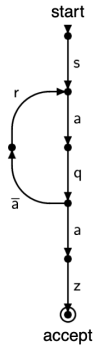
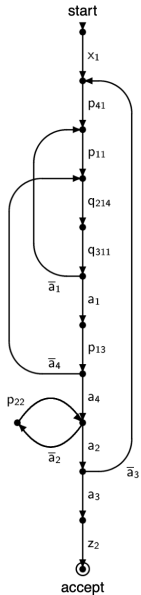
The equation $\varphi[t/x] ; x := t = x := t ; \varphi$ is equivalent to

$$\{\varphi[t/x]\} x := t \{\varphi\} \text{ and } \{\neg\varphi[t/x]\} x := t \{\neg\varphi\}$$

First-order reasoning — SKAT



First-order reasoning — SKAT



Next time — the λ -calculus!

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