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Chapter 1

Overview and Program Design

1.1 Introduction and Prerequisites

CIS 1200 is an introductory computer science course taught at the University of Pennsylvania.

Entering students should have some previous exposure to programming and the ability to write small programs (10-100 lines) in some imperative or object-oriented language. Because of CIS 1100 and AP Computer Science, the majority of entering students are familiar with Java. However, students with experience in languages such as Python, C, C++, Matlab, or Scheme have taken this course and done well.

In particular, the skills that we look for in entering CIS 1200 students are familiarity with the basic tools of programming, including editing, compiling and running code, and familiarity with the basic concepts of programming languages, such as variables, assignment, conditionals, objects, methods, arrays, and various types of loops.

1.2 Course Philosophy

The core of CIS 1200 is programming. The skill of writing computer programs is fun, useful and rewarding in its own right. By the end of the semester, students should be able to design and implement—from scratch—sophisticated applications involving graphical user interfaces, nontrivial data structures, mutable state, and complex control. In fact, the final homework assignment for the course is a playable game, chosen and designed by the student.

More importantly, programming is a conceptual foundation for the study of computation. This course is a prerequisite for almost every other course in the computer science program at Penn, both those that themselves have major pro-
Programming components and those of a more theoretical nature. The science of computing can be thought of as a modern day version of logic and critical thinking. However, this is a more concrete, more potent form of logic: logic grounded in computation.

Like any other skill, learning to program takes plenty of practice to master. The tools involved—languages, compilers, IDEs, libraries, and frameworks—are large and complex. Furthermore, many of these tools are tuned for the demands of rigorous software engineering, including extensibility, efficiency and security.

The general philosophy for introductory computer science at Penn is to develop programming skills in stages. We start with basic skills of “algorithmic thinking” in our intro CIS 1100 course, though students enter Penn already with this ability through exposure to AP Computer Science classes in high school, through summer camps and courses on programming, or independent study. At this stage, students can write short programs, but may have less fluency with putting them together to form larger applications. The first part of CIS 1200 continues this process by developing design and analysis skills in the context of larger and more challenging problems. In particular, we teach a systematic process for program design, a rigorous model for thinking about computation, and a rich vocabulary of computational structures. The last stage (the second part of CIS 1200 and beyond) is to translate those design skills to the context of industrial-strength tools and design processes.

This philosophy influences our choice of tools. To facilitate practice, we prefer mature platforms that have demonstrated their utility and stability. For the first part of CIS 1200, where the goal is to develop design and analysis skills, we use the OCaml programming language. In the second half of the semester, we switch to the Java language. This dual language approach allows us to teach program design in a relatively simple environment, make comparisons between different programming paradigms, and motivate sophisticated features such as objects and classes.

OCaml is the most-widely used dialect of the ML family of languages. Such languages are not new—the first version of ML was designed by Robin Milner in the 1970s; the first version of OCaml was released in 1996. The OCaml implementation is a free, open source project developed and maintained by researchers at INRIA, the French national laboratory for computing research. Although OCaml has its origins as a research language, it has also attracted significant attention in industry. For example, Microsoft’s F# language is strongly inspired by OCaml and other ML variants, and companies like Jane Street use OCaml extensively. Scala and Haskell, two other strongly typed functional programming languages, also share many common traits with OCaml.

Java is currently one of the most popularly used languages in the software industry and representative of software object-oriented development. It was orig-
inantly developed by James Gosling and others at Sun Microsystems in the early nineties and first released in 1995. Like OCaml, Java was released as free, open source software and all of the core code is still available for free. Popular languages related to Java include C# and, to a lesser extent, C++.

Goals

There are four main, interdependent goals for CIS 1200.

**Increased independence in programming** While we expect some familiarity with programming, we don’t expect entering students to be full-blown programmers. The first goal of 1200 is to extend their programming skills, going from the ability to write programs that are 10s of lines long to programs that are 1000s of lines long. Furthermore, as the semester progresses, the assignments become less constrained, starting from the application of simple recipes, to independent problem decomposition.

**Fluency in program design** The ability to write longer programs is founded on the process of program design. We teach necessary skills, such as test-driven development, interface specification, modular decomposition, and multiple programming idioms that extend individual problem solving skills to system development.

**Firm grasp of fundamental principles** CIS 1200 is not just an introductory programming course; it is primarily an introductory computer science course. It covers fundamental principles of computing, such as recursion, lists and trees, interfaces, semantic models, mutable data structures, references, invariants, objects, and types.

**Fluency in core Java** We aim to provide CIS 1200 students with sufficient core skills in a popular programming language to enable further development in a variety of contexts, including: advanced CIS core courses and electives, summer internships, start-up companies, contributions to open-source projects and individual exploration. The Java development environment, including the availability of libraries, tools, communities, and job opportunities, satisfies this requirement. CIS 1200 includes enough details about the core Java languages and common libraries for this purpose, though is not an exhaustive overview to Java or object-oriented software engineering. There are many details about the Java language that CIS 1200 does not cover; the goal is to provide enough information for future self study.
Why OCaml?

The first half of CIS 1200 is taught in the context of the OCaml programming language. In the second half of the semester, we switch to Java for lectures and assignments. If the goal is fluency in core Java, why use OCaml at all?

We use OCaml in CIS 1200 for several reasons.

It’s not Java. By far, the majority of students entering CIS 1200 know only the Java programming language, and yet different programming languages foster different programming paradigms. Knowing only one language, such as Java, leads to a myopic view of programming, being unable to separate “that is how it is done” from “that is how it is done in Java”. By switching languages, we provide perspective about language-independent concepts, introducing other ways of decomposing and expressing computation that are not as well supported by Java.

Furthermore, not all students have this background in Java, nor do they have the same degree of experience. We start with OCaml to level the playing field and give students with alternative backgrounds a chance to develop sophistication in programming and review the syntax of Java on their own. (For those that need more assistance with the basics, we offer CIS 1100.)

Finally, learning a new programming language to competence in six weeks builds confidence. A student’s first language is difficult, because it involves learning the concepts of programming at the same time. The second comes much easier, once the basic concepts are in place, and the second is understood more deeply because the first provides a point of reference.

Rich, orthogonal vocabulary.

We specifically choose OCaml as an alternative language because of several properties of the language itself. The OCaml language provides native features for many of the topics that we would like to study: including lists and tree-like data structures, interfaces, and first-class computation. These features can be studied in isolation as there are few intricate interactions with the rest of the language.

Functional programming. OCaml is a functional programming language, which encourages the use of “persistent” (immutable) data structures. In contrast, every data structure in Java is mutable by default. Although CIS 1200 is not a functional programming course, we find that the study of persistent data structures is a useful introduction to programming. In particular, persistence leads to a simpler, more mathematical programming model. Programs can be thought of in terms of
“transformations” of data instead of “modifications,” leading to simpler, more explicit interfaces.

### 1.3 How the different parts of CIS 1200 fit together

**Homework assignments** provide the core learning experience for CIS 1200. Programming is a skill, one that is developed through practice. The homework assignments themselves include both “etudes”, which cover basic concepts directly and “applications” which develop those concepts in the context of a larger purpose. The homework assignments take time.

**Lectures** Lectures serve many roles: they **introduce**, **motivate** and **contextualize** concepts, they **demonstrate** code development, they **personalize** learning, and **moderate** the speed of information acquisition.

To augment your learning, we make lecture slides, demonstration code and lecture notes available on the course website. Given the availability of these resources, why come to class at all?

- To see code development in action. Many lectures include live demonstrations of code design, and only the resulting code is posted on the website. That means the thought process of code development is lost: your instructors will show some typical wrong turns, discuss various design trade-offs and demonstrate debugging strategies. Things will not always go according to plan, and observing what to do when this happens is also a valuable lesson.

- To interact with the new material as it is presented, by asking questions. Sometimes asking a question right at the beginning can save a lot of later confusion. Also to hear the questions that your classmates have about the new material. Sometimes it is difficult to realize that you don’t fully understand something until someone else raises a subtle point.

- To regulate the timing of information flow for difficult concepts. Sure, you can read the lecture notes in less than fifty minutes. However, sometimes slowing down, working through examples, and thinking deeply is required to internalize a topic. You may have more patience for this during lecture than while reading lecture notes on your own.

- For completeness. We cannot promise to include everything in the lectures in the lecture notes. Instructors are only human, with limited time to prepare lecture notes, particularly at the end of the semester.
Labs The labs (or “recitations”) provide a small-group setting for coding practice and individual attention from the course staff.

The lab grade comes primarily from lab participation. The reason is that the lab is there to get you to write code in a low-stress environment. In this environment, we use pair programming, teaming you up with your classmates to find the solutions to the lab problems together. The purpose of the teams is not to divide the work—in fact, we expect that in many cases it will take longer to complete the lab work using a team than by doing it yourself! The benefit of team work lies in discussing the entire exercise with your partner—often you will find that you and your partner have different ideas about how to solve the problem and find different aspects difficult.

Furthermore, labs are another avenue for coding practice, adding to the quantity of code that you write during the semester. The following parable illustrates the value of this:

The ceramics teacher announced he was dividing his class into two groups. All those on the left side of the studio would be graded solely on the quantity of work they produced, all those on the right graded solely on its quality.

His procedure was simple: on the final day of class he would weigh the work of the “quantity” group: 50 pounds of pots rated an A, 40 pounds a B, and so on. Those being graded on “quality”, however, needed to produce only one pot — albeit a perfect one — to get an A.

Well, come grading time and a curious fact emerged: the works of highest quality were all produced by the group being graded for quantity!

It seems that while the “quantity” group was busily churning out piles of work — and learning from their mistakes — the “quality” group had sat theorizing about perfection, and in the end had little more to show for their efforts than grandiose theories and a pile of dead clay.

David Bayles and Ted Orland, from “Art and Fear” [1].

Exams The exams provide the fundamental assessment of course concepts, including both knowledge and application. Some students have difficulty seeing how pencil-and-paper problems relate to writing computer programs. Indeed, when completing homework assignments, powerful tools such as IDEs, type checkers, compilers, top-levels, and online documentation are available. None of these may be used in exams. Rather, the purpose of exams is to assess both your understanding of these tools and, more importantly, the way you think about programming problems.
1.4 Course History

The CIS 120/1200 course material, including slides, lectures, exams, examples, homeworks and labs were all developed by faculty members at the University of Pennsylvania, including Steve Zdancewic, Benjamin Pierce, Stephanie Weirich, Swapneel Sheth, Fernando Pereira, and Mitch Marcus.

From Fall 2002 to Fall 2010, the course was taught primarily using the Java programming language, with excursions into Python. In Fall 2010, the course instructors radically revised the material in an experimental section, introducing the OCaml language as a precursor to Java. Since Spring 2011, the dual-language course has been used for all CIS 120 students. In some ways, the use of OCaml as an introductory language can be seen as CIS 120 “returning to its roots.” In the 1990s the course was taught only in functional languages: a mix of OCaml and Scheme. The last major revision of the course replaced these wholesale with Java. Joel Spolsky lamented this switch in a 2005 blog post entitled “The Perils of JavaSchools”, available at http://www.joelonsoftware.com/articles/ThePerilsofJavaSchools.html.

In the Fall of 2021, Penn changed course numbering schemes so that CIS 120 became CIS 1200. There are still legacy uses of the number “120” sprinkled throughout the course.

1.5 Program Design

Program design is the process of translating informal specifications (“word problems”) into running code. Learning how to design programs involves decomposing problems into a set of simpler steps.\(^1\)

The program design recipe comprises four steps:

1. **Understand the problem.** What are the relevant concepts in the informal description? How do the concepts relate to each other?

2. **Formalize the interface.** How should the program interact with its environment? What types of input does it require? Why type of output should it produce? What additional information does it need? What properties about its input may it assume? What is true about the result?

3. **Write test cases.** How does the program behave on typical inputs? On unusual inputs? On erroneous ones?

\(^1\)The material in this section is adapted from the excellent introductory textbook, *How to Design Programs* [3].
4. **Implement the required behavior.** Only after the first three steps have been addressed is it time to write code. Often, the implementation will require decomposing the problem into simpler ones and applying the design recipe again.

We will demonstrate this process by considering the following design problem:

Imagine an owner of a movie theater who wants to know how much he should charge for tickets. The more he charges, the fewer people can afford tickets. After some experiments, the owner has determined a precise relationship between the price of a ticket and average attendance. At a price of $5.00 per ticket, 120 people attend a performance. Decreasing the price by a dime ($0.10) increases attendance by 15. However, the increased attendance also comes at an increased cost: Each attendee costs another four cents ($0.04), on top of the fixed per-performance cost of $180. The owner would like to be able to calculate, for any given ticket price, exactly how much profit he will make.

We will develop a solution to this problem by following the design recipe in the context of the OCaml programming language. In the process, we’ll introduce OCaml by example. In the next chapter, we give a more systematic overview of its syntax and semantics.

**Step 1: Understand the problem.** In the scenario above, there are five relevant concepts: the ticket *price*, (number of) *attendees*, *revenue*, *cost* and *profit*. Among these entities, we can define several relationships.

From basic economics we know the basic relationships between profit, cost and revenue. In other words, we have

\[ \text{profit} = \text{revenue} - \text{cost} \]

and

\[ \text{revenue} = \text{price} \times \text{attendees} \]

Also, the scenario tells us how to compute the cost of a performance

\[ \text{cost} = 180 + \text{attendees} \times 0.04 \]

but does not directly specify how the ticket price determines the number of attendees. However, because revenue and cost (and profit, indirectly) depend on the number of attendees, they are also determined by the ticket price.

Our goal is to determine the precise relationship between ticket price and profit. In programming terms, we would like to define a *function* that, given the ticket price, calculates the expected profit.
Step 2: Formalize the Interface. Most of the relevant concepts—cost, ticket price, revenue and profit—are dollar amounts. That raises a design choice about how to represent money. Like most programming languages, OCaml can calculate with integer and floating point values, and both are attractive for this problem, as we need to represent fractional dollars. However, the binary representation of floating point values makes it a poor choice for money, since some numeric values—such as 0.1—cannot be represented exactly, leading to rounding errors. (This “feature” is not unique to OCaml—try calculating 0.1 + 0.1 + 0.1 in your favorite programming language.) So let’s represent money in cents and use integer arithmetic for calculations.

Our goal is to define a function that computes the profit given the ticket price, so let us begin by writing down a skeleton for this function—let’s call it profit—and noting that it takes a single input, called price. Note that the first line of this definition uses type annotations to enforce that the input and output of the function are both integers.²

```ocaml
let profit (price:int) : int = ...
```

Step 3: Write test cases. The next step is to write test cases. Writing test cases before writing any of the interesting code—the fundamental rule of test-driven program development—has several benefits. First, it ensures that you understand the problem—if you cannot determine the answer for one specific case, you will find it difficult to solve the more general problem. Thinking about tests also influences the code that you will write later. In particular, thinking about the behavior of the program on a range of inputs will help ensure that the implementation does the right thing for each of them. Finally having test cases around is a way of “futureproofing” your code. It allows you to make changes to the code later and automatically check that they have not broken the existing functionality.

In the situation at hand, the informal specification suggests a couple of specific test cases: when the ticket price is either $5.00 or $4.90 (and the number of attendees is accordingly either 120 or 135). We can use OCaml itself to help compute what the expected values of these test cases should be.

The OCaml let-expression gives a name to values that we compute, and we can use these values to compute others with the let-in expression form.

²OCaml will let you omit these type annotations, but including them is mandatory for CIS 1200. Using type annotations is good documentation; they also improve the error messages you get from the compiler. When you get a type error message, the first thing you should do is check that your type annotations correct.
**Step 4: Implement the behavior.** The last step is to complete the implementation. First, the profit that will be earned for a given ticket price is the revenue minus the number of attendees. Since both revenue and attendees vary with to ticket price, we can define these as functions too.

```ocaml
let revenue (price:int) : int = ...

let cost (price:int) : int = ...
```

---

3Note that single =, compares two values for equality in OCaml.
let profit (price:int) : int =
  (revenue price) - (cost price)

Next, we can fill these in, in terms of another function attendees that we will write in a minute.

let attendees (price:int) : int = ...
let revenue (price:int) : int =
  price * (attendees price)
let cost (price:int) : int =
  18000 + 4 * (attendees price)

For attendees, we can apply the design recipe again. We have the same concepts as before, and the interface for attendees is determined by the code above. Furthermore, we can define the test cases for attendees from the problem statement.

let test () : bool =
  (attendees 500) = 120
  ;; run_test "atts. at $5.00" test

let test () : bool =
  (attendees 490) = 135
  ;; run_test "atts. at $4.90" test

To finish implementing attendees, we make the assumption that there is a linear relationship between the ticket price and the number of attendees. We can graph this relationship by drawing a line given the two points specified by the test cases in the problem statement.
We can determine what the function should be with a little high-school algebra. The equation for a line

\[ y = mx + b \]

says that the number of attendees \( y \), is equal to the slope of the line \( m \), times the ticket price \( y \), plus some constant value \( b \). Furthermore, we can determine the slope of a line given two points:

\[ m = \frac{\text{difference in attendance}}{\text{difference in price}} = \frac{-15}{10} \]

Once we know the slope, we can determine the constant \( b \) by solving the equation for the line for \( b \) and plugging in the numbers from either test case. Therefore \( b = 120 - (-15/10) \times 500 = 870 \).

Putting these values together gives us a mathematical formula specifying attendees in terms of the ticket price.

\[ \text{attendees} = (-15/10) \times \text{price} + 870 \]

Translating that math into OCaml nearly completes the program design.

```ocaml
let attendees (price : int) : int =
   (-15 / 10) * price + 870
```
Unfortunately, this code is not quite correct (as suggested by the pink background). Fortunately, however, our tests detect the issue, failing when we try to run the program and giving us a chance to think a little more carefully:

Running: attendees at $5.00 ...
Test failed: attendees at $5.00

Running: attendees at $4.90 ...
Test failed: attendees at $4.90

Running: profit at $5.00 ...
Test failed: profit at $5.00

Running: profit at $4.90 ...
Test failed: profit at $4.90

The problem turns out to be our choice of integer arithmetic. Dividing the integer $-15$ by the integer $10$ produces the integer $-1$, rather than the exact answer $-1.5$. If, instead, we multiply by the price before dividing we retain the precision needed for the problem.

```ml
let attendees (price : int) : int =
  (-15 * price) / 10 + 870
```

Running: attendees at $5.00 ... Test passed!
Running: attendees at $4.90 ... Test passed!
Running: profit at $5.00 ... Test passed!
Running: profit at $4.90 ... Test passed!

**Testing** Of course, for such a simple problem, this four-step design methodology may seem like overkill, but even for this small example, the benefits of testing can be seen, as in the arithmetic error shown above.

As another example, suppose that we later decide that our `cost` function should really be parameterized by the number of attendees, not the ticket price (which shouldn’t really affect the cost). It is simple to update the `cost` function to reflect this change in design, like so:

```ml
let cost (atts: int) : int =
  18000 + 4 * atts
```

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Running the test cases gives us the following output, which shows that now some of our tests are failing:

Running: attendees at $5.00 ... Test passed!
Running: attendees at $4.90 ... Test passed!
Running: profit at $5.00 ... Test failed: profit at $5.00
Running: profit at $4.90 ...
Test failed: profit at $4.90

The problem, of course, is that we must also adjust the use of \texttt{cost} in \texttt{profit} to reflect that it expects the number of attendees:

\begin{verbatim}
let profit (price:int) : int =
    (revenue price) - (cost (attendees price))
\end{verbatim}

During the course, we’ll use it to attack much larger and more complex design problems, where its benefits will be clearer.

\textbf{Bad Design} Finally, note that there are other ways to implement \texttt{profit} that return the correct answer and pass all of the tests, but that are inferior to the one we wrote. For example, we could have written:

\begin{verbatim}
let profit (price:int) : int =
    price * (-15 * price / 10 + 870) -
    (18000 + 4 * (-15 * price / 10 + 870))
\end{verbatim}

However, this program hides the structure and concepts of the problem. It duplicates sub-computations that could be shared, and it does not record the thought process behind the calculation.
Chapter 2

Introductory OCaml

2.1 OCaml in CIS 1200

OCaml is a rich and expressive programming language, but, for the purposes of CIS 1200, we need only a very minimal subset of its features. Moreover, we use OCaml in a very stylized way that is designed to make using it as simple as possible and reduce the kinds of errors that students might encounter while writing their first programs.

These notes summarize the OCaml features that are needed in the first few homework assignments for CIS 1200. As the course progresses, we will explain more concepts and the associated syntax and semantics as needed.

Note: Our intention is that these notes should be self contained: It should not be necessary to use any OCaml features not described here when completing the CIS 1200 homework projects. If we’ve missed something, or if you find any of the explanations confusing, please post a question to the class discussion web site.

2.2 Primitive Types and Expressions

In programming, a type describes the structure of some form of data and specifies a collection of operations for manipulating and computing with data of this form.

OCaml, like any programming language, supports various primitive data types like integers, booleans, and strings, all of which are built into the language. Each of these primitive data types supports some specific operations; there are also a few generic operations that work on data of any type. Figure 2.1 gives a summary of a few basic OCaml types, some example constants of those types, and some of their operations.
Integers: int... -2, -1, 0, 1, 2,... constants
1 + 2 addition
1 - 2 subtraction
2 * 3 multiplication
10 / 3 integer division
10 mod 3 modulus (remainder)
string_of_int 3 convert int 3 to string "3"

Booleans: bool true, false constants
not true logical negation
true && false and (conjunction)
true || false or (disjunction)

Strings: string "hello", "CIS 120", ...
"\n" newline
"hello"^" world\n" concatenation (carat)

Generic comparisons (producing a bool):
=
equality
<> inequality
< less-than
<= less-than-or-equals
> greater-than
>= greater-than-or-equals

Figure 2.1: OCaml primitive data types and some operations on them.
Given these operations and constants, we can build more complex expressions, which are the basic unit of OCaml programs. For example, here are some simple expressions:

\[
\begin{align*}
3 + 5 \\
2 \times (5 + 10) \\
"hello" \ ^\ "world\\n" \\
false \ && (true \ || \ false) \\
not ((string_of_int 42) = "forty two")
\end{align*}
\]

Parentheses are used to group expressions according to the usual laws of precedence. Note that different groupings may have different meanings (just as in math):

\[
\begin{align*}
3 + (2 \times 7) \ &<> \ (3 + 2) \times 7
\end{align*}
\]

### 2.3 Value-oriented programming

One of the goals of this course is to give you ways of thinking about how computer programs work—such an ability is crucial when you’re trying to understand what a program is going to do when you run it. Without being able to predict a program’s behavior, it is hard, if not impossible, to code up some desired functionality or (even worse) to understand someone else’s code.

For that reason, this course will spend a significant amount of time developing different models of computation: ways of thinking about how a program executes that can aid you in predicting its behavior. Eventually, we will grow these models of computation to encompass the most complicated features of object-oriented programming in Java, but to get there, we will begin much more humbly, with value-oriented programming.

Intuitively, the idea of value-oriented programming is that the way we run an OCaml expression is to calculate it to a value, which is just the result of a computation. All of the constants of the primitive data types mentioned above (like 3, "hello", true, etc.) are values, and we will see more kinds of values later. Importantly, the value-oriented programming we do in OCaml is pure—the only thing that an expression can do is compute to a value. This means that other kinds
of programs, for instance ones that print to a terminal, display some graphics, or otherwise have some kind of effects on the world fall outside the realm of OCaml’s value-oriented programming. It may seem limiting, at first, to restrict ourselves to such “simple” programs, but, as we will see, pure programs are quite expressive. Not only that, they are also particularly easy to reason about.

Value-oriented programming is already familiar to you from doing arithmetic calculations from math classes, where you “simplify” the expression \(1 + 2\) to be 3. As we will see, OCaml generalizes that idea of simplification to more structured kinds of data, but the underlying idea is the same: replace more complex expressions by simpler ones.

To make the idea of a programming model more concrete, we first introduce some notation that let us talk about how an OCaml expression reaches an answer. We write \(\langle \text{exp} \rangle \Rightarrow \langle \text{val} \rangle\) to mean that the expression \(\langle \text{exp} \rangle\) computes to the answer value \(\langle \text{val} \rangle\), a process called *evaluation*.

For example:

\[
\begin{align*}
17 & \Rightarrow 17 \\
2 + 3 & \Rightarrow 5 \\
2 + (5 \times 3) & \Rightarrow 17 \\
"answer is \"^\langle\text{string_of_int \ 42}\rangle & \Rightarrow "answer is 42" \\
true \ || \ false & \Rightarrow true \\
17 + \"hello\" & \not\Rightarrow \text{this doesn’t compute!}
\end{align*}
\]

The value of an expression is computed by calculating. For values, there is no more calculation left to do—they are done. For expressions built out of operations, we first calculate the values of the subexpressions and then apply the operation to those results.

Importantly, for value-oriented programs, this idea of computation by evaluation scales to arbitrarily complicated expressions. For instance, we can describe the behavior of a call to the profit function (from last chapter) like this:

\[
\text{profit } 500 \Rightarrow 41520
\]

This notion of evaluation captures the “end-to-end” behavior of an OCaml expression—it says how to compute a final answer starting from a (potentially quite complex) starting expression.

Of course the hardware of a “real computer” doesn’t compute expressions like \text{profit } 500 all in one big step, as the notation \(\Rightarrow\) suggests. Internally the processor performs many, many tiny steps of calculation to arrive at the final answer, which in this case is 41520. The details of exactly how that works for a programming language like OCaml (or Java) are beyond the scope of this class. When we write \text{profit } 500 \Rightarrow 41520 we are giving an abstract model of how the program computes; the abstraction hides most of the details.

Nevertheless, it will sometimes be useful to think about smaller steps of com-
putation performed by the program, so that we can imagine how the computer will arrive at a simple answer value like 41520 starting from a complex expression like profit 500. We will distinguish the “large step” evaluation indicated by ’⇒’ from this new “small step” evaluation by writing the latter using the notation ’→’. The difference is that the → arrow will let us talk about the intermediate stages of a computation. For example:

\((2 + 3) \cdot (5 - 2)\)

\(\rightarrow 5 \cdot (5 - 2)\) \hspace{1cm} \text{because } 2 + 3 \rightarrow 5

\(\rightarrow 5 \cdot 3\) \hspace{1cm} \text{because } 5 - 2 \rightarrow 3

\(\rightarrow 15\)

As indicated in the example above, for the purposes of this course, we will assume that the operations on the primitive types int, string, and bool do the “expected thing” in one step of calculation. (Though in reality, even this hides many details about what’s going on in the hardware.)

The ⇒ and → descriptions of evaluation should agree with one another in the sense that a large step is just the end result of performing some number of smalls steps, one after the other. The example above shows how we can justify writing \((2 + 3) \cdot (5 - 2) \rightarrow 15\) because the expression \((2 + 3) \cdot (5 - 2)\) simplifies to 15 after several → steps.

Here is another example, this time using boolean values:

\(\text{true} \; || \; (\text{false} \; || \; \text{not true})\)

\(\rightarrow \text{true} \; || \; (\text{false} \; || \; \text{false})\) \hspace{1cm} \text{because } \text{not true} \rightarrow \text{false}

\(\rightarrow \text{true} \; || \; \text{false}\) \hspace{1cm} \text{because } \text{false} \; || \; \text{false} \rightarrow \text{false}

\(\rightarrow \text{true}\) \hspace{1cm} \text{because } \text{true} \; || \; \text{false} \rightarrow \text{true}

**if-then-else**

OCaml’s if-then-else construct provides a useful way to choose between two different result values based on a boolean condition. Importantly, OCaml’s if is itself an expression,¹ which means that parentheses can be used to group them just like any other expression. Here are some simple examples of conditional expressions:

```ocaml
if true then 3 else 4
(if 3 > 4 then 100 else 0) + 17
```

Because OCaml is value oriented, the way to think about if is that it chooses one of two expression to evaluate. We run an if expression by first running the

¹It behaves like the ternary ?:: expression form found in languages in the C family, including Java.
boolean test expression (which must evaluate to either `true` or `false`). The value computed by the whole `if-then-else` is then either the value of the `then` branch or the value of the `else` branch, depending on whether the test was `true` or `false`.

For example, we have:

\[
\begin{align*}
(\text{if } 3 > 4 \text{ then } 5 + 1 \text{ else } 6 + 2) + 17 \\
\rightarrow (\text{if } \text{false} \text{ then } 5 + 1 \text{ else } 6 + 2) + 17 \\
\rightarrow (6 + 2) + 17 \quad \text{because the test was false} \\
\rightarrow 8 + 17 \\
\rightarrow 25
\end{align*}
\]

**Note:** Unlike C and Java, in which `if` is a statement form rather than an expression form, it does not make sense in OCaml to leave off the `else` clause of an `if` expression. (What would such an expression evaluate to in the case that the test was `false`?) Moreover, since either of the expressions in the branches of the `if` might be selected, they must both be of the same type.

Here are some erroneous uses of `if`:

```ocaml
if true then 3 (* BAD: no else clause *)
if false then 3 else "hello" (* BAD: branch types differ *)
```

Note that because `if-then-else` is an expression form, multiple `if-then-else`s can be nested together to create a “cascading” conditional:

```ocaml
if 3 > 4 then "abc"
else if 5 > 4 then "def"
else if 7 > 6 then "ghi"
else "klm"
```

This expression evaluates to "def".

### 2.4 let declarations

A complete OCaml program consists of a sequence of top-level `declarations` and `commands`. Declarations define constants, functions, and expressions that make up the pure, value-oriented part of the language; commands (described in §2.9) are used to generate output and test the behavior of those functions.

Constant declarations use the `let` keyword to `name` the result of an expression.
The `let` keyword names an expression. `let`-bound identifiers cannot be assigned to!

```ocaml
let x = 3
```

This declaration *binds* the identifier `x` to the number 3. The name `x` is then available for use in the rest of the program. Informally, we sometimes call these identifiers “variables,” but this usage is a bit confusing because, in languages like Java and C, a variable is something that can be modified over the course of a program. In OCaml, like in mathematics, once a variable’s value is determined, it can never be modified. As a reminder of this difference, for the purposes of OCaml we’ll try to use the word “identifier” when talking about the name bound by a `let`.

A slightly more complex example is:

```ocaml
let y = 3 + 5 * 2
```

When this program is run, the identifier `y` will be bound to the result of evaluating the expression `3 + 5 * 2`. Since `3 + 5 * 2 \Rightarrow 13` we have:

```ocaml
let y = 3 + 5 * 2 \Rightarrow let y = 13
```

The general form of a `let` declaration is:

```ocaml
let ⟨id⟩ = ⟨exp⟩
```

If desired, `let` declarations can also be annotated with the type of the expression. This type annotation provides documentation about the identifier, but can be inferred by the compiler if it is absent.

```ocaml
let ⟨id⟩ : ⟨type⟩ = ⟨exp⟩
```

To run a sequence of `let` declarations, you evaluate the first expression and then *substitute* the resulting value for the identifier in the subsequent declarations. Substitution just means to replace the occurrences of the identifier with the value. For example, consider:

```ocaml
let x = 3 + 2
let y = x + x
let z = x + y + 4
```

We first calculate `3 + 2 \Rightarrow 5` and then substitute 5 for `x` in the rest of the program:
```
let x = 5
let y = 5 + 5          (* replaced x + x *)
let z = 5 + y + 4      (* replaced x *)
```

We then proceed with evaluating the next declaration \((5 + 5 \rightarrow 10)\) so we have:

```
let x = 5
let y = 10
let z = 5 + 10 + 4     (* replaced y *)
```

And finally, \(5 + 10 + 4 \rightarrow 19\), which leads to the final “fully simplified” program:

```
let x = 5
let y = 10
let z = 19
```

**Shadowing**

What happens if we have two declarations binding the same identifier, as in the following example?

```
let x = 5
let x = 17
```

The right way to think about this is that there are unrelated declarations for *two* identifiers that both happened to be called \(x\). The first *let* gives the expression 5 the name \(x\). The second *let* gives the expression 17 the *same* name \(x\). It never makes sense to substitute an expression for the name being declared in a *let*. To see why, consider what would happen if we tried to “simplify” the program above by replacing the second occurrence of \(x\) by 5:

```
let x = 5
let 5 = 17          (* bogus -- shouldn’t replace the name x by 5 *)
```

The substitution doesn’t make any sense the value 5 is not an identifier, so it cannot make sense to say that we name the value 17 “5”. (Nor would it make sense to
“name” the value 17 by any other value.) We say that $x$ is bound by a let, and we do not substitute for such binding occurrences.

Now consider how to evaluate this example:

```
let x = 5
let y = x + 1
let x = 17
let z = x + 1
```

The occurrence of $x$ in the definition of $z$ refers to the one bound to 17. In OCaml identifiers refer to the nearest enclosing declaration. In this example the second occurrence of the identifier $x$ is said to shadow the first occurrence—subsequent uses of $x$ will find the second binding, not the first. So the values computed by running this sequence of declarations is:

```
let x = 5
let y = 6  (* used the x on the line above *)
let x = 17
let z = 18  (* used the x on the line above *)
```

Since identifiers are just names for expressions, we can make the fact that the two $x$‘s are independent apparent by consistently renaming the latter one, for example:

```
let x = 5
let y = x + 1
let x2 = 17
let z = x2 + 1
```

Then there is no possibility of ambiguity.

**Note:** Identifiers in OCaml are not like variables in C or Java. In particular, once a value has been bound to an identifier using let, the association between the name and the value never changes. There is no possibility of changing a variable once it is bound, although, as we saw above, one can introduce a new identifier whose definition shadows the old one.

### 2.5 Local let declarations

So far we have seen that let can be used to introduce a top-level binding for an identifier. In OCaml, we can use let as an expression by following it with the in keyword. Consider this simple example:
Let $x = 3$ in $x + 1$

Unlike the top-level `let` declarations we saw above, this is a local declaration. To run it, we first see that $3 \rightarrow 3$ and then we substitute 3 for $x$ in the expression following the `in` keyword. Since this is a local use of $x$, we don’t keep around the `let`. Thus we have:

```
let x = 3 in x + 1 \rightarrow 4
```

More generally, the syntax for local lets is:

```
let ⟨id⟩ : ⟨type⟩ = ⟨exp⟩ in ⟨exp⟩
```

Here, the identifier bound by the `let` is in available only in the expression after the `in` keyword—when we run the whole thing, we substitute for the identifier only there (and not elsewhere in the program). The identifier $x$ is said to be in scope in the expression after `in`.

Since the `let-in` form is itself an expression, it can appear anywhere an expression is expected. In particular, we can write sequences of `let-in` expressions, where what follows the `in` of one `let` is itself another `let`:

```
let price = 500 in
let attendees = 120 in
let revenue = price * attendees in
let cost = 18000 + 4 * attendees in
revenue - cost
```

Also, the expression on the right-hand side of a top-level `let` declaration can itself be a `let-in`:

```
(* this is a top level let - it has no 'in' *)
let profit =
  let price = 500 in (* these lets are local *)
  let attendees = 120 in
  let revenue = price * attendees in
  let cost = 18000 + 4 * attendees in
revenue - cost
```

We follow the usual rules for computing the answer for this program: evaluate the right-hand-side of each `let` binding to a value and substitute it in its scope. This yields the following sequence of steps:
let profit =
  let attendees = 120 in
  let revenue = 500 * attendees in (* substituted price *)
  let cost = 18000 + 4 * attendees in
  revenue - cost

7→

let profit =
  let revenue = 500 * 120 in (* substituted attendees *)
  let cost = 18000 + 4 * 120 in (* substituted attendees *)
  revenue - cost

7→

let profit =
  let cost = 18000 + 4 * 120 in
  60000 - cost (* substituted revenue *)

7→

let profit =
  60000 - 18480 (* substituted cost *)

7→

let profit = 41520 (* done! *)

Non-trivial scopes

It may seem like there is not much difference between redeclaring a variable via shadowing and the kind of assignment that updates the contents of a variable in a language like Java or C. The real difference becomes apparent when you use local let declarations to create non-trivial scoping for the shadowed identifiers.

Here’s a simple example:
Because identifiers refer the their nearest enclosing let binding, this program will calculate to a value like this:

\[
\begin{align*}
&\text{let } x = 1 \text{ in } x + (\text{let } x = 20 \text{ in } x + x) + x \\
\rightarrow &\ 1 + (\text{let } x = 20 \text{ in } x + x) + 1 \\
\rightarrow &\ 1 + (20 + 20) + 1 \\
\rightarrow &\ 1 + 40 + 1 \\
\rightarrow &\ 41 + 1 \\
\rightarrow &\ 42
\end{align*}
\]

Note that in the first step, we substitute 1 for the outer \( x \) in its scope, which doesn’t include those occurrences of \( x \) that are shadowed by the inner let.

Local let definitions are particularly useful when used in combination with functions, as we’ll see next.

### 2.6 Function Declarations

So far we have seen how to use let to name the results of intermediate computations. The let declarations we’ve seen so far introduce an identifier that stands for one particular expression. To do more, we need to be able to define functions, which you can think of as parameterized expressions. Functions are useful for sharing computations in related calculations.

In mathematical notation, you might write a function using notation like:

\[ f(x) = x + 1 \]

In OCaml, top-level function declarations are introduced using let notation, just as we saw above. The difference is that function identifiers take parameters. The function above is written in OCaml like this:

```ocaml
let f (x:int) : int = x + 1
```

Here, \( f \) is an identifier that names the function and \( x \) is the identifier for the function’s input parameter. The notation \((x:int)\) indicates that this input is supposed to be an integer. The subsequent type annotation indicates that \( f \) produces an integer value as its result.
Functions can have more than one parameter, for example here is a function that adds its two inputs:

```ocaml
let sum (x:int) (y:int) :int = x + y
```

**Note:** Unlike Java or C, each argument to a function in OCaml is written in its own set of parentheses. In OCaml you write this

```ocaml
let f (x:int) (y:int) : int = ...  (* BAD *)
```

rather than this:

```ocaml
let f (x:int, y:int) : int = ...  (* BAD *)
```

In general, the form of a top level function declaration is:

```
let ⟨id⟩ (⟨id⟩:(type)) . . . (⟨id⟩:(type)) : ⟨type⟩ = ⟨exp⟩
```

**Calling functions**

To call a function in OCaml, you simply write it next to its arguments—this is called *function application*. For example, given the function `f` declared above, we can write the following expressions:

```
f 3
(f 4) + 17
(f 5) + (f 6)
f (5 + 6)
f (f (5 + 6))
```

As before, we use parentheses to group together a function with its arguments in case there is ambiguity about what order to do the calculations.

To run an expression given by a function call, you first run each of its arguments to obtain values and then calculate the value of the function’s body after substituting the arguments for the function parameters. For example:
\[
f\ (5 + 6) \\
\quad\rightarrow\quad f\ 11 \\
\quad\rightarrow\quad 11 + 1 \quad \text{substitute 11 for } x \text{ in } x + 1 \text{ (the body of } f) \\
\quad\rightarrow\quad 12
\]

Similarly we have:
\[
\text{sum}\ (f\ 3)\ (5 + 2) \\
\quad\rightarrow\quad \text{sum}\ (3 + 1)\ (5 + 2) \quad \text{substitute 3 for } x \text{ in } x + 1 \\
\quad\rightarrow\quad \text{sum}\ 4\ (5 + 2) \\
\quad\rightarrow\quad \text{sum}\ 4\ 7 \\
\quad\rightarrow\quad 4 + 7 \quad \text{substitute 4 for } x \text{ and 7 for } y \text{ in } x + y \\
\quad\rightarrow\quad 11
\]

**Functions and scoping**

Function bodies can of course refer to any identifiers in scope, including constants...

```ocaml
let one = 1

let increment (x:int) : int =
  x + one
```

... and other functions that have been defined earlier:

```ocaml
let double (x:int) : int =
  x + x

let quadruple (x:int) : int =
  double (double x) \(* \text{ uses double } *)
```

Given the above declarations, we can calculate as follows:
\[
\text{quadruple}\ 2 \\
\quad\rightarrow\quad \text{double}\ (\text{double}\ 2) \quad \text{substitute 2 for } x \text{ in the body of } \text{quadruple} \\
\quad\rightarrow\quad \text{double}\ (2 + 2) \quad \text{substitute 2 for } x \text{ in the body of } \text{double} \\
\quad\rightarrow\quad \text{double}\ 4 \\
\quad\rightarrow\quad 4 + 4 \quad \text{substitute 4 for } x \text{ in the body of } \text{double} \\
\quad\rightarrow\quad 8
\]

Local `let` declarations are particularly useful inside of function bodies, allowing us to name the intermediate steps of a computation. For example:
2.7 Types

OCaml (like Java but unlike, for example C) is a strongly typed programming language. This means that the world of OCaml expressions is divided up into different types with strict rules about how they can be combined. We have already seen the primitive types int, string, and bool, and we will see many other types throughout the course.

Clearly, an integer like 3 has type int. We express this fact by writing “3 : int”, or, more generally (exp : type). We have already seen this notation in use in let declarations and in function parameters, where (x : int) means that x is a parameter of type int.

In a well-formed OCaml program, every expression has a type. Moreover, this type can be determined “compositionally” from the operations used in the expression. An expression is well-typed if it has at least one type. Here are some examples of well-typed expressions and their types:

```
3 : int
3 + 17 : int
"hello" : string
string_of_int 3 : string
if 3 > 4 then "hello" else "goodbye" : string
```

Before you run your OCaml program, the compiler will typecheck your program for you. This process makes sure that your use of expressions in the program is consistent, which rules out many common errors that programmers make as they write their programs.

For example, the expression 3 + "hello" is ill typed and will cause the OCaml compiler to complain that "hello" has type string but was expected to have type int. Such error checking is good, because there is no sensible way for this program to compute to a value—OCaml’s type checking rules out mistakes of this form. It is better to reject this program while it is still under development than to allow it to be distributed to end users, where such mistakes can cause serious reliability problems.

All of the built in operators like +, *, &&, etc. have types as you would expect. The arithmetic operators take and produce int’s; the logical operators take
and produce bool’s. The comparison operators = and <> take two arguments of any type (they must both be of the same type) and return a bool. This means that, \(3 = "hello"\) will produce an error message, for example, while \(3 = 4\) and "hello" <> "goodbye" are both well typed.

The type annotations on user-defined functions tell you about the types of their inputs and result. For example, the function quadruple declared above expects an int input and produces an int output. We abbreviate this using the notation int -> int, the type of “functions that take one int as input and produce an int as output.”

```ocaml
quadruple : int -> int
```

Because double also expects an int and produces an int, it also has the type int -> int.

On the other hand, the function sum_of_squares takes three arguments (each of type int) and produces an int. Its type is written as follows:

```ocaml
sum_of_squares : int -> int -> int -> int
```

Each of the functions in OCaml’s libraries has a type, and these types can often give a strong hint about the behavior of the function. One example that we have seen so far is string_of_int, which has the type int -> string.

### Common typechecking errors

OCaml’s type checker uses these function types to make sure that your program is consistent. For example, the expression double "hello" is ill-typed because double expects an int but the argument "hello" has type string. If you try to compile a program that contains such an ill-typed expression, the compiler will give you an error and point you to the offending expression of the program.

Another common error in OCaml programming is to omit one or more of the arguments to a function. Suppose you meant to increment a sum of squares \(2^2 + 3^2 + 4^2\) by 1, and you wrote the expression below, accidentally leaving off the third argument:

```ocaml
(some_of_squares 2 3) + 1
```

In this case, OCaml will complain that the expression on the left of the + should be of type int but instead has type int -> int. That is because you have supplied
two out of the three arguments to `sum_of_squares`; the resulting expression is still a function of the third parameter, that is, if you give the missing argument 4, the resulting expression will have the expected type `int`. The OCaml error messages take some getting used to, but they can be very informative.

Conversely, another frequent mistake is to provide too many arguments to a function. For example, suppose you meant to perform the calculation described above, but accidentally left out the `+` operator. In that case, you have:

```
(some_function 2 3 4) 1 (* extra argument, missing + *)
```

OCaml interprets this as trying to pass an extra argument, but since the expression in parentheses isn’t a function, the compiler will complain that you have tried to apply an expression that isn’t of function type.

### 2.8 Failwith

OCaml provides a special expression, written `failwith "error string"`, that, when run, instead of calculating a value, immediately terminates the program execution and prints the associated error message. Such `failwith` expressions can appear anywhere that an expression can (but don’t forget the error message string!).

Why is this useful? When developing a program it is often helpful to “stub out” unimplemented parts of the program that have yet to be filled in. For example, suppose you know that you want to write two functions f and g and that g calls f. You might want to develop g first, and then go back to work on f later. `failwith` can be used as a placeholder for the unimplemented (parts of) f, as shown here:

```ocaml
let f (x:int) : int =  
  if (x < 0)  
    then (failwith "case x= 0 unimplemented")  
    else x * 17 - 3

let g (y:int) : int =  
f (y * 10)
```

In CIS 1200, the homework assignments use `failwith` to indicate which parts of the program should be completed by you. Don’t forget to remove the `failwith`s from the program as you complete the assignment.

Note that using `failwith` at the top level is allowed, but will cause your program to terminate early, potentially without executing later parts of the code.
let x : int = failwith "some error message"
let y : int = x + x (* This code is never reached *)

### 2.9 Commands

So far, we have seen how to use top-level declarations to write programs and functions that can perform calculations, but we haven’t yet seen how to generate output or otherwise interact with the world outside of the OCaml program. OCaml programs can, of course, do I/O, graphics, write to files, and communicate over the network, but for the time being we will stick with three simple ways of interacting with the external world: printing to the screen, importing other OCaml modules and libraries, and running program test cases.

We call these actions **commands**. Commands differ from expressions or top-level declarations in that they don’t calculate any useful value. Instead, they have some **side effect** on the state of the world. For example, the `print_string` command causes a string to be displayed on the terminal, but doesn’t yield a value. Note that, because commands don’t calculate to any useful value, it doesn’t make sense for them to appear within an expression of the program.

Commands (for now) may appear only at the top level of your OCaml programs. Syntactically, commands look like function call expressions, but we prefix them with `;;` to distinguish them from other function calls that yield values. This notation emphasizes the fact that commands don’t do anything except interact with the external world.

#### Displaying Output

The simplest command is `print_string`, which causes its argument (which should have type `string`) to be printed on the terminal:

```ocaml
;; print_string "Hello, world!"
```

If you want your printed output to look nice, you probably want to include an “end-of-line” character, written `"\n"`, so that subsequent output begins on the next line.
OCaml also provides a command called `print_endline` that is just like `print_string` except it automatically supplies the "\n" at the end:

```ocaml
;; print_endline "Hello, world!"
```

There is also a command called `print_int`, which prints integers to the terminal:

```ocaml
;; print_int (3 + 17) (* prints "20" *)
```

The arguments to commands can be expressions whose values depend on other identifiers that are in scope, which lets you print out the results of calculations:

```ocaml
let volume (x:int) (y:int) (z:int) : int =
  x * y * z
let side : int = 17
;; print_int (volume side side side) (* prints "4913" *)
```

The function `string_of_int` and the string concatenation operator `^` are often useful when constructing messages to print. We might rewrite the example above to be more informative:

```ocaml
let volume (x:int) (y:int) (z:int) : int =
  x * y * z
let side : int = 17
let message : string = "The volume is: " ^
  (string_of_int (volume side side side))
;; print_endline message
Importing Modules: the Assert library

OCaml provides several libraries, and programmers can develop their own libraries of code. The command \texttt{open} takes a (capitalized) module name as an argument and imports the functions of that module so that they can be used in the subsequent program.

For the time being, the only external module we need to worry about is the one that provides the testing infrastructure for CIS 1200 projects. This module is called \texttt{Assert}, and one of the commands it provides is the \texttt{run_test} command described next.

All of our homework projects and labs already include the following line, which ensures that \texttt{run_test} is available:

\begin{verbatim}
(* Import the CIS 1200 testing infrastructure library *)
;; open Assert
\end{verbatim}

The \texttt{run_test} Command

The last command needed for the homework assignments (at least for now), is \texttt{run_test}, which, as described above is provided by the \texttt{Assert} library.

The \texttt{run_test} command takes two arguments: (1) a \texttt{string} that serves as a label for the test and is used when printing the results of the test, and (2) a function identifier that names the test to be run.

Here is an example use of \texttt{run_test}:

\begin{verbatim}
let test () : bool =
  (1 + 2 + 3) = 7
;; run_test "1 + 2 + 3" test
\end{verbatim}

The \texttt{test} function declared just above \texttt{run_test} takes \texttt{no} arguments, as indicated by the \texttt{()} parameter, and returns a \texttt{bool} result. A test succeeds if it returns the value \texttt{true} and fails otherwise (note that a test might fail by calling \texttt{failwith}, in which case no answer is actually returned).

The effect of the \texttt{run_test} command is to execute the \texttt{test} function and, if the test fails, print an error message to the terminal that indicates which test failed. In the example above, it is easy to see that this test fails, since \texttt{1 + 2 + 3 \Rightarrow 6}, which is not equal to \texttt{7}.

To run multiple tests in one program, we simply use shadowing so that we can re-use the identifier \texttt{test} for all the test functions. Here’s an example:
2.10 A complete example

Putting it all together, we can implement a program that solves the simple design problem posed in lecture.

;; open Assert

(* Representing money as an int of pennies *)

(* A simple test case *)
let profit_five_dollars : int =
    let price = 500 in
    let attendees = 120 in
    let revenue = price * attendees in
    let cost = 18000 + 4 * attendees in
    revenue - cost

(* Generate output useful for debugging, understanding *)
;; print_endline ("profit $5.00 = " ^
    (string_of_int profit_five_dollars))

(* Corrected version *)
let attendees (ticket_price : int) : int =
    (-15 * ticket_price) / 10 + 870

(* Tests for attendees, generated from the problem description *)
let test () : bool =
    (attendees 500) = 120
    ;; run_test "attendees at $5.00" test

let test () : bool =
 Introductory OCaml

(attendees 490) = 135
;; run_test "attendees @ $4.90" test

let cost (ticket_price : int) : int =
  18000 + (attendees ticket_price) * 4

let revenue (ticket_price : int) =
  (attendees ticket_price) * ticket_price

let profit (ticket_price : int) : int =
  (revenue ticket_price) - (cost ticket_price)

(* Written first, with profit above a stub *)
let test () : bool =
  (profit 500) = profit_five_dollars

;; run_test "profit at $5.00" test

2.11 Notes

Parts of this Chapter were adapted from lecture notes by Dan Licata written for CMU’s course 15-150 Fall 2011, Lecture 2.
Chapter 3
Lists and Recursion

So far we have seen how to create OCaml programs that compute with *atomic* or *primitive* values—integers, strings, and booleans. A few real world problems can be solved with this just these abstractions, but most problems require computing with collections of data—sets, lists, tables, or databases.

In this chapter, we’ll study one of the simplest forms of collections: *lists*, which are just ordered sequences of data values. Many of you will have seen list data structures from your previous experience with programming. OCaml’s approach to list processing emphasizes that computing with lists closely follows the *structure* of the datatype. This will be a recurring theme throughout the course: the structure of the data tells you how you should compute with it.

### 3.1 Lists

What is a list? It’s just a sequence of zero or more values. That is, a list is either

- `[]` the *empty* list, sometimes called *nil*, or
- `v::tail` a value `v` followed by `tail`, a list of the remaining elements.

There is no other way of creating a list: all lists have one of these two forms. The double-colon operator `::` *constructs* a non-empty list—it takes as inputs the head of the new list, `v`, and a (previously constructed) list, `tail`. This operator is sometimes pronounced “cons” (short for “constructor”). Note that `::` is just a binary operator like `+` or `^`, but, unlike those, it happens to take arguments of two different types—its left argument is an element and its right argument is a *list* of elements.

Here are some examples of lists built from `[]` and `::`:

```
[]
3::[]
1::2::3::[]
```
Lists and Recursion

```
true::false::true::[]
"do"::"re"::"mi"::"fa"::"so"::"la"::"ti"::[]
```

The examples above can also be written more explicitly using parentheses to show how :: associates. For example, we can equivalently write `1::(2::(3::[]))` instead of `1::2::3::[]`. We usually leave out these parentheses because they aren’t needed: the OCaml compiler fills them in automatically. Note that if you were to write `(1::2)::3::[]` you will get a type error—`2` by itself isn’t a list.

You can, however have lists of lists—i.e., the elements of the outer list can themselves be lists:

```
(1::2::[])::(3::4::[])::[]
```

Writing out long lists using :: over and over can get a little tedious, so OCaml provides some syntactic sugar to make things shorter. You can write a list of values by enclosing the elements in [ and ] brackets and separating them with semicolons. Rewriting some of the examples we have seen so far using this more convenient notation, we have:

\[
3::[] = [3] \\
1::2::3::[] = [1;2;3] \\
true::false::true::[] = [true;false;true] \\
(1::2::[])::(3::4::[])::[] = [[1;2];[3;4]]
\]

Calculating With Lists

As with the primitive operators discussed in §2, the arguments to :: can themselves be complex expressions. To simplify such an expression, we calculate the head element down to a value and then calculate the tail list down to a value. A list is a value just when all of its elements are values.

For example, we might calculate like this:

\[
(1+2)::((2+3)::[])
\]

\[
\rightarrow\ 3::(2+3)::[] \quad \text{because } 1+2\rightarrow 3
\]

\[
\rightarrow\ 3::5::[] \quad \text{because } 2+3\rightarrow 5
\]

And then we’re done because the entire list consists of values. Equivalently, we could have used the more compact notation:

\[
[[1+2];[2+3]]
\]

\[
\rightarrow\ [3;(2+3)] \quad \text{because } 1+2\rightarrow 3
\]

\[
\rightarrow\ [3;5] \quad \text{because } 2+3\rightarrow 5
\]
Lists and Recursion

All of the rules for calculation that we’ve already seen carry through here as well. We can use let to bind list expressions and name intermediate computations, and we use substitution just as before:

```
let square (x:int) : int = x * x
let l : int list = [square 1; square 2; square 3]
let k : int list = 0::l
```

⇒

```
let square (x:int) : int = x * x
let l : int list = [1;4;9]
let k : int list = [0;1;4;9]
```

List types

The example just above uses the type annotation \( l : \text{int list} \) to indicate that \( l \) is a list of int values. Similarly, we can have a list of strings whose type is string list or a list of bool lists, whose type is (bool list) list. All of the elements of a list must be of the same type: OCaml supports only “homogeneous” lists. If you try to create a list of mixed element types, such as \( 3::"hello"::[] \), you will get a type error. While this may seem limiting, it is actually quite useful; knowing that you have a list of ints, for example, means that you can perform arithmetic operations on all of those elements without worrying about what might happen if some non-integer element is encountered.

Simple pattern matching on lists

We have seen how to construct lists by using ::. How do we take a list value apart? Well, there are only two cases to consider: either a list is empty, or it has some head element followed by some tail list. In OCaml we can express this kind of case analysis using pattern matching. Here is a simple example that uses case analysis to determine whether the list \( l \) is empty:

```
let l : int list = [1;2;3]

let is_l_empty : bool = begin match l with
| []     -> true
| x::tl  -> false
end
```
The \texttt{begin match \langle exp \rangle with \ldots end} expression compares the shape of the value computed by \langle exp \rangle against a series of pattern cases. In this example, the first case is \texttt{\langle exp \rangle \rightarrow true}, which says that, if the list being analyzed is empty, then the result of the \texttt{match} should be \texttt{true}.

The second case is \texttt{\langle exp \rangle \rightarrow false}, which specifies what happens if the list being analyzed matches the pattern \texttt{x::tl}. If that happens, then the expression to the right of the \texttt{\rightarrow} in this branch will be the result of the whole \texttt{match}.

Note that the patterns \texttt{[]} and \texttt{x::tl} look exactly like the two possible ways of constructing a list! This is no accident: since all lists are built from these constructors, these are exactly the cases that we have to handle—no more, and no less. The difference between the pattern \texttt{x::tl} and a list value is that in the pattern, \texttt{x} and \texttt{tl} are identifiers (i.e. place holders), similar to the identifiers bound by \texttt{let}. When the \texttt{match} is evaluated, they are bound to the corresponding components of the list, so that they are available for use in the expression following the pattern’s \texttt{\rightarrow}.

To see how this works, let’s look at some examples. First, let’s see how to evaluate the example above, which doesn’t actually use the identifiers bound by the pattern:

\begin{verbatim}
let l : int list = [1;2;3]
let is_l_empty : bool = 
  begin match l with 
    | []   \rightarrow true 
    | x::tl \rightarrow false 
  end
\end{verbatim}

\texttt{(by substituting \langle 1;2;3 \rangle for \texttt{l})}

\begin{verbatim}
let l : int list = [1;2;3]
let is_l_empty : bool = 
  begin match [1;2;3] with 
    | []   \rightarrow true 
    | x::tl \rightarrow false 
  end
\end{verbatim}

At this point, we match the list \texttt{[1;2;3]} against the first pattern, which is \texttt{[]} . Since they don’t agree—\texttt{[]} doesn’t have the same shape as \texttt{[1;2;3]}—we continue to the next case of the pattern. Now we try to match the pattern \texttt{x::tl} against \texttt{[1;2;3]}. Remember that \texttt{[1;2;3]} is just syntactic sugar for \texttt{1::2::3::[]}, which, if we parenthesize explicitly, is just \texttt{1:(2:(3:[]))}. This value \texttt{does} match the pattern \texttt{x::tl}, letting \texttt{x} be \texttt{1} and \texttt{tl} be \texttt{2::3::[]}. Therefore, the result of this pattern match is the right-hand side of the \texttt{\rightarrow}, which in this example is just \texttt{false}. The entire program thus steps to:
In more interesting examples, the identifiers like \(x\) and \(\text{tl}\) that are used in a cons-pattern will also appear in the right-hand side of the match case. For example, here is a function that returns the square of the first element of an \texttt{int list}, or \(-1\) if the list is empty:

```ocaml
let square_head (l:int list) : int = begin match l with |
| [] -> -1 |
| x::tl -> x * x end
```

Let’s see how a call to this function evaluates:

```ocaml
square_head [3;2;1]
```

\[\rightarrow (\text{by substituting } [3;2;1] \text{ for } l \text{ in the body of } \text{square\_head})\]

```ocaml
begin match [3;2;1] with |
| [] -> -1 |
| x::tl -> x * x end
```

Now we test the branches in order. The first branch’s pattern ([]) doesn’t match, but the second branch’s pattern does, with \(x\) bound to 3 and \(\text{tl}\) bound to [2;1], so we substitute 3 for \(x\) and [2;1] for \(\text{tl}\) in the right-hand side of that branch, i.e.:

```ocaml
begin match [3;2;1] with |
| [] -> -1 |
| x::tl -> x * x end
```

\[\rightarrow (\text{substitute } 3 \text{ for } x \text{ and } [2;1] \text{ for } \text{tl} \text{ in the second branch})\]


\[3 * 3\]
The definition of lists that we gave at the start of this chapter said that a list is either

\[ [] \]  \text{the empty list, sometimes called nil, or}
\[ v::\text{tail} \]  \text{a value } v \text{ followed by } \text{tail, a list of the remaining elements.}

Note that this description of lists is \textit{self referential}: we’re defining what lists are, but the second clause uses the word “list”! How can such a “definition” make sense? The trick is that the above definition tells us how to build a list of length 0 (i.e. the empty list \([\[]\]) or, given a list of length \(n\), how to construct a list of length \(n+1\). The phrase “list of the remaining elements” is really only talking about strictly \textit{shorter} lists.

This is the hallmark of an \textit{inductive data type}: such data types tell you how to build “atomic” instances (here, \([\[]\)) and, given some smaller values, how to construct a bigger value out of them. Here, :: tells us how to construct a bigger list out of a new head element and a shorter tail.

This pattern in the structure of the data also suggests how we should compute over it: using \textit{structural recursion}. Structural recursion is a fundamental concept in computer science, and we will see many instances of it throughout the rest of the course.

The basic idea is simple: to create a function that works for \textit{all} lists, it is sufficient to say what that function should compute for the empty list, and, \textit{assuming that you already have the value of the function for the tail of the list}, how to compute the function given the value at the head. Like the definition of the list data type, functions that compute via structural recursion are themselves self referential—the function is defined in terms of itself, but only on smaller inputs!

### Calculating the length of a list

Here is an example of how to use structural recursion to compute the length of a list of integers:

```ocaml
let rec length (l:int list) : int =
    begin match l with
    | []       -> 0
    | _::l'     -> 1 + length l'
    end
```

Note that we use the keyword `rec` to explicitly mark this function as being recursive. If we omit the ‘rec’, OCaml will complain if we try to use the function identifier inside its own body. Also, note that this function does case analysis on the structure of `l` and that the body of the second branch calls `length` recursively on the tail—this is an example of structural recursion, since the tail is always smaller than the original list.

The first branch tells us how to compute the length of the empty list, which is just 0. The second branch tells us how to compute the length of a list whose head is `x` and whose tail is `tl`. Assuming that we can calculate the length of `tl` (which is the result of `length tl` obtained by the recursive call), we can compute the length of the whole list by adding one.

Let us see how these calculations play out when we run the program:

```
length [1;2;3]
```

\[\rightarrow (\text{substitute } [1;2;3] \text{ for } l \text{ in the body of } length)\]

```
begin match [1;2;3] with
| [] -> 0
| x::tl -> 1 + (length tl)
end
```

\[\rightarrow (the \text{ second} \text{ branch} \text{ matches with } tl=[2;3])\]

```
1 + (length [2;3])
```

\[\rightarrow (\text{substitute } [2;3] \text{ for } l \text{ in the body of } length)\]

```
1 + (begin match [2;3] with
| [] -> 0
| x::tl -> 1 + (length tl)
end)
```

\[\rightarrow (the \text{ second} \text{ branch} \text{ matches with } tl=[3])\]
1 + (1 + (length [3]))

\[ \rightarrow (\text{substitute } [3] \text{ for } 1 \text{ in the body of } \text{length}) \]

1 + (1 + (begin match [3] with 
    | [] -> 0 
    | x::tl -> 1 + (length tl) 
    end))

\[ \rightarrow (\text{the second branch matches with } tl=[]) \]

1 + (1 + (1 + length [[]]))

\[ \rightarrow (\text{substitute } [] \text{ for } 1 \text{ in the body of } \text{length}) \]

1 + (1 + (1 + (begin match [] with 
    | [] -> 0 
    | x::tl -> 1 + (length tl) 
    end)))

\[ \rightarrow (\text{the first branch matches}) \]

1 + (1 + (1 + (0)))

\[ \Rightarrow \]

3

**More int list examples**

By slightly modifying the \text{length} function from above, we can obtain a function that sums all of the integers in a list.

Again we apply the design pattern for recursive functions. The sum of all elements of the empty list is just 0, since there are no elements. If \text{sum tail} is the sum of all the elements in the tail of a list whose first element is \text{n}, then we obtain the total sum by simply calculating \text{n} + (\text{sum tail}).

Here’s the code, along with a couple test cases:
Now let’s look at a slightly more complex example. Suppose we want to write a function that takes a list of integers and filters out all the even integers—that is, our function should return a list that contains just the odd elements of the original list.

Filtering the even numbers out of the empty list yields the empty list. And if `filter_out_evens tail` is the result of filtering the tail of the original list, we just need to check whether the head of the list is even to know whether it belongs in the output:

```ocaml
let rec filter_out_evens (l:int list) : int list =  
  begin match l with  
  | [] -> []  
  | x::tail ->  
    let filtered_tail = filter_out_evens tail in  
    if (x mod 2) = 0  
    then filtered_tail  
    else x::filtered_tail  
  end

let test () : bool =  
  (filter_out_evens []) = []  
  ;; run_test "filter_out_evens []" test

let test () : bool =  
  (filter_out_evens [1;2;3]) = [1;3]  
  ;; run_test "filter_out_evens [1;2;3]" test
```

For a third example, suppose we want to write a function that determines whether a list contains a given integer. The solution again uses structural recursion over the list parameter, but also takes as input the `int` to search for:
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```
let rec contains (l:int list) (x:int) : bool =  
    begin match l with  
    | [] -> false  
    | y::tail -> x = y || contains tail x  
    end

let test () : bool =  
    (contains [1;2;3] 1) = true  
    ;; run_test "contains [1;2;3] 1" test

let test () : bool =  
    (contains [1;2;3] 4) = false  
    ;; run_test "contains [1;2;3] 4" test
```

Finally, suppose we want to compute the list of all suffixes of a given list, that is:

```
suffixes [1;2;3] ⇒ [[1;2;3]; [2;3]; [3]; []]
```

We can easily compute this by observing that at every call to `suffixes` we simply need to cons the list itself onto the list of its own suffixes. Note that this observation holds true even for the empty list!

```
let rec suffixes (l:int list) : int list list =  
    begin match l with  
    | [] -> [[]]  
    | x::tl -> l :: (suffixes tl)  
    end

let test () : bool =  
    (suffixes [1;2;3]) = [[1;2;3]; [2;3]; [3]; []]  
    ;; run_test "suffixes [1;2;3]" test
```

The list structural recursion pattern

All of the example list functions we have seen so far follow the same pattern. To define a function \( f \) over a list, we to case analysis to determine whether the list is empty or not. If it is empty, we can calculate the result of \( f \ [\] \) directly, without any recursive calls to \( f \). If the list is not empty, we compute the answer for a list whose head is \( \text{hd} \) using the result of the recursive call \( f \ \text{rest} \). In code:

```
let rec f (l : ... list) ... : ... =  
    begin match l with  
    | [] -> ...
```
This pattern is extremely general: many, many useful functions can be written easily by following this recipe. Here is a (very partial) list of such functions, with brief descriptions. It is a good exercise to figure out how to implement all these functions using structural recursion.

- **all_even** — determines whether all elements of an **int list** are even

- **append** — takes two lists and “glues them together”, for example
  
  $\text{append } [1;2;3] \ [4;5] \Rightarrow [1;2;3;4;5]$

- **intersection** — takes two lists and returns the list of all those elements that appear in both lists; for example:
  
  $\text{intersection } [1;2;2;3;4;4;3] \ [2;3] \Rightarrow [2;2;3;3]$

- **every_other** — computes the list obtained by dropping every second element from the input list, for example: $\text{every_other } [1;2;3;4;5] \Rightarrow [1;3;5]$

When designing tests for list processing functions, you should *always* consider at least two cases: a test case for the empty list, and a case for non-empty lists. Other kinds of test cases to consider might have to do with whether the list is even or odd, or whether the function has special behavior when the list has just one element.

**Note:** For those of you who have taken or are taking CIS 160, it is also worth noticing that writing a program by structural induction over lists follows the same pattern as proving a property by induction on the list. There is a base case (i.e. the case for $[]$) and an inductive case (i.e. the recursive case). It is no accident that lists are called inductive data structures.

**Using helper functions**

Sometimes the list function we are trying to implement isn’t trivial to compute, even given the value of the recursive call. An example of such a function is **prefixes**, which is like the **suffixes** example above, but instead calculates the list of prefixes of the input list. For example, we want to have:

$\text{prefixes } [1;2;3] \Rightarrow [[]; [1]; [1;2]; [1;2;3]]$
Why is this not so direct to implement as suffixes was? Suppose we’re trying to calculate prefixes \([1;2;3]\). Following the structural recursion pattern, we would expect to call prefixes on the tail of this list, which is:

prefixes \([2;3]\) \implies [[1]; [2]; [2;3]]

Given this result for the recursive call to prefixes, and the head 1, we need to compute prefixes for the entire list \([1;2;3]\). Looking for a pattern, it seems that we need to put 1 at the head of each of the prefixes of \([2;3]\). Since this functionality isn’t given to us directly by prefixes, we need to define an auxiliary function to help out. Let’s call it prepend. As usual, we document our examples as test cases.

(* put x on the front of each list in l *)
let rec prepend (l:int list list) (x:int) : int list list =
  begin match l with
    | [] -> []
    | ll:rest -> (x::ll)::(prepend rest x)
  end

let test () : bool =
  (prepend [[]; [2]; [2;3]] 1) = [[1]; [1;2]; [1;2;3]]
  ;; run_test "prepend [null; [2]; [2;3]]" test

Now, using prepend, it becomes much simpler to define prefixes:

let rec prefixes (l:int list) : int list list =
  begin match l with
    | [] -> [[]]
    | h::tl -> []::(prepend (prefixes tl) h)
  end

let test () : bool =
  (prefixes [1;2;3]) = [[1]; [1;2]; [1;2;3]]
  ;; run_test "prefixes [1;2;3]" test

For another example where a helper function is needed, consider trying to compute a function rotations that, given a list of integers, computes the list of all “circular rotations” of that list. For example:

rotations \([1;2;3;4]\) \implies [[1;2;3;4]; [2;3;4;1]; [3;4;1;2]; [4;1;2;3]].

Here again, thinking about how rotations would work on the result of a recursive call illustrates why there might be a need for a helper function. When we use rotations on the tail of the list \([1;2;3;4]\), we get:

rotations \([2;3;4]\) \implies [2;3;4]; [3;4;2]; [4;2;3]
The relationship between rotations \([2;3;4]\) and rotations \([1;2;3;4]\) seems very nontrivial—it seems like we have to intersperse the head 1 at various points (in the last spot, the second-to-last spot, the third-to-last spot, etc.) in the prefixes of the tail. We could perhaps write an auxiliary function that does this, but that still seems complicated.

Here’s another approach that simplifies the solution. Consider what information from the original list that we have at each recursive call to some function \(f\):

\[
\begin{align*}
\text{f [1;2;3;4]} & \quad (\text{\textit{* top-level call *}}) \\
\text{f [2;3;4]} & \quad (\text{\textit{* first recursive call *}}) \\
\text{f [3;4]} & \quad (\text{\textit{* second recursive call *}}) \\
\text{f [4]} & \quad (\text{\textit{* third recursive call *}}) \\
\text{f []} & \quad (\text{\textit{* last call *}})
\end{align*}
\]

If each such recursive call to \(f\) were to calculate one of the rotations of the original list, what information would \(f\) be missing? Each call is missing a prefix of the original list!

\[
\begin{align*}
\text{f [1;2;3;4]} & \quad [] \\
\text{f [2;3;4]} & \quad [1] \\
\text{f [3;4]} & \quad [1;2] \\
\text{f [4]} & \quad [1;2;3] \\
\text{f []} & \quad [1;2;3;4]
\end{align*}
\]

If we append the two lists in each row above, we obtain one of the desired permutations of the original list. (One of the permutations, \([1;2;3;4]\), appears twice—we’ll have to be careful to leave one of them out of the result.)

This suggests that we can solve the rotations problem by creating a helper function that takes an extra parameter—namely, the missing prefix needed to compute one permutation of the original list.

If we were to accumulate these lists together into a list of lists, we would be done. That is, we want a function \(f\) that works like:

\[
\text{f [1;2;3;4]} \quad [] \rightarrow \text{[[1;2;3;4]; [2;3;4;1]; [3;4;1;2]; [4;1;2;3]]}
\]

What should \(f\) do on a tail of the original, assuming we provide the missing prefix?:

\[
\text{f [2;3;4]} \quad [1] \rightarrow \text{[[2;3;4;1]; [3;4;1;2]; [4;1;2;3]]}
\]

Do you see the pattern? Each call to the helper function \(f\) computes some (but not all) of the rotations of the original list. Which ones? The ones beginning with each of the elements of the first input to \(f\). Observe that at each call \(f\) suffix prefix we have that prefix @ suffix is the original list and suffix @ prefix is the next rotation to generate.
Function $f$ should therefore simply recurse down the suffix list; but at each call it needs to rotate its own head element to the end of the prefix list, to maintain the relationship described above.

We already know how to put an element at the front of a list—we use ::. How do we put one at the tail? Well, we simply write a second helper function that does the job. We call it \texttt{snoc} (because it is the opposite of \texttt{cons}):

Putting it all together, we can write rotations like so:

\begin{verbatim}
(* Add x to the end of the list l *)
let rec snoc (l:int list) (x:int) : int list =
  begin match l with
  | [] -> [x]
  | h::tl -> h::(snoc tl x)
  end

(* Compute some rotations of the list suffix @ prefix, where prefix @ suffix is the "original" list *)
let rec f (suffix:int list) (prefix:int list) : int list list
  begin match suffix with
  | [] -> []
  | x::xs -> (suffix@prefix)::(f xs (snoc prefix x))
  end

(* The top-level rotations function simply calls f with the empty prefix *)
let rotations (l:int list) = f l []
\end{verbatim}

\textbf{Infinite loops: Non-structural recursion}

All of the examples list processing functions described above are guaranteed to terminate. Why? Because every list is contains only finitely many elements and each of the recursive calls in a structurally recursive function is invoked on a \textit{strictly shorter} list (the tail). This means that at some point the chain of recursion will bottom out at the empty list.

OCaml does not strictly enforce that all list functions be structurally recursive. Consider the following example, in which the \texttt{loop} function calls itself “recursively” on the \textit{entire} list, rather than just on the tail:

\begin{verbatim}
let loop (l:int list) : int =
  begin match l with
  | [] -> 0
\end{verbatim}
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Watch what happens when we run this program on the list [1]:

\[
\text{let } h::tl \rightarrow 1 + (\text{loop } l) \text{ in}
\]

\[
\begin{align*}
\text{begin match } [1] \text{ with} \\
& [\[] \rightarrow 0 \\
& h::tl \rightarrow 1 + (\text{loop } l)
\end{align*}
\]

\[
\text{end}
\]

\[
\rightarrow (\text{substitute } [1] \text{ for } l \text{ in the body of loop})
\]

\[
\begin{align*}
\text{begin match } [1] \text{ with} \\
& [\[] \rightarrow 0 \\
& h::tl \rightarrow 1 + (\text{loop } l)
\end{align*}
\]

\[
\text{end}
\]

\[
\rightarrow (\text{the second case matches})
\]

\[
1 + (\text{loop } l) \quad (* \text{ uh oh! } *)
\]

\[
\rightarrow \ldots \rightarrow
\]

\[
1 + (1 + (1 + (1 + (\text{loop } l))))
\]

\[
\rightarrow (\text{the program keeps running forever})
\]

If you find one of your programs mysteriously looping, a non-structural recursive call may be the culprit.
Chapter 4

Tuples and Nested Patterns

4.1 Tuples

Lists are good data structures for storing arbitrarily long sequences of homogeneous data, but sometimes it is convenient to bundle together two or more values of different types. OCaml provides tuples for this purpose. A tuple is a fixed-length sequence of values, enclosed in parentheses and separated by commas. Here are some examples:

\[(1, \text{"uno"}) \quad (* \text{a pair of an int and a string} *)\]
\[(\text{true, false, true}) \quad (* \text{a triple of bools} *)\]
\[(\text{"a", 13, "b", false}) \quad (* \text{a quadruple} *)\]

Note that, unlike lists, the elements of a tuple need not have the same types. We write tuple types using infix \(*\) notation, so for the three examples above, we have:

\[(1, \text{"uno"}) : \text{int * string}\]
\[(\text{true, false, true}) : \text{bool * bool * bool}\]
\[(\text{"a", 13, "b", false}) : \text{string * int * string * bool}\]

Of course, the elements of a tuple expression can themselves be complex expressions (including lists). OCaml evaluates a tuple expression by evaluating each of the components of the tuple. For example, \[(1+2+3, \text{true || false}) \Rightarrow (6, \text{true})\] because \[1+2+3 \Rightarrow 6\] and \[\text{true || false} \Rightarrow \text{true}.

Lists and tuples can easily be combined to create more interesting data structures. Here are a couple of examples and their types:
Tuples and Nested Patterns

\[(1, "uno"); (2, "dos"); (3, "tres")\]

: \((\text{int} \times \text{string}) \ \text{list}\)

\n\([1; 2; 3], ["uno"; "dos"; "tres"]\)

: \((\text{int} \ \text{list}) \ \times \ (\text{string} \ \text{list})\)

Pattern matching on tuples

Like lists, tuples can be “inspected” by pattern matching. Also as for lists, the patterns themselves mimic the form of tuple values. For example:

\[
\begin{align*}
\text{let } \text{first} \ (x: \text{int} \times \text{string}) : \text{int} = \\
& \begin{align*}
& \text{let } (\text{left}, \text{right}) = x \\
& \text{in } \text{left}
\end{align*}
\end{align*}
\]

\[
\begin{align*}
\text{let } \text{second} \ (x: \text{int} \times \text{string}) : \text{string} = \\
& \begin{align*}
& \text{let } (\text{left}, \text{right}) = x \\
& \text{in } \text{right}
\end{align*}
\end{align*}
\]

Note that, since there’s only one way to construct a tuple (using parens and commas), we only need one case when pattern matching against a tuple.

A more lightweight way to give names to the components of a tuple is to use a generalization of let binding that we have already seen. The idea is that, since there is only ever one case when matching against a tuple, we can abbreviate that case using the syntax let \((x, y) = \ldots\). For example, we can rewrite \text{first} and \text{second} above using \text{let}-tuple notation like this:

\[
\begin{align*}
\text{let } \text{first} \ (x: \text{int} \times \text{string}) : \text{int} = \\
& \text{let } (\text{left}, \text{right}) = x \text{ in left}
\end{align*}
\]

\[
\begin{align*}
\text{let } \text{second} \ (x: \text{int} \times \text{string}) : \text{string} = \\
& \text{let } (\text{left}, \text{right}) = x \text{ in right}
\end{align*}
\]

We omit the type annotation from the let binding because OCaml can infer it from the type of the tuple to the right of the = (e.g., by looking at the type of \(x\) above, it is easy to figure out that \(\text{left}\) should have type \text{int} and \(\text{right}\) should have type \text{string}).
The “empty” tuple, unit:

There’s one special case of tuples to explain—the tuple of no elements. This is written in OCaml as (), and its type is called unit. There is only one value, namely (), of type unit, so not much information is conveyed by a unit value.

We have already seen () mentioned in our test functions: since they take no meaningful inputs, they have the type unit -> bool. We could write our test functions like

```ocaml
let test (x:unit) : bool = ...
```

(where we give an explicit name, x, to the unit parameter), but there is not much point in doing this, since the parameter is not used in the function’s body. So we write () instead of (x:unit), emphasizes that the parameter is trivial.

The other place in OCaml where unit is often used is as the return type of commands such as print_string. For example, print_string takes a string input and produces a unit output: its type is string -> unit. (Here, unit functioning like a void return type in C or Java.) Since there is only one value of type unit, such functions cannot return meaningful results: they are executed purely for their side effects on the machine’s state (such as printing to the terminal). Whenever you see an OCaml function that return unit, you should take it as a strong hint that there will be some I/O or some kind of other effect when you call that function.

See §12 for a more in-depth discussion about the uses of the unit type.

4.2 Nested patterns

We saw in Chapter 3 that lists can be inspected by pattern matching. Lists values have two constructors, [], and ::, and list patterns analogously have two possible forms. Tuples, as we saw just above, are matched using (..., ..., ...) patterns. Furthermore, just as we can build complicated list and tuple expressions by nesting constructors, we can build complex list patterns by nesting too. Here are some examples of nested patterns:

```
[ ] (* match the empty list *)
x::tail (* match a non-empty list with head x *)
x::[] (* match a list of exactly length 1 *)
x::y::tail (* match a list of at least length 2 *)
[x;y] (* match a list of exactly length 2 *)
x::y::[] (* another way of writing the same *)
```
Tuples and Nested Patterns

As an example of how one might use nested patterns, the following match expression has three cases, one for when the list is empty, one for singleton lists, and one for when a list has two or more elements:

```ocaml
begin match l with
| [] -> ...  (* case for empty *)
| x::[] -> ...  (* case for singleton *)
| x::tail -> ...  (* case for two or more *)
end
```

When OCaml processes a match expression, it checks the value being matched against each pattern in the order they appear. In the example above, the case for singletons must appear before the case for two or more, since the pattern `x::tail` can match a singleton list like `1::[]` by binding `tail` to `[]`. This means that if we were to reverse the order of the cases, then the third branch would never be reached:

```ocaml
begin match l with
| [] -> ...  (* case for empty *)
| x::tail -> ...  (* case for two or more *)
| x::[] -> ...  (* this case is never reached! *)
end
```

If your cases are written so that one of them can never be executed, OCaml will warn you that the match case is unused. This is a good sign that there is a bug in your program logic!

### 4.3 Exhaustiveness

OCaml can determine whether you have covered all the possible cases when pattern matching against a datatype. For example, suppose you wrote the following:
This match expression only handles lists of length 0 and 1. If \( l \) happens to evaluate to a longer list, then at run-time the program will terminate and OCaml will report a \texttt{Match_failure} error. To prevent such surprises at run time, OCaml will give you a helpful warning that you have missed a possible case (“this pattern-matching is not exhaustive”) when you compile the program. Besides the warning, the compiler will provide an example that isn’t handled by your branches.

### 4.4 Wildcard (underscore) patterns

Sometimes the particular value in a pattern doesn’t matter. For example, recall that we wrote a \texttt{length} function like this:

```ocaml
let rec length (l:int list) : int =  
    begin match l with  
    | [] -> 0  
    | x::tl -> 1 + (length tl)  
    (* x not used *)  
    end
```

Note that the second branch doesn’t use \( x \) anywhere. We can emphasize that fact by using the special \( _ \) pattern, which matches \textit{any} value but doesn’t give a name for it. So, for example, we could write:

```ocaml
let rec length (l:int list) : int =  
    begin match l with  
    | [] -> 0  
    | _::tl -> 1 + (length tl)  
    end
```

A wildcard pattern can appear anywhere in a pattern. Here are some examples:

\[
_ \quad \text{(* matches anything *)} \\
x::_ \quad \text{(* matches any non-empty list; names the head *)} \\
_::_ \quad \text{(* matches a non-empty list without naming its parts *)}
\]
4.5 Examples

Here’s an example function that uses lists, tuples, and nested pattern matching. The function is called `zip`; it takes as inputs two lists, and it returns a list of pairs, drawn “in lockstep” from the two lists. For example, we have:

\[
\text{zip } [1;2;3] \ ["uno"; "dos", "tres"] \\
\Rightarrow [(1, "uno"); (2, "dos"); (3, "tres")]
\]

```ml
let rec zip (l1:int list) (l2:string list) : (int * string) list = begin match (l1, l2) with (* note the tuple here! *)
| ([], []) -> []
| (x::xs, y::ys) -> (x,y)::(zip xs ys)
| _ -> failwith "zip called on unequal-length lists"
end
```

(The last case is needed for exhaustive pattern matching.)
It is instructive to see how the same function would be written without the use of nested patterns or wildcards. It is considerably more verbose!

```ml
(* zip without using nested patterns *)
let rec zipX (l1:int list) (l2:string list) : (int * string) list = begin match l1 with
| [] -> begin match l2 with
| [] -> []
| y::ys -> failwith "zipX: unequal length lists"
end
| x::xs -> begin match l2 with
| [] -> failwith "zipX: unequal length lists"
| y::ys -> (x,y)::(zipX xs ys)
end
end
```
Chapter 5

User-defined Datatypes

5.1 Atomic datatypes: enumerations

We have seen that OCaml provides several means of creating and manipulating structured data. Our toolbox includes primitive datatypes `int`, `string`, and `bool`, immutable lists, and tuples, as well as the ability to write (potentially recursive) functions over such data.

Despite these many options, programs often need application-specific datatypes. For example, suppose you were building a calendar application, you might want to have a datatype for representing the days of the week. Or, if your program involved computing over DNA sequences, you might need a representation for the nucleotides (adenine, guanine, thymine, and cytosine) that make up a DNA strand.

One possibility would be to use the existing datatypes available to represent your program-specific data. For example, you might choose to use `int` values to represent days of the week, with some mapping like:

```
Sunday    = 0
Monday    = 1
Tuesday   = 2
...        
```

This could work\(^1\), but it’s not a very good idea for a few reasons. First, `int` values and days of the week support different operations—it makes sense to subtract `1 - 2` to obtain the answer `-1`, but what would the subtraction `Tuesday - Wednesday` mean? There is no day of the week that is represented

---

\(^1\)It’s essentially what you do in a weakly-typed language like C
User-defined Datatypes

by \(-1\). This may seem relatively innocuous, but it’s a recipe for disaster. Consider writing a function that converts days of the week (represented as \texttt{ints}) into strings:

```ocaml
let string_of_weekday (wd:int) : string =
  if wd = 0 then "Sunday"
else if wd = 1 then "Monday"
else if wd = 2 then "Tuesday"
...
else if wd = 6 then "Saturday"
else failwith "not a valid weekday"
```

Everywhere you use such an encoding, you have to check to make sure (as in the last \texttt{else} clause above) to handle the case of an \textit{invalid} encoding. Forgetting to check for such cases will lead to bugs and other unexpected failures in your code.

Another reason why such encodings are a bad idea is that it’s also possible to accidentally confuse types—if you encode both weekdays and nucleotides as \texttt{int} values, it would be possible to pass an integer representing a nucleotide to the \texttt{string_of_weekday} function, which will likely yield nonsensical behavior.

For all of the reasons above, modern type-safe programming languages, including OCaml, Java, C#, Scala, Haskell, and others allow programmers to create \textit{user-defined datatypes}, which effectively extend the programming language with new abstractions that can be manipulated just like any other values.

In OCaml, such datatypes are declared using the \texttt{type} keyword. For example, here is how the datatype for days-of-the-week can be defined:

```ocaml
type day =
| Sunday
| Monday
| Tuesday
| Wednesday
| Thursday
| Friday
| Saturday
```

This declaration defines a new type, named \texttt{day}, and seven \textit{constructors} for that type, \texttt{Sunday}, \texttt{Monday}, \textit{etc.}. These constructors \textit{are} the values of the type \texttt{day}—they enumerate all the possible ways of creating a \texttt{day}. Moreover, there \textit{are no other ways} to create a value of type \texttt{day}.

\textit{Note: In OCaml, user-defined types must be lowercase, and the constructors for such types must be uppercase identifiers.}
After this top-level declaration, you can program with days of the week as a new type of value, for example, we could build a list of some days of the week like this:

```ocaml
let weekend_days : day list = [Saturday; Sunday]
```

So, we can put values of type `day` into data structures; how else can we compute with them?

If you think about it, the only fundamental operation needed on a datatype like `day` is the ability to distinguish one value (like `Monday`) from another value (like `Tuesday`). Given that operation, we can build up more complicated operations simply by programming new functions.

Just as OCaml uses pattern matching to allow functions to examine the structure of lists and tuples, we also use pattern matching to do case analysis on user-defined datatypes. The patterns are the constructors of the datatype. So, we can write a function that computes with days like this:

```ocaml
let is_weekend_day (d: day) : bool = begin match d with
| Sunday -> true
| Saturday -> true
| _ -> false
end
```

Here’s another function that, given a day of the week, returns the day after it:

```ocaml
let day_after (d: day) : day = begin match d with
| Sunday -> Monday
| Monday -> Tuesday
| Tuesday -> Wednesday
| Wednesday -> Thursday
| Thursday -> Friday
| Friday -> Saturday
| Saturday -> Sunday
end
```

The fact that the seven constructors `Sunday`, `Monday`, etc., are the only ways of creating a value of type `day` means that OCaml can automatically determine when you have covered all of the cases. For example, if you had left out the wildcard case `_` in `is_weekend_day` or if you had accidentally left out one of the days in `day_after`, the OCaml compiler will give you a warning that your pattern matching is not exhaustive.
5.2 Datatypes that carry more information

Although the simple atomic data values, like those used for the `day` type, are useful in many situations, it is often useful to associate extra information with a data constructor.

For example, suppose you are collaborating with a biologist who researches DNA and are writing a program to process DNA sequences in various ways. (See Homework 2.)

Recall that there are four basic nucleotides, and we can easily represent them using the atomic datatypes we have already seen:

```ocaml
type nucleotide =
  | A (* adenine *)
  | C (* cytosine *)
  | G (* guanine *)
  | T (* thymine *)
```

Now consider the problem of how to represent data being produced by some potentially faulty sensor that is able to detect counts of nucleotides or triples of nucleotides that are bundled together into a codon. That is, the experiment can produce one of three possible measurements: the measurement can be missing (indicating a fault), the measurement can be a nucleotide count which consists of a particular nucleotide value along with an integer representing the count detected, or the measurement can be a codon count which consists of a triple of nucleotides along with a count.

In OCaml, we can use the `type` keyword to create a datatype whose values contain the information described above:

```ocaml
type measurement =
  | Missing
  | NucCount of nucleotide * int
  | CodonCount of (nucleotide * nucleotide * nucleotide) * int
```

This type declaration introduces the type `measurement` and three possible constructors. The `Missing` constructor is an atomic value—it doesn’t depend on any more information. The other two constructors, `NucCount` and `CodonCount` each have some data associated with them. This is indicated syntactically by the `of` keyword followed by a type.

To build a `NucCount` value, for example, we simply provide the `NucCount` constructor with a pair consisting of a `nucleotide` and an `int`. Similarly, we can
build a CodonCount by providing a triple of nucleotides and an int. Here are some examples values, all of which have type measurement:


Just as we use pattern matching to do case analysis on the atomic values in the day type, we can also use pattern matching on these more complex data structures. The only difference is that since these constructors carry extra data, we can use nested patterns (see §4.2) to bind identifiers to the subcomponents of a value. Here, for example, is a function that extracts the numeric count information from each measurement:

```ocaml
let get_count (m:measurement) : int =
  begin match m with
    | Missing -> 0
    | NucCount (_, n) -> n
    | CodonCount (_, n) -> n
  end
```

Note that since the NucCount constructor takes a pair, we use a nested tuple pattern to bind its components in the branches. The CodonCount branch is similar. If we had instead been looking for a particular occurrence of a codon triple, we might have used a more explicit pattern instead. For example, suppose we are looking for the counts of measurements for which a codon whose first and last nucleotide is G. We could write such a function like this:

```ocaml
let get_G_G_count (m:measurement) : int =
  begin match m with
    | CodonCount ((G, _, G), n) -> n (* codon with first = last = G *)
    | _ -> 0 (* all others are irrelevant *)
  end
```

### 5.3 Type abbreviations

The examples above show the utility of defining new datatypes. The type structure defines both how we can create values of the type and how we inspect a value to
determine its constituent parts. Sometimes, however, it is convenient to be able to name existing types, both to emphasize the abstraction and to make it simpler to work with.

Returning to the DNA example, we might find it useful to define a type for codons, which consist of a triple of nucleotides, and a type for helices, which are just lists of nucleotides. We do so in OCaml using type abbreviations, like this:

```ocaml
type codon = nucleotide * nucleotide * nucleotide

type helix = nucleotide list
```

These top-level declarations introduce new names for existing types. Note that, unlike the datatype definitions we saw above, these type declarations don’t use a list of |-separated constructor names. OCaml can tell the difference because constructor names (A, C, Missing, NucCount) are always capitalized but type identifiers (day, nucleotide, codon) are always lowercase.

After having made these type abbreviations, we can use each name interchangeably with its definition throughout the remainder of the program, including subsequent type definitions. For example, if we have made these type abbreviations, we could shorten the type definition for measurement to this:

```ocaml
type measurement =
| Missing
| NucCount of nucleotide * int
| CodonCount of codon * int (* codon instead of a triple *)
```

Since a type abbreviation is just a new name for an existing type, we can use whatever functions or pattern matching operations were available for the existing type to process data of the abbreviated type.

### 5.4 Recursive types: lists

There is one final wrinkle in understanding user-defined datatypes, and that is the idea that when creating a new type definition, we can define the type recursively. That is, the data associated with one of the type’s constructors can mention the type being defined.

For example, we are already familiar with the type string list, which contains lists of strings and has two constructors: [ ] (nil) and :: (cons); for a refresher, see §3. We can define our own version of string lists by using a recursive type, like this:
Here, the constructor Nil plays the role of [], and a value like Cons(v, tl) plays the role of v::tl. We can program recursive functions over these lists just as we would the built-in ones. For example, here is the length function for the my_string_list type:

```ocaml
let rec my_length (l:my_string_list) : int = begin match l with
  | Nil -> 0
  | Cons(_, tail) -> 1 + (my_length tail)
end
```

We could even write functions that convert between my_string_list and the built-in string list type:

```ocaml
let rec list_of_my_string_list (l:my_string_list) : string list = begin match l with
  | Nil -> []
  | Cons(v,tl) -> v::(list_of_my_string_list tl)
end

let rec my_string_list_of_list (l:string list) : my_string_list = begin match l with
  | [] -> Nil
  | v::tl -> Cons(v, my_string_list_of_list tl)
end
```
Chapter 6

Binary Trees

OCaml includes built-in syntax for lists, and we have already seen how we can create a user-defined datatype that has the same structure as those built-in lists. Lists are a very common pattern in programming because sequences of data occur naturally in many settings—the list of choices in a menu, the list of students taking a course, the list of results generated by a search engine, etc..

In this chapter, we introduce another frequently occurring data structure—the binary tree. Sometimes, such trees arise naturally from the problem domain: for example the evolutionary tree that arises when a species evolves into two new species. Other times, computer scientists use trees because they let us exploit an ordering on data to efficiently search for the presence of an element in a large set of possible values, as we will see below.

For the purposes of this Chapter, we’ll consider a simple example of binary trees. What is a binary tree? A binary tree is either Empty (meaning that it has no elements in it), or it is a Node consisting of a left subtree, an integer label, and a right subtree.

In OCaml, we can represent this datatype like so:

```ocaml
type tree =
| Empty
| Node of tree * int * tree
```

Figure 6.1 shows a picture of a typical binary tree. The root node is at the top of the tree. A leaf is a node both of who’s children are Empty—they appear at the bottom of the tree in this picture.¹ Any node that is not a leaf is sometimes called an internal node of the tree.

¹For some reason, trees in computer science have their roots at the top and their leaves at the bottom…unlike real trees.
The tree in Figure 6.1 is represented in OCaml by simply building up a value from the tree constructors. The serial nature of text isn’t very good at representing the 2D picture, but you can still see how the picture corresponds to the OCaml value:

```ocaml
let tree_fig_51 : tree =
  Node (Node (Node (Empty, 0, Empty),
             2, Node (Empty, 1, Empty)),
       3, Node (Node (Empty, 3, Empty),
                2, Node (Empty, 1, Empty)))
```

We can simplify the presentation a little bit by creating a helper function to make a leaf when given the `int` for its label:

```ocaml
let leaf (i:int) : tree =
  Node (Empty, i, Empty)

let tree_fig_51 =
  Node (Node (leaf 0,
              2, ...
Note that the definition of the type `tree` is recursive, but, unlike the list datatype we saw previously, there are two occurrences of `tree` within a `Node`. This means that when we write a recursive function that computes with trees, it will in general have two recursive calls.

Here are some simple examples that compute basic properties about a tree:

```ocaml
(* counts the number of nodes in the tree *)
let rec size (t:tree) : int = 
  begin match t with 
  | Empty -> 0 
  | Node(l,_,r) -> 1 + (size l) + (size r)
  end

(* counts the longest path from the root to a leaf *)
let rec height (t:tree) : int = 
  begin match t with 
  | Empty -> 0 
  | Node(l,_,r) -> 1 + max (height l) (height r)
  end
```

The `size` of a tree is the total number of nodes in the tree (ignoring the labels of those nodes). A tree’s `height` is the length of the longest path from the root to any leaf.

Different ways of processing a tree use can traverse the elements in different orders, depending on the desired goal. Three canonical ways of traversing the tree are in order (first the left child, then the node, then the right child), pre order (first the node, then the left child, then the right), and post order (first the left child, then the right child, then the node). We can write functions that enumerate the elements of a tree in these orders by serializing the tree into a list:

```ocaml
(* returns the in order traversal of the tree *)
let rec inorder (t:tree) : int list = 
  begin match t with 
  | Empty -> [] 
  | Node(l,n,r) -> (inorder l)@(n::(inorder r))
  end
```
let rec preorder (t:tree) : int list =  
begin match t with  
| Empty -> []  
| Node(l,n,r) -> n:(preorder l)@(preorder r)  
end

let rec postorder (t:tree) : int list =  
begin match t with  
| Empty -> []  
| Node(l,n,r) -> (postorder l)@(postorder r)@[n]  
end

For the example tree in Figure 6.1, we have:

inorder tree_fig_51 \rightarrow [0;2;1;3;3;2;1]
preorder tree_fig_51 \rightarrow [3;2;0;1;2;3;1]
postorder tree_fig_51 \rightarrow [0;1;2;3;1;2;3]

One use for such tree traversals is to search for a particular element. For example, we can use the following function to determine whether a tree has a node labeled by the given integer:

let rec contains (t:tree) (n:int) : bool =  
begin match t with  
| Empty -> false  
| Node(lt, x, rt) ->  
x = n || (contains lt n) || (contains rt n)  
end

This function first checks the root node’s value, x, to see if it is n. If so, the answer is true (recall that OCaml’s boolean or operator || is short circuiting—if its left argument evaluates to true then the right-hand argument is never evaluated). In the case that x <> n, the search continues recursively into first the left sub tree and then the right subtree.
Chapter 7

Binary Search Trees

The function `contains` might, in the worst case, have to search through all the nodes of the tree. In particular, when looking for an element \( n \) that isn’t in the tree, this search will continue until every node is examined. For a small tree, that isn’t such a problem, but in the case that the tree contains tens of thousands or millions of elements, such a search can take a long time.

Can we do better? It depends on what the data in the tree is representing. If it is the structure of the tree that matters or if there are patterns in the data of the nodes of the tree, then we may not be able to improve the search process—for example, it might be important that a certain element appears many times at various points in the tree.

However, there is another common case: the nodes of the tree are intended to be distinct labels, and what matters is whether a given label is present or absent in the tree. In this case, we can think of the tree of nodes as representing the set of node labels and the `contains` function as determining whether a given label is in the set.

If we further assume that the labels can be linearly ordered (i.e. arranged on the number line), it is possible to dramatically improve the performance of searching the tree by exploiting that ordering. The basic idea is the same one underlying the telephone book or a dictionary—arranging the data in a known order, for example by alphabetical order, allows someone who is searching through the data to skip over large irrelevant parts.

For example, when looking up the telephone number for a taxi cab, I might flip open the phone book to the “L” section (probably in the “lawyers”) section. Since I know that “taxi” comes after “lawyer” alphabetically, I don’t even have to bother to look earlier in the phone book. Instead, I flip much later, perhaps to the “R” part, where I see “restaurant” listings. Since “taxi” is still later, I know I don’t have to look at the intervening pages. Flipping once more to the “V” section of “veterinarians”, I now know to flip just a bit earlier, where I finally hit the “T” for...
“taxi” part of the phone book.

The basic idea of a binary search tree is to arrange the data in the tree such that by looking at the label of the node being visited the algorithm knows whether to proceed into the left child or the right child, and, moreover, it knows that the unvisited child contains irrelevant nodes.

This leads us to the binary search tree invariant.

**Definition 7.1 (Binary Search Tree Invariant).**

- *Empty is a binary search tree.*
- *A tree Node\((lt, x, rt)\) is a binary search tree if \(lt\) and \(rt\) are both binary search trees, and every label of \(lt\) is less than \(x\) and every label of \(rt\) is greater than \(x\).*

Note that this definition, like the structure of a binary tree, is itself recursive—we define what it means to be a binary search tree in terms of binary search trees. Figure 7.1 shows an example binary search tree. The edges are marked with < and > to indicate the relationship between a node’s label and its children.

What is the advantage of this invariant? Well, unlike the *contains* function defined above, which potentially has to look at every node of the tree to see if it
contains a given element, we can write a `lookup` function that only searches the relevant parts of the tree.

```ocaml
(* ASSUMES: t is a binary search tree
   Determines whether t contains n *)
let rec lookup (t:tree) (n:int) : bool = begin match t with | Empty -> false | Node(lt, x, rt) -> if x = n then true else if n < x then lookup lt n else lookup rt n end
```

Note the difference: `lookup` will only ever take either the left branch (if \( n \) is less than the node’s label) or the right branch (if \( n \) is greater than the node’s label) when searching the tree.

How much difference could this make in practice? Consider the case of a binary search tree containing a million distinctly labeled nodes. Then the `contains` function will have to look at a million nodes to determine that an element is not in the tree. In contrast, if the `lookup` function takes time proportional to the height of the tree. In the good case when the tree is very full (i.e. almost all of the nodes have two children), then the height is roughly logarithmic in the size of the tree\(^1\). In the case of a million nodes, this works out to approximately 20. Thus, doing a `lookup` in a binary search tree will be about 50,000 times faster than using `contains`\(^2\).

### 7.1 Creating Binary Search Trees

We now know how to do efficient lookup in a binary search tree by exploiting the ordering of the labels and the invariants of the tree. How do we go about obtaining such a tree?

One possibility would be to simply check whether a given tree satisfies the binary search tree invariant. We can code up the invariant as a boolean valued-function that determines whether a given tree is a binary search tree or not.

To do so, we first create two helper functions that can determine whether all of the nodes of a tree are less than (or greater than) a particular `int` value:

\(^1\)A complete, balanced binary tree of height \( h \) has \( 2^h - 1 \) nodes, or, conversely if there are \( n \) nodes, then the tree height is \( \log_2 n \).

\(^2\)The assumption that the tree is nearly full and balanced is a big one—to ensure that this is the case more sophisticated techniques (e.g. red–black trees) are needed. See CIS 121 if you’re interested in such datastructures.
The `is_bst` function uses these two helpers to directly encode the binary search tree invariant as a program:

```ocaml
(* determines whether t satisfies the bst invariant *)
let rec is_bst (t:tree) : bool =
  begin match t with
    | Empty -> true
    | Node(lt, x, rt) ->
      is_bst lt && is_bst rt &&
      (tree_less lt x) && (tree_gtr rt x)
  end
```

This solution isn’t very satisfactory, though. It is very unlikely that some tree we happen to obtain from somewhere actually satisfies the binary search tree invariant. Moreover, checking that the tree satisfies the invariant is pretty expensive.

A better way to construct a binary search tree, is to start with a simple binary search tree like `Empty`, which trivially satisfies the invariant, and then `insert` or `delete` nodes as desired to obtain a new binary search tree.

Each operation must `preserve` the binary search tree invariant: given a binary search tree `t` as input, `insert t n` should produce a new binary search tree that contains the same set of elements as `t` but additionally contains `n`. If `t` happens to already contain `n`, then the resulting tree is just `t` itself.
How can we implement such an insertion function? The key idea is that inserting a new element is just like searching for it—if we happen to find the element we’re trying to insert, then the result is just the input tree. On the other hand, if the input tree does not already contain the element we’re trying to insert, then the search will find a Empty tree, and we just need to replace that empty tree with a new leaf node containing the inserted element. In code:

```ocaml
let rec insert (t:tree) (n:int) : tree =
    begin match t with
    | Empty -> (* element not found, create a new leaf *)
      Node(Empty, n, Empty)
    | Node(lt, x, rt) ->
      if x = n then t
      else if n < x then Node(lt n, x, rt)
      else Node(lt, x, insert rt n)
    end
```

The code for insert exactly mirrors that of lookup, except that it returns a tree at each stage rather than simply searching for the element. We have to check that the resulting tree maintains the binary search tree invariant, but this is easy to see, since we only ever insert a node n to the left of a node x when n is strictly less than x. (And similarly for insertion into the right subtree.)

Deletion is more complex, because there are several cases to consider. If the node we are trying to delete is not already in the tree, then delete can simply return the original tree. On the other hand, if the node is in the tree, there are three possibilities. First: the node to be deleted is a leaf. In that case, we simply remove the leaf node by replacing it with Empty. Second, the node to be deleted has exactly one child. This case too is easy to handle: we just replace the deleted node with its child tree. The last case is when the node to be deleted has two non-empty subtrees. The question is how delete the node while still maintaining the binary search tree invariant.

This requires a bit of cleverness. Observe that the left subtree must be non-empty, so it by definition contains a maximal element, call it m, that is still strictly less than n, the node to be deleted. Note also that m is strictly less than all of the nodes in the right subtree of n. Both of these properties follow from the binary search tree invariant. We can therefore promote m to replace n in the resulting tree, but we have to also remove m (which is guaranteed to not have a right subtree) at the same time.

Putting all of these observations together gives us the following code:
let rec tree_max (t:tree) : int = begin match t with |
  | Empty  -> failwith "tree_max called on empty tree"
  | Node(_,x,Empty) -> x
  | Node(_,_,rt) -> tree_max rt
end

let rec delete (n:int) (t:tree) : tree = begin match t with |
  | Empty  -> Empty
  | Node(lt,x,rt) -> |
    | if x = n then |
      begin match (lt,rt) with |
        | (Empty, Empty) -> Empty
        | (Node _, Empty) -> lt
        | (Empty, Node _) -> rt
        | _ -> let m = tree_max lt in Node(delete m lt, m, rt)
      end
    else
      if n < x then Node(delete n lt, x, rt)
    else Node(lt, x, delete n rt)
  end
Chapter 8

Generic Functions and Datatypes

Consider these two functions that compute the lengths of either an `int list` (length1) or a `string list` (length2):

```ocaml
let rec length1 (l:int list) : int = begin match l with |
    | [] -> 0 |
    | _::tl -> 1 + (length1 tl) end

let rec length2 (l:string list) : int = begin match l with |
    | [] -> 0 |
    | _::tl -> 1 + (length2 tl) end
```

Other than the type annotation on the argument `l`, both functions are identical—they follow exactly the same algorithm, independently of the kind of elements stored in the lists.

Computing a list length is an example of a generic function. In this case, the function is generic with respect to the type of list elements. Modern programming languages like OCaml (and also including Java and C#) provide support for writing such generic functions so that the same algorithm can be applied to many different input types.

For example, to write one `length` function that will work for any list, we can write:

```ocaml
(* a generic version of length *)
let rec length (l:'a list) : int = begin match l with |
    | [] -> 0 end
```
Generic Functions and Datatypes

The only difference between this generic version and the two above, is that the type of the argument \( l \) is a `list`. Here the `a` is a type variable; a place holder for types. The type of `length` says that it works for an input of type `a list` where `a` can be instantiated to any type.

For example, given the definition above, we can pass `length` a list of integers or a list of strings:

\[
\begin{align*}
\text{length} \ [1;2;3;4] & \quad (* \ 'a \ \text{instantiated to int} \ *) \\
\text{length} \ ["uno", "dos", "tres"] & \quad (* \ 'a \ \text{instantiated to string} \ *)
\end{align*}
\]

OCaml uses the type of the list passed in to `length` to figure out what the `a` should be. In the first case, the type `a` is instantiated to `int`, in the second, `a` is instantiated to `string`.

The `length` function doesn’t need to do anything with the elements of the list, but there are generic functions that can manipulate the list elements. For example, here is how we can write a generic `append` function that will take two lists of the same element type and compute the result of appending them:

\[
\begin{align*}
(* \ \text{generic append} \ *) \\
\text{let rec append} \ (l1:'a \ \text{list}) \ (l2:'a \ \text{list}) : 'a \ \text{list} = \\
\quad \begin{align*}
\text{match} \ l1 \ \text{with} \\
\quad | \ [\ ] & \Rightarrow \ l2 \\
\quad | \ h::t1 & \Rightarrow \ h::(\text{append} \ t1 \ l2)
\end{align*}
\end{align*}
\]

Here there are a couple of observations to make. First, the type variable `a` appears in the types of two different inputs (`l1` and `l2`); this means that whenever OCaml figures out what type `a` stands for, it must agree with both list arguments—it is not possible to call `append` with a `int list` as the first argument and a `string list` as the second argument. Second, the result type of the function also mentions `a`, which means that the element type of the resulting list is the same as the element types of both the input lists. Finally, note that we can still use pattern matching to manipulate generic data: since `l1` has type `a list` we know that inside the case for `cons` `h` must be of type `a` and `tl` itself has type `a list`.

Functions may be generic with respect to more than one type of value. For example, below is a generic version of the `zip` function that we saw in §4.5 (the version there worked only with inputs of type `int list` and `string list`):
let rec zip (l1:'a list) (l2:'b list) : ('a*'b) list = 
begin match (l1,l2) with 
| ([], []) -> []
| (h1::tl1, h2::tl2) -> (h1,h2)::(zip tl1 tl2)
| _ -> failwith "zip called on unequal length lists"
end

Some examples of using zip show how it behaves “the same” no matter which types the 'a and 'b variables are instantiated to:

- 'a = int and 'b = string:
  zip [1;2;3] ["uno", "dos", "tres"] \(\Rightarrow\) 
  [(1,"uno"); (2,"dos"); (3,"tres")]

- 'a = int and 'b = int:
  zip [1;2;3] [4;5;6] \(\Rightarrow\) 
  [(1,4); (2,5); (3,6)]

- 'a = bool and 'b = int:
  zip [true;false] [1;2] \(\Rightarrow\) 
  [(true,1); (false,2)]

### 8.1 User-defined generic datatypes

We saw in §5 how programmers can define their own datatypes in OCaml, but we haven’t yet seen how to define a generic datatype like OCaml’s built in list. The idea is straightforward: we create a generic datatype by parameterizing the type by type variables ('a, 'b, etc.) just like the ones used to write down the types in a generic function.

Recall the definition of int-labeled binary trees that we worked with in §6:

```ocaml
(* non-generic binary trees with int labels *)
type tree = 
  | Empty 
  | Node of tree * int * tree
```

We can make this into a generic binary tree type by adding a type parameter like so:

```ocaml
(* generic binary trees labeled by 'a values *)
type 'a tree = 
  | Empty 
  | Node of ('a tree) * 'a * ('a tree)
```
Note the differences: we have generic type 'a tree that represents binary trees all of whose nodes are contain values of type 'a. Different concrete instances of such trees may instantiate the 'a variable differently. The type variable 'a is a type, so it can be used as part of a tuple, as shown in the case for the Node constructor. The recursive occurrences of tree must also be parameterized by the same 'a—this ensures that all of the subtrees of an 'a tree have nodes consistently labeled by 'a values.

Here are some examples:

Node(Empty, 3, Empty) : int tree
Node(Empty, "abc", Empty) : string tree
Node(Node(Empty, (true, 3), Empty), (false, 4), Empty) : (bool * int) tree
Node(Node(Empty, 3, Empty), "abc", Empty) Error! ill-typed

Such generic datatypes can be computed with by pattern matching, just as we saw earlier. In particular, the constructors of the datatype form the patterns, and those patterns bind identifiers of the appropriate types within the branches. For example, we can write a generic function that “mirrors” (i.e. recursively swaps left and right subtrees) like this:

```ml
let rec mirror (t: 'a tree) : 'a tree =
begin match t with
| Empty -> Empty
| Node(lt, x, rt) -> Node(mirror rt, x, mirror lt)
end
```

In the branch for the Node constructor, the identifiers lt and rt have type 'a tree and identifier x has type 'a. Since this function doesn’t depend on any particular properties of 'a it is truly generic.

### 8.2 Why use generics?

Why are generic functions and datatypes valuable? They allow programmers to re-use algorithms in many contexts. For example, we can define lots of different list functions generically and then re-use them for any particular kind of list we happen to need. In particular, the designers of the generic list functions don’t have to be aware of what particular kind of list elements some future program might happen to use. A programmer may find herself needing a widget list in a graphics program, but if she needs to know its length, then the generic list length will do the trick. Importantly, generic functions work even for types not yet defined when the generic function or datatype was created.
This flexible re-use of code has another benefit: it means less work debugging lots of specialized versions of the same thing. If we had to write a list length function for every type of list element, then we would have to have many copies of essentially the same program. Such code duplication becomes a nightmare to maintain in larger-scale software systems. Imagine needing to keep twenty “almost identical but not quite” versions of the same function in sync—if you find a bug in one instance of the code, you have to patch it the same way in all nineteen other instances.
Chapter 9

First-class Functions

In this chapter, continue our tour of value-oriented (or “declarative”) program-
ming by studying the ramifications of a beautiful and amazing fact: functions are
values!

What do I mean by that? Well, just as the number 3 is an int that can be
used as an argument to a function or as a value computed by a function, functions
themselves can be used both as arguments to other functions and as the result of a
computation.

For example, consider the following function called twice:

```
let twice (f:int -> int) (x:int) : int =
f (f x)
```

twice itself takes an input f of function type! In this case, f should be an
int -> int function. What can twice do with f? It can only call the function or
pass it to some other function. Here, twice calls f on the result of calling f on the
argument x.

How do we use such a function? We can call twice by passing it an argument
of type int -> int. For example, suppose we define an add_one function:

```
let add_one (z:int) : int = z + 1
```

Then we can write the expression twice add_one 3, which will evaluate to
the value 5. To see why, we just follow the familiar rules of substitution:
twice add_one 3
     \[ \rightarrow \text{add_one (add_one 3)} \quad \text{substitute add_one for } f \text{ and } 3 \text{ for } x \text{ in twice} \]
     \[ \rightarrow \text{add_one (3 + 1)} \quad \text{substitute } 3 \text{ for } z \text{ in add_one} \]
     \[ \rightarrow \text{add_one } 4 \quad \text{because } 3+1 \rightarrow 4 \]
     \[ \rightarrow 4 + 1 \quad \text{substitute } 4 \text{ for } z \text{ in add_one} \]
     \[ \rightarrow 5 \quad \text{because } 4+1 \rightarrow 5 \]

Similarly, if we have the function square:

```ocaml
let square (z:int) : int = z * z
```

Then we have twice square 3 \(\rightarrow 81\) because calling square twice computes the \(z\) to the 4\(^{th}\) power.

### 9.1 Partial Application and Anonymous Functions

How do we return a function as the result of another function? Consider this example:

```ocaml
let make_incrementor (n:int) : int -> int =
  let helper (x:int) = n + x in
  helper
```

This function takes an int as input and returns a function of type int \(\rightarrow\) int. What does that function do? When it is called on some value \(x\), it will compute the result \(n + x\).

How does this function evaluate? If we apply make_incrementor to 3, we can compute as follows:

```ocaml
let make_incrementor 3
     \[ \rightarrow \text{let helper (x:int) = 3 + x in helper } \quad \text{substitute } 3 \text{ for } n \]
```

At this point, we seem to get stuck: what value is computed for helper?

More puzzling is how to think about a function that takes more than one argument. Suppose we apply the function to only one input—what happens then? Here’s an example:

```ocaml
let sum (x:int) (y:int) : int = x + y (* has two arguments *)
let sum_applied (x:int) : int -> int =
  sum x
```
The function \( \text{sum} \) has type \( \text{int} \to \text{int} \to \text{int} \). If we partially apply it—give it only some of its inputs—then we can treat that partial application as a function! In this case, since we partially apply \( \text{sum} \) to an integer \( x \), we are left with a function that expects only one input, namely \( y \).

To explain how to compute with such partially applied functions and functions as results, we need to introduce one new concept: the anonymous function. An anonymous function is exactly what the term implies—it is a function without a name. Using OCaml syntax, we can write an anonymous function like this:

\[
\text{fun} \ (x: \text{int}) \to x + 1
\]

Here, the keyword \textbf{fun} indicates that we are creating a value of function type. In this case, the function takes one input called \( (x: \text{int}) \), and the body of the function is the expression \( x + 1 \).

We can write an anonymous version of the \texttt{sum} function above like this:

\[
\text{fun} \ (x: \text{int}) \ (y: \text{int}) \to x + y
\]

These anonymous functions are values. If we want to give such a function a name, we can do so using the regular \texttt{let} notation. For example, the following definition is equivalent to the “named” version of \texttt{sum} given above:

\[
\text{let} \ \texttt{sum} : \text{int} \to \text{int} \to \text{int} = \text{fun} \ (x: \text{int}) \ (y: \text{int}) \to x + y
\]

\textbf{Note}: The syntax for anonymous functions, unlike named functions, does not have a place to write the return type. This is just an oddity of OCaml syntax; in practice OCaml can always figure out what the return type should be anyway.

We can apply an anonymous function just like any other function, by writing it next to its inputs and using parentheses to ensure proper grouping. We evaluate anonymous function applications by substituting argument value for the parameter name in the body of the function. In the case that there is more than one parameter, we simply keep around the \texttt{fun} \ldots \to \ldots parts until the function as been fully applied (i.e. it has been applied to enough parameters).

For example, let’s see how the anonymous version of \texttt{sum} evaluates when applied to just a single input:

\[
\text{fun} \ (x: \text{int}) \ (y: \text{int}) \to x + y \ 3
\]

\[
\to \text{fun} \ (y: \text{int}) \to 3 + y \quad \text{substitute 3 for x}
\]

The resulting anonymous function is the answer of such a computation. Having around anonymous functions means we can name such intermediate computations that result in functions. The fact that “named” definitions are just shorthand
for the \texttt{let}-named anonymous functions, means we can now see all of the steps in a computation as simple substitution and primitive operations:

\begin{verbatim}
let sum (x:int) (y:int) : int = x + y
let add_three = sum 3
let answer = add_three 39
\end{verbatim}

\[ \rightarrow (\text{by equivalence of named an let-bound anonymous forms}) \]

\begin{verbatim}
let sum = fun (x:int) (y:int) -> x + y
let add_three = sum 3
let answer = add_three 39
\end{verbatim}

\[ \rightarrow (\text{substituting the definition of } \text{sum}) \]

\begin{verbatim}
let sum = fun (x:int) (y:int) -> x + y
let add_three = (fun (x:int) (y:int) -> x + y) 3
let answer = add_three 39
\end{verbatim}

\[ \rightarrow (\text{substituting } 3 \text{ for } x) \]

\begin{verbatim}
let sum = fun (x:int) (y:int) -> x + y
let add_three = (fun (y:int) -> 3 + y)
let answer = add_three 39
\end{verbatim}

\[ \rightarrow (\text{substituting the definition of } \text{add_three}) \]

\begin{verbatim}
let sum = fun (x:int) (y:int) -> x + y
let add_three = (fun (y:int) -> 3 + y)
let answer = (fun (y:int) -> 3 + y) 39
\end{verbatim}

\[ \rightarrow (\text{substituting } 39 \text{ for } y) \]

\begin{verbatim}
let sum = fun (x:int) (y:int) -> x + y
let add_three = (fun (y:int) -> 3 + y)
let answer = 3 + 39
\end{verbatim}

\[ \rightarrow (\text{because } 3 + 39 \Rightarrow 42) \]
9.2 List transformation

What can we do with first-class functions? They provide a powerful way to share the common features of many algorithms. As a simple example, consider these two list operations that work for a simple phone list data structure:

```ocaml
let sum = fun (x:int) (y:int) -> x + y
let add_three = (fun (y:int) -> 3 + y)
let answer = 42
```

```
type entry = string * int

let phone_book = [ ("Stephanie", 2155559092);  
                  ("Tiernan",  2675551234);  
                  ("Samy",    2125558272) ]

let rec get_names (p : entry list) : string list =  
  begin match p with  
  | ([name, num]::rest) -> name :: get_names rest  
  | [] -> []  
  end

let rec get_numbers (p : entry list) : int list =  
  begin match p with  
  | ([name, num]::rest) -> num :: get_numbers rest  
  | [] -> []  
  end
```

These functions are nearly identical—each one processes the elements of the input list of phone number entries in turn, projecting out either the name or the number as appropriate.

We can reorganize this program to exploit that common structure by creating a helper function parameterized by a function that says what to do with each entry:

```ocaml
let rec helper (f : entry -> 'a) (p : entry list) : 'a list =  
  begin match p with  
  | ([entry::rest]) -> f entry :: helper f rest  
  | [] -> []  
  end
```
After factoring out this common algorithm, we can then express \texttt{get_names} and \texttt{get_numbers} in terms of this helper by remembering that the \texttt{fst} function returns the first element of a pair and the \texttt{snd} function returns the second element.

\begin{verbatim}
let get_names (p : phone_entry list) : string list = 
  helper fst p (* recall: fst (x,y) = x *)
let get_numbers (p : phone_entry list) : int list = 
  helper snd p (* recall: snd (x,y) = y * )
\end{verbatim}

Now observe that the helper function doesn’t really depend on the fact that it is processing phone entries. We can further generalize by observing that the helper can be made to work over all lists, regardless of their element types, by simply giving \( f \) the right type. This leads to the following function, called \texttt{transform}:\(^1\)

\begin{verbatim}
let rec transform (f:'a -> 'b) (l:'a list) : 'b list = 
  begin match l with
  | [] -> []
  | h::tl -> (f h)::(transform f tl)
  end
\end{verbatim}

This list transformer applies the function \( f \) to each element of the input list and returns the resulting list—it transforms a list of \( 'a \) values into a list of \( 'b \) values. Such transformations are extremely fundamental to any list-processing programs, so this operation is very useful in practice. It also combines well with anonymous functions, since you can pass an anonymous function as the argument \( f \).

Let’s look at some examples:

\begin{verbatim}
transform String.uppercase ["abc"; "dog"; "cat"]
⇒ ["ABC"; "DOG"; "CAT"]
transform (fun (x:int) -> x+1) [1;2;3;4]
⇒ [2;3;4;5]
transform (fun (x:int) -> x * x) [1;2;3;4]
⇒ [1;4;9;16]
transform string_of_int [1;2;3]
⇒ ["1"; "2"; "3"]
transform (fun (x:(int*int)) -> (fst x) + (snd x)) [(1,2); (3,4); (5,6)]
⇒ [3; 7; 11]
\end{verbatim}

\(^1\)In an unfortunate accident of fate, the \texttt{transform} function is more commonly called \texttt{map}—the intuition is that the function \texttt{maps} a given function across each element of the list. This use of the word “map” is not to be confused with the abstract type of finite maps that we will see later in §10.3.
9.3 List fold

The list transformation function captures one common idiom of list processing, but it is possible to generalize even further. Consider these three functions that are defined using the standard list recursion pattern:

```ml
let rec length (l:'a list) : int = begin match l with
  | [] -> 0 (* base case *)
  | x::tl -> 1 + (length tl) (* combine x and (length tl) *)
end

let rec exists (l:bool list) : bool = begin match l with
  | [] -> false (* base case *)
  | x::tl -> x || (exists tl) (* combine x and (exists tl) *)
end

let rec reverse (l:'a list) : 'a list = begin match l with
  | [] -> [] (* base case *)
  | x::tl -> (reverse tl) @ [x] (* combine x and (reverse tl) *)
end
```

The comments in the code above indicate the common features of these functions. For any function defined by structural recursion over lists, there are two things to consider: First, what should the function return in the case that the list is empty? This is called the base case of the recursion because it is where the chain of recursive calls “bottoms out.” Second, assuming that you know the value computed by the recursive call on the tail of the list, how do you combine that result with the head of the list to compute the answer for the whole list?

In the case of the the list length function, for example, the base case says that the empty list has length 0. The recursive case combines the value of the recursive call length tl with the head of the list (which happens to be ignored) to compute 1 + (length tl).

For the exists function, which determines whether a list of bool values contains true, the base case indicates that the empty list does not contain true (i.e. the result is false). The recursive case computes the answer for the whole list with head x and tail tl by simply returning true either when x is true or when exists tl evaluates to true—combining the head with the recursive call is just taking their logical “or”.

For reverse, the base case says that reversing the empty list is just the empty list, and the recursive case says that we can combine the reversal of the tail with
x to obtain a completely reversed list by just appending \([x]\) at then end of the reversed tail.

So what? All three functions follow the same recursive pattern. We can expose this common structure by creating a single function that is parameterized by the base value and the combine operation—those are the only places where our three examples differ.

Let’s call this function \(\text{fold}\)—it “folds up” a list into an answer by following structural recursion. To make \(\text{fold}\) as generic as possible, let’s consider implementing it for an arbitrary list of type \(a\) list. The result type of a structurally recursive function varies from application to application, so we expect the result type of \(\text{fold}\) to be generic, and, as shown by the length and exists examples, it could be different from the element type of the list we’re folding over. So, the return type of \(\text{fold}\) should be some type \(b\). Those choices dictate the type of base and combine: base must have type \(b\) since it is the “answer” for the empty list. Similarly, combine takes the head element of the list, which has type \(a\), and the answer obtained from the recursive call on the tail of the list, which has type \(b\), and produces an answer, which must also be of type \(b\).

These considerations lead us to this definition of \(\text{fold}\):

```ocaml
let rec fold (combine : 'a -> 'b -> 'b) (base : 'b) (l : 'a list) : 'b =
begin
  match l with
  | [] -> base
  | x::tl -> combine x (fold combine base tl)
end
```

This recursive function is embodies the essence of structural recursion over lists—it is parameterized exactly where there can be some choice about what to do. Note that the first argument passed to \(\text{combine}\) is \(x\) and that the second argument is the result of recursively folding (with the same \(\text{combine}\) and \(\text{base}\)) over the \(t\).

What is \(\text{fold}\) useful for? Well, we can easily re-implement the three examples above like this:

```ocaml
let length2 (l : 'a list) : int =
fold (fun (x : 'a) (length_tl : int) -> 1 + length_tl) 0 l

let exists2 (l : bool list) : bool =
fold (fun (x : bool) (exists_tl : bool) -> x || exists_tl) false l

let reverse2 (l : 'a list) : 'a list =
fold (fun (x : 'a) (reverse_tl : 'a list) -> reverse_tl @ [x]) [] l
```
I’ve named the second parameter of the anonymous functions that get passed as fold’s combine operation to remind us how that parameter is related to the recursive call—there is no other particular significance to the choice of length_tl, for example. We could equally well have written length2 like this:

```ocaml
let length2 (l:'a list) : int =
    fold (fun (x:'a) (y:int) -> 1 + y) 0 l
```

Any function that you can write by by structural recursion can be expressed using fold. Here, for example, is how to reimplement the transform function:

```ocaml
let transform (f:'a -> 'b) (l:'a list) : 'b list =
    fold (fun (x:'a) (trans_tl:'b list) -> (f x)::trans_tl) [] l
```
Chapter 10

Modularity and Abstraction

In this chapter we consider another mechanism for re-using code in different contexts: abstract types and modules. The key idea of an abstract type is to bundle together the name of a fresh type together with operations for working with that new type. This interface specifies all of the ways that values of the new type can be created and used. The type is considered to be abstract because the interface does not reveal details about how the type is implemented “behind the scenes”. Instead, various code modules can each provide different implementations of the same interface, perhaps with different performance characteristics.

10.1 A motivating example: finite sets

Recall from your mathematics courses the notion of a set. A set is an un-ordered collection of distinct elements. In mathematical notation, sets are usually written by writing down elements inside of { and } brackets, though sometimes the empty set is written ∅. Here are some examples:

\{1, 2, 3, 4\}
\{a, b, c\}
\{(1, 2), (3, 4), (5, 6)\}

Even though these sets are written using a list-like notation, the order of the elements doesn’t matter. That is, according to mathematics:

\{1, 2, 3\} = \{3, 2, 1\} = \{2, 1, 3\}

Given a set \(S\), we use the mathematical notation \(x \in S\) to indicate the proposition that \(x\) is an element of the set \(S\). Therefore, we have, for example:

\[1 \in \{1, 2, 3\}\]
In math, we have various operations that operate on sets. For example, we can combine two sets by taking their union, written \( S_1 \cup S_2 \), which is the set containing exactly the elements found in either \( S_1 \) or \( S_2 \):

\[
\{1, 2, 3\} \cup \{2, 3, 4, 5\} = \{1, 2, 3, 4, 5\}
\]

Similarly, set intersection \( S_1 \cap S_2 \) is the set containing exactly the elements found in both \( S_1 \) and \( S_2 \):

\[
\{1, 2, 3\} \cap \{2, 3, 4, 5\} = \{2, 3\}
\]

Just as the list abstraction occurs naturally in many problem domains, so too does the notion of set: the set of students in a class, the set of coordinates that make up a picture, the set of answers to a survey, the set of data samples from an experiment, etc. That’s why the idea of a “set” occurs so frequently in math and computer science—it’s a really fundamental concept that appears just about everywhere.

The difference for programming is that OCaml already provides a built-in notion of lists, but the programmer has to implement the set abstraction herself.\(^1\)

### 10.2 Abstract types and modularity

Suppose we want to implement a type of sets in OCaml. How do we go about that process? The first step of design, as always, is to understand the problem—what concepts are involved and how do they relate to one another. Clearly, sets contain elements, but, just as we can have a list of integers and a list of strings, the element type can vary from set to set. Thus, we expect the set type to be generic over its element type:

```ocaml
type 'a set = ...
```

How do we create a set and how do we manipulate the sets once we have them? Here there are many possible design alternatives: we are looking for a simple list of operations that will allow us to create and use sets flexibly. We certainly need a way of creating an empty set, and it seems reasonable to be able to add an element to or remove an element from an existing set. Taking a cue from mathematics, we might also consider adding a union operation. It is also worth thinking about how sets relate to other datatypes like lists: for example, we might want to be able to

---

\(^1\)Actually OCaml’s libraries do provide an implementation of sets in the Set module; here we’ll see how one could write this library oneself.
create a set out of a list of elements. Putting all of these considerations together, we arrive at the following operations for creating sets:

```
let empty : 'a set = ...
let add (x:'a) (s:'a set) : 'a set = ...
let remove (x:'a) (s:'a set) : 'a set = ...
let union (s1:'a set)(s2:'a set) : 'a set = ...
let list_to_set (l:'a list) : 'a set = ...
```

We also need a way of examining the contents of a set, determining whether a given set is empty, or whether it is equal to another set. It might also be useful to be able to enumerate the elements of a set as a list. This yields these further operations:

```
let is_empty (x:'a set) : bool = ...
let member (x:'a) (s:'a set) : bool = ...
let equal (s1:'a set) (s2:'a set) : bool = ...
let elements (s:'a set) : 'a list = ...
```

**Interfaces: `.mli` files and signatures**

Having understood the concepts related to the set datatype and identified the operations that connect them, we can now proceed to the second step of the design process: formalizing the interface. To do so, we need to understand a bit about how programming languages package together code as re-usable components.

In programming languages jargon, a *module* is an independently-compilable collection of code that (typically) provides a few data types and their associated operations. Modules provide a way of decomposing large software projects into several different pieces, each of which can be developed in isolation. Modules that are intended to provide common and widely-used implementations of datastructures, algorithms, or other operations, are often called *libraries*.

A key feature of modules is that they provide boundaries between different parts of a program. Modules separate code at *interfaces*, which specify the ways in which external code (outside the module) can legally interact with the module’s *implementation*, which is the code inside the module that determines the behavior of the module’s operations.

The point of the interface is that code outside the module can be written only with reference to the interface—the external code can’t (and shouldn’t) depend on the particular details of how the operations supported by the interface are implemented.
Different programming languages provide different mechanisms for specifying module interfaces—C uses “header” files and Java uses the \texttt{interface} keyword, for example. As we shall see, OCaml uses either a \texttt{.mli} file or a “module type signature”. The commonality among these approaches is the ability to write down a specification using the types of the operations in the module.

For the ‘a set example above, if we look at only the types of each of the operations, we are left with this type signature:

\begin{verbatim}
  type 'a set (* 'a is the element type *)
  val empty : 'a set
  val add : 'a -> 'a set -> 'a set
  val union : 'a set -> 'a set -> 'a set
  val remove : 'a -> 'a set -> 'a set
  val list_to_set : 'a list -> 'a set
  val is_empty : 'a set -> bool
  val member : 'a -> 'a set -> bool
  val equal : 'a set -> 'a set -> bool
  val elements : 'a set -> 'a list
\end{verbatim}

Note that we are using the “arrow” notation to specify function types (see §2.7), so we can read the type of \texttt{add}, for example, as a function that takes a value of type ‘\texttt{a} and and ‘\texttt{a set} and returns an ‘\texttt{a set}. Also note that, unlike an implementation, we use the keyword \texttt{val} (instead of \texttt{let}) to say that any module that satisfies this interface will provide a named value of the appropriate type. So any implementation of the \texttt{set} module must provide an \texttt{add} function with the type mentioned above.

OCaml provides two ways of defining module interfaces. The first way is to use OCaml modules corresponding to file names. In this style, we put the above interface code in a file ending with the \texttt{.mli} extension, for example \texttt{ListSet.mli}, and the implementation in a similarly-named \texttt{.ml} file, for example \texttt{ListSet.ml}. The “i” part of the file extension stands for “interface”, and each OCaml \texttt{.ml} file is, by default, associated with the correspondingly named \texttt{.mli} file.\footnote{In fact, if you don’t create a \texttt{.mli} file for a given \texttt{.ml} file, the OCaml compiler will create one for you by figuring out the most liberal interface it can for the given implementation. You may have noticed these files appearing when you work with OCaml projects in Eclipse.}

The second way to define an interface is to use an explicitly named module type signature. For example, we might put the following type signature in a file called \texttt{MySet.ml}:
Modularity and Abstraction

module type Set = sig (* A named interface called Set *)
  type 'a set  (* 'a is the element type *)

  val empty : 'a set
  val add : 'a -> 'a set -> 'a set
  val union : 'a set -> 'a set -> 'a set
  val remove : 'a -> 'a set -> 'a set
  val list_to_set : 'a list -> 'a set

  val is_empty : 'a set -> bool
  val member : 'a -> 'a set -> bool
  val equal : 'a set -> 'a set -> bool
  val elements : 'a set -> 'a list
end

This program gives the name Set to the interface (a.k.a. module type) defined by the signature between the sig and end keywords. Other code can appear before or after this declaration, but it won’t be considered part of the Set signature.

We can also create an explicitly-named module with a given interface using a similar notation. Rather than put the code implementing each set operation in a .ml file, we do this:

module LSet : Set = struct
  type 'a set = ...

  let empty : 'a set = ...
  let add (x:'a) (s:'a set) : 'a set = ...
  let remove (x:'a) (s:'a set) : 'a set = ...
  let union (s1:'a set)(s2:'a set) : 'a set = ...
  let list_to_set (l:'a list) : 'a set = ...

  let is_empty (x:'a set) : bool = ...
  let member (x:'a) (s:'a set) : bool = ...
  let equal (s1:'a set) (s2:'a set) : bool = ...
  let elements (s:'a set) : 'a list = ...
end

Here the keywords struct and end delineate the code that is considered to be part of the LSet module. The advantage of having a named interface is that we can re-use it in other contexts. For example, we might create a second, more efficient, implementation of sets in a new module:
Regardless of whether we choose to use .mli files or explicitly-named interfaces, OCaml will check to make sure that the implementation actually complies with the interface. This means that every operation, type, or value declared in the interface must have an identically-named, but fully realized, implementation in the module. Moreover, OCaml will check that the implementation and the interface agree with respect to the types they use. The implementation may include more than necessary to meet the interface—it can contain extra types, helper functions, or auxiliary values that aren’t revealed by the interface.

Because each file of an OCaml program corresponds to a module, if we want to access components of one file from another file, we have to either use the module “dot” notation or open the module to expose the identifiers it defines. For example, if we have defined the set module in ListSet.ml (whose interface is given by ListSet.mli), and we want to use those operations in a different module found in Foo.ml, we write ListSet.<identifier> inside of Foo.ml. For example, we might write:

```ocaml
let add_to_set (s:int ListSet.set) : int ListSet.set =
  ListSet.add 1 (ListSet.add 2 s)
```

This can become burdensome, so OCaml also provides the open command, which reveals all of the operations defined in a module’s interface without the need to use the ListSet. prefix. The following is equivalent to the above:

```ocaml
;; open ListSet

let add_to_set (s:int set) : int set =
  add 1 (add 2 s)
```

There is one gotcha—if we use explicitly named modules, we still need to either explicitly use dot notation for the implicitly defined module corresponding to the filename. For example, if the Set interface and the two modules LSet and BSet were all defined in the MySet.ml file, we could write:

```ocaml
;; open MySet   (* reveal the LSet and BSet modules *)

(* work with LSet values *)
```
Implementations and Invariants

The power of abstract types as embodied by modules and interfaces is that the interface can hide representation details from clients of the module. In particular, the interface can omit the definition of how a particular type is implemented internally to the module.

Consider the Set module, for example. There are many possible ways we could imagine implementing a data structure for sets. Since sets are similar to lists, except that sets contain no duplicates and are considered to be unordered, we might choose to represent a set by a list subject to an invariant that is enforced by the implementing module.

As specific examples, here are just a few of the many possible representations for the abstract type 'a set, along with an invariant that might be useful for implementing the set:

<table>
<thead>
<tr>
<th>Representation Type</th>
<th>Invariant</th>
</tr>
</thead>
<tbody>
<tr>
<td>'a list</td>
<td>no duplicate elements</td>
</tr>
<tr>
<td>'a list</td>
<td>no duplicates, in sorted order</td>
</tr>
<tr>
<td>'a tree</td>
<td>no duplicate elements</td>
</tr>
<tr>
<td>'a tree</td>
<td>binary-search-tree invariants</td>
</tr>
</tbody>
</table>

Inside a module implementing the Set interface, we are free to choose any suitable type and invariants for concretely representing the abstract type 'a set. Inside the module, we can then implement the set operations in terms of that representation type. Crucially, if we are careful to ensure that any value of the abstract type produced by the module satisfies the representation invariants, we can assume that any such values passed in to the functions of the module will already satisfy the invariants—external code cannot violate the representation invariants.

Let us see how this is helpful by example. Suppose that we choose to implement the Set interface using 'a list as the representation type and “no duplicates” as the invariant. We can proceed to implement the functions of the Set interface like so:
The choice of which invariants to maintain can impact the implementation of various operations. For example, to implement the equals operation on sets when representing them as lists with the “no duplicates” invariant, we must check that each element of the first list is a member of the second, and vice-versa. This expensive equality check is necessary because the invariant doesn’t say anything about the ordering of elements in the list, and sets are supposed to be unordered.

On the other hand, if we had chosen a stronger invariant, such as representing a set as a sorted list of elements (with no duplicates), then testing for equality simply amounts to checking that each list contains the same elements in order. The tradeoff is that with this stronger invariant, the add function becomes more
expensive—we have to insert the newly added element at the appropriate location to maintain the sorting invariant.

10.3 Another example: Finite Maps

As another example of an abstract type, consider the problem of implementing a finite map, which is a data structure that keeps track of a finite set of keys, each of which is associated with a particular value. These kinds of data structures are useful for representing things like dictionaries—here the keys are words and the values are their definitions. We could also use a finite map to capture the relationship between a collection of students and their majors in college.

Using an informal notation, we might write down a finite map from students to their majors like this:

Alice $\mapsto$ CSCI
Bob $\mapsto$ ESE
Chuck $\mapsto$ FNCE
Don $\mapsto$ BIOL
...

As with the sets, we can then think about which operations are needed to work with finite maps. Clearly we need ways of creating finite maps, adding key–value bindings to an existing map, looking up the value that corresponds to a key, etc.

After some thought, we might arrive at an interface for finite maps that looks like this:

```ocaml
module type Map = sig
(* a finite map from keys of type 'k to values of type 'v *)
val empty : ('k, 'v) map
val add : 'k -> 'v -> ('k, 'v) map -> ('k, 'v) map
val remove : 'k -> ('k, 'v) map -> ('k, 'v) map

(* ways to ask about the contents of a finite map *)
val mem : 'k -> ('k, 'v) map -> bool
val get : 'k -> ('k, 'v) map -> 'v

(* Returns a list of all of the entries contained in this map.*)
end
```

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val entries : ('k, 'v) map -> ('k * 'v) list

(* Compares this map with another for equality. Returns true if both maps represent the same mappings. More formally, two maps m1 and m2 represent the same mappings if entries m1 = entries m2. *)

val equals : ('k, 'v) map -> ('k, 'v) map -> bool

Furthermore, we can think about the properties of a finite map.
Our test cases might work with a few maps, constructed from the functions of the map interface.

let m1 : (int, string) map = add 1 "uno" empty
let m2 : (int, string) map = add 1 "un" m1

For example, these test cases can specify what happens when we look for keys and access the associated values for keys that may or may not exist in the map.

(* test whether the key exists in the map *)
let test () : bool = mem 1 m1
;; run_test "mem 1 m1" test

(* test key does not exist in the map *)
let test () : bool = not (mem 2 m1)
;; run_test "mem 2 m1" test

(* access value for key in the map *)
let test () : bool = get 1 m1 = "uno"
;; run_test "find 1 m1" test

(* find for value that does not exist in the map? *)
let test () : bool = get 2 m1 = "dos"
;; run_failing_test "find 2 m1" test

(* list entries for this simple map *)
let test () : bool =
Furthermore, the second map updates the value associated with the key 1. We should be able access this new value.

```ocaml
(* find after redefining value, should be new value *)
let test () : bool = 
  get 1 m2 = "un"
;; run_test "find 1 m2" test

(* entries after redefining value, should only show new value *)
let test () : bool = 
  entries m2 = [(1, "un")]
;; run_test "entries m2" test

(* entries after removing redefined value *)
let test () : bool = 
  entries (remove 1 m2) = []
;; run_test "entries after deletion" test
```

Also as with sets, we can imagine many ways of concretely implementing such a finite map interface. For example, we can represent the type ('k,'v) map as a list of 'k*'v pairs, perhaps with an invariant that requires that the most recently added value for a given key appears closer to the beginning of the list. We could also choose to implement finite maps using binary search trees, where we index the nodes by the key component and also store a value with each key.

If we follow the first approach (without the invariant), we might end up with this implementation of the interface above:

```ocaml
module ListMap : Map = struct

  type ('k,'v) map = ('k * 'v) list

  let empty : ('k,'v) map = []

  let add (k:'k) (v:'v) (m:('k,'v) map) : ('k,'v) map =
    (k,v)::m

  let rec mem (k:'k) (m:('k,'v) map) : bool =
    begin match m with
    | [] -> false
    | (k1,_)::rest -> k1=k || mem k rest
    end

end
```

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let rec get (k:'k) (m:('k,'v) map) : 'v = begin match m with | [] -> failwith "Not found" | (k1,v)::rest -> if k1=k then v else get k rest end

let rec remove (k:'k) (m:('k,'v) map) : ('k,'v) map = begin match m with | [] -> [] | (k1,v1)::rest -> if k1=k then remove k rest else (k1,v1)::(remove k rest) end

let rec dedup m = begin match m with | [] -> [] | (k1,v1) :: tl -> (k1,v1) :: dedup (remove k1 tl) end

let entries (m : ('k,'v) map) : ('k * 'v) list = let unique = dedup m in List.sort (fun (k1,_) (k2,_) -> compare k1 k2) unique

let equals (m1:('k,'v) map) (m2:('k,'v) map) : bool = entries m1 = entries m2

10.4 Type checking

How does the OCaml type checker work? Let’s make a brief digression at this point to talk about what the OCaml compiler is actually doing when it checks your code for typing errors during compilation.

Historical note: The algorithm that OCaml uses is known as the Hindley-Damas-Milner type inference algorithm. This type system and its type checking algorithm
were independently discovered by the logician Roger Hindley, and by the computer scientist Robin Milner and his graduate student Luis Damas. Robin Milner was, among other things the original inventor of the ML language (for “Meta Language”) which is where here OCaml gets it’s “ML”. If you would like historical background on the design of ML, you can read about it in the article “The History of Standard ML”, by David MacQueen, Robert Harper and John Reppy.

Overview

The OCaml compiler does type checking in order to identify a class of errors in your program known as type errors. By this point in the course, you have probably encountered your share of type errors when trying to complete your homework. The fact that the compiler can detect type errors at run time is an important feature of the OCaml language. Each type error pointed out by the compiler is a bug in your assignment that you did not need to write a test case to discover.

But what does the OCaml compiler do during type checking?

The key idea of type checking is that OCaml needs to infer the type of every subexpression in your program and make sure that the inferred type is consistent with its context—i.e. does the type of each expression match what type was expected at that point?

Let’s pretend to be the OCaml type checker to understand how this process works.

1. Identify the types of simple expressions, such as constants and identifiers.

   In the base case, expressions that are just constant values have “obvious” types. For example, if we see any of the constants in the table below, we instantly know what their types are.

   -1, 0, 1, 2, 3 int
   -1.3, 0.2, 1., 1.5 float
   true, false bool
   "hello cis1200" string

   Furthermore, identifiers might have type annotations that tell us their types. For example, if we see the following declaration at top level

   ```
   let x : string = f 3 true
   ```

   Available from: https://dl.acm.org/doi/10.1145/3386336
or if we are type checking the body of a function with a declaration of the form

```ocaml
let g (x:string) : bool = ...
```

then we will know that uses of the identifier `x` should have type `string`, even if we don’t know its actual value.

2. **Identify the types of compound expressions by first identifying the types of their subexpressions.**

We can determine the type of a tuple by looking at the types of each of its components.

For example, the expression `(3, "hello")` has the tuple type `int * string` because the first component of the tuple has type `int` and the second component has type `string`. Even if the subexpressions of a tuple are quite large, as long as we can figure out what their types are, we can determine the type of the whole tuple.

Similar reasoning applies to lists (where every element of the list must have the same type) and binary trees (where the left and right children must be subtrees that store the same types of values as the nodes of this tree.

In other words, we can tell that an expression

```ocaml
1 :: 2 :: 3 :: []
```

has type `int list` because every value in the list has type `int`.

Similarly the expression

```ocaml
Node (Empty, 3, Node (Empty, 4, Empty))
```

has type `int tree` because every value in the tree has type `int`.

For anonymous functions, we need only look at the types of the arguments and the types of the body of the function to determine the type of the expression.

For example, the anonymous function expression
fun (x:int) -> x :: x :: []

has type \texttt{int -> int list}, because it has a single parameter of type \texttt{int} (called \texttt{x}) and because the body of the function returns a list of \texttt{ints}.

3. \textit{At each function application, make sure that the type of the argument matches the type that the function expects for its parameter.}

This is where the real checking happens with type checking. If we have a function \( f \) of some type \( T_1 \rightarrow T_2 \), and an expression \( e \) of type \( T_3 \). Then, an application of the form \( f \ e \) has type \( T_2 \), as long as we know that type \( T_1 \) is equal to type \( T_3 \).

For example, let’s type check the expression

\[
(fun (x:int) (y:bool) -> y) \, 3
\]

This expression is an application of an anonymous function to an argument, \texttt{3}. Therefore, the first thing that we have to do is figure out the type of the function.

An anonymous function of this form has some type \texttt{int -> bool -> ???} because it takes two parameters, \( x \) and \( y \). The result type of this function is determined by the type of the body of the function. In this case, the body is just the identifier \( y \), which we know has type \texttt{bool}. Therefore, we can determine that the function has type

\[
\texttt{int -> bool -> bool}
\]

which we can equivalently write as

\[
\texttt{int -> (bool -> bool)}
\]

The argument to this function in our original expression, \texttt{3}, has type \texttt{int}. We can see that the actual type of this argument matches the expected type of the first argument of the function. Therefore the type of the whole application expression is \texttt{bool -> bool}. 
4. **If at any point of this process a certain type is unconstrained, generalize it.**

Sometimes, the OCaml compiler doesn’t have complete type information during type checking. This could occur when the type of a variable has not been provided, or when a type includes a generic type parameter, such as 'a.

For example, what if we are type checking the definition:

```ocaml
let f = fun (x:'a) -> x :: x :: x :: []
```

In this case, when we compute the type of the function, we only know that the parameter x has some type 'a. We don’t know anything else about this type. In the body of the function, we can see that x is used, several times, to construct a list. But this use does not constrain the type of x in any way.

Therefore, we can determine that f has a generic type: 'a -> 'a list.

Contrast this definition to the following example.

```ocaml
let g = fun (x:'a) (y:'a) -> x + 1
```

Here, the type of the parameter is again annotated to be 'a. But this time, we can see that it is used in an addition expression. Therefore, the compiler can determine that the type 'a must actually be int. In other words, we have unified the type parameter 'a with the type int. This holds for other uses of 'a too – the type of the parameter y must also be int even though the parameter is not used anywhere in the function.

Therefore the type of g must be int -> int -> int.

5. **When applying a generic function, use unification to determine the type instantiation.**

What happens in Step 3 if we are applying a generic function? How do we check that an argument to a function has the appropriate type? How do we calculate the type of the result.

Now let’s consider the application expression f 3, where f, as defined above, has the generic type 'a -> 'a list. When we compare the type of the argument int, with the expected type of the function 'a, we can unify the type variable 'a with int, but only within this function call. In this way, we say that we are instantiating the type of the generic function. In this example, because we have determined that 'a is int for this function application,
we know that the result type of \( f \ 3 \) is \texttt{int list}. If we had applied \( f \) with a different type of argument, say the boolean value \texttt{true}, then we would get a different result type through unification (namely \texttt{bool list}). Each use of \( f \) is resolved individually — even though we may use \( f \) with an \texttt{int} in one place in our code, we can use it at a different type elsewhere.

**Extended example**

Given the following set of generic operations for finite maps,

```haskell
empty : ('k, 'v) map
add : 'k \rightarrow 'v \rightarrow ('k, 'v) map \rightarrow ('k, 'v) map
entries : ('k, 'v) map \rightarrow ('k * 'v) list
```

let’s walk through the process of type checking the following expression.

```haskell
fun (x:'v) -> entries (add 3 x empty)
```

This example uses the library for generic finite maps defined in the previous section. The type \( ('k, 'v) \) map is the type of a finite map parameterized by some key type \( 'k \) and value type \( 'v \). The operations for this data structure are generic in these two different type parameters.

We know that the expression above is an anonymous function, so its type must be of the following form.

\[ 'v \rightarrow ?? \]

To fill in the \( ?? \) above, we need to determine the type of the body of the expression, i.e. the type of \( \text{entries} \ (\text{add} \ 3 \ x \ \text{empty}) \).

From the library declarations, we can see that \( \text{entries} \) takes an argument of the map type and returns a list of pairs. But to figure out what the key and value types are, we'll need to look at the argument of \( \text{entries} \ ((\text{add} \ 3 \ x \ \text{empty})) \) to see what sort of finite map that expression produces.

The \text{add} function is also generic and takes three arguments. When we look at the first argument (\( 3 \)), we can match up its type with \( 'k \), the type of the first parameter to \text{add}. So we know that in this function call \( \text{(add} \ 3 \ x \ \text{empty}) \) the type parameter \( 'k \) will be resolved to be \texttt{int}. The second parameter, \( x \) has type \( 'v \) from the annotation of the anonymous function. We’ll match up this \( 'v \) with the \( 'v \) in the type of \text{add} and know that the value type will continue to be generic.
in this example. Finally, the third argument is `empty`. This value also has a generic type. The application requires an argument of type `(int, 'v)` map and, because `empty` works for any key type, this argument suffices.

Therefore, the result type of the application `add 3 x empty` is `(int, 'v)` map. Comparing that type with the type of the argument to `entries` fixes the parameter `'k` to be `int` and the parameter `'v` to be `'v`. Therefore the result type of `entries` is instantiated to `(int * 'v) list`.

As a consequence, we know that the type of the complete expression

```
'v -> (int * 'v) list
```

is also generic, because there is nothing about the definition that constrains the type of values stored in the finite map.
Chapter 11

Partial Functions: option types

Consider the problem of computing the maximum integer from a list of integers. At first sight, such a problem seems simple—we simply look at each element of the list and retain the maximum. We can start to program this functionality very straightforwardly by using the by-now-familiar list recursion pattern:

```ocaml
let rec list_max (l:int list) : int =
  begin match l with
  | [] -> (* what to do here? *)
  | x::tl -> max x (list_max tl)
  end
```

Unfortunately, this program doesn’t have a good answer in the case that the list is empty—there is no “maximum” element of the empty list.

What can we do? One possibility is to simply have the `list_max` function fail whenever it is called on an empty list. This solution requires that we handle three separate cases, as shown below:

```ocaml
let rec list_max (l:int list) : int =
  begin match l with
  | [] -> failwith "list_max called on []"
  | x::[] -> x
  | x::tl -> max x (list_max tl)
  end
```

The cases cover the empty list, the singleton list, and a list of two-or more elements. We have to separate out the singleton list as a special case because it is the first length for which the `list_max` function is well defined.

This solution is OK, and can be very appropriate if we happen to know by external reasoning that `list_max` will never be called on an empty lists. We saw
such use of failure in the `tree_max` function used to find the maximal element of a nonempty binary search tree in §6. However, what if we can’t guarantee that the `list_max` function won’t be called on an empty list? How else could we handle this possibility without failing, and thereby aborting the program\(^1\)

The problem is that `list_max` is an example of a partial function—it isn’t well-defined for all possible inputs. Other examples of partial functions that you have encountered are the integer division operation, which isn’t defined when dividing by 0, and the `Map.find` function, which can’t return a good value in the case that a key isn’t in its set of key–value bindings.

It turns out that we can do better than failing, and, moreover, we already have all the tools needed. The idea is to create a datatype that explicitly represents the absence of a value. We call this datatype the `'a option` datatype, and it is defined like this:

```ocaml
type 'a option =
| None
| Some of 'a
```

There are only two cases: either the value is missing, represented by the constructor `None`, or the value is present, represented by `Some v`. As with any other datatype, we use pattern matching to determine which case occurs.

Option types are very useful for representing the lack of a particular value. For a partial function like `list_max`, we can alter the return type to specify that the result is optional. Doing so leads to an implementation like this:

```ocaml
let rec list_max (l:int list) : int option =
  begin match l with
  | [] -> None (* indicates partiality *)
  | x::tl -> begin match (list_max tl) with
    | None -> Some x
    | Some m -> Some max x m
  end
  end
```

As you can see, this implementation handles the same three cases as in the one that uses `failwith`; the difference is that after the recursive call we must explicitly check (by pattern matching against the result) whether `list_max tl` is well defined.

\(^1\)OCaml, like Java and other modern languages, supports exceptions that can be caught and handled to prevent the program from aborting in the case of a failure. Exceptions are another way of dealing with partiality; we will cover them later in the course.
At first blush, this seems like a rather awkward programming style, and the need to explicitly check for None versus Some vorerous. However, it is often possible to write the program in such a way such checks can be avoided. For example, here is a cleaner way to write the same list_max function by using fold:

```ocaml
let rec list_max (l:int list) : int option =
  begin match l with
  | []       -> None
  | x::tl     -> Some (fold max x tl)
  end
```

The expression fold max x tl takes the maximum element from among those in tl and x, which is always well-defined.

It is also worth pointing out that because the type 'a option is distinct from the type 'a, it is never possible to introduce a bug by confusing them—OCaml will force the programmer to do a pattern match before being able to get at the 'a value in an 'a option.

For example, suppose we wanted to find the sum of the maximum values of each of two lists. We can write this program as:

```ocaml
let sum_two_maxes (l1:int list) (l2:int list) : int option =
  begin match (list_max l1, list_max l2) with
  | (None, None)     -> None
  | (Some m1, None)  -> Some m1
  | (None, Some m2)  -> Some m2
  | (Some m1, Some m2) -> Some (m1 + m2)
  end
```

Here we are forced to explicitly think about what to do in the case that both lists are empty—here we make the choice to make sum_two_maxes itself return an int option. The option types prevent us from mistakenly trying to naively do (list_max l1) + (list_max l2), which would result in a program crash (or worse) if permitted.

In languages like C, C++, and Java that have a null value which can be given any type, it is an extremely common mistake to conflate null, which should mean “the lack of a value,” with “an empty value” of some type. For example, one might try to represent the empty list as null. However, such conflation very often leads to so-called “null pointer exceptions” that arise because some part of the program treats a null as though it has type 'a, when it is really meant to be the None of an 'a option.
There is a big difference between “the absence of a list” and “an empty list”—it makes sense to insert an element into the empty list, for example, but it never makes sense to insert an element into “the absence of a list.”

Sir Tony Hoare, Turing-award winner and a researcher scientist at Microsoft, invented the idea of null in 1965 for a language called ALGOL W. He calls it his “billion-dollar mistake” because of the amount of money the software industry has spent fixing bugs that arise due to unfortunate confusion of the `a and `a option types. Option datatypes provide a simple solution to this problem.

We will see that option types also play a crucial role when we study linked, mutable datastructures in §16.
Chapter 12

Unit and Sequencing Commands

This Chapter studies a very uninteresting datatype: unit. This datatype is uninteresting because it contains exactly one value, called the unit value and written (). However, although unit itself is uninteresting, it is still useful. Here we will see why.

We have already seen unit in action in a couple of places. First, in OCaml, every function takes exactly one argument—we can use the unit type to indicate that the argument is uninteresting:

```
let f (x:unit) : int = 3
```

Since there is only one value of type unit, we can omit the x:unit in the definition above, to obtain the equivalent:

```
let f () : int = 3
```

This function takes the unit argument and produces the value 3; it has type unit -> int. We call it, as usual, by function application to the (only!) value of type unit, like this: f ()

The unit value is first class, and we can use it in let bindings and pattern matching like this:

```
let x : unit = ()
let y : string = begin match x with
  () -> "only one branch"
end
```
As with tuples (and other datatypes that require only one branch when pattern matching), we can also pattern match in `let` and `fun` bindings:

```ocaml
let () = print_string "hello"
let g : unit -> int = fun () -> 3
```

We have been using functions that take `unit` inputs to write the test predicates of the homework assignments, typically something like:

```ocaml
let test () : bool =
    length [1;2;3] = 3
```

Here, `test : unit -> bool` is a function.

We have also seen functions that return `unit` values: these are the commands. Since commands don’t return any interesting data, the only reason to run them is for their side effects on the state of the computer. Here are some commands that we have seen, and their types:

- `print_string : string -> unit`
- `print_endline : string -> unit`
- `print_int : int -> unit`
- `run_test : string -> (unit -> bool) -> unit`

So far, we have seen how to run these commands at the program’s top level, using the `;;` notation:

```ocaml
;; print_string "this prints a string"
```

We can also embed commands within expressions using a binary operator called `;`. The idea is that `e1; e2` first runs `e1`, which must be an expression of type `unit`, which may have side effects. The resulting `()` value is discarded and then `e2` is evaluated. Thus, the `;` operator lets us sequence commands.

```ocaml
let ans : int =
    print_string "printing is a side effect";
    17
```

This program prints the string as a side effect and then binds the identifier `ans` to the value `17`. Note that `;` is an infix operator—you will get error messages if you write `a ;` after the second expression.
let ans : int =
  print_string "printing is a side effect";
17;  (* <-- don't put a semicolon after the second expression! *)

As usual, we can nest expressions, and use them inside of local lets. This is very useful for printing out information inside a function body, for example:

let f (x:int) : int =
  print_string "x is ";
  print_int x;
  print_string "\n";
  x + x

12.1 The use of ‘;’

We have now seen several places where the symbol ‘;’ appears in OCaml programs (and we’ll see one more in the next section).

Unfortunately, ; in OCaml means different things depending on how it is used. Also unfortunately, none of those usages corresponds exactly to how ; is used in “usual” imperative programming as in C or Java.

In OCaml programs (but not the Toplevel loop), ; is always a separator, not a terminator. The list below collects together all the syntax combinations that use ;

- ;; open Assert open a module at the top-level of a program
- ;; print_int 3 run a command at the top-level of a program
- [1; 2; 3] separate the elements of a list
- e1; e2 sequence a command e1 before the expression e2
- {x:int; y:int} separate the fields of a record type (see §13)
- {x=3; y=4} separate the fields of a record value

We have also seen that, when executing OCaml expressions in the top-level interactive loop, we use ;; as a terminator to let OCaml know when to run a given expression.
Chapter 13

Records of Named Fields

13.1 Immutable Records

Tuples are a light-weight way to collect together a small number of data values into a coherent package. Sometimes, though, it is nice to give names to the different components of such a package so that we can easily remember what the different parts are, and access them.

OCaml, like most other languages, provides a datatype of records that are designed specifically for this purpose. As we shall see in the upcoming course material, the humble record plays an important role in both imperative and object-oriented programming. Here we study the basics.

Record types are like tuples with named fields. The type is written as a list of \( (id) : (type) \) pairs between \{\} brackets. For example, suppose we wanted to create a program for manipulating color data as part of an image-manipulation package. The color data comes as red, green, and blue components. We could define a suitable type like this:

\[
\text{type } \text{rgb} = \{r: \text{int}; g: \text{int}; b: \text{int}\} \quad (* \text{a type for colors} *)
\]

The values of the \text{rgb} type are records written using similar syntax:

\[
(* \text{Some rgb values} *)
let \text{red} : \text{rgb} = \{r=255; g=0; b=0;\}\\
let \text{blue} : \text{rgb} = \{r=0; g=0; b=255;\}\\
let \text{green} : \text{rgb} = \{r=0; g=255; b=0;\}\\
let \text{black} : \text{rgb} = \{r=0; g=0; b=0;\}\\
let \text{white} : \text{rgb} = \{r=255; g=255; b=255;\}
\]

Given one of these \text{rgb} values, we can access each field of the record using
“dot” notation: value.field. For example, to write a function that averages each component of a record, we would write:

```plaintext
(* using 'dot' notation to project out components *)
(* calculate the average of two colors *)
let average_rgb (c1:rgb) (c2:rgb) : rgb =
    { r = (c1.r + c2.r) / 2;
      g = (c1.g + c2.g) / 2;
      b = (c1.b + c2.b) / 2;}
```

For example, we can calculate that:

```plaintext
average_rgb red blue ⇒ {r=127; g=0; b=127}
```

Because records often contain many fields, it is useful to be able to create a copy of the record that differs from the original in only a few places. The with notation for records does exactly that. It is used as follows:

```plaintext
(* using 'with' notation to copy a record but change one (or more) fields *)
let cyan = {blue with g=255}
let magenta = {red with b=255}
let yellow = {green with r=255}
```

For example, we have cyan ⇒ {r=0; g=255; b=255}, namely a copy of the blue value where the g field has been replaced by 255. Note that the with notation encloses a record expression (like blue) inside curly-braces. We can create a copy with more than one field replaced by listing each changed field: {blue with g=17; r=17}.

In this color example, each field has the same type, but that doesn’t have to be the case. For example, we might create a record of employee data by doing something like:

```plaintext
type employee = {
    name : string;
    age : int;
    salary : int;
    division : string
}
```
Chapter 14
Mutable State and Aliasing

Up to this point, we have studied programming in a style that is mostly pure—we have worked with tree structured data that can be defined by recursive datatypes, and we have seen how recursive functions that follow that structure can be used to compute new values from old ones. This style of programming is called pure because we model computation as simply producing new values from old, proceeding by substituting values for the identifiers that name the results of intermediate computations. We can think of substitution as simply copying data (though efficient implementations won’t do that, of course).

Pure programs work with immutable values—once a value has been named, the association between the identifier and its value is never altered thereafter.¹ Pure programs are easy to reason about, since all computation can be explained by local reasoning with simple computation steps. This use of persistent data structures (ones that give don’t change) can simplify many programming tasks, since you never have to worry about possibly destroying an old value when computing a new one. Moreover, since pure programs only read the data from existing values and never modify that data, it is easier to perform tasks in parallel—two computations running simultaneously on immutable data structures will never interfere with each other.

In contrast, most programming languages support a more imperative programming style, in which the program state is mutable, meaning that it can be modified in place. Imperative programming is extremely useful in many situations, and it can simplify code that would otherwise be difficult to implement in a pure way.

Mutable state lets us write programs that exhibit “action at a distance”—in which two remote parts of the program interact with one another by modifying a shared piece of state. Such sharing can also be used to create non-tree-like data structures that have cycles or explicitly shared subcomponents. Mutable state also

¹Of course we can shadow an existing occurrence of a name with a new binding, but that doesn’t change the old value.
allows the possibility of efficient re-use of the computer’s memory, since modifying a value in place doesn’t require any copying or extra space. These features combine to make it possible to implement algorithms that have strictly better space requirements or performance characteristics than their pure, immutable counterparts.

However, although mutable state is powerful, it also requires us to radically modify the model of computation that we use to reason about our programs’ behaviors. Since mutable state requires us to “update a value in place” we have to explain where the “place” is that is being updated. This seemingly simple change necessitates a much more complex view of the computer’s memory, and we can no longer use the simple substitution model to understand how our programs evaluate.

The new computation model, called the abstract stack machine, accounts for all of the new behaviors introduced by adding mutable state. These include aliasing, which lies at the heart of shared memory, and the non-local memory effects, which make it harder to reason about programs.

### 14.1 Mutable Records

To see how the “action at a distance” provided by mutable state can simplify some programming problems, let’s consider a simple task. Suppose we wanted to do a performance analysis of the delete operation for the binary search trees we saw in §7. In particular, suppose that we want to count the number of times that the helper function `tree_max` is called, either by `delete` or via recursion.

First, let’s recall the definition of these functions:

```ocaml
(* returns the maximum integer in a NONEMPTY BST t *)
let rec tree_max (t:tree) : int =
  begin match t with
    | Empty -> failwith "tree_max called on empty tree"
    | Node(_,x,Empty) -> x
    | Node(_,_,rt) -> tree_max rt
  end

(* returns a binary search tree that has the same set of nodes as t except with n removed (if it's there) *)
let rec delete (n:'a) (t:'a tree) : 'a tree =
  begin match t with
    | Empty -> Empty
    | Node(lt,x,rt) ->
      if x = n then
        begin match (lt,rt) with
          | (Empty, Empty) -> Empty
          | _ -> Node(lt, x, rt)
        end
      else...
  end
```

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It isn’t too hard to modify the `tree_max` function to return both the maximum value in the tree and a count of the number of times that it is called (including by itself, recursively):

```ocaml
let rec tree_max2 (t:'a tree) : 'a * int = begin match t with | Empty -> failwith "tree_max called on empty tree" | Node(_,x,Empty) -> (x, 1) | Node(_,_,rt) -> let (m, cnt) = tree_max2 rt in (m, cnt+1) end
```

Now to modify the `delete` function itself, we have to “thread through” this extra information about the count:

```ocaml
let rec delete2 (n:'a) (t:'a tree) : 'a tree * int = begin match t with | Empty -> (Empty, 0) | Node(lt,x,rt) -> if x = n then begin match (lt,rt) with | (Empty, Empty) -> (Empty, 0) | (Node _, Empty) -> (lt, 0) | (Empty, Node _) -> (rt, 0) | _ -> let (m, cnt1) = tree_max2 lt in let (lt2, cnt2) = delete2 m lt in (Node(lt2, m, rt), cnt1 + cnt2) end else if n < x then let (lt2, cnt) = delete2 n lt in (Node(lt2, x, rt), cnt) else let (rt2, cnt) = delete2 n rt in (Node(lt, x, rt2), cnt) end
```
This is a bit clunky, but it gets even worse if we consider that code that uses the `delete2` method will have to be modified to keep track of the count too. For example, before these modifications, we could have written a function that removes all of the elements in a list from a tree very elegantly by using `fold` like this:

```ocaml
let delete_all (l: 'a list) (t: 'a tree) : 'a tree =
fold delete t l
```

After modifying `delete` to count the calls to `tree_max`, we now have the much more verbose:

```ocaml
let delete_all2 (l: 'a list) (t: 'a tree) : 'a tree * int =
let combine (n:'a) (x:'a tree*int) : 'a tree * int =
let (delete_all_tl, cnt1) = x in
let (ans_t, cnt2) = delete2 n delete_all_tl in
(ans_t, cnt1+cnt2)
in
fold combine (t,0) l
```

Ugh!

Mutable state lets us sidestep having to change `delete` and the all of the code that uses it. Instead, we can declare a global `mutable` counter, which only needs to be incremented whenever `tree_max` is invoked. Let’s see how to do this in OCaml:

```ocaml
type state = {mutable count : int}

let global : state = {count = 0}

let rec tree_max3 (t:'a tree) : 'a =
global.count <- global.count + 1; (* update the count *)
begin match t with
| Empty -> failwith "tree_max called on empty tree"
| Node(_,x,Empty) -> x
| Node(_,_,rt) -> tree_max3 rt
end
```

Here, the type `state` is a record containing a single field called `count`. This field is marked with the keyword `mutable`, which indicates that the value of this field may be updated in place. We then create an instance of this record type—I have chosen to call it `global` as a reminder that this state is available to be modified or read anywhere in the remainder of the program. (We’ll see how to avoid such use of global state below, see §17.)
The only change to the program we need to make is to update the `global.count` at the beginning of the `tree_max` function. OCaml uses the notation `record.field <- value` to mean that the (mutable) `field` component of the given `record` should be updated to contain `value`. Such expressions are commands—they return a `unit` value, so the sequencing operator `;` (see §12) is useful when working with imperative updates.

Neither the `delete` nor the `delete_all` functions need to be modified. At any point later in the program, we can find out how many times the `tree_max` function has been called by by simply doing `global.count`. We can reset the count at any time by simply doing `global.count <- 0`.

### 14.2 Aliasing: The Blessing and Curse of Mutable State

As illustrated by the example above, mutable state can drastically simplify certain programming tasks by allowing one part of the program to interact with a remove part of the program. However, this power is a double-edged sword: mutable state makes it potentially much more difficult to reason about the behavior of a program, and requires a much more sophisticated model of the computer’s state to properly explain.

To illustrate the fundamental issue, consider the following example. Suppose we wanted to implement a type for tracking the coordinates of points in a 2D space. We might create a mutable datatype of points, and couple useful operations on them like this:

```ocaml
(* shift a points coordinates *)
let shift (p: point) (dx: int) (dy: int) : unit =
  p.x <- p.x + dx;
  p.y <- p.y + dy

let string_of_point (p:point) : string =
  "x=" ^ (string_of_int p.x) ^ 
  "y=" ^ (string_of_int p.y) ^ 
```

We can now easily create some points and move them around:

```ocaml
let p1 = {x=0; y=0}
let p2 = {x=17; y=17}
```
So far, so good.
Now consider this function, which simply sets the x coordinates of two points and then returns the new coordinate of the first point:

```ocaml
let f (p1:point) (p2:point) : int =
  p1.x <- 17;
  p2.x <- 42;
  p1.x
```

What will this function return? The “obvious” answer is that since `p1.x` was set to 17, the result of this function will always be 17. But that’s wrong! Sometimes this function can return 42. To see why, consider this example:

```ocaml
let p = {x=0; y=0} in
f p p (* f called with the same point for both arguments! *)
```

Calling `f` on the same point twice causes the identifiers `p1` and `p2` mentioned in the body of `f` to be aliases—these two identifiers are different names for the same mutable record.
A more explicit way of showing the same thing is to consider the difference between these two tests:

```ocaml
(* p1 and p2 are not aliases *)
let p1 = {x=0; y=0}
let p2 = {x=0; y=0}
;; shift p2 3 4

(* this test will PASS *)
let test () : bool =
  p1.x = 0 && p1.y = 0
;; run_test "p1's coordinates haven't changed" test

(* p1 and p2 are aliases *)
let p1 = {x=0; y=0}
let p2 = p1
;; shift p2 3 4
```
Aliasing like that illustrated above shows how programs with mutable state can be subtle to reason about—in general the programmer has to know something about which identifiers might be aliases in order to understand the behavior of the program. For small examples like those above, this isn’t too difficult, but the problem becomes much harder as the size of the program grows. The two points passed to a function like $f$ might themselves have been obtained by some complicated computation, the outcome of which might determine whether or not aliases are provided as inputs.

Such examples also motivate the need for a different model of computation, one that takes into account the “places” affected by mutable updates. If we blindly follow the substitution model that has served us so well thus far, we obtain the wrong answer! Here is an example:

```ocaml
let p1 = {x=0; y=0}
let p2 = p1  (* create an alias! *)
let ans = p2.x <- 17; p1.x
```

$\rightarrow$ (by substituting the value for $p1$)

```ocaml
let p1 = {x=0; y=0}
let p2 = {x=0; y=0}  (* alias information is lost *)
let ans = p2.x <- 17; {x=0; y=0}.x
```

$\rightarrow$ (by substituting the value for $p2$)

```ocaml
let p1 = {x=0; y=0}
let p2 = {x=0; y=0}
let ans = {x=0; y=0}.x <- 17; {x=0; y=0}.x
```

$\rightarrow$ update the $x$ field “in place”, but we need to discard the result

```ocaml
let p1 = {x=0; y=0}
let p2 = {x=0; y=0}
let ans = ignore({x=17; y=0}); {x=0; y=0}.x
```
Mutable State and Aliasing

\[
\text{let } p_1 = \{x=0; y=0\} \\
\text{let } p_2 = \{x=0; y=0\} \\
\text{let } \text{ans} = (); \{x=0; y=0\}.x
\]

\[
\text{→ throw away the unit answer} \\
\text{let } p_1 = \{x=0; y=0\} \\
\text{let } p_2 = \{x=0; y=0\} \\
\text{let } \text{ans} = \{x=0; y=0\}.x
\]

\[
\text{→ project the x field} \\
\text{let } p_1 = \{x=0; y=0\} \\
\text{let } p_2 = \{x=0; y=0\} \\
\text{let } \text{ans} = 0 \quad (\ast \text{WRONG}\ast)
\]

The next chapter develops a computation model, called the abstract stack machine, suitable for explaining the correct behavior of this and all other examples.
Chapter 15
The Abstract Stack Machine

We saw in the last chapter that the simple substitution model of computation breaks down in the presence of mutable state. This chapter presents a more detailed model of computation, called the abstract stack machine that lets us faithfully model programs even in the presence of mutable state. While we develop this model in the context of explaining OCaml programs, small variants of it can be used to understand the behaviors of programs written in almost any other modern programming language, including Java, C, C++, or C#. The abstract stack machine (abbreviated ASM) is therefore an important tool for thinking about software behavior.

The crucial distinction between the ASM and the simple substitution model presented earlier is that the ASM properly accounts for the locations of data in the computer’s memory. Modeling such spatial locality is essential, precisely because mutable update modifies some part of the computer’s memory in place—the notion of “where” an update occurs is therefore necessary. As we shall see, the ASM gives an accurate picture of how OCaml (and other type-safe, garbage-collected languages like Java and C#) represents data structures internally, which helps us predict how much space a program will need and how fast it will run.

Despite this added realism, the ASM is still abstract—it hides many of the details of the computer’s actual memory structure and representation of data. The level of detail present in the ASM is chosen so that we can understand the behavior of programs in a way that doesn’t depend on the underlying computer hardware, operating system, or other low-level details about memory. Such details might be needed to understand C or C++ programs for example, which aren’t type-safe and require programmers to manually manage memory allocation.
15.1 Parts of the ASM

Recall that the substitution model of computation had two basic notions:

- **values**, which are “finished” results such as integers (e.g. 0, 1, ...), tuples of values (e.g. (1, (2, 3))), records (e.g. {x=0; y=1}), functions (e.g. (fun (x:int) -> x + 1)), or constructors applied to values (e.g. Cons(3, Nil)).

- **expressions**, which are “computations in progress”, like 1+2*3, (f x), p.x, begin match ... with ... end, etc..

The substitution model computes by simplifying an expression—that is, repeatedly substituting values for identifiers, and performing simple calculations—until no more simplification can be done.

For programs that don’t use mutable state, the abstract stack machine will achieve the same net results. That is, for pure programs, the ASM can be thought of as a (complicated) way of implementing substitution and simplification. We didn’t previously specify precisely what was meant by “substitution”; instead we relied on your intuitions about what it means to replace an identifier with a value, and just left it at that. The ASM gives an explicit algorithm for implementing substitution using a stack, and further refines the notion of value and computation model to keep track of where in memory the data structures reside.

There are three basic parts of the abstract stack machine model:

- The **workspace** keeps track of the expression or command that the computer is currently simplifying. As the program evaluates, the contents of the workspace change to reflect the progress being made by the computation.

- The **stack** keeps track of a sequence of bindings that map identifiers to their values. New bindings are added to the stack when the let expression is simplified. Later, when an identifier is encountered during simplification, its associated value can be found by looking in the stack. The stack also keeps track of partially simplified expressions that are waiting for the results of function calls to be computed.

- The **heap** models the computer’s memory, which is used for storage of non-primitive data values. It specifies (abstractly) where data structures reside, and shows how they reference one another.

Figure 15.1 shows these three parts of an ASM in action. The sections below explain each of these pieces in more detail and explains how they work together. First, however, we need to understand how the ASM represents its values.
Figure 15.1: A picture of an Abstract Stack Machine in mid evaluation of a list operation `append a b`. The code in the workspace is preparing to look up the value of the local identifier `l1` in the stack (as indicated by the underline) before proceeding on to do a pattern match. The stack contains bindings for all of the identifiers introduced to this point, including `append` and the two lists `a` and `b`. It also has a saved workspace and bindings for `l1` and `l2`. The stack values are themselves references into the heap, which stores both code (for the body of the `append` function itself), and the list structures built from `Cons` and `Nil` cells. The arrows are references, as explained in §15.2.

15.2 Values and References to the Heap

The ASM makes a distinction between two kinds of values. *Primitive values* are integers, booleans, characters, and other “small” pieces of data for which the computer provides basic operations such as addition or the boolean logic operations.

All other values are references to structured data stored in the heap. A *reference* is the address (or location) of a piece of data in the heap. Pictorially, we draw a reference as an “arrow”—the start of the arrow is the reference itself (i.e. the address). The arrow “points” to a piece of data in the heap, which is located at the reference address. Figure 15.2 shows how we visualize reference values in the ASM.

The heap itself contains three different kinds of data:

- A *cell* is labeled by a datatype constructor (such as `Cons` or `Nil`) and contains a sequence of constructor arguments. Figure 15.2 shows two different heap cells. One is labeled with constructor name `Cons`, which has two arguments, namely `3` and a reference to the second heap cell, which is labeled `Nil` (and has no arguments). The arguments to a constructor are themselves...
The Abstract Stack Machine

just values (either primitive values or references.) Note that, conceptually, the constructor names like `Cons` take up some amount of space in the heap.

- A **record** contains a value for each of its fields. Unlike constructor cells, the field names of a record don’t actually take up space in the heap, but we mark them anyway to help us do book keeping. We mark mutable record fields using a “doubled” box, as shown, for example, by the record of type `point` in Figure 15.3. Such a mutable field is the “place” where an “in-place” update occurs, as we shall see below.

- A **function**, which is just an anonymous function value of the form familiar from earlier: 
  \[
  \text{(fun } (x_1 : t_1) \ldots (x_n : t_n) \rightarrow e)\].

  Figure 15.1 shows that the stack binding for `append` is a reference to the code for the `append` function itself.\(^1\) Note that, because `append` is recursive, the code value in the heap has been “backpatched” so that the use of the identifier `append` in its body has been replaced with a reference to the code for the whole function—this is what OCaml’s `rec` keyword means.

---

\(^1\)We will have to refine this notion of heap-allocated functions slightly to account for local functions. See 17.1 for details.
References as Abstract Locations

What, exactly is a reference value, like the one shown in Figure 15.2? A reference is an abstract representation of a location in the heap—references are abstract because it doesn’t matter exactly “where” the location being pointed to is. For the purposes of understanding aliasing and the other aspects of sharing among data structures, it is enough to know whether two references point to the same location.

We can peel back the abstraction just a bit to see how references work in the internals of the computer. Figure 15.4 shows two different views of the same situation. The right side of the figure depicts a reference value that points to a \texttt{Cons} cell containing the value 3 and a reference to \texttt{Nil}, exactly the same configuration as shown in Figure 15.1. The left-hand side gives a lower-level explanation in terms of the computer’s memory.

On a 32-bit machine, we can think of the computer’s memory as being a giant array of 32-bit words, where the array is indexed by numbers in the range 0 to $2^{32} - 1$ (which happens to be 4,294,967,295). In this low-level view, an address is simply a number, and we have to encode heap cells and other data structures by choosing some particular representation by using patterns of of 32-bit words. Such decisions are made during compilation. For example, the compiler might decide that the \texttt{Cons} tag of a memory cell should be represented using the number 120120120 and that \texttt{Nil} should be represented by the tag 42, as depicted in Figure 15.4. The ASM hides these insignificant details, so we don’t have to worry about them as we try to explain the behavior of our programs.\footnote{Even this low-level explanation sweeps a lot of details under the rug—the operating system and hardware collaborate to provide the illusion that there are $2^{32} - 1$ words of memory available to a given process, though, strictly speaking, not all of it is immediately available. Also portions of the memory space are reserved for OS-related tasks, I/O, etc.}

Some languages, like C or C++, use the low-level, numeric view of memory references, in which case they are usually called \textit{pointers}. The distinction is that references are \textit{abstract}—the only operations supported by references are reference creation, dereferencing (that is, getting the value referred to by the reference), and determining whether two references point to the same heap location (reference equality). In contrast, pointers correspond directly to machine addresses, which are just numbers (as shown in Figure 15.4). Therefore, in languages like C or C++ you can do “pointer arithmetic” to, for example, calculate an offset from a pointer. This can be very useful for low-level programming, but can also lead to a lot of serious bugs if you have errors in your arithmetic calculations. In the general computer science vernacular, the terms “reference” and “pointer” are often used interchangeably, with some potential for confusion.
The Abstract Stack Machine

• Addresses

<table>
<thead>
<tr>
<th>Addresses</th>
<th>32-bit Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>...</td>
</tr>
<tr>
<td>1</td>
<td>...</td>
</tr>
<tr>
<td>2</td>
<td>4294967291</td>
</tr>
<tr>
<td>3</td>
<td>...</td>
</tr>
<tr>
<td>...</td>
<td>...</td>
</tr>
<tr>
<td>4294967290</td>
<td>120120120</td>
</tr>
<tr>
<td>4294967291</td>
<td>3</td>
</tr>
<tr>
<td>4294967292</td>
<td>4294967295</td>
</tr>
<tr>
<td>4294967293</td>
<td>...</td>
</tr>
<tr>
<td>4294967294</td>
<td>42</td>
</tr>
<tr>
<td>4294967295</td>
<td>Nil</td>
</tr>
</tbody>
</table>

The “real” heap.

How we picture it.

Cons 3

Figure 15.4: The “real” computer memory (left) is just an array of 32-bit words, each of which has an address given by the index into the array. The ASM provides an abstract view of this memory (right) in which the exact address of a piece of heap-allocated data is hidden. Constructor tags are just arbitrary 32-bit integers chosen by the compiler—in this example, the tag for Cons is 120120120 and the tag for Nil is 42. Constructor data is laid out contiguously in memory, and a reference is just the address of some other word of memory. Again, the ASM hides these representation details.

15.3 Simplification in the ASM

The abstract state machine processes a program by repeatedly simplifying the contents of the workspace until the workspace contains only a value, which is the answer computed by the program. During this process, the ASM creates new bindings in the stack, allocates data structures in the heap, and, in the case of mutable update, modifies the contents of mutable record fields.

In the start configuration of the ASM, the workspace contains the entire program to be executed, and the stack and heap are both empty.

At each step of simplification, the ASM finds the first (left-most) “ready subexpression” and simplifies it according to computation rules determined by the program expression. The intuition is that the “ready” expression is the one that will be simplified next. In our pictures of the ASM, we underline the ready expression.

As an example, consider simulating the ASM on this program:

```plaintext
let x = 10 + 12 in
let y = 2 + x in
  if x > 23 then 3 else 4
```

Figure 15.5 shows the initial configuration of the ASM for this example. The basic rules for simplification are:
The Abstract Stack Machine

Figure 15.5: The initial state of the ASM starts with the workspace containing the entire program, and the stack and heap both empty.

Figure 15.6: The example from Figure 15.5 after several steps of simplification. There is a binding of $x$ to 22 in the stack, and the expression $2 + 22$ is ready to simplify next.

- An expression involving a primitive operator (like $+$) is ready if all of its arguments are values. Primitive operations are simplified by replacing the expression with its result. This is exactly as we have seen previously. For example, the expression $10 + 12 \Rightarrow 22$, so we replace $10 + 12$ by 22.

- A let expression let $x : t = e$ in body is ready if $e$ is a value. It is simplified by adding (pushing) a new binding for the identifier $x$ to $e$ at the end of the stack, and leaving body in the workspace.

- A variable is always ready. It is simplified by looking up the binding associated with the variable in the stack and replacing the variable by the corresponding value. This lookup process proceeds by searching from the most recent bindings to the least recent—this algorithm guarantees that we find the newest definition for a given variable.

- A conditional expression if $e$ then $e_1$ else $e_2$ is ready if $e$ is either true or false. It is simplified by replacing the workspace with either $e_1$ or $e_2$ as appropriate.

Figure 15.6 shows the example program after several steps of simplification according to these rules. The ASM lecture slides show the full sequence of simplification steps for this example, which results in computing the value 4.
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if \( x > 23 \) then 3 else 4

Figure 15.7: An example of how proper shadowing is implemented in the ASM. The value of the ready variable \( x \) will be found by searching the stack from most recent (\( x \) maps to 24) to least recent (\( x \) maps to 22).

## Shadowing and the Stack

The ASM stack properly accounts for shadowing variables (recall §2.4), as can be seen by using it to evaluate this program:

```plaintext
let \( x = 22 \) in
let \( x = 2 + x \) in
if \( x > 23 \) then 3 else 4
```

Figure 15.7 shows the state of the ASM when the variable \( x \) of the conditional expression is ready to be looked up in the stack. There are two bindings for \( x \), but the most recent one (i.e. the one closest to the bottom) will be used, which is consistent with shadowing.

The sequence of bindings is called a **stack** because we only ever push elements on to the stack and then pop them off in a last-in-first-out (LIFO) manner. This is just like a stack of dinner plates—it’s easy to put more on top or take away the last one put there, but it’s hard to remove one in the middle. (For some reason, computer scientist’s stacks are often drawn with their “top” toward the bottom of the page as we show in the ASM diagrams; this is bizarre, but at least consistent with trees having their leaves at the bottom and roots at the top.)

Treating \texttt{let}-bound identifiers using a stack discipline ensures that the most recently defined value for a given identifier name will be used during the computation. Below we will see how the ASM pops bindings as part of returning a value computed by a function call.

## Simplifying Datatype Constructors and match

The simplification rules mentioned above don’t yet involve the heap—they just implement substitution by explicitly using a stack of identifier bindings. Data constructors, like \texttt{Cons} and \texttt{Nil}, on the other hand, do interact with the heap—simplifying a constructor allocates some space on the heap and creates a reference to the newly allocated space. The simplification rule is therefore quite simple:
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Figure 15.8: The ASM in the process of evaluating the expression \(1::2::3::[]\), which we could rewrite equivalently as \(\text{Cons}(1, \text{Cons}(2, \text{Cons}(3, \text{Nil})))\). Here, the Nil and Cons(3, _) cells have already been allocated in the heap, and the ASM is ready to allocate the Cons(2, _) cell.

- A constructor (like Cons or Nil) is ready if all of its arguments are values. A constructor expression is simplified by allocating a heap cell with the constructor tag and its arguments as data and then replacing the constructor expression with this newly created reference.

Figure 15.8 shows the ASM part way through evaluating the list expression \(1::2::3::[]\). Each use of the :: operator causes the ASM to allocate a new Cons cell in the heap. The ASM lecture slides show the full animation of the ASM for this example.

Simplifying a match expression of the following shape is pretty straightforward:

```plaintext
begin match e with
  | pat1 -> branch1
  | ...
  | patN -> branchN
end
```

- Such a match expression is ready to simplify if \(e\) is a value (which will typically be a reference to a cell in the heap). The match is simplified by finding the first pattern starting from pat1 and working toward patN that structurally matches the the heap cell referred to by e. Once such a matching pattern, patX is found, the ASM adds new stack bindings for each identifier in the pattern—the values to which those identifiers are bound is determined by the shape of the heap structure. The workspace is then modified to contain branchX, the branch body corresponding to patX. If no such pattern matches, the ASM aborts the computation with a Match_failure error.

The append example from the ASM lecture slides shows in detail the use of pattern match simplification.
Simplifying functions

There are three parts to simplifying functions: moving function values to the heap, calling a function, and returning a value computed by a function to some enclosing workspace.

The first of these steps is very straightforward. Recall from §9.1 that top-level function declarations are just shorthand for naming an anonymous function. For example, the following are equivalent ways of defining \texttt{add1}:

\begin{verbatim}
let add1 (x:int) : int = x + 1 in
add1 (add1 0)
\end{verbatim}

and

\begin{verbatim}
let add1 = fun (x:int) : int -> x + 1 in
add1 (add1 0)
\end{verbatim}

The ASM therefore simplifies the first expression to the second before proceeding. Since anonymous functions like \texttt{(fun (x:int) : int -> x + 1)} are one of the three kinds of heap data (see §15.2), the ASM just moves the \texttt{fun} value to the heap and replaces the \texttt{fun} expression with the newly created reference. The ASM then follows the usual rules for \texttt{let} simplification to create a binding for the function name on the stack. Figure 15.9 shows how the example program above looks after following these simplification rules.

Simplifying function call expressions is more difficult. The issue is that, in general, the function call may itself be nested within a larger expression that will require further simplification after the function returns its computed value. To model this situation faithfully, the ASM must therefore keep track of where in the surrounding expression the value computed by a function call should be returned to once the function is done.

In the example program above, after creating a binding for \texttt{add1} on the stack, we reach a situation in which the workspace contains the expression...
add1 (add1 0). We can simplify the innermost add1 by looking up the reference in the stack as usual. Then we’re ready to do the function call—in general, a function call is ready to simplify if the function is a reference and all of its arguments are values. Suppose that we magically knew that the answer computed by add1 0 was going to be a value ANSWER. Then the we should eventually simplify workspace by replacing inner function call, (add1 0), with ANSWER to obtain a new workspace add1 ANSWER.

To achieve that goal, the ASM simplifies a function call like this:

First it saves the current workspace to the stack, marking the spot where the ANSWER should go with a “hole”. In our example, since the original workspace was ans1 (ans1 0), the saved workspace when doing the inner call will be ans1 (____), where the ____ marks the “hole” to which the answer will be returned.

Second, the ASM adds new stack bindings for each of the called function’s parameters. Suppose that the function being called has the shape fun (x1:t1) ... (xN:tN) -> body in the heap and it is being called with the arguments v1...vK. Then there will be stack bindings added for x1 → v1 ... xJ → vJ. In our running example, the add1 function takes only one argument called x, so only one binding will be added to the stack.

Third, the workspace is replaced by the body of the function.4

Figure 15.10 shows the state of the ASM just after the inner call to add1 has been simplified.

Once the function call has been initiated and the function body is in the

Figure 15.10: The ASM just after the call to the inner add1 has been simplified. The stack contains a saved workspace whose hole marks where the answer of this function call should be returned. It also contains a binding for the add1 function’s argument x.

---

3In general there can be fewer arguments than the function requires, which corresponds to the case of partial application.

4In the case of partial application, the workspace is replaced by a fun expression of the form fun (xL:tL) .. (xN:tN) -> body, where L is J+1. To properly continue simplification will, in this case, require the use of a closure. See §17.1.
workspace, simplification continues as usual. This process may involve adding more bindings to the stack, doing yet more function calls, or allocating new data structures in the heap.

Assuming that the code of the function body eventually terminates with some value, the ASM is in a situation in which the result of the function should be returned as the ANSWER to the corresponding workspace that was saved on the stack at the time that the function was called. For example, after a few steps of simplification, the workspace in Figure 15.10 will contain only the value 1, which is the answer of the inner call to add1.

When this happens—that is, when the workspace contains a value and there is at least one saved workspace on the stack—the ASM returns the value to the old workspace. It does so by popping (i.e., removing) all of the stack bindings that have been introduced since the last workspace was saved on the stack. It then replaces the current workspace (which just contains some value v) with the last saved workspace (and also popping it from the stack), replacing the answer “hole” with the value v.

In our running example, after the workspace in Figure 15.10 simplifies to the value 1, the ASM will pop the binding for x from the stack, restore the workspace to add1 1 (where the hole has been replaced by 1), and then pop the saved workspace. Simplification then proceeds as usual.

The Abstract Stack Machine lecture contains an extended animation of the ASM simplification for a more complex example, which shows how to run the following program:

```ocaml
let rec append (l1: 'a list) (l2: 'a list) : 'a list =
  begin match l1 with
    | Nil -> l2
    | Cons(h, t) -> Cons(h, append t l2)
  end

let a = Cons(1, Nil) in
let b = Cons(2, Cons(3, Nil)) in
append a b
```

**Simplifying Mutable Record Operations**

The whole purpose of the ASM is to allow us to explain the behavior of programs that use mutable state. We are finally to the point where we can make sense of “in place” updates to mutable record fields, and we can use the ASM to explain the behavior of programs that exhibit aliasing.
The rules for simplifying records, field projections, and mutable field updates are simple:

- A record expression is ready if each of its fields is a value. We simplify a record by allocating a record structure in the heap and replacing the record expression with a reference to that structure. Recall that we mark the mutable fields of a record using a double-lined box; this is simply to help us visualize which parts of the heap might be modified during a program’s execution.

- A record field projection expression, like \( p.x \) is ready if \( p \) is a value. It is simplified by replacing the expression by the value stored in the \( x \) field of the record in the heap.

- A mutable field update expression, like \( p.x \leftarrow e \) is ready if both \( p \) and \( e \) are values. The expression is simplified by changing the \( x \) field of the record pointed to by \( p \) to contain the value \( e \) instead of whatever it contained before. The entire update expression is replaced by the unit value, ( ).

Figure 15.11: The state of the ASM just before doing the imperative update to the \( p2.x \) field. Note that \( p1 \) and \( p2 \) are aliases—they point to the same record in the heap.

Figure 15.12: The ASM after doing the imperative update shown in Figure 15.11. It is clear that running \( p1.x \) from this state will yield 17.
We can now see how the ASM correct the deficiencies of the substitution model. Recall the following example, which computed to the incorrect answer 0 when we used the substitution model (see §14.2)

```ocaml
let p1 = {x=0; y=0}
let p2 = p1 (* create an alias! *)
let ans = p2.x <- 17; p1.x
```

After creating the stack bindings for \(p1\) and \(p2\), the resulting ASM configuration will be that shown in Figure 15.11. It is clear that \(p1\) and \(p2\) are aliases—they point to the same record in the heap. Modifying the \(x\) field via the \(p2\) reference, therefore also modifies the \(x\) field of the \(p1\) reference—they are the same field. Figure 15.12 shows the effect of doing the update; it is clear that the ASM will eventually compute 17 as the (correct) answer for this program.

### 15.4 Reference Equality

Suppose that we have two different mutable records \(r1\) and \(r2\). How would we know whether they are aliases to one another? This is an important question to ask because mutating one record changes the other.

OCaml provides an operator, written \(==\), that determines whether two references alias to the same memory location. Now that we have a model of OCaml’s computation that describes the locations of values stored in memory, we can use it to explain this operator.

If two reference values point to the same location, the \(==\) operator will return true. Otherwise, it will return false. For example, Figure 15.13 demonstrates this operator with an ASM.

Note that like the structural equality operator, \(=\), reference equality is polymorphic. That means that it can be used to compare any two arguments, as long as those arguments have the same type.

- **Structural equality**, written \(=\), is the most appropriate equality operator for comparing immutable data structures. This operator recursively traverses the structure of data to determine whether its arguments are equal.

- **Reference equality**, written \(==\), is the most appropriate equality for mutable data structures. This operator only looks at heap locations, so equates fewer things than structural equality.

For primitive values (such as numbers), reference and structural equality will return the same answer. However, these equalities often produce different answers for reference values.
two reference values are ‘==’ if they point to the same object in the heap; so:

- \( r2 == r3 \)
- \( \text{not} \ (r1 == r2) \)
- \( r1 = r2 \)

Figure 15.13: The references \( r1 \) and \( r2 \) are not aliases. So the test \( r1 == r2 \) returns false. On the other hand \( r2 \) and \( r3 \) do alias so the test \( r2 == r3 \) returns true. All of these reference values are structurally equal, so \( r1 = r2 \) also returns true.

For example, two lists are structurally equal if they have the same length and their corresponding elements are pairwise equal. It does not matter how the lists were created.

```ocaml
let x1 = [1;2;3]
let x2 = [1;2] @ [3]
;; run_test "structural equality: lists" (fun () -> x1 = x2)
```

On the other hand, two lists (even though they are not mutable) will not be reference equal if they are not stored at the same location.

```ocaml
let x1 = [1;2;3]
let x2 = [1;2;3]
;; run_test "reference equality: lists"
  (fun () -> not (x1 == x2))
```

Furthermore, function values cannot be compared for structural equality. (OCaml will produce an error if you try).

```ocaml
let x1 = fun x -> x
let x2 = fun x -> x
;; run_failing_test "structural equality: functions"
  (fun () -> x1 = x2)
```

Alternatively, reference equality can determine whether two function values are stored in the same heap location.
let x1 = fun x -> x
let x2 = fun x -> x
;; run_test "reference equality for functions"
  (fun () -> x1 == x1)
;; run_test "reference equality for functions"
  (fun () -> not (x1 == x2))
Chapter 16

Linked Structures: Queues

In this chapter, we consider how to use mutable state to build “imperative linked” data structures in the heap. Why would we want to do that? The pure datatypes, like lists and trees, that we have studied so far all have a simple recursive structure: we build “bigger” structures out of already existing “smaller” structures. A consequence of that way of structuring data is that we can’t easily modify “distant” parts of the data structure. For example, when we implement the \texttt{snoc} function, which adds an element to the end of a list, we were forced to do this:

\begin{verbatim}
let rec snoc (x:'a) (l:'a list) : 'a list =
  begin match l with
  | [] -> [x]
  | h::tl -> h::(snoc x tl)
  end
\end{verbatim}

If we examine the behavior of the function call \texttt{snoc v l} using the ASM, we can see that \texttt{snoc} copies the entire list \texttt{l} (because it uses the :: operator) after creating a new list to hold the value \texttt{v}. This means that adding a single element to the tail of the list costs time proportional to the length of the list, and, since \texttt{l} is duplicated, twice as much heap space will be used.

Sometimes this persistent nature of pure lists is useful—for example, if we needed to use both \texttt{l} and the result of \texttt{snoc v l}, we might have to create the copy anyway (which always takes time proportional to the length of \texttt{l}). However, in many situations it would be more efficient and simpler to just be able to add an element to the tail of the list directly. We can do that by creating a data structure that is similar to a list, but that uses mutable references to link together nodes. By keeping \texttt{two} references, one to the head and one to the tail, we can then efficiently update the structure at either end.

The resulting structure is called a \textit{queue} because one common mode of use is to \textit{enqueue} (add) elements to the tail of the queue and \textit{dequeue} (remove) them from
the head. (Think of people waiting in line for concert tickets.) Queues are used in many situations where lists can be used, but they also serve as a key component in “work list” algorithms (where they keep track of tasks remaining to be done), networking applications (where they buffer requests to be handled on a first-come, first-served basis), and search algorithms (where they keep track of what part of some space to explore next).

The design criteria above suggest that we use the following interface for a queue module:

```ocaml
module type QUEUE = sig
  (* type of the data structure *)
  type 'a queue

  (* Make a new, empty queue *)
  val create : unit -> 'a queue

  (* Determine if the queue is empty *)
  val is_empty : 'a queue -> bool

  (* Add a value to the tail of the queue *)
  val enq : 'a -> 'a queue -> unit

  (* Remove the head value and return it (if any) *)
  val deq : 'a queue -> 'a
end
```

### 16.1 Representing Queues

How do we implement mutable queues? We need two data types—one to store the data of the “internal” nodes that form the list-like structure, and one containing the references to the head and tail of the queue. The nodes of the queue will be linked together via references, but since the last element of the queue isn’t followed by a next element, those references should be optional. Similarly, in an empty queue, there are no nodes for the head and tail to refer to, so they must also be optional. These considerations lead us to define the queue representation types like this:

```ocaml
module Q : QUEUE = struct

  type 'a qnode = {
    v : 'a;
    mutable next : 'a qnode option;
  }
```

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Linked Structures: Queues

Figure 16.1: Several example queues as they would appear in the heap. Note that the frequent use of options motivates the need for some “visual” shorthand. See Figure 16.2 for a more compact way of drawing such linked structures.

```ocaml
type 'a queue = {
  mutable head : 'a qnode option;
  mutable tail : 'a qnode option;
}
...
end
```

Figure 16.1 shows several examples of queue values as they would appear in the heap of the ASM. As shown in these examples, the proliferation of `Some` and `None` constructors in the heap creates a lot of visual clutter. Although it is necessary to acknowledge their existence (especially since the type of a reference to `Some v` is different from that of a reference to just `v` itself), it is useful to present these drawings in a more compact way. Figure 16.2 shows the same three queue structures represented using “visual shorthand” for `None` and `Some` constructors in the heap.¹

¹There is one further wrinkle: OCaml can optimize the representation of pure nullary constructors like `None, Nil, Empty,` etc., which don’t contain any substructure. The optimization lets
Figure 16.2: The queue structures from Figure 16.1 drawn using a visual short-hand in which references to None are represented by a slash and references to Some v are drawn as an arrow to a "Some bubble", which gives a "handle" to the underlying value v.

As you can see, the basic structure of a queue is a linear sequence of qnodes, each of which has a next pointer to its successor. The tail element of the queue has its next field set to None. For the empty queue, both the head and tail are None, for a singleton queue, the head and tail both point to the same qnode, and for a queue with more than one element, the head and tail point to the first and last elements, respectively.

16.2 The Queue Invariants

Although the two types defined above provide enough structure to let us create heap values with the desired shapes, they are too permissive—there are many values that conform to these types that don’t meet our expectations of what a proper queue should be. Figure 16.3 shows several examples of such bogus queue structures as they might appear in the heap.

<table>
<thead>
<tr>
<th>head</th>
<th>tail</th>
</tr>
</thead>
<tbody>
<tr>
<td>val</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

An empty queue

<table>
<thead>
<tr>
<th>head</th>
<th>tail</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>v 1</td>
</tr>
<tr>
<td></td>
<td>next</td>
</tr>
</tbody>
</table>

A queue with one element

<table>
<thead>
<tr>
<th>head</th>
<th>tail</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>v 1</td>
</tr>
<tr>
<td></td>
<td>next</td>
</tr>
<tr>
<td></td>
<td>v 2</td>
</tr>
<tr>
<td></td>
<td>next</td>
</tr>
</tbody>
</table>

A queue with two elements

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Figure 16.3: Several examples of bogus heap structures that conform to the queue datatypes. The queue invariants rule out all of these examples (and many more).
This situation is similar to the one we encountered when studying binary search trees. There, the type of 'a trees was rich enough to contain trees with arbitrary nodes, but we found that by imposing additional structure in the form of the binary search tree invariant (see Definition 7.1), we could constrain the shape of trees in a way so that the natural ordering of its nodes’ data can be exploited to drastically improve search.

For queues, we would therefore like to impose some restrictions that rule out the bogus values but preserve all of the “real” queues.

**Definition 16.1 (Queue Invariant).**

A data structure of type 'a queue satisfies the queue invariants if (and only if), either

1. both head and tail are None, or,
2. head is Some n1 and tail is Some n2, and
   - n2 is reachable by following next pointers from n1
   - n2.next is None

The first part of the invariant ensures that there is a unique way of representing the empty queue. The second part applies if the queue is non-empty. It says that tail actually points to the tail element, and that this n2 is reachable from the head. Together these latter invariants imply that there are no cycles in the link structure and that the queue itself is “connected” in the sense that all nodes are reachable from the head.

It is easy to verify that each of the bogus queue examples from Figure 16.3 can be ruled out by these invariants as ill-formed. Therefore, as long as we are careful that our queue manipulation functions establish these invariants when creating queues and preserve them when modifying an existing queue, we may also assume that any queues passed in to the Q module already conform to the invariants. As always, this reasoning is justified because the type 'a queue is abstract—the type definition is not exported in the module interface (see §10).

### 16.3 Implementing the basic Queue operations

Now that we understand the 'a queue type and its invariants, it is not too difficult to implement the operations required by the QUEUE interface. Creating a fresh empty queue is easy, as is determining whether a given queue is empty:

```ocaml
(* create an empty queue *)
let create () : 'a queue =
{ head = None;
```

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(* determine whether a queue is empty *)
let is_empty (q:'a queue) : bool =
  q.head = None

Note that, due to the queue invariants, we could have equally well chosen to check whether q.tail = None in is_empty, and we never have to check both. By assumption, either both q.head and q.tail are None or neither is.

How do we add an element at the tail of the queue? If the queue is empty, we simple create a new internal queue node and then update both the head and tail pointers to refer to it. If the queue is non-empty, then we need to create a new queue node. By virtue of the fact that it will be the new tail, we know that its next pointer should be None. To maintain the queue invariants, we must also modify the old tail node’s next field to point to the newly created node:

(* add an element to the tail of a queue *)
let enq (x: 'a) (q: 'a queue) : unit =
  let newnode = {v=x; next=None} in
  begin match q.tail with
    | None ->
      (* Note that the invariant tells us that q.head is also None -*-)
      q.head <- Some newnode;
      q.tail <- Some newnode
    | Some n ->
      n.next <- Some newnode;
      q.tail <- Some newnode
  end

Note that enq returns unit as its result—this function is a command that imperatively (destructively) modifies an existing queue. After the update, the old queue is no longer available.

Removing an element from the front of the queue is almost as easy. If the queue is empty, the function simply fails. Otherwise, head is adjusted to point to the next node in the sequence. One might therefore think that the correct implementation of deq is:

(* BROKEN attempt to remove an element from the head of the queue -*-)
let deq (q: 'a queue) : 'a =
  begin match q.head with
    | None ->
However, this implementation fails to re-establish the queue invariants: in the case that there is exactly one element in the queue, which gets removed, the tail pointer should be set to None—otherwise head will be None and the tail will still be Some. The correct implementation must therefore check for that possibility and adjust the tail accordingly:

```ocaml
let deq (q: 'a queue) : 'a = begin match q.head with |
  | None -> failwith "deq called on empty queue"
  | Some n -> q.head <- n.next;
  | if n.next = None then q.tail <- None;
n.v
end
```

In general, when manipulating linked, heap-allocated data structures, it is important to keep in mind the invariants that make sense of the structure. Understanding the invariants can help you structure your programs in a way that helps you get them right.

### 16.4 Iteration and Tail Calls

Suppose that we want to extend the queue interface to include some operations that work with the queue as a whole, rather than just with one node at a time. A simple example of such a function is the length operation, which counts the number of elements in the queue:

```ocaml
module type QUEUE = sig
  (* type of the data structure *)
  type 'a queue

  (* length of the queue *)
  val length : 'a queue -> int

  (* other operations... *)
end
```
One simple way to implement this function is to directly translate the recursive definition of length that we are familiar with for immutable lists to the datatype of queues. Since the “linked” structure of the queues is given by the sequence of qnode values and the queue itself consists of just the head and tail pointers, we need to decompose the length operation into two pieces: one part that uses recursion as usual to process the qnodes and one part that deals with the actual queue type itself. (Note that this is yet another place where the structure of the types guides the code that we write.)

We can therefore write length like this:

```ocaml
(* Calculate the length of the list using recursion *)
let length (q:'a queue) : int =
  let rec loop (no: 'a qnode option) : int =
    begin match no with
    | None -> 0
    | Some n -> 1 + (loop n.next)
    end
  in
  loop q.head
```

In this code, the helper function loop recursively follows the sequence of qnode values along their next pointers until the last node is found. Note that this function implicitly assumes that the queue invariants hold, since a cycle in the next pointers would cause the program to go into an infinite loop.

Although this program will compute the right answer, it is still somehow unsatisfactory: if we observe the behavior of a call to this version of length by using the ASM, we can see that the height of the stack portion of the ASM state is proportional to the length of the queue—each recursive call to loop will save a copy of the workspace consisting of \(1 + (\_\_\_\_\_\_\_\_\_\_)\) and create a new binding for the copy of no. The queue lecture slides give a complete animation of the ASM for such an example.\(^2\)

It seems awfully wasteful to use up so much space just to count the number of elements in the queue—why not just talk down the queue, keeping a running total of the number of nodes we’ve seen so far? This version of length requires a slight modification to the loop helper function to allow it to keep track of the count:

\(^2\)To be fair, this same criticism applies to the recursive version of length for immutable lists that we studied earlier.
Why is this better? At first glance, it seems that we are stuck with the same problems as with the recursive version above. However, note that in this version of the code, the workspace pushed on to the stack at the recursive call to `loop` will always be of the form `(___)`. That is, after the call to `loop` in the `Some n` branch of the match, there is no more work left to be done (in contrast, the first version always pushed workspaces of the form `1 + (__)`), which has a pending addition operation. If we watch the behavior of this program in the ASM, we see that the ASM will always perform a long series of stack pops, restoring these empty workspaces when `loop` finally returns the `len` value in the `None` branch.

The observation that we will always immediately pop the stack after restoring an empty workspace suggests a way to optimize the ASM behavior: there is no need to push an empty workspace when we do such a function call since it will be immediately popped anyway. Moreover, at the time when we would have pushed an empty workspace, we can also eagerly `pop` any stack bindings created since the last non-empty workspace was pushed. Why? Since the workspace is empty, we know that none of those stack bindings will be needed again.

We say that a function call that would result in pushing an empty workspace is in a tail call position. The ASM optimizes such functions as described above—it doesn’t push the (empty) workspace, and it eagerly pops off stack bindings. This process is called tail call optimization, and it is frequently used in functional programming.

Why is tail call optimization such a big deal? It effectively turns recursion into iteration. Imperative programming languages include `for` and `while` loops that are used to iterate a fragment of code multiple times. The essence of such iteration is that only a constant amount of stack space is used and that parts of the program state are updated each time around the loop, both to accumulate an answer and to determine when the loop should finish.

---

3The word “tail” in this definition is not to be confused with the `tail` of a queue. The “tail” in tail call means that the function call occurs at the “end” of the function body. Note, however, that very often when writing loops over queues you will want a tail call whose argument is towards the `tail` of the queue, relative to the “current” node being visited.
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In the iterative version of the queue length function shown above, the extra len argument is incremented at each call. If we see how the ASM stack behaves when using tail call optimizations, each such call to loop essentially modifies the stack bindings in place. That is, at every call to loop, there will be one stack binding for no and one stack binding for len. Since, under tail call optimizations, those two old bindings will be popped and the two new bindings for no and len will be pushed each time loop is called, the net effect is the same as imperatively updating the stack. The queue lecture slides give a detailed animation of this behavior in the ASM.

The upshot is that writing a loop using tail calls is exactly the same as writing a while loop in a language like Java, C, or C++. Indeed, tail calls subsume even the break and continue keywords that are used to “jump out” of while loops—the break keyword corresponds to just returning an answer from the loop, and the continue keyword corresponds to calling loop in a tail-call position.

The lecture slides show a lengthy animation of the tail calls and their correspondence to iteration.

16.5 Loop-the-loop: Examples of Iteration

Let’s see how we can use tail recursion to write several different functions that iterate over the queue structures.

First, let’s just create a simple print operation that outputs the queue values on the terminal in a nicely formatted way:

```ocaml
(* output the queue elements in order from head to tail to the terminal *)
let print (q : 'a queue) (string_of_element : 'a -> string) : unit =
  let rec loop (no : 'a qnode option) : unit =
    begin match no with
    | None -> ()
    | Some n -> print_endline (string_of_element n.v);
    loop n.next
  end
in
print_endline "--- queue contents ---";
loop q.head;
print_endline "--- end of queue -----"
```

In this example, the loop doesn’t produce any interesting output—it simply walks down the queue nodes, converts each value to a string, and prints out that string. Note that the call to loop in the Some n branch is in a tail-call position: the print_endline will be done before the loop. The print function enters the
Next, let’s try writing a function that converts a queue to a list. Here the loop function will return an 'a list, which is built up as the loop traverses over the sequence of nodes. Therefore the loop function itself needs an extra argument in which to “accumulate” this answer.

Our first instinct might be to do this:

```ocaml
(* Retrieve the list of values stored in the queue, ordered from head to tail. *)
let to_list (q: 'a queue) : 'a list =
  let rec loop (no: 'a qnode option) (l: 'a list) : 'a list =
  begin match no with
    | None -> l
    | Some n -> loop n.next (l @ [n.v])
  end
  in loop q.head []
```

Since we are building up the accumulator list l from the head of the queue to the tail, we need to add each node’s value to the end of l (as shown by the use of @ in the recursive call). When loop has reached the end of the sequence of nodes (the None case), it simply returns the resulting list. Note that we provide the empty list [] as the second argument when we start the loop—this says that the “initial value” of the accumulator list is [].

However, this implementation isn’t that great because, as we saw before the `append` operation takes time proportional to the length of l. Since we use it on l, which increases in length each time around the loop, this algorithm will end up taking roughly \( n^2 \) time, where \( n \) is the length of the queue.

A better way to structure this program is to build up the accumulator list in reverse order during the loop, and then reverse the entire thing only once at the end. This leads us to this variant, which will take time proportional to the length of the queue:

```ocaml
(* Retrieve the list of values stored in the queue, ordered from head to tail. *)
let to_list (q: 'a queue) : 'a list =
  let rec loop (no: 'a qnode option) (l: 'a list) : 'a list =
  begin match no with
    | None -> List.rev l
    | Some n -> loop n.next (n.v::l)
  end
  in loop q.head []
```
Here we simply cons the node value to the front of the accumulator list `l`, but then use the library call `List.rev` to reverse the list when the loop is done (in the `None` branch).

We can rewrite many of the list-processing functions that used recursion to take advantage of tail-recursive loops. For example, we can sum the elements of an `int` queue using this function:

```ocaml
(* Sum the elements of the queue *)
let sum (q: int queue) : int =
  let rec loop (no: int qnode option) (sum: int) : int =
    begin match no with
    | None -> sum
    | Some n -> loop n.next (sum + n.v)
    end
  in loop q.head 0
```

Again the accumulator that changes at each iteration of the loop is the running total, here called `sum`\(^4\). When the `loop` terminates, we simply return the `sum`, at each iteration we increase the `sum` parameter by `n.v`. As before, we have to initialize the value of `sum` to `0` by calling the `loop` on `q.head` and `0`.

It is instructive to compare these iterative functions to the recursive ones we are already familiar with. For example, here is the recursive version of `sum_list` that we have seen previously, where I have used suggestive names for the head and tail of the list:

```ocaml
let rec sum_list (l:int list) : int =
  begin match l with
  | [] -> 0
  | v::next -> v + (sum_list next)
  end
```

We can see that in the recursive solution the “base case” computes the length of the empty list, which is `0`. In contrast, the iterative version initializes the “accumulator” to `0` in the call to `loop`—the base case is analogous to the initial value of the accumulator. The recursive version does the addition after recursively computing the sum of the “next” part of the list, while the iterative version does the addition before it jumps back to the start of the loop.

\(^4\)In fact the term “accumulator” comes from thinking of the extra argument of the `loop` function as a “running total” begin “accumulated”.

16.6 Infinite Loops

When using iteration, it is possible to accidentally cause your program to go into an infinite loop. Unlike the case for recursion, however, an infinite loop may just “diverge silently”—since the loop doesn’t consume any stack space, a loop might not exhaust all of the available memory. Infinite recursion usually causes OCaml to produce the error message:

```
Stack overflow during evaluation (looping recursion?)
```

This is possible because the operating system can detect that the program has used up all of its stack space and abort the program.

When using tail recursion, one could accidentally create an infinite loop by writing a program like this:

```ocaml
defun accidental_infinite_loop (q: queue) : int =
  let rec loop (qn: queue option) (len:int) : int =
    begin match qn with
    | None -> len
    | Some n -> loop qn (len + 1)
  end
  in loop q.head 0
```

This program mistakenly calls `loop` with the `same` `qn` each time in the body of the `Some` branch. When we run it on a non-empty queue, the program will just hang, producing no output and no error message. This kind of error can be frustrating to recognize—make sure that your programs actually terminate when you run them.

A second way in which an iterative program can go into an infinite loop is if the link structure being traversed contains a cycle. This could occur, for example, if a value of type `queue` that doesn’t satisfy the queue invariants is passed to a function that expects the queue invariants to hold.

In some circumstances, we can plan for the possibility of cyclic data structures and check to see whether the function has detected a cycle. For example, suppose that you wanted to write a function that, given a possibly invalid queue (i.e. one that doesn’t necessarily satisfy the queue invariant) returns the last node that can be reached by following `next` pointers from the `head`. (You might want to implement such a function to check whether a given queue satisfies the invariants—the last element reachable from the head should be pointed to by the `tail`.)

Here is a function that accomplishes this task:
(* get the tail (if any) from a possibly invalid queue *)

\begin{code}
let rec get_tail (hd: 'a qnode) : 'a qnode option =
  let rec loop (qn: 'a qnode) (seen: 'a qnode list)
    : 'a qnode option =
    begin match qn.next with
      | None -> Some qn
      | Some n ->
        if contains_alias n seen then None
        else loop n (qn::seen)
    end
in loop hd []
\end{code}

This function relies on a helper function, called `contains_alias`\(^5\), which, given a value and a list determines whether the list contains any aliases of the value. The loop traverses nodes starting from the head and adds each one it passes to the `seen` accumulator—if it ever encounters the same node twice the queue structure must have contained a cycle, so the result is `None`. Otherwise, the traversal will eventually find a node whose `next` field is `None`, which is the last element reachable from the head.

If we tried to write this function in the naive way shown below, calling it with a invalid cyclic queue would cause the program to loop silently:

\begin{code}
(* BROKEN: this version of get_tail could loop *)
let rec get_tail (hd: 'a qnode) : 'a qnode option =
  let rec loop (qn: 'a qnode) : 'a qnode option =
    begin match qn.next with
      | None -> Some qn
      | Some n -> loop n
    end
in loop hd
\end{code}

\footnote{See HW05.}
Chapter 17

Local State

This Chapter explores some ways of packaging state with functions that operate on that state. Such encapsulation, or local state, provides a way to restrict some parts of the program from tampering with mutable values. By sharing a piece of local state among several functions, we can profitably exploit the “action at a distance” that mutable references provide.

Recall the motivating example from §14 in which a global identifier with the mutable field count let us neatly keep track of how many times the tree_max function had been called. There are several drawbacks of using a single, global reference. First, if we want to have multiple different counters, each of which is used to track the usage of a different function, we have to name each of the counters at the top level of the program. What’s worse, each function that uses such a counter would need to have to be modified in a slightly different way—we might have to write global1.count <- global1.count + 1 in one function and the nearly identical global2.count <- global2.count + 1 in another function. Supposing that we might also sometimes want to decrement the counters, or reset them to 0 at various points throughout the program, keeping track of which global identifier to use can quickly become quite a hassle.

The key idea in solving this problem is to use first-class functions combined with local mutable state. As a first step, lets first isolate the main functionality of a counter. The code below shows an incr function, which (for now) increases the count of the global counter by 1 and then returns the new count:

```ocaml
type state = {mutable count : int}

let global = {count = 0}

let incr () : int =
  global.count <- global.count + 1;
  global.count
```
How do first-class functions and local state apply here? The problem is that to have more than one counter, we need to generate a new mutable state record for each counter instance. We can do that by making a function that creates the state and then returns the incr function that updates the state:

```ocaml
type state = {mutable count : int}

let mk_incr () : unit -> int =
let ctr = {count = 0} in
let incr () =
  ctr.count <- ctr.count + 1;
  ctr.count
in incr
```

Each time we call the mk_incr function, the result will be to create a new counter record ctr and then return a function for incrementing that counter. For example, if were to run the following program, we would get two incr functions, each with its own local counter:

```ocaml
let incr1 : unit -> int = mk_incr ()
let _ = incr1 ()
let incr2 : unit -> int = mk_incr ()
```

### 17.1 Closures

To understand how a call to the mk_incr function evaluates, we need to make one slight refinement to the ASM model of §15—the reason has to deal with returning a function that refers to locally-defined identifiers. In our particular example, the incr function returned by mk_incr refers to ctr, which is local to mk_incr. Therefore, the ctr binding will be created on the stack during the evaluation of a call to mk_incr, but that binding will be popped off at the point where mk_incr returns!

To remedy this problem, when the ASM stores a function value to the heap, it also stores any of the local stack bindings that might be needed during the evaluation of a call to that function. In this example, since the body of incr refers to ctr, the ASM stores a local copy of the stack binding for ctr with the function data itself. Figure 17.1 shows the state of the ASM at the point just after incr has been stored to the heap but before mk_incr returns. When ctr is popped off the stack, the function incr will still be able to access its value via the locally saved binding.
This combination of a function with some local bindings is called a closure. As we shall see, closures are intimately related to objects of an object-oriented language like Java.

When do the bindings associated with a closure get used? They are needed to evaluate the body of the function, so, whenever a function invocation occurs, any local bindings stored in the function closure are copied back to the stack before the function’s argument bindings are created.

Therefore, when we the program above calls incr1 (), the ctr value will be copied back on to the stack before the body of the function is executed. This ensure that when the body mentions ctr, there is always the appropriate binding on the stack.

Moreover, since each copy of the function has its own closure bindings, multiple calls to mk_incr will result in distinct closures, each with different, local copies of their own counter records. We can see this by looking at the state of the ASM after running the second call to mk_incr. As Figure 17.2 shows, there are two closures, each with its own copy of ctr.

Another important aspect of using local state in this way is that the only way to access a ctr record is by invoking the corresponding incr function. This means that no other part of the program can accidentally tamper with the value stored in the counter. This kind of isolation of one part of the computer’s state from other parts of the program is called encapsulation. If the state inside the counter object was more complex and required certain invariants to be maintained, restricting access to only a small number of functions means that we only have to ensure that they preserve the invariants.
17.2 Objects

A second step toward solving the problem of reusable counters is to define a better interface for counters. For example, we might want to decouple incrementing the counter from reading its current value, or we might want to add the ability to decrement and reset the counter. This leads us to define `incr`, `decr`, `get`, and `reset` operations. It is straightforward to share a global reference among several functions in this way, as shown here:

```ocaml
type state = {mutable count : int}
let global = {count = 0}

let incr () : unit =
  global.count <- global.count + 1

let decr () : unit =
  global.count <- global.count - 1

let get () : int =
```

Figure 17.2: The resulting ASM configuration after two calls to `mk_incr`. Each closure has its own local copy of `ctr`. Note also that the only way to modify the state of the `ctr` record is to invoke the function—the state is effectively isolated from the rest of the program. This property is called encapsulation of state.
This is a better interface—we now have a suite of operations that are suitable for manipulating one counter, but it still doesn’t allow us to conveniently work with more than one such counter.

The solution to is to package these operations together in a record and, instead of using \texttt{mk_incr} to create one function, use a function called \texttt{mk_counter} that generates all of the functions in one go:

\begin{verbatim}
let mk_counter () : counter =
    let ctr : state = {count = 0} in
    {incr = (fun () -> ctr.count <- ctr.count + 1);
     decr = (fun () -> ctr.count <- ctr.count - 1);
     get = (fun () -> ctr.count);
     reset = (fun () -> ctr.count <- 0);
    }

let ctr1 : counter = mk_counter () in
let ctr2 : counter = mk_counter () in
;; ctr1.incr ();
;; ctr2.incr ();
;; ctr1.incr ();
let ans : int = ctr1.get ()
\end{verbatim}

17.3 The generic \texttt{\textasciitilde a ref} type

Situations like the counter example above, in which only a single mutable field is needed, arise often in programming. For example, you might need a mutable \texttt{bool} flag that indicates whether some feature of your program should be enabled, or perhaps you need a mutable \texttt{string} to keep track of some data being entered by the user into a text box.
While we could define a new record type specifically for each of these situations (just as we defined the state type for the counters example), that would quickly become tedious and difficult to work with.

Instead, we can simply define a generic type of “single field” mutable records like this:

```ocaml
type 'a ref = {mutable contents : 'a}
```

This type is pronounced “ref” (as in reference), and it comes built in to OCaml. Working with the 'a ref type is so common that OCaml also provides syntactic sugar for creating, updating, and getting the value stored in the contents field of a 'a ref value. These syntactic abbreviations are:

- `ref e` means `{contents = e}
- `!e` means `e.contents`
- `e := v` means `e.contents <- v`

As an example of using these syntactic abbreviations, we could have written the `mk_counter` function from above as the following, with equivalent results:

```ocaml
let mk_counter () : counter =
  let ctr : int ref = ref 0 in
  {incr = (fun () -> ctr := (!ctr) + 1);
   decr = (fun () -> ctr := (!ctr) - 1);
   get = (fun () -> !ctr);
   reset = (fun () -> ctr := 0);
  }
```

## 17.4 Reference (==) vs. Structural Equality (=)

We have seen the importance of understanding aliasing when reasoning about heap-allocated mutable data structures. One natural problem is thus to determine whether two reference values are in fact aliases. OCaml, like all modern programming languages, provides an operation, written `v1 == v2` that yields true when `v1` and `v2` are aliases and false if they are not. This kind of equality, for obvious reasons, is called reference equality.

In contrast, the expression `v1 = v2` checks whether `v1` and `v2` are structurally equal. This means that `=` will, in general, traverse the two structures `v1` and `v2` comparing whether they agree on the values of their primitive datatype constituent pieces and whether the contents of any references are (recursively) structurally
equal. Figure 17.3 shows, pictorially, the difference between these two types of equality.

These two types of equality are useful in different circumstances. To summarize:

Structural equality:

- Recursively traverses the structure of the data, comparing the two values’ components to make sure they contain the same data.
- May go into an infinite loop if the data structure contains cycles.
- Never considers one function value to be equal to another (even to `iself`).
- Is generally the right kind of equality to use for immutable data.

Reference equality:

- Determines whether two reference values are aliases, or whether primitive values are identical, and never traverses link structure.
- Will say that a function reference is equal only to itself.
- Otherwise equates strictly fewer things than structural equality.
- Is usually the right kind of equality to use for comparing mutable data.
Chapter 18

Wrapping up OCaml: Designing a GUI Library

18.1 Taking Stock

Thus far, we have studied program design “in the small”, where the programs we have written are at most a couple of functions, and their use is relatively straightforward. We have studied a general design strategy for developing software, which starts with understanding the problem and then uses types and tests to further refine that understanding before we actually develop code.

Throughout our studies, we have used OCaml’s features to explore different ways of structuring data. First we used pure representations like lists and trees, where the primary way of processing the data is via recursive functions. Then we looked at imperative data structures, such as the queues of the last chapter, where the primary modes of operation are iteration and imperative update. Along the way, we saw many other kinds of structured data: tuples, options, records, functions, etc., which give us tools for thinking about how to decompose the data of a problem into an appropriate form for computing with it. We have also encountered several styles of abstraction—hiding of detail—that can help when structuring larger programs, including generic types and functions, the idea of an abstract type implemented in a module, and the use of hidden (or encapsulated) state of an object.

In subsequent chapters, we will explore these concepts again, this time from the point of view of Java programming, where we will see that all of the same ideas apply. Here, however, we investigate how to put together all of the tools we developed in OCaml to produce a useful tool, namely a (rudimentary) paint program. Implementing such a paint program isn’t that difficult, given the appropriate library for graphical user interface (GUI) design. We make this design process more interesting by developing the GUI library too—that is, we start from OCaml’s na-
Wrapping up OCaml: Designing a GUI Library

tive graphics library, which doesn’t provide any of the familiar components (like buttons, text boxes, scroll bars, etc.) that are used to create a GUI application like the paint program. On top of that simple graphics library, we will build a useable GUI library, modeled after Java’s Swing libraries.

There are several reasons for going through this design exercise:

- It demonstrates that, even with just the programming techniques we have studied so far, we can build a pretty serious application.
- It illustrates a more complex design process than what we have seen so far.
- As we shall see, that design process leads to the event-driven model of reactive programming, which can be applied in many different contexts.
- It motivates why there are features, such as classes and inheritance, in object-oriented languages like Java.
- It shows how a real GUI library, like Java’s Swing, works.

18.2 The Paint Application

As a first step towards designing a GUI library, let us consider an example application that might be built using such a library.

Figure 18.1 shows an example of the kind of paint program that we are aiming to build with the techniques presented in this Chapter. We are all familiar with such simple paint programs, which let the user draw pictures with the mouse by clicking the button create lines, ovals, rectangles, and other basic shapes. As the picture shows, this GUI application has “buttons” (like Undo and Quit), “check-boxes” (like Thick Lines), “radio buttons” (like those used for Point, Line, Ellipse, and Text), a “text entry field”, custom buttons for color selection, and a “canvas” area on which the user draws his or her picture. These and many other kinds of widgets are ubiquitous in applications developed for user interaction.

18.3 OCaml’s Graphics Library

What do we need to do to build a library that lets us create buttons, text boxes, etc. for use in the paint application? First, let’s take a look at the OCaml graphics

1We will get started with the design, and leave the rest up to the project associated with this part of the course.
library, to see what we have have to work with.²

Note: To compile a program that uses the graphics library, be sure to include graphics.cma (for bytecode compilation) or graphics.cmxa (for native compilation) as a flag to the ocamlc compiler.

Among other things, OCaml’s graphics library provides basic functions for creating a new window, open_graph, erasing the picture displayed in the window, clear_graph, setting the window’s size resize_window, and getting the current window’s width, size_x, and height, size_y.

The graphics library provides the type color, and a variety of pre-defined color values like black, white, red, blue, etc.. Importantly, the library manages the graphics window in a stateful way—there are notions of the current “pen

color”, which can be set using `set_color`, and a the current “pen location”, which can be changed by using `move_to`. You can draw a single pixel with the current color at coordinates \((x,y)\) by using `plot x y`. Similarly, you can draw in the current color starting at the current pen location and ending at the coordinates \((x,y)\) by using `line_to x y`. In a similar vein, there are functions for drawing rectangles, ellipses, arcs, and filled versions of these shapes. There are also functions for adjusting the line width used to draw the shapes, ways to put text at a certain location in the window, and work with bitmap images.

So much for drawing things on the screen. Examining the graphics library further, we see that it also provides a type called `event`, whose values describe the the mouse and keyboard. An `event` is just a record that indicates the current coordinates of the mouse, whether its button is up or down, whether a key is pressed, and which key. There is also a function that causes the program to wait for a new event to be generated by the user—moving the mouse, pressing the mouse button, or pressing a key.

The graphics library also supports a technique called “double buffering”, which is used to prevent flicker when changing or animating parts of the window’s displayed graphics. The idea is that, when double buffering is enabled, the graphics drawing commands affect a second copy of the window, which is not displayed on the screen. After the entire window is updated, the `synchronize` function causes the hidden buffer to be displayed (and re-uses the displayed memory space for subsequent drawing). This prevents flicker that would be caused by changing the graphics displayed in the window as they are drawn piece-meal using the primitive graphics operations.

What the graphics library does not provide is any kind of higher-level abstraction like “button” or “text box”—our GUI library will have to implement these features by using the graphics primitives.

### 18.4 Design of the GUI Library

How do we go from simple drawing operations and rudimentary information about the mouse and keyboard to a full-blown GUI application like the paint program? There are several issues to consider. It’s clear that one of the jobs of a GUI library is to provide easy ways to construct buttons and other widgets that a program like paint can use. Since the typical GUI application involves lots of different kinds of buttons, we must consider how to share the code that is common to all (or at least many) buttons—for example, we might want a button to have an associated string (like “Undo” or “Quit”) that is displayed as its label. Traditionally, GUI widgets like buttons include a rectangular border (or other visual cue) that separates the button from other regions of the window. One design challenge is
thus how to conveniently package the visual attributes of widgets so that they can
be reused.

A related issue is how those buttons and other widgets are positioned on the
the screen relative to one another. Given the drawing primitives in the graphics
library, we could imagine painstakingly drawing each line of every button using
the “global” coordinate system of the window, but this would be extremely tedious
and very brittle—one small change to how we want to layout the buttons of the
application might prompt large, intertwined changes to the program responsible
for drawing the entire window. Moreover, it’s not clear how we would write that
program so that, for example, just one part of the window could easily be changed
(for example to put an X in a checkbox widget).

Finally, there is the issue of how to process the user-generated mouse and key-
board inputs. This also turns out to be related to how the widgets are arranged in
the window, since the GUI library will need to determine, based on the coordinates
of the mouse click, which widget the user intended to interact with. For example,
when a user clicks on a part of the window occupied by a button widget, our GUI
library will have to somehow determine that the button was clicked. Moreover,
since each button will typically trigger a different behavior, each button should
somehow be associated with a piece of code that gets run when the mouse click
occurs.

The next several sections tackle each of these problems in turn.

### 18.5 Localizing Coordinates

The first challenge we’ll tackle is how to structure the code for drawing widget
components so that it can be reused. The key idea is to make each widget in charge
of drawing itself, but arrange it so that any positional information used to draw
the widget can be specified using a *widget-local* coordinate system. The code for
drawing a widget can therefore be written as though the widget is always located
with its upper-left corner located at (0,0); in reality, the commands used to draw
the widget will transparently be translated by some offset (x,y) from the actual
origin of the window. Figure 18.2 shows this situation pictorially.

To implement this idea, we create a module called `Gctx` (for “graphics con-
text”) whose main type `gctx` represents the “contextual information” needed to
draw a widget. For now, that context is just the (x,y) offset from the upper-left
corner of the window. The main functionality provided by the `Gctx` module is to
translate between the widget-local coordinates used by the widget drawing func-
tion and the coordinate system used by the OCaml graphics module.

There’s one other discrepancy between the global coordinate system provided
by the OCaml graphics library and the one we’d prefer for GUI applications: the
graphics library uses Cartesian coordinates where the origin (0,0) is located at the lower-left corner of the graphics window, and the y axis increases upwards in the vertical direction. This setup is handy for plotting mathematical functions—it agrees with the usual way we think of the coordinate system when we graph a function in algebra or calculus. Unfortunately, locating (0,0) in the lower-left is not very good for GUI applications. The issue is that when a user resizes the window, the typical GUI behavior is to make more space available to the application. Importantly, the menu bars, etc. that appear at the top of the screen should remain fixed—the extra space obtained by resizing the window should appear at the bottom of the window, not the top. This means that for GUI applications, the global origin should be located in the top-left corner of the window.

These considerations lead us to a design in which the Gctx module provides a type gctx that stores the position relative to which a widget should be drawn. Its x and y coordinates are with respect to the GUI-global origin (0,0), located at the top-left corner of the graphics window, and for which y values increase downwards in the vertical direction. The Gctx module also provides functions that translate from
widget-local to OCaml graphics coordinates, relative to the \texttt{Gctx.gctx} offset. The \texttt{Gctx} module also “wraps” each of the primitive OCaml graphics routines to do the translation from widget-local to OCaml coordinates—this means that all of the widget drawing code can be written in a position-independent way.

Since the OCaml graphics library also maintains a current pen color, it is useful to add a color component to the \texttt{Gctx.gctx}, which will allow our GUI library to (potentially) define a widget’s visual appearance relative to the color in addition to making them relative to their position in the window. The \texttt{Gctx} drawing operations therefore also set the OCaml graphics pen color accordingly.

Here is a sample of the resulting code for the \texttt{Gctx} module (the full implementation wraps more drawing routines than just the ones shown below):

\begin{verbatim}
(* Gctx.ml *)

type gctx = {
  x:int; y:int; (* offset from (0,0) in GUI coords *)
  color:Graphics.color; (* the current pen color *)
}

(** A widget-relative position *)
type position = int * int

(** A width and height paired together. *)
type dimension = int * int

(* This function takes widget-local coordinates (x,y) to OCaml graphics coordinates, relative to the graphics context. *)
let ocaml_coords (g:gctx) ((x,y):position) : (int*int) =
  (g.x + x, Graphics.size_y()-(g.y + y))

(* This function takes OCaml Graphics coordinates (x,y) to widget-local graphics coordinates, relative to the graphics context *)
let local_coords (g:gctx) ((x,y):int*int) : position =
  (x - g.x, (Graphics.size_y() - y) - g.y)

type color = Graphics.color

(* Produce a new Gctx.gctx with a different pen color *)
let set_color (g:gctx) (c:color) : t =
  {g with color=c}

(* Set the OCaml graphics library's internal state so that it agrees with the Gctx settings *)
let set_graphics_state (g:gctx) : unit =
  Graphics.set_color g.color
\end{verbatim}
18.6 Simple Widgets & Layout

The \texttt{Gctx} module lets us relativize drawing to a widget-local coordinate system. Now, let us see how we can use the \texttt{Gctx.gctx} structure to address the challenge of laying out widgets on the window. At a minimum, a widget will need to be able to draw itself relative to a graphics context. Since each widget will occupy some region of the window, a widget should also be able to report its size, so that we can position one widget relative to another.

This leads us to the following type for (simple) widget objects\footnote{In §18.10 we will extend this type to deal with user events}:

\begin{verbatim}
(* The widget module *)

type widget = {
    repaint : Gctx.gctx -> unit;
    size : unit -> (int * int);
}
\end{verbatim}

The \texttt{repaint} function asks the widget to draw itself using the \texttt{Gctx} drawing primitives—we call it “repaint” because, eventually, we repeatedly draw widgets to the screen, which allows for animation or changes to the visual state of the GUI application. For example, a \texttt{checkbox} widget’s \texttt{repaint} function might draw an \texttt{X} depending on whether the checkbox is selected (as shown in the “Thick Lines” checkbox of Figure 18.1).
Given just the widget type above, we can already create some simple widgets. The simplest widget does nothing but occupy space in the window—it’s repaint function does nothing, and its size is determined by parameters passed in when constructing the widget object.

```ocaml
(* The simplest widget just occupies space. *)
let space ((w,h):Gctx.dimension) : widget =
{
    repaint = (fun _ -> ()),
    size = (fun _ -> (w,h));
}
```

Another simple widget just draws a string:

```ocaml
(* Display a string on the screen. *)
let label (s:string) : widget =
{
    repaint = (fun (g:Gctx.gctx) -> Gctx.draw_string g s);
    size = (fun () -> Gctx.text_size g s)
}
```

The `label` widget’s `repaint` function just uses the `draw_string` operation provided by `Gctx`, its `size` is just the size of the string when drawn on the window.

Another useful widget simply exposes a fixed-sized region of the screen as a “canvas” that can be painted on by using the `Gctx` drawing routines. The canvas widget is just a widget parameterized by the `repaint` function:

```ocaml
let canvas ((w,h): Gctx.position) (paint : Gctx.gctx -> unit) : widget =
{
    repaint = paint;
    size = (fun _ -> (w,h))
}
```

The three widgets above don’t yet do anything very interesting to the window display. Since we will eventually want to draw buttons and other complex widgets with lines indicating their boundaries, it is useful to create a widget `border` wrapper. Given a widget `w`, the widget `border w` simply draws a rectangular border around the outside of `w`. The border widget therefore calls the wrapped widget’s `repaint` method and also adds its own code to draw the rectangle around the
Figure 18.3: The `border` widget wraps another widget `w` with a one-pixel thick line set one pixel away from the inner widget. The `border` widget’s `repaint` function calls `w`’s `repaint`, but must use `Gctx.translate` to “shift” the inner widget’s local coordinate system to (2,2), relative to the `border` widget’s local origin.

inner widget. The only wrinkle is that we have to be a bit careful with the graphics context. Figure 18.3 illustrates the situation—the `border` widget’s `repaint` function should call `w`’s `repaint` function, but, since `w`’s upper-left corner is not located at the origin, we have to `translate` the graphics context slightly before passing it on to `w`’s `repaint`. This functionality is easy to add to the `Gctx` module:

```
(* Gctx.ml *)
(* Shifts the gctx by (dx,dy) *)
let translate (g: gctx) ((dx,dy):int*int) : gctx =
  {g with x=g.x+dx; y=g.y+dy}
```

Given this `translate` function, it is then easy to implement the functionality of the `border` widget: the `size` function simply pads the size of the inner widget by four pixels in each direction; the `repaint` function draws four lines for the `border`, translates the `Gctx.gctx` and then calls `w`’s `repaint`.

```
(* Adds a one-pixel border to an existing widget. *)
let border (w:widget) : widget =
  { repaint = (fun (g: Gctx.gctx) ->
    let (width, height) = w.size g in
    (* not +4 because we count from 0 *)
    let x = width + 3 in
    let y = height + 3 in
    Gctx.draw_line g (0,0) (x,0);
    Gctx.draw_line g (0,0) (0,y); }`
```
Figure 18.4: The call `hpair w1 w2` yields a widget `h` comprised of `w1` and `w2` layed out horizontally adjacent to one another. The right widget’s `Gctx.t` must be translated by the width of the left widget.

```ocaml
Gctx.draw_line g (x,0) (x,y);
Gctx.draw_line g (0,y) (x,y);
let g = Gctx.translate g (2,2) in
w.repaint g)

size = (fun () ->
    let (width, height) = w.size () in
    width + 4, height + 4);
```

The `translate` function also suggests how we can create a “wrapper” widget that will lay out two widgets side-by-side in the window. The idea is to simply translate the right widget horizontally by the width of the left widget, as shown in Figure 18.4. The `size` is simply the sum of the two widgets’ widths and the maximum of their heights. The resulting “horizontal pair” widget code looks like this:

```ocaml
(* The hpair widget lays out two widgets horizontally. They are aligned at their top edge. *)
let hpair (w1: widget) (w2: widget) : widget =
{
  repaint = (fun (g: Gctx.gctx) ->
    let (x1, _) = w1.size () in
    w1.repaint g;
    w2.repaint (Gctx.translate g (x1,0));
```

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let l1 = label "Hello"
let l2 = label "World"
(* Compose them horizontally, adding some borders *)
let h = border (hpair (border l1)
    (hpair (space (10,10)) (border l2)))

Figure 18.5: Widgets form a tree: each “wrapper” widget like a \texttt{border} or \texttt{hpair} contains one or more children. The tree on the left above corresponds to the widget \texttt{h} created by the program above. When painted to the graphics window, \texttt{h} would be displayed as shown on the right.

18.7 The widget hierarchy and the \texttt{run} function

So far, we have tackled the problem of layout and modular reuse of widget code. The \texttt{Gctx} and \texttt{Widget} modules together give us a way of constructing more complex widgets out of smaller ones by arranging them spatially in the graphics window.

When we build an application (such as the paint program) that uses the \texttt{Widget} \texttt{.widget} types to construct a user interface, we can think of the widget
instances as building a tree—the leaves of the tree are the “primitive” widgets like layout, space, and canvas (which don’t have any sub-widgets inside them), and the nodes of the tree are those widgets, like border and hpair, that “wrap” one or more children. Figure 18.5 shows pictorially what such a widget tree looks like for a concrete widget program.

To paint a widget hierarchy to a graphics window, all we have to do is invoke the repaint function of the root widget, giving it an initial graphics context. For example, calling h.repaint for the program of Figure 18.5 will cause the image shown on the right-hand side of the Figure to be displayed.

As a first cut for the top-level program, we can thus create a run function that takes in the root widget, creates a new OCaml graphics window, asks the widget to repaint itself, and then goes into an infinite loop. (We have to use some kind of loop, otherwise the program would draw the widget and then exit too quickly for us to see the resulting graphics!)

```ocaml
(* A program that displays a widget in the window *)
let run (w:Widget.widget) : unit =
  let g = Gctx.top_level in
  Gctx.open_graphics ();
  w.repaint g;

  let rec loop () =
    loop ()
  in
  loop ()
```

As we shall see next, we will modify this top-level loop so that it can process user-generated GUI events, such as mouse motions.

### 18.8 The Event Loop

We have successfully addressed one of the design challenges for building a GUI library: the combination of Gctx and Widget modules provide a clean way of creating re-usable graphical components that can be positioned relative to one another in the window. The remaining challenge is how to process user-generated events, such as mouse clicks, mouse motion, or key presses.

The first step toward solving this problem is to replace the run function we just saw with something more useful. Consider the paint application, for example. Unless the user provides some input, by using the mouse to click a button or draw in the paint canvas, the paint program itself does nothing—it passively waits for an event that it knows how to process, processes the event, which might cause the
visual display of the paint program to be altered, and then goes back to waiting for another event. Clearly, the infinite loop of the run function should be replaced by some code that waits for a user event to process and then somehow updates the internal state of the application. The OCaml Graphics library provides such a function, called loop that does just that. This function takes a first class function as an argument: with each event occurrence, the argument function is called before restarting the loop.

At each loop iteration, we clear the entire graphics window, notify the root widget to process the event and then ask the root widget to repaint itself. This leads to a run function with the following structure:

```ocaml
open Widget;;
(*
This function takes a widget, which is the "root" of the GUI interface. It starts with "top-level" \cd(gctx), and then it goes into an infinite loop. The loop simply repeats these steps forever:
- clear the graphics window
- ask the widget to repaint itself
- wait for a user input event
- forward the event to the widget's event handler
*)
let run (w:widget) : unit =

let g = Gctx.top_level () in
Gctx.open_graphics ();
(* the top-level gctx *)

w.repaint g;
(* display the widget *)

Graphics.loop [...] (* wait for user input, when that occurs pass event to function below *)

(fun e ->
  clear_graph ();
  (* inform widget about the event *)
  w.handle g e
  (* update the widget's appearance *)
  w.repaint g
)
```

The new part of this run function is what allows the GUI program to be interactive. The Graphics.loop function waits for events to occur. Once an event is received, we call the root widget’s handle function to ask it to process the event.
18.9 GUI Events

An event is just a value that represents a signal from the underlying operating system to the OCaml graphics library. The following types of events are tracked by the system:

```ocaml
type event_type =
  | KeyPress of char (* User pressed the following key *)
  | MouseDrag (* Mouse moved with button down *)
  | MouseMove (* Mouse moved with button up *)
  | MouseUp (* Mouse button released, no movement *)
  | MouseDown (* Mouse button pressed, no movement *)
```

An event is an abstract type provided by the Gctx module. These values describe the sort of event that occurred, and the position of the mouse (in widget-local coordinates) when the event occurred.

```ocaml
val event_type : event -> event_type
val event_pos : event -> gctx -> position
```

Events are created by instructing the operating system to wait until the next event occurs. The following function is called in the event loop for just that purpose.

```ocaml
val wait_for_event : unit -> event
```

“Mock events” can also be created for unit testing. These events are represented in the same way as those created by `wait_for_event`, but they are not generated by moving the mouse or pressing keys. Instead, they allow unit tests to pretend that a mouseclick or key press has occurred.

```ocaml
val make_test_event : event_type -> position -> event
```

18.10 Event Handlers

Once an event has been received by the top-level event loop (the `run` function), it asks the root widget `w` to handle the event. To allow widgets to react to events, we need to extend their type with a new function, called `handle`. This function takes
Figure 18.6: When a user clicks some place in the GUI window, the resulting event is routed through the widget hierarchy starting at the root. Each node forwards the event by calling a child widget's `handle` function after suitably translating the `Gctx.t` value. Which child gets the event is determined by their size, layout, and the coordinates of the event.

How does our program know what to do when the user clicks on a region of the window that displays a particular button, like "Undo" in the paint program? Clearly each button will (in general) need to be associated with some bit of code that gets executed when it is clicked, but there must also be some way to "route" the event to the appropriate widget of the widget hierarchy.

We have actually already encountered a similar problem twice before, albeit in very different contexts. First, recall that when inserting a new value into a binary search tree we exploited the ordering structure of the values in the nodes of the tree to "route" the new value to its proper location. Second, recall that, for Homework 4 we used quad trees to partition a 2D region of the plane and that inserting a point into the quad tree essentially amounted to "routing" the point to its proper
location in the tree based on its coordinates.

For routing events to widgets, we use a similar idea: the “container” widgets like `border` and `hpair` use the spatial information about the layout of their sub-wuidgets to decide which of the children’s `handle` functions should be called. This situation is depicted in Figure 18.6.

For example, the `border` widget simply passes any events received by its handler to its only child, but only after suitably translating the `Gctx.gctx` so that the child can interpret the event relative to its own local coordinate system.

```ocaml
(* Modified version of border that handles events *)
let border (w:widget):widget =
{
    repaint = ...; (* same as before *)
    size = ...; (* same as before *)
    handle = (fun (g:Gctx.gctx) (e:Gctx.event) ->
               w.handle (Gctx.translate g (2,2)) e);
}
```

Similarly, the `hpair` widget checks which of its two children should receive the event and forwards it to the appropriate one. Note that, since there is some “dead space” created if one of the two children is shorter than the other, it is possible that neither child will receive the event. Events that occur in the “dead space” are simply dropped by the `hpair` widget. Thus we have:

```ocaml
(* Determines whether a given event is within a region of a widget whose upper-left hand corner is (0,0)
  with width w and height h. *)
let event_within (g:Gctx.gctx) (e:Gctx.event) ((w,h):int*int) : bool =
    let (mouse_x, mouse_y) = Gctx.event_pos g e in
    mouse_x >= 0 && mouse_y < w &&
    mouse_y >= 0 && mouse_y < h

let hpair (w1:widget) (w2:widget) : widget =
{
    repaint = ...; (* same as before *)
    size = ...; (* same as before *)
    handle =
        (fun (g:Gctx.gctx) (e:Gctx.event) ->
           if event_within g e (w1.size g)
           then w1.handle g e
           else
                let x = fst (w1.size g) in
                let g = Gctx.translate g (x, 0) in
```
if event_within g e (w2.size g)
then w2.handle g e
else ();
}

Modifying the space, label, and canvas widgets is straightforward—each of their handle functions simply does nothing. Of course, we might like to add the ability for a widget of one of these types to handle events as well, but we will do so using the notifier widget described below. First, though, we need to consider how widgets with local state can be constructed.

### 18.11 Stateful Widgets

Consider the simple label widget that we saw earlier.

```ocaml
(* Display a string on the screen. *)
let label (s:string) : widget =
{
  repaint = (fun (g:Gctx.gctx) -> Gctx.draw_string g s);
  size = (fun () -> Gctx.text_size s);
  handle = (fun (g:Gctx.gctx) (e:Gctx.event) -> ()
}
```

This widget is *stateless* in the sense that, once the string has been associated with the label, the string never changes.

If we wanted to be able to modify the string displayed by a label, we could use the techniques of §17 to give the label widget some *local state*, like this:

```ocaml
let label (s:string) : widget =
let lbl = {contents = s} in
{
  repaint = (fun (g:Gctx.gctx) ->
             Gctx.draw_string g lbl.contents);
  size = (fun () ->
          Gctx.text_size lbl.contents);
  handle = (fun (g:Gctx.gctx) (e:Gctx.event) -> ()
```

However, although the code above creates a piece of mutable state in which to store the label’s string, code external to the label widget cannot modify the contents of `lbl`. To do that, we need to also expose a function that lets other parts of the
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program update `lbl`. We call such a function a label controller since it controls the string displayed by a label. Given the type of `label_controller` records, it is easy to modify the `label` function to create a widget (of type `widget`) and a label_controller:

```ocaml
type label_controller = { set_label : string -> unit; get_label : unit -> string }

let label (s:string) : widget * label_controller =
    let lbl = { contents = s } in
    ({
        repaint = (fun (g:Gctx.gctx) ->
           Gctx.draw_string g lbl.contents);
        size = (fun () ->
           Gctx.text_size lbl.contents);
        handle = (fun (g:Gctx.gctx) (e:Gctxt.event) -> ())
    ),
    {set_label = (fun (r:string) -> lbl.contents <- r);
     get_label = (fun () -> lbl.contents))}
```

Now when we call the `label` function, it returns a pair consisting of a widget and a label controller that can be used to change the string displayed by the label.

More generally, any stateful widget will have its own kind of controller that can be used to modify the widgets state.

### 18.12 Listeners and Notifiers

Different widgets may need to react to different kinds of events. For example, a button needs to “listen” for mouseclick events and then run some appropriate code; a scrollbar might have to “listen” for mouse drag events (mouse motion with the button down); a textbox widget might have to “listen” for key press events. Moreover, the way that a button (or other widget) responds to a certain event might change depending on application context. In general, whether or not a widget should “listen” for a particular event might also depend on application-specific state.

How can we easily capture the wide variety of possible ways that a widget might want to interact with user-generated events? How can we modularly add or remove code for processing events? Our solution (which is based on Java’s Swing library) is to introduce a new kind of widget called a notifier. The idea is that a notifier widget “eavesdrops on” or “listens to” the events flowing through a part of the widget hierarchy. It manages a list of event listeners, which are a bit like handle functions except that they don’t really participate in routing events through the
Figure 18.7: A notifier widget maintains in its local state a list of “listeners” that get a chance to process events that flow through the widget tree. Which listeners are associated with the notifier can be changed using a notifier controller.

Widget hierarchy—they simply listen for a particular kind of event, react to it, and then either propagate the event or stop it from being further processed. Figure 18.7 shows pictorially, how we might add a notifier widget to the “Hello World” example.

Notifiers, like the stateful version of label widgets discussed above, maintain some local state—in this case a list of event_listener objects. Thus, each notifier widget comes equipped with a notifier_controller that can be used to modify the list of listeners. For simplicity in the code below, the notifier_controller only allows new event_listener objects to be added to the notifier; it is easy to extend this idea to allow event_listeners to be removed as well.

These design criteria lead us to create a type for event_listener functions that looks like this:

```ocaml
type event_listener = Gctx.gctx -> Gctx.event -> unit
```

An event_listener is just a function that, like a handle method of a widget, takes a Gctx.gctx and Gctx.event and processes the event.
Once we have defined the type of `event_listener`, it is straightforward to define the behavior of the `notifier` widget and its `notifier_controller`:

```ocaml
(* A notifier_controller is associated with a notifier widget. It allows the program to add event listeners to the notifier. *)

type notifier_controller = {
  add_event_listener: event_listener -> unit
}

(* A notifier widget is a widget "wrapper" that doesn't take up any extra screen space -- it extends an existing widget with the ability to react to events. It maintains a list of "listeners" that eavesdrop on the events propagated through the notifier widget.

When an event comes in to the notifier, it is passed to each listener in turn and then propagated to the child widget. *)

let notifier (w: t) : widget * notifier_controller =
  let listeners = { contents = [] } in
  { repaint = w.repaint;
    handle =
      (fun (g: Gctx.gctx) (e: Gctx.event) ->
         List.iter (fun h -> h g e) listeners.contents;
        w.handle g e);
    size = w.size
  },
  { add_event_listener =
    fun (newl: event_listener) ->
      listeners.contents <- newl::listeners.contents
  }

With this infrastructure in place, it is easy to define specialized event listeners that react to particular kinds of events. For example, it is useful to define a `mouseclick_listener`, parameterized by an action to perform when the mouse is clicked:

```ocaml
(* Performs an action upon receiving a mouse click. *)

let mouseclick_listener
  (action: unit -> unit) : event_listener =
```

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18.13 Buttons (at last!)

Our GUI library finally has enough functionality to implement a traditional button widget: A button is just a label widget wrapped in a notifier. The resulting widget has both a label_controller and a notifier_controller, which can be used to change the state of the button.

```ocaml
let button (s: string) : widget * label_controller * notifier_controller =
  let (w, lc) = label s in
  let (w', nc) = notifier w in
  (w', lc, nc)
```

To add the ability to react to a mouse click event to the button, which is typically the desired behavior, we can simply use the notifier_controller’s `add_event_listener` function to add a mouseclick_listener. For example, to create a button that prints "Hello, world!" to the console each time it is clicked, we could write the following code:

```ocaml
let hw_button = button "Print It!"
let print_hw () : unit =
  print_endline "Hello, world!"

;; hw_nc.add_event_listener (mouseclick_listener print_hw)
```

The `hw_button` widget could then be added to a larger widget tree using layout widgets, or, simply run as the entire “application”. The latter would be accomplished by doing:
18.14 Building a GUI App: Lightswitch

We’re finally in position to build an application on top of the GUI library. Figure 18.8 shows the basic structure of an application built using the GUI library—the application never has to interact directly with the underlying OCaml primitives; instead it works with the operations provided by the Gctx, Widget, and Eventloop modules. Together those three components provide an appropriate collection of abstractions for building GUI programs. Of course, the feature set we have seen in this Chapter is far from complete—a fully fledged GUI library would provide much more functionality, including, other graphics drawing primitives, layout options, and widgets. Adding such features is simply a matter of extending the Gctx and Widget modules, following more or less the same pattern as we have seen above. The Paint program GUI project associated with this part of the course explores how to make such changes, to the extent that we can implement the paint program pictured in Figure 18.1.
Even though the GUI library is rather primitive, we can still use it to demonstrate how all of the pieces fit together. The program below builds a “lightswitch” application, shown in Figure 18.9.

```ocaml
(* This program demonstrates how to build an application on top of the CIS 1200 GUI library. It assumes that the eventloop.ml*, gctx.ml*, and widget.ml* files are all present. *)

open Widget

(* Create the state affected by the light switch *)
let switched_on : bool ref = {
  contents = false
}

(* Create a lightswitch button, initially labeled "ON " *)
let (b,l,n) = Widget.button "ON "

(* The action associated with clicking the switch. *)
let flip () : unit =
  switched_on.contents <- not (switched_on.contents);
  if switched_on.contents then
    l.set_label "OFF"
  else
    l.set_label "ON "

(* Add the flip action as a mouseclick_listener *)
;; n.add_event_listener (Widget.mouseclick_listener flip)
```
let (b2,_,n2) =
    Widget.button "QUIT"

let quit () : unit =
    exit 0

let repaint_light (g:Gctx.gctx) : unit =
    if !switched_on then
        let g = Gctx.with_color g Gctx.yellow in
        Gctx.fill_rect g (0,0) (100,100)
    else
        ()

let (light,_) = Widget.canvas (100,100) repaint_light

let w : Widget.widget =
    Widget.border (Widget.border (hpair
        (Widget.border light)
        (hpair (Widget.border b) (Widget.border b2)))))

Eventloop.run w
Chapter 19

Transition to Java

19.1 Farewell to OCaml

In this chapter we begin our transition to Java programming. As we shall see, many of the concepts and ideas that we have explored in the context of OCaml arise again for Java—the two languages, despite being very different superficially and having different “feels” are actually more similar than you might expect. Understanding OCaml programming well will serve as a good foundation for understanding Java.

By now we have actually seen most of OCaml’s important features—the language itself is not very big. But we have left out a few things:

• One of OCaml’s strengths is its module system, which provides support for large-scale programming. We saw just the tip of the iceberg here in §10 when we studied structures and signatures. The key feature we haven’t seen is called functor, which is a function from one structure to another.

• The “O” in OCaml stands for “object”. OCaml does include a powerful system of classes and objects, similar to those found in other object-oriented OO languages. We have left them out so that we can study OO programming in Java, without the potential for confusion.

• OCaml’s type system also provides very strong support for type inference. Almost all of the type annotations that we’ve been writing as part of our OCaml code can be completely omitted; the compiler’s type checker is able to figure out the types of every expression by looking at how the program is structured.
19.2 Three programming paradigms

The goal of CIS 1200 is to cover three different programming paradigms in depth, functional programming, imperative programming and object-oriented programming.

- Functional programming: features the use of persistent (immutable) data structures and recursion as the main control structure. The name of this style derives from the frequent use of first-class functions. These programming features can be easily explained using a simple substitution semantics.

- Imperative programming: features the use of mutable data structures (that can be modified “in place”) and iteration as the main control structure. Understanding programs written in this style requires a model of computation that makes the location of data structures explicit, i.e. the Abstract Stack Machine.

- Object-oriented (reactive) programming: features the use of both mutable data structures and first-class computation (functions or objects) as data. Programming languages that support OO programming encourage pervasive use of abstraction and encapsulation.

At this point in the semester we have touched on all three of these themes in the context of OCaml. However, we have not covered these topics equally. Due to the design of the language, OCaml is best suited to functional programming, provides a unique perspective for imperative programming, and (based on our encoding of objects) rather poor for Object-oriented programming.

For balance, we now switch to Java and find that the reverse is true. Java provides many features that enable Object-oriented programming, makes imperative programming convenient, but provides little support for functional programming.

Java, of course, offers the benefits of being a widely-used, “industrial strength” programming language with a large ecosystem of libraries, tools, and other resources designed for professional software developers. Java as a programming language is itself a rather large and complicated entity (with good reason!), which has evolved over the years and is continuing to change.

The goal of studying object-oriented programming in Java is not, therefore, so that you become an expert Java developer. Instead, the goal is to give you an understanding of the essence of object-oriented languages, and how their features can be used to address programming design problems.
19.3 Functional Programming in OCaml

The functional programming style that OCaml promotes emphasizes several key concepts: the idea that program computations should be thought of as computing with values, which, for the most part are immutable tree-structured data. The main ways of working with such data are pattern matching, which lets the program examine the structure of the data, and recursion, which is the natural way to process inductively defined trees.

In this context, we have seen the importance of using abstract types to preserve invariants of data representations (such as the binary search tree invariant in our implementation of sets). We have also seen the importance of generic types in defining flexible data structures and functions, that work with many different types of data.

The functional style is good for expressing simple, elegant descriptions of complex algorithms and/or data structures. The limited use of mutability, and persistence-by-default, makes functional programming well-suited for parallelism, concurrency, and distributed applications (though we haven’t touched on these aspects in this course). OCaml’s tree-structured datatypes are also well-suited for a variety of “symbolic processing” tasks, including building compilers, theorem provers, etc..

Dialects of ML, and other functional programming languages like Scheme and Haskell, have had a big impact on the design of “modern” programming languages like C#, Java, and, to a lesser extent, C++. The use of generic programming and type inference, for example, was pioneered in ML. Object-oriented languages like Java and C# are beginning to incorporate features that support functional-programming idioms—for example, future versions of Java will include closures (i.e. anonymous functions) that are so pervasive in OCaml. Moreover, while C#, C++, and Java encourage the use of mutable state with their defaults, many “best practice” approaches to software development in these language actively discourage using imperative state.

Finally, some languages strive to merge the functional and the object-oriented styles of programming. These “hybrid” languages including Scala and Python, for example, offer functional programming as one possibility among many styles of writing code.

For all of these reasons, learning OCaml will give you a new perspective on how to go about solving problems in any programming language that you encounter. Understanding when functional programming is an appropriate solution to a problem can let you write better code no matter what language you use to express that solution.

The succinctness and clarity of OCaml for these kinds of tasks, can be shown by...
comparing this (hopefully by now!) straightforward OCaml program that defines the binary tree type and BST lookup function.

```ocaml

let rec lookup (t: 'a tree) (n: 'a) : bool =
begin match t with
| Empty -> false
| Node (lt, x, rt) ->
  x = n ||
  if n < x then lookup lt n
  else lookup rt n
end

```

The corresponding Java program is much more verbose. (Don’t worry about understanding the code yet, the next several chapters will explain all of the necessary pieces.)

```java

public abstract sealed class Tree<A extends Comparable<A>>
permits Tree.Empty, Tree.Node {

public final static class Empty<A extends Comparable<A>> extends Tree<A> {}
public final static class Node<A extends Comparable<A>> extends Tree<A> {
  final A value;
  final Tree<A> left;
  final Tree<A> right;
  public Node(Tree<A> left, A value, Tree<A> right) {
    this.left = left; this.right = right; this.value = value;
  }
}

public static <A extends Comparable<A>> boolean lookup(A x, Tree<A> t) {
  if (t instanceof Node<A> n) {
    return switch (x.compareTo(n.value)) {
      case -1 -> lookup(x, n.left);
      case 1 -> lookup(x, n.right);
      default -> n.value.equals(x);
    };
  } else {
    return false;
  }
}

```

Though working with OCaml and the functional style are a good way to
broaden your mental toolbox, it is also essential to be able to work fluently in other programming paradigms. Just as the program above can be written very cleanly in the functional style, there are Java programs that would be difficult to express cleanly in OCaml.

19.4 Object-oriented programming in Java

The fundamental difference between OCaml and Java is Java’s pervasive use of objects as the means of structuring data and code. Java syntax provides a convenient way to encapsulate some state along with operations on that state. To see what this means, consider this variant of the counter program that we saw earlier when discussing local state (see §17):

```ocaml
(* The type of a counter's local state. *)
let type counter_state = {mutable cnt : int}

(* Methods for interacting with a counter object. *)
let type counter = {
  inc: unit -> int;
  dec: unit -> int;
}

(* Constructs a fresh counter object with its own local state. *)
let new_counter () : counter =
  let s : counter_state = {cnt = 0} in
  {
    inc = (fun () -> s.cnt <- s.cnt+1; s.cnt) ;
    dec = (fun () -> s.cnt <- s.cnt-1; s.cnt) ;
  }

(* Create a new counter and then use it. *)
let c : counter = new_counter () in
;; print_int (c.inc ());
;; print_int (c.dec ());
```

This OCaml program illustrates the three key features of an object:

- An object encapsulates some local, often mutable state. That local state is visible only to the methods of the object.
- An object is defined by the set of methods it provides—the only way to interact with an object is by invoking (i.e. calling) these methods. Moreover, the type of the encapsulated state does not appear in the object’s type.


```java
public class Counter {

    private int cnt;

    // constructs a new Counter object
    public Counter () {
        cnt = 0;
    }

    // the inc method
    public int inc () {
        cnt = cnt + 1;
        return cnt;
    }

    // the dec method
    public int dec () {
        cnt = cnt - 1;
        return cnt;
    }
}
```

Figure 19.1: Java code for a `Counter` object.

- There is a way to construct multiple instances—new object values—that behave similarly (and therefore share implementation details).

In the OCaml example above, the first feature is embodied by the use of the type `counter_state`, which describes that local state associated with each counter object. The second feature is realized by the type `counter`, which exposes only the two methods available for working with counter objects. Finally, the function `new_counter` provides a way to create new `counter` instances (i.e. values of type `counter`). The use of local scoping ensures that the state `s` is only available to the code of the `inc` and `dec` methods, and therefore cannot be touched elsewhere in the program—the state `s` is encapsulated properly.

Java’s notation and programming model make it easier to work with data and functions in this style. A Java class combines all three features—local state, method definitions, and instantiation—into one construct. Think of a class as a template for constructing instances of objects—classes are not values, they describe how to create object values. The Java code in Figure 19.1 shows how to define the class of counter objects that is analogous to the OCaml definitions above:

Here the notation `public class Counter` defines a new type,
i.e. class, of counter objects called Counter. Here, and elsewhere, the keyword public means that the definition is globally visible and available for other parts of the program to use. The public annotation is an example of an access modifier; part of a Java declaration that determines what contexts the variable may be used in.

A class consists of three types of declarations: fields, constructors, and methods.

A field (also sometimes called an instance variable) is one component of the object’s local state. In the Counter class, there is only one field, called cnt. The keyword private means that this field can only be accessed by code defined inside the enclosing class—it is used to ensure that the state is encapsulated by the object.

A constructor always has the same name as its enclosing class—it describes how to build an object instance by initializing the local state. Here, the constructor Counter simply sets cnt to 0.

A method like inc or dec defines an operation that is available on objects that are instances of this class. In Java, a method is declared like this:

```java
public T method(T1 arg1, T2 arg2, ..., TN argN) {
    ...
    return e;
}
```

Here, T is the method’s return type—it says what type of data the method produces. T1 arg1 through TN argN are the method’s parameters, where T1 is the type of arg1, etc. The return e statement can be used within the body of a method to yield the value computed by e to the caller. Here again, the keyword public indicates that this method is globally visible. Note that the field cnt is available for manipulation within the body of these methods. As we will see, methods can also define local variables to name the intermediate results needed when performing some computation.

Unlike in OCaml, in which code can appear “at the top level”, in Java all code lives inside of some class. A Java program starts executing at a specially designated main method. For example, a program that creates some counter objects and uses their functionality might be created in a class called Main like this:

```java
public class Main {
    public static void main(String[] args) {
        Counter c = new Counter();
        System.out.println(c.inc());
        system.out.println(c.dec());
    }
}
```
The type of `main` must always be declared as shown above—we’ll see the meaning of the `static` keyword in §24. The keyword `void` indicates that the `main` method does not return a useful value—it is analogous to OCaml’s `unit` type. To create an instance of the `Counter` class, the code in the `main` invokes the `Counter` constructor using the `new` keyword. The expressions `c.inc()` and `c.dec()` then invoke the `inc` and `dec` methods of the resulting object, which is stored in the local variable `c`.

19.5 Imperative programming

The main difference between OCaml and Java with respect to imperative programming is that immutability is the default in OCaml: mutable data structures must be explicitly declared by programmers. In Java, the reverse is true. This difference in default results in many differences in the design of the two languages.

Statements vs. Expressions

Java is a `statement` language—we think of the program as consisting of a series of `commands` that execute one after another. Java’s statements themselves are built from `expressions`, which, as in OCaml, evaluate to values. Statements in Java are terminated by semi-colons `;`. (Recall that in OCaml, `;` separates a command on the left from an expression on the right.)

Local variable declarations and imperative assignment to a local variable are statements, as illustrated by these examples, which might appear in the body of some method:

```java
int x = 3; // declare x and initialize it to 3
int y;    // declare y; it gets the default value 0
y = x + 3; // update y to be the value of x plus 3
// declare c and initialize it to a new Counter
Counter c = new Counter();
Counter d; // declare d; it gets the default value null
d = c;     // update d to be the value of c
c = null;  // set c to null
```
Conditional tests are statements in Java—they are not expressions and don’t evaluate to values. As a consequence, the `else` block can be omitted, as shown by the two examples below:

```java
if (cond) {
    stmt1;
    stmt2;
    stmt3;
}
if (cond) {
    stmt1;
    stmt2;
} else {
    stmt3;
    stmt4;
}
```

Within the body of a method, the `return e;` statement indicates that the value of expression `e` should be the result yielded to the caller of the method. If a method’s return type is `void`, then the return statement can be omitted entirely.

Expressions in Java are built using the usual arithmetic and logical operations like `x + y`, `x & y`, and literals like `1.0`, `true`, and "Hello". A method invocation whose return type is non-void can be used as an expression of the corresponding type. For example, since `inc` returns an `int`, `c.m() + 3` is a legal Java expression. Constructor invocations, using the `new` keyword, are also expressions, as in: `(new Counter()).inc() + 5`.

### Mutability, partiality and null

By default, every field and local variable defined in Java is mutable—its value can be modified in place. Java’s notation for in-place update is the `=` operator, and we already saw a use of it in the `inc` and `dec` methods of the `Counter` class. The statement:

```java
cnt = cnt + 1;
```

is equivalent to the OCaml expression:

```ocaml
s.cnt <- s.cnt + 1
```
Another significant distinction between OCaml and Java is that in Java variables and fields that are references to objects are initialized to a special null value. The null value indicates the lack or absence of a reference. However, since Java’s type system considers null to be an appropriate value of any reference type, any variable declared to contain an object might contain null instead. Trying to use a field or value via a null reference will cause your program to raise a NullPointerException when you run it. Here is an example using the Counter objects defined above:

```java
Counter c; // at this point, c contains null

if (c == null) { // this test will succeed
    System.out.println("c is null");
    c.inc(); // this method invocation will raise
    // NullPointerException
}
```

To avoid NullPointerException errors, you should either check to make sure that the reference is not null before trying to use one of its fields or methods, or structure your program so that you maintain an invariant that guarantees that the reference is not null.

Any use of a reference can potentially result in a NullPointerException, and, moreover, Java cannot detect such potential errors statically. For example, consider this well-typed client program that provides a method f that accepts a Counter object as its argument:

```java
class Foo {
    public int f (Counter c) {
        return c.inc();
    }
}
```

If o is an object of class Foo, the call o.f (null) will cause the program to raise a NullPointerException.

OCaml’s use of the option types eliminates this problem. Although the option value None plays the same role as null, its type, 'a option is distinct from 'a, and it is therefore not possible to use a 'a option as though it is of type 'a. Java’s type system does not make such a distinction, thereby creating the possibility that null is erroneously treated as an object.
19.6 Types and Interfaces

Programming languages use types to constrain how different parts of the code interact with one another. Primitive types, like integers and booleans, can only be manipulated using the appropriate arithmetic and logical operations. OCaml provides a rich vocabulary of structured types—tuples, records, lists, options, functions, and user-defined types like trees—each of which comes equipped with a particular set of operations (field projection, pattern matching, application) that define how values of those types can be manipulated. When the OCaml compiler typechecks the program, it verifies that each datatype is being used in a consistent way throughout the program, thereby ruling out many errors that would otherwise manifest as failures with the program is run.

Java too is a strongly typed language—every expression can be given a type, and the compiler will verify that those types are used consistently throughout the program, again preventing many common programming errors. We saw above that the primary means of structuring data and code in Java is by use of objects, which collect together data fields along with methods for working with those fields. A Java class provides a template for creating new objects.

Importantly, a class is also a type—the class describes the ways in which its instances can be manipulated. A class thus acts as a kind of contract, promising that its instance objects provide implementations of the class’s public methods. Any instance of class C can be stored in a variable of type C.

Returning to the comparison between objects in OCaml and Java, there is one way in which the OCaml version of objects is more flexible that the Java version.

Consider the following two definitions of “points” in OCaml and Java.

```
(* The type of "objects" *)

type point = {
  getX : unit -> int;
  getY : unit -> int;
  move : int*int -> unit;
}

(* Create an "object" with hidden state: *)

type position =
  { mutable x: int; mutable y: int; }

let new_point () : point =
  let r = {x = 0; y=0} in
  {
    getX = (fun () -> r.x);
    getY = (fun () -> r.y);
    move = (fun (dx,dy) ->
      r.x <- r.x + dx;
      r.y <- r.y + dy)
```

What is a difference between these definitions?

The OCaml definition of the type `point` type does not restrict the implementation. We can generate counters using the `new_point` function, but we could also generate a different sort of point with another function.

In contrast, the only way to get a `Point` in Java is to instantiate the `Point` class. The type of the produced object is `Point`, but we know that the `Point` class must have been involved in its generation.

Java allows us to separate the type of an object from its definition using interfaces.

An interface gives a type to an object based on what the object does, not how the object is implemented. Unlike a class, an interface provides only signatures for the set of methods that must be supported by an object. As such, an interface represents a “point of view” about an object, not a prescription about how that object is implemented.

As an example, consider the following interface, which might be used to describe objects that have 2D Cartesian coordinates and can be moved:

```java
public interface Displaceable {
    int getX ();
    int getY ();
}
```
void move(int dx, int dy);
}

Note that the interface, like a class, has a name—in this case `Displaceable`—but, unlike a class, the interface provides no implementation details. There are no fields, no constructors, and no method bodies. Furthermore, interfaces may only have `public` components so we do not need to include the access modifiers.

Since the `Displaceable` interface is a type of any “moveable” object, we can write code that works over displaceable objects, regardless of how they are implemented. For example, we might have a method like the one below:

```java
class Point implements Displaceable {
    private int x, y;
    public Point(int x0, int y0) {
        x = x0;
        y = y0;
    }
    public int getX() { return x; }
    public int getY() { return y; }
    public void move(int dx, int dy) {
        x = x + dx;
        y = y + dy;
    }
}
```

This method will work on an object created from any class, so long as the class implements the `Displaceable` interface.

To tell the Java compiler that a class meets the requirements imposed by an interface, we use the `implements` keyword. For example, the following `Point` class implements the `Displaceable` interface:

```java
class Point implements Displaceable {
    private int x, y;
    public Point(int x0, int y0) {
        x = x0;
        y = y0;
    }
    public int getX() { return x; }
    public int getY() { return y; }
    public void move(int dx, int dy) {
        x = x + dx;
        y = y + dy;
    }
}
```

In addition to the private fields `x` and `y` and the constructor `Point` (which takes in the initial position for the point and sets `x` and `y` accordingly), this class provides implementations for the three methods required by the `Displaceable` interface—if one of them was omitted, or included but with a different signature, the Java compiler would issue a type checking error.
In the case of `Point`, the class provides only the methods of the `Displaceable` interface. A class that implements an interface may supply more methods than the interface requires. For example, the `ColorPoint` class also includes a color field and a way to access it:

```java
class ColorPoint implements Displaceable {
    private Point p;
    private Color c;
    ColorPoint (int x0, int y0, Color c0) {
        p = new Point(x0, y0);
        c = c0;
    }
    public void move(int dx, int dy) {
        p.move(dx, dy);
    }
    public int getX() { return p.getX(); }
    public int getY() { return p.getY(); }
    public Color getColor() { return c; }
}
```

Note that this implementation provides a different implementation of the `Displaceable` methods—it delegates their implementation to the `Point` object `p`. It is easy to see how we might create other classes of objects like `Circle` or `Rectangle` that have similar implementations and all implement the `Displaceable` interface.
Chapter 20

Connecting OCaml to Java

This chapter considers some of the core pieces of Java syntax. The goal is not to be comprehensive, but rather to cover the basic features of the language, emphasizing the similarities and differences with OCaml.

20.1 Core Java

Primitive Types

Java supports a large variety of primitive types:

```
<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>int</td>
<td>standard integers</td>
</tr>
<tr>
<td>byte, short, long</td>
<td>other flavors of integers</td>
</tr>
<tr>
<td>char</td>
<td>unicode characters</td>
</tr>
<tr>
<td>float, double</td>
<td>floating-point numbers</td>
</tr>
<tr>
<td>boolean</td>
<td>true and false</td>
</tr>
</tbody>
</table>
```

Java supports essentially the same set of arithmetic and logical operators that OCaml does, as summarized in Table 20.1. Unlike in OCaml, some of Java’s operations are overloaded—the same syntactic operation might cause different code to be executed. This means that the arithmetic operators `+`, `*`, etc., can be applied to all of the numeric types. Java will also introduce automatic conversions to change one numeric type to another:

```
4 / 3    ⇒  1
4.0 / 3.0 ⇒  1.3333333333333333
4 / 3.0  ⇒  1.3333333333333333
```

Moreover, `+` is also overloaded to mean String concatenation, so we also have:

```
"Hello," + "World!"   ⇒  "Hello, World!"
```
Overloading is a much more general concept than indicated by just these examples—we will study it in more detail later.

**Equality**

Just as OCaml includes two notions of equality—structural (or deep) equality, written \( v_1 = v_2 \), and reference (or pointer) equality, written \( v_1 \equiv v_2 \)—Java also has two notations of equality. Java uses the same notation, \( v_1 \equiv v_2 \), to check for reference equality of objects or equality of primitive datatypes. Java supports structural equality only for objects. Every object in Java has an `equals` method that should be used for structural comparisons: \( o_1.\text{equals}(o_2) \).

In particular, String values in Java, although they are written using quote notation, should be compared using the `equals` method:

```
"Hello".equals("Hello") \implies true.
"Hello".equals("Goodbye") \implies false.
```

**Identifier Abuse**

Java uses different namespaces for class names, fields, methods, and local variables. This means that it is possible to use the same identifier in more than one way, where the meaning of each occurrence is determined by context. This gives programmers greater freedom in picking identifiers, but poor choice of names can lead to confusion. Consider this well-formed, but hard to understand, example:

```java
public class Turtle {
    private Turtle Turtle;
}
```
Books about Java

There are literally hundreds of Java books available. For a good, succinct introduction to the language, we recommend the first section of Flanagan’s *Java in a Nutshell*, published by O’Reilly Media [4] (the second section is mostly description of the Java libraries). It is available electronically free of charge from the University of Pennsylvania library web site. For guidelines on using Java in good style and “best practices” approaches to Java development, we recommend Bloch’s *Effective Java* [2].

20.2 Static vs. Dynamic Methods

Most of the time in Java, executable code is packaged together with an object that provides some encapsulated local state (its member fields) that is modified or otherwise used by the methods. A typical example is the move method of the Point class—it updates a Point object’s local coordinates by displacing them by some amount. Crucially, the code of a method like move makes sense only in the context of a Point or other Displaceable object. Therefore the move method must always be invoked relative to some receiving object o as in the expression o.move(10,10).

This “ordinary” method invocation is a dynamic property of the program—its behavior can’t be determined until the program is actually running. To see why, recall that a variable of type Displaceable might store an object of any class that meets the required interface obligations. This means that, in general, many different possible implementations of the move method might be called when the expression o.move(10,10) is evaluated. Here is a simple example:

```java
Displaceable o;
if (...) {
    o = new Point(10,10);
} else {
    o = new Rectangle(10,10,5,20);
}
```
Suppose the the omitted conditional test depended on user input. Then whether a `Point` or `Rectangle` is assigned to `o` can’t be known until the program is actually run and the input is resolved. Therefore the method invocation `o.move(2, 2)` after the conditional might require executing either the `Point` version of `move` or the `Rectangle` version. This is called dynamic dispatch — the method invocation “dispatches” to some version of `move` depending on the *dynamic class* of the object stored in `o`.

Java also supports a notion of *static* methods (and fields), which are associated with a class and *not* object instances of the class. The standard example is the `main` method, which must be declared with the following signature (in some class):

```java
public static void main(String[] args) {
    ...
}
```

As the use of the keyword `static` implies, which code is called when a `static` method is invoked can be determined at compile time (without running the program). The way this works is that, rather than invoking a static method from an object, `static` methods are called relative to the class in which they are defined. For example, suppose that a class `C` defines a static method `m`, like this:

```java
public class C {
    public static int m(int x) {
        return 17 + x;
    }
}
```

`C`’s `m` method can be invoked from anywhere by using an expression of the form `C.m(3)`. Here, the class name `C` says which method named `m` will be called (in general, there can be many methods named `m`, perhaps defined in different classes).

Thus, `static` methods act like globally-defined functions. Similarly, `static` fields behave like global variables that can be referenced by “projecting” from the name of the defining class. Such `static` fields cannot be initialized in a constructor for the class (since they aren’t associated with objects) and so must be initialized
in the class scope itself. For example, we might modify the class \( C \) above to use a static field like this:

```java
public class C {
    private static int big = 23;

    public static int m(int x) {
        return big + x;
    }
}
```

A **static** method cannot access non-static fields or call non-static methods associated with the class because, as there is no object to provide the state for the non-static fields of the class, those methods might not be well defined. For example, the following example will cause the Java compiler to issue an error:

```java
public class C {
    private static int big = 23;

    private int nonStaticField;

    private void setIt(int x) {
        nonStaticField = x + x;
    }

    public static int m(int x) {
        setIt(x);     // can't be called because m is static
        return nonStaticField + x;  // nonStaticField cannot be used
    }
}
```

When should static methods be used? Generally they should be used for implementing functions that don’t depend on any objects’ states. One good source of examples is the Java Math library, which defines many standard mathematical functions like Math.sin, or the various “type conversion” operations, like Integer.toString and Boolean.valueOf.
Chapter 21

Arrays

21.1 Arrays

Java, like most programming languages (including OCaml), provides built-in support for arrays. An array is a sequentially ordered collection of element values that are arranged in the computer’s memory in such a way that the elements can be accessed in constant time. The array elements are indexed with integer positions as shown in Figure 21.1. Arrays thus provide a very efficient way to structure large amounts of similar data.

In Java, array types are written using square brackets after the type of the array’s elements. So `int[]` is the type of arrays containing `int` values, and `Counter[]` is the type of arrays containing `Counter` values.

If `a` is an array, then `a[0]` denotes the element at index 0 in the array. Similarly, if `e` is any expression of type `int` and `e => i`, then `a[e]` denotes the element at index `i`. Note that Java array indices start at 0, so a 10-element array `a` has values `a[0], a[1], ..., a[9].`

If you try to access an array at a negative index or an index that is larger than (or equal to) the array’s length, Java signal that no such element exists by raising an `ArrayIndexOutOfBoundsException`. Every array object has a length field, which can be accessed using the usual “dot” notation: the expression `a.length` will evaluate to the number of elements in the array `a`. Note that `a[a.length]` is always out of bounds—the largest legal array index is always `a.length - 1`.

Array elements are mutable—you can update the value stored in at array index by using the assignment command: `a[i] = v;`

The `new` keyword can be used to create a new array object by specifying the array’s length in square brackets after the type of the object. The program snippet below declares an array of ten `Counter` values:
Arrays

Figure 21.1: Arrays and array indices.

Counter[] arr = new Counter[10];

Note that array types, like Counter[], never include any size information, but the length of the array is fixed when it is created using the new operation. Once created, an array’s length never changes.

When an array is created, the elements of the array are initialized to the default value of the corresponding element type. For numeric values like integers and floating points, the default values is zero, for objects, the default is null. Java also provides syntax for static initialization of arrays, for the case where the array values are known when writing the program. In this case, the elements are written as a comma-separated sequence inside of [ ] brackets. These pre-initialized arrays are expressions, so they can be assigned to variables or passed as arguments to methods.

Here are some examples:

int[] myArray = new int[] {10, 20, 30, 40, 50, 60, 70, 80, 90, 100};

boolean result = obj.f (new String[] { "foo", "bar", "baz" });

In the former case, Java directly can see from the type of the variable the expected type of the array. As a result, Java will allow you to omit the new and type annotation part of the initialization code.
Arrays

```java
int[] a = new int[4];
int[] b = a;
a[2] = 7;
System.out.println(b[2]);
```

Figure 21.2: This figure shows a portion of the stack and heap configuration that would be reached by running the program above. Observe that, like other kinds of mutable reference values, array references can alias.

```java
int[] myArray = {10, 20, 30, 40, 50, 60, 70, 80, 90, 100};
String[] yourArray = {"foo", "bar", "baz"};
Point[] herArray = {new Point(1,3), new Point(5,4)};
```

As you would expect, creating a new array object allocates space in the program’s heap in which to store the array values—the amount of space required is proportional to the length of the array. The array object also includes an immutable field, `length`, which contains the size of the array when it was created. When you declare a variable of array type (or of any other object type, for that matter), Java creates a `reference` to the array on the stack. Because array elements are mutable, all of the issues with aliasing (recall §14) arise here as well. Figure 21.2 shows the program stack and heap configuration that arises in a typical array program. We will study the Java version of the abstract stack machine in more detail later (see §22).
Arrays provide efficient and convenient “random access” to their elements, since you can simply look up a value by calculating its index. Often, however, it is useful to process all (or many) of the elements of an array by iterating through them. Like most imperative languages, Java provides for loops for just that purpose. Java’s for loop syntax is inherited from the C and C++ family of languages. Here is an example:

```java
public static double sum(double[] arr) {
    double total = 0;
    for (int i = 0; i < arr.length; i++) {
        total = total + arr[i];
    }
}
```

This method takes an array of double width floating-point values. The for loop shows the canonical way of iterating over every element of the array. The int i = 0; part initializes a loop index variable i to 0, the starting index of the array. The loop guard or termination condition, i < arr.length; indicates that this loop should execute while the value of i is less than array length. The loop variable update i++ is short-hand for i = i + 1; it says that index i should be incremented by one after each loop iteration. The body of this for loop simply accumulates the total value of all the elements in the array.

The general form of a for loop is:

```java
for (init; cond; update) {
    body
}
```

Here, init is the initializer, which may declare new variables (as in the sum example above). The cond expression is a boolean valued test that governs how many times the loop executes—when the cond expression becomes false, the loop terminates. The update statement is executed after each loop iteration; it typically modifies the loop variables to move closer to the termination condition.

Java also provides a while loop construct. The example above could be written using while loops like this:

```java
public static double sum(double[] arr) {
    double total = 0;
    int i = 0;   // loop index initialization
    while (i < arr.length) {   // loop guard
        total = total + arr[i];
    }
}
```
Arrays

```java
total = total + arr[i];
i++;  // loop index update
```

Finally, Java also includes an *enhanced for* or *for-each* loop iteration. This version of iteration allows access to each element of the array without using indexing (i.e. the variable `i` above).

```java
public static double sum(double[] arr) {
    double total = 0;
    for (double x : arr) {
        total = total + x;
    }
    return total;
}
```

In this case, the general form of the loop requires a variable declaration to be used for each element in the loop body. The type of this variable should match the element type type of the array.

```java
for (elt_type var : array) {
    body
}
```

Whether you use *for* or *while* loops, pay particular attention to the loop guards and indexing—a common source of errors is starting or stopping iteration at the wrong indices, which can lead to either missing an array element or an *ArrayOutOfBoundsException*.

Using *for*—each loops to iterate over arrays is often quite natural, because we often just want to access the elements of the array in sequence. As we shall see (§25.4), Java also provides similar support for iterating over other kinds of datatypes, particularly collections and streams of data.

**Equality and copying arrays**

What if you want to make a “copy” of an array? One way to do so is to allocate a new array and copy over each element one at a time.
Arrays

```java
int[] a = { 1, 2, 3 }; // makes an alias, not a copy
int[] b = a;

// allocate a new array and copy contents
int[] c = new int[a.length];
for (int i = 0; i < a.length; i++) {
    c[i] = a[i];
}
```

Alternatively, the for loop can be replaced with a single call to the static method `System.arraycopy`.

```java
System.arraycopy(a, 0, c, 0, a.length);
```

This method takes five arguments: the array to copy from, the position in that array to start copying, the array to copy into, the position in that array to start copying and the number of elements to copy. Often, this code is more efficient on large arrays.

When comparing arrays, pay close attention to whether the arrays are aliases or whether they are stored at distinct memory locations in the heap. Both the `==` and `equals` method for arrays test for reference equality. To determine whether two arrays contain equal elements, use the static method `Arrays.equals`, shown below.

```java
System.out.println("a == b is " + (a == b)); // true, a and b are aliases
System.out.println("a == c is " + (a == c)); // false
System.out.println("a.equals(b) is " + (a.equals(b))); // true
System.out.println("a.equals(c) is " + (a.equals(c))); // false
System.out.println("Arrays.equals(a,b) is " + (Arrays.equals(a,b))); // true
System.out.println("Arrays.equals(a,c) is " + (Arrays.equals(a,c))); // true
```

Multidimensional Arrays

Since an array type like `C[]` is itself a type, one can also declare an array of arrays—each element of the “outer” array is itself an array. Such arrays have more than one dimension, so Java allows multiple levels of indexing to access the elements of the “inner” array:
This example shows that array initializers can be nested to construct multidimensional arrays. An expression like `names[0][2]` should be read as `(names[0])[2]`, that is, first find the array at index 0 from `names` and then find the element at index 2 from that array. For the example above, `names[0][2]` → "Ms."

This example also demonstrates that the inner arrays need not be all of the same length—Java arrays can be “ragged”. This is a simple consequence of Java’s array representation: An object of type `C[][]` is an array, each of whose elements is itself a reference to an array of `C` objects. There isn’t necessarily any correlation among the lengths or locations of the inner arrays. Note that this is in stark contrast to languages like C or C++ in which multidimensional arrays are represented as “rectangular” regions of memory that are laid out contiguously.

The static array initialization syntax suggests that we should read the indices of a two-dimensional array as “row” followed by “column”. That is, in the expression `names[row][col]`, the first index selects an inner array corresponding to a row of values, and the second index then picks the element at the corresponding column.

This view of 2D arrays is very convenient when working with many kinds of data, but for some applications, it is useful to think of the first index as the “x” coordinate and the second index as the “y” coordinate of elements in a plane. For example, for image-processing applications, we might represent an image as a 2D array of `Pixel` objects. That would allow us to write `img[x][y]` when thinking in cartesian coordinates, which looks more natural than the “row”-major `img[y][x]` indexing suggested by the row/column analysis above.

Both of these ways of thinking about 2D arrays are simply useful conventions. So long as you write your program to consistently use either the `arr[row][column]` view or the `arr[x][y]` view, it will be correct. Problems arise when these two different points of view are confused in the same program.

Note that since the inner arrays might not be all of the same length, you must use some care when writing nested loops to process all of the array elements. For example, the following program might be incorrect if the array is not rectangular:
Arrays

```java
int rows = arr.length;
int cols = arr[0].length; // will fail if arr.length == 0
for (int r=0; r < rows; r++){
    // may fail if array is not rectangular
    for (int c=0; c < cols; c++) {
        arr[r][c] = ...
    }
}
```

A simpler and more robust way of iterating over all of the elements of an array is to always use the `length` field, like this:

```java
for (int r=0; r < arr.length; r++){
    // use the length of the inner array
    for (int c=0; c < arr.length; c++) {
        arr[r][c] = ...
    }
}
```

To create multidimensional arrays without using a static initializer, it is necessary to create an array of arrays and then initialize each of the inner arrays separately, like this:

```java
int[][] products = new int[5][];
for(int row = 0; row < 5; row++) {
    products[row] = new int[row+1];
    for(int col = 0; col <= row; col++) {
        products[row][col] = row * col;
    }
}
```

This program is equivalent to the following one that uses a static initializer:

```java
int[][] products =
    { { 0 },
      { 0, 1 },
      { 0, 2, 4 },
      { 0, 3, 6, 9 },
      { 0, 4, 8, 12, 16 }
    }
```

A common pitfall that you should avoid is accidentally sharing a single inner array among all of the elements of the outer array, like this:
int[][] arr = new int[5][];
int[] shared = new int[10];
for(int i = 0; i<5; i++) {
    arr[i] = shared;
}

A word of warning with Arrays.equals and multidimensional arrays: because the .equals methods for arrays compares them via reference equality, using Arrays.equals may not produce the answer that you want. If you’d like to compare two-dimensional arrays structurally, you should use Arrays.deepEquals instead.

int[][] products =
    { { 0 },
      { 0, 1 },
      { 0, 2, 4 },
      { 0, 3, 6, 9 },
      { 0, 4, 8, 12, 16 }
    };
int[][] also_products =
    { { 0 },
      { 0, 1 },
      { 0, 2, 4 },
      { 0, 3, 6, 9 },
      { 0, 4, 8, 12, 16 }
    };

System.out.println(Arrays.equals(products, also_products));
// prints false
System.out.println(Arrays.deepEquals(products, also_products));
// prints true
Chapter 22

The Java ASM

The Abstract Stack Machine model that we used in chapter 15, provided a model of computation for OCaml programs that use mutable state. This stack machine lets us trace through execution in an abstract manner so that we can understand what our program does.

It turns out that we can use the same model for Java programs, with a few minor alterations. Like the OCaml abstract machine, the Java machine includes the same components: the workspace, the stack, and the heap.

22.1 Differences between OCaml and Java Abstract Stack Machines

- Almost everything, including variables stored on the stack is mutable.
- Heap values include (only) arrays and objects. Java does not include lists, options, tuples, other datatypes, records or first-class functions.
- Java includes a special reference called null.
- Method bodies are stored in an auxiliary component called a class table. For our initial discussion, we will omit some of the details about how the class table works. We will come back to it in a later chapter.

Reference values in the Java ASM

Java primitive types are much like the primitive types of OCaml.

There are two sorts of Java values that are stored on the heap: objects and arrays.
Objects are stored on the heap similarly to OCaml record values. The object value contains a value for each of its fields (instance variables). Fields may or may not be mutable, if they are mutable (the default in Java) we mark them with a heavy black box.

For example the Java class:

```java
class Node {
    private int elt;
    private Node next;
    ...
}
```

creates object values that are represented in the heap as in the left side of Figure 22.1. Note that the only members of the class that are part of the heap value are the name of the class and the field members. The constructors and methods in the class are stored in the class table.

Likewise, Java arrays are represented in the abstract stack machine as in the right half of Figure 22.1.

```java
int[] a = { 0, 0, 7, 0 };
```

Array values contain the length of the array as well as one location for each array value. The array locations are always mutable, but the length of the array never can be changed. Arrays also record the type of the array, this restricts the array to storing only certain types of values.

### Object Aliasing example

As in OCaml, Java object references can alias each other. In other words, two reference values can point to the same location in the heap.
In what follows, we will walk through an example of object aliasing.

Consider the code above. What will be the result of a call to the static method `Node.m()`? The Abstract Stack Machine can help us figure out the answer.

We start the ASM by putting the code on the workspace. The Java ASM simplifies a static method call in much the same way as it simplifies an OCaml function call.

1. The first step is to save the current workspace on the stack, marking the spot where the ANSWER should go with a “hole”. In our example, since the original workspace was `Node.m()`, the saved workspace is merely _____.

2. The next step is to find the method definition. The Java uses the class table for this purpose, looking up the `Node` class and its method named `m`.

3. Next, the ASM adds new stack bindings for each of the called method’s parameters. These stack bindings are *always* mutable in Java. In our running
Node n1 = new Node(1,null);
Node n2 = new Node(2,n1);
Node n3 = n2;
n3.next.next = n2;
Node n4 = new Node(4,n1.next);
n2.next.elt = 17;
return n1.elt;

Figure 22.3: After the static method call—saving the workspace on the stack and putting the method body in the workspace.

example, the method m takes no parameters, so there will be nothing pushed on the stack.

4. Next, the workspace is replaced by the body of the method.

Once the method body is in the workspace, simplification continues as usual. This process may involve adding more bindings to the stack, doing yet more method calls, or allocating new data structures in the heap. When the code of the function body reaches a return v statement, and the returned value has been computed, then the value is returned as the ANSWER to the saved workspace on the stack, plugging the hole, and popping all bindings off the stack.

Each local variable initialization in the method body adds a new (mutable) binding to the stack, which continues as long as the variable is in scope. If a variable is declared without being initialized, Java uses the default values for the type to initialize the variable. The default value for reference types is always null.

The constructor invocation new Node(1,null) allocates and initializes an object value on the heap. We won’t go into the details about how this process works at this point (we will return to these details later). For now, we can just assume that this invocation creates the object with the appropriate values for the fields.

After Figure 22.7, we can see what the final result of the method will be. The value of n1.elt is 17 when the method returns.
The Java ASM

Workspace
Node n1 =
Node n2 = new Node(2,n1);
Node n3 = n2;
n3.next.next = n2;
Node n4 = new Node(4,n1.next);
n2.next.elt = 17;
return n1.elt;

Stack
Heap
Node
elt
next
null

Figure 22.4: After the creation of an object. In the next step, the ASM will add the (mutable) variable n1 to the stack, with a reference to this object.

Workspace
n3.next.next = n2;
Node n4 = new Node(4,n1.next);
n2.next.elt = 17;
return n1.elt;

Stack
Heap
Node
elt
next
null

Figure 22.5: After a few more steps. The variable n3 contains an alias to a previously allocated object.
Figure 22.6: An update to a field of an object, tracing the references.

Figure 22.7: After a few more steps, the final update.
Chapter 23
Subtyping, Extension and Inheritance

Programming languages use types to constrain how different parts of the code interact with one another. Primitive types, like integers and booleans, can only be manipulated using the appropriate arithmetic and logical operations. OCaml provides a rich vocabulary of structured types—tuples, records, lists, options, functions, and user-defined types like trees—each of which comes equipped with a particular set of operations (field projection, pattern matching, application) that define how values of those types can be manipulated. When the OCaml compiler typechecks the program, it verifies that each datatype is being used in a consistent way throughout the program, thereby ruling out many errors that would otherwise manifest as failures with the program is run.

Java too is a strongly typed language—every expression can be given a type, and the compiler will verify that those types are used consistently throughout the program, again preventing many common programming errors.

We saw in §19 that the primary means of structuring data and code in Java is by use of objects, which collect together data fields along with methods for working with those fields. A Java class provides a template for creating new objects.

Importantly, a class is also a type—the class describes the ways in which its instances can be manipulated. A class thus acts as a kind of contract, promising that its instance objects provide implementations of the class’s public methods. Any instance of class C can be stored in a variable of type C.

23.1 Interface Recap

We also saw Chapter 19 that Java’s use of interfaces to separate the specification of an object from its implementation induces a notion of subtyping—each class is a subtype of any interfaces it implements.

For example, recall the following interface from that Chapter, which might be
used to describe objects that have 2D Cartesian coordinates and can be moved:

```java
public interface Displaceable {
    int getX();
    int getY();
    void move(int dx, int dy);
}
```

To tell the Java compiler that a class meets the requirements imposed by an interface, we use the `implements` keyword. For example, the follow `Point` class implements the `Displaceable` interface:

```java
public class Point implements Displaceable {
    private int x, y;
    public Point(int x0, int y0) {
        x = x0;
        y = y0;
    }

    @Override
    public int getX() { return x; }

    @Override
    public int getY() { return y; }

    @Override
    public void move(int dx, int dy) {
        x = x + dx;
        y = y + dy;
    }
}
```

The `@Override` keyword above instructs Java to check to make sure that the methods are implementing a method from the `Displaceable` interface (or overriding some method in a super class—we’ll see what that means below). It is a good idea to add these tags because then the compiler can help you catch errors.

However, Points were not the only implementation of `Displaceable` that we discussed. We also looked at a version of points that also included information about their color:

```java
class ColorPoint implements Displaceable {
    private final Point p;
    private final Color c;
    ColorPoint (int x0, int y0, Color c0) {
```
23.2 Subtyping

Because interfaces, like classes, are types, Java programs can declare variables, method arguments, and return values whose types are given by interfaces. For example, we might declare a variable and use it like this:

```java
Displaceable d;
d = new Point(1,2);
d.move(-1,1);
```

Note that, since every Point object satisfies the Displaceable contract, this assignment makes sense—d holds Displaceable objects and all Point objects are Displaceable, so d can store a Point. Similarly, since ColorPoints are also Displaceable, we could continue the program fragment above with:

```java
d = new ColorPoint(1,2, new Color("red"));
d.move(-1,1);
```

However, because d’s type is Displaceable—which only offers the getX, getY, and move methods—it would be a type error to try to use the ColorPoint method getColor on it:
This situation illustrates the phenomenon of *subtyping*: A type \( A \) is a *subtype* of \( B \) if an object of type \( A \) can meet all of the obligations that might be required by the interface or class \( B \). Intuitively, an \( A \) object can do anything that a \( B \) object can, or more succinctly still: an \( A \) is a \( B \).

Since `Point` implements the `Displaceable` interface, every `Point` is `Displaceable`, i.e. `Point` is a subtype of `Displaceable`. We also say that `Displaceable` is a supertype of `Point`.

Subtyping, as we have already seen, justifies updating a variable of type `Displaceable` to contain a `Point` object. Similarly, for a method such as `moveItALot`, it is permissible to pass an object of any subtype as the arguments of a method invocation. Thus, both of the following would be allowed:

```java
o.moveItALot(new Point(0,0));
o.moveItALot(new ColorPoint(10,10, new Color("red")));
```

### 23.3 Multiple Interfaces

A class may implement more than one interface. This makes sense because an interface offers a “point of view” about the objects it describes, and there may be more than one point of view about the objects in a class.

For example, we might have another interface for working with shapes that have a well-defined area:

```java
public interface Area {
    double getArea();
}
```

A `Circle` class might implement both the `Displaceable` and `Area` interfaces. To do so, it simply has to satisfy the method requirements of both. Note that multiple interfaces are given in a comma-separated list after the `implements` keyword:

```java
public class Circle implements Displaceable, Area {  
    private Point center;
    private final int radius;
}
```
public Circle (int x, int y, int r) {
    radius = r; center = new Point(x, y);
}

@Override
public double getArea () {
    return 3.14159 * radius * radius;
}

public int getRadius () { return radius; }

@Override
public int getX() { return center.getX(); }

@Override
public int getY() { return center.getY(); }

@Override
public void move(int dx, int dy) {
    center.move(dx, dy);
}

Rectangle would be implemented similarly:

public class Rectangle implements Displaceable, Area {
    private Point lowerLeft;
    private final int width, height;

    public Rectangle(int x0, int y0, int w0, int h0) {
        lowerLeft = new Point(x0, y0);
        width = w0;
        height = h0;
    }

    @Override
    public double getArea () {
        return width * height;
    }

    @Override
    public int getX() { return lowerLeft.getX(); }

    @Override
    public int getY() { return lowerLeft.getY(); }

    @Override
Classes like `Rectangle` and `Circle` that implement multiple interfaces have multiple supertypes. The following examples are all permitted:

```java
Circle c = new Circle(10, 10, 5);
Displaceable d = c;
Area a = c;

Rectangle r = new Rectangle(10, 10, 5, 20);
d = r;
a = r;
```

Of course, since `Rectangle` and `Circle` are not in any subtype relation (neither is a supertype of the other) it doesn’t make sense to store a `Rectangle` in a variable declared to hold `Circle` objects. Similarly, even though it is possible that a `Displaceable` variable contains a `Circle`, it is not possible to store a `Displaceable` in a `Circle` variable:

```java
Circle c = new Circle(10, 10, 5);
Rectangle r = c; // not OK
Displaceable d = c; // OK
Circle c2 = d; // not OK, even though d contains a Circle
```

Next, we will see that Java’s subtyping relation is actually richer still. First, it is possible for one interface to extend another, by adding extra methods that must be supported. Second, one class can also extend or inherit from another, allowing the two to share common implementation code. Both of these mechanisms create new subtyping relationships.

### 23.4 Interface Extension

Now suppose that wanted to define an interface of shapes that had both the methods of the `Displaceable` and `Area` interfaces, along with a new method for obtaining the shape’s `boundingBox`, we could define it directly like this:
Figure 23.1: An example subtyping hierarchy for the three classes shown on the right. Subtyping induced by the `implements` keyword is shown as a solid line; that induced by the `extends` keyword is shown as dotted. Interface `Shape` extends both `Displaceable` and `Area`. Classes `Circle` and `Rectangle` are both subtypes of `Shape`, and, by transitivity, both are also subtypes of `Displaceable` and `Area`. `Point` is not a subtype of `Shape` or `Area`.

```java
public interface Shape {
    int getX ();
    int getY ();
    void move(int dx, int dy);
    double getArea();
    Rectangle getBoundingBox();
}
```

However, this approach is not very good. Even though this `Shape` interface has all of the methods of both the `Displaceable` and `Area` interfaces, if we wanted to implement a class that could be used either as a `Shape` or as a `Area` or as a `Displaceable` object, we would have to explicitly declare that it is a subtype of all three interfaces in the class’s `implements` clause, like this:

```java
public class SomeShape implements Shape, Area, Displaceable {
    ...
}
```

This is neither elegant, nor is it very scalable—in a large development, we might have to write down many interfaces, even though many of them share method specifications. Moreover, this approach forces us to duplicate those shared methods signatures in multiple interfaces (i.e. `getX()` appears once in `Displaceable` and once in `Shape`).
Interface extension solves this problem by allowing one interface to extend others, possibly also adding additional required methods. For example, we could define a better version of the Shape interface like this:

```java
public interface Shape extends Displaceable, Area {
    Rectangle getBoundingBox();
}
```

This declaration says that the Shape interface is a subtype of both the Displaceable and Area interfaces, and thus any class that implements Shape must supply all of their methods, as well as the getBoundingBox method required by Shape.

The use of interface extension means that the subtyping hierarchy can be quite rich. One interface may extend several others, and interfaces can be layered on top of one another, forming an (acyclic) graph of types related by extends edges. The resulting subtyping relationship follows these chains transitively: if \( A \) is a subtype of \( B \) and \( B \) is a subtype of \( C \), then \( A \) is a subtype of \( C \). Figure 23.1 shows an example hierarchy.

### 23.5 Inheritance

Classes, like interfaces, can also extend one another. Unlike in the case of interfaces, however, a class may only extend one class. Here is an example:

```java
class D {
    private int x;
    private int y;
    public int addBoth() { return x + y; }
}
class C extends D { // every C is a D
    private int z;
    public int addThree() { return (addBoth() + z); }
}
```

The way to think about class inheritance is that the subclass, in this case \( C \), gets its own copy of all the fields and methods of the superclass that it extends. Given the definitions above, when we create an instance of \( C \), the resulting object will have three private fields \((x, y, \text{ and } z)\) and two public methods \((\text{addBoth})\) and addThree.

Just as with interface extension, a class is a subtype of the class it extends, so, in this case, \( C \) is a subtype of \( D \). For this reason, inheritance should be used
to model the “is a” relation between two classes: every \(C\) is a \(D\), and wherever the program requires a \(D\) it should be possible to supply a \(C\) instead. When considering how to represent a program concepts using classes, carefully examine whether there is an “is a” relationship to be found. For example, every truck is a vehicle, so one might consider making a classes \(\text{Vehicle}\) and \(\text{Truck}\) such that \(\text{Truck}\ \text{extends}\ \text{Vehicle}\).

Note that the keyword \texttt{private}\ means that the field or method is visible only within the enclosing class. Therefore, even though \(C\ \text{extends}\ \ D\), the fields \(x\) and \(y\) cannot be mentioned directly within \(C\)’s methods. Java provides a different keyword, \texttt{protected}\, which designates a field or method as visible within the class and all subclasses, no matter where they are defined. The \texttt{protected}\ keyword should be used with care, however, since it is not in general possible to know how a class will be extended—if the object’s local state requires the fields to satisfy an invariant, making them \texttt{protected}\ means that all subclasses will have to preserve the invariants. This may not be feasible when the person who’s writing the subclass does not even necessarily have access to the source code of the superclass.

**Constructors and \texttt{super}**

One issue with class inheritance is that it is not possible to inherit a constructor from the superclass—a constructor must have the same name as the class, and the superclass must have a different name than a class that extends it. However, constructors often establish invariants on an object’s local state, so when one class inherits from another, it is usually necessary to let the the superclass initialize the private fields provided by the superclass.

Java therefore provides a keyword \texttt{super}\, which can be invoked as a method. The effect is to call the superclass constructor. Here is an example of how it could be used:

```java
class D {
    private int x;
    private int y;

    public D (int initX, int initY) {
        x = initX;
        y = initY;
    }

    public int addBoth() { return x + y; }
}

class C extends D {
    private int z;
}
```
Note that C’s constructor uses the super keyword to invoke D’s constructor, and thereby initialize the private x and y fields. Such a call to super must be the first thing done in the constructor body.

An example of inheritance

Returning to the shapes example, we might consider how to share some of the implementation details among several classes. For instance, the Point, Circle, and Rectangle classes all implement the same functionality to meet the Displaceable interface. We could share those implementation details by creating a common superclass, like this:
class Point extends DisplaceableImpl {
    public Point (int initX, int initY) {
        super(initX, initY);
    }
}

class Circle extends DisplaceableImpl implements Shape {
    private final int r;

    public Circle (int initX, int initY, int initR) {
        super(initX, initY);
        r = initR;
    }

    @Override
    public double getArea () {
        return 3.14159 * r * r;
    }

    public int getRadius () {
        return r;
    }

    @Override
    public Rectangle getBoundingBox () {
        return new Rectangle(getX()-r, getY()-r, getX()+r, getY()+r);
    }
}

class Rectangle extends DisplaceableImpl implements Shape {
    private final int w, h; // width and height

    public Rectangle (int initX, int initY, int initW, int initH) {
        super(initX, initY);
        w = initW;
        h = initH;
    }

    @Override
    public double getArea () {
        return w * h;
    }

    public int getWidth () {
        return w;
    }
}
23.6 Object

The root of the class hierarchy is a class called Object. All reference types in Java are a subtype of Object—even interfaces and those classes that aren’t declared to extend any other class. Note that since Java supports only “single inheritance” for classes, i.e. each class may inherit from at most one superclass or, implicitly from Object, the classes of the subtype hierarchy for a tree. Object is the root of the tree.

The Object class provides a few methods that are supported by all objects: toString, which converts the object to a String representation, and equals, which can be used to test for structural equality.

23.7 Static Types vs. Dynamic Classes

The inclusion of subtyping highlights an important distinction in Java: the difference between the static type of an expression, and the dynamic class of the value that the expression denotes.

Like the difference between static and dynamic methods, the difference is whether the information is determined at compile time, or whether it isn’t available until the program is run.

Consider the following example code, which uses the Displaceable and Area interfaces along with the shape classes Point and Circle that were introduced earlier.

```java
Point p = new Point(10, 10);
Circle c = new Circle(10, 10, 10);
Displaceable d1 = p;
Displaceable d2 = c;
Displaceable d3;
```
Subtyping, Extension and Inheritance

Figure 23.2: A picture of (part of) the Java subtype hierarchy. Interfaces extend (possibly many) interfaces. Classes implement (possibly many) interfaces and (except for Object) extend exactly one class (Object implicitly). Interfaces are “subtypes by fiat” of the Object class. Classes form a tree, rooted at Object (shown in blue). Interfaces (shown in pink) do not form a tree.

```java
if (...) {
    d3 = p;
} else {
    d3 = c;
}
Area a1 = c;
Area a2 = d2; // This assignment will cause a type error
```

Here, the type annotations on the variable declarations indicate the static type information about the variable that the compiler checks while type checking the program. For example, `p` has the static type `Point`, while `d1`, `d2`, and `d3` all have static type `Displaceable`.

At run time, the variable `d1` will always store a value whose class is `Point`, but the variable `d3` might end up with a value whose dynamic class is `Point` or `Circle`.

Note that it is the static type of a variable that restricts how the value can be
used by the program. For example, even though d2 always stores a Circle at
run time, because d2’s static type is Displaceable, it isn’t possible to assign the
value in d2 to a2, which expects to be given an object of type Area.

Also note that the static type is associated with a program expression, which can
be a complex construction involving multiple method calls or other operations.
For example, an expression like:

\[(\text{new Circle}(10,10,10)).\text{getCenter}()\]

has static type Point. Note that, due to subtyping, such an expression might have
more than one valid static type—for example this particular expression also has
type Displaceable, because Point is a subtype of Displaceable.

At run time, such expressions evaluate to values, which, if they are objects (and
not a primitive value like an integer), are always associated with a single dynamic
class, namely the class whose constructor was invoked to create the object. For this
reason, the dynamic class of the variable a1 above will be Circle. As we saw
in the discussion above about the difference between dynamic and static method
invocation, it is the dynamic class of the object that determines which method will
be invoked at run time. After running the code fragment above, d3.move() will
either call the Point or the Circle implementation of move, depending on which
way the conditional branch evaluates at runtime.

In the next chapter, we will make this idea precise by extending the Java Ab-
stract Stack Machine so that it can model the execution of dynamic methods.

End:
Chapter 24

The Java ASM and dynamic methods

In Chapter 22, we looked at simple form of the Java Abstract Stack Machine. That form included the representation of objects and arrays in the heap and explained the operation of static methods. However, in those examples, we were deliberately vague about how constructors and nonstatic method worked. We understood them at an intuitive level, but could not model them precisely in the ASM.

In this chapter we fill in the details about an essential aspect of the operation of Java, called dynamic dispatch. Dynamic dispatch describes the evaluation of normal method calls. It is dynamic because it is controlled by the dynamic class of an object—the actual class that created the object determines what code actually gets run in a method call. In a method call \( o.m() \), there may be several methods in the Java Class Table called \( m \). Dynamic dispatch resolves this ambiguity.

Another difficulty with modeling method calls are references in the method to the fields of the object that invoked the method. In particular, if the method \( m \) includes the line:

\[
x = x + 1;
\]

where \( x \) is intended to be a field, how does the ASM find that field and update it?

Understanding dynamic methods also helps us to model the execution of Constructors in the Java ASM, especially those from classes that extend other classes. The last refinement we make to the Java ASM in this chapter is an explanation of how constructors initialize objects when they are created.

Our goal in this chapter is to extend the ASM enough so that we can precisely model the following example:

This example includes two classes Counter and Decr, which extends Counter. The execution that we would like to model is at the bottom of the listing—how is
public class Counter {
    private int x;
    public Counter () {
        x = 0;
    }
    public void incBy(int d) {
        x = x + d;
    }
    public int get() {
        return x;
    }
}

public class Decr extends Counter {
    private int y;
    public Decr (int initY) {
        y = initY;
    }
    public void dec() {
        incBy(-y);
    }
}

// ... somewhere in main:
Decr d = new Decr(2);
d.dec();
int x = d.get();

Figure 24.1: Running example of dynamic dispatch

it that we can create an instance of the Decr class? What does the constructor invocation look like? What happens when we invoke its dec method? What about its inherited get method?

24.1 Refinements to the Abstract Stack Machine

In this chapter we explicitly add the Class Table as an explicit part of the Java ASM, together with the workspace, stack and heap. The class table is a special part of the heap that is initialized when the Java ASM starts. The purpose of the class table is to model the extension hierarchy (i.e. tree) among classes. Each class in the class table includes a reference to its parent or super class. It also includes code for the constructors and methods defined in that class, as well as any static class members.
The next refinement concerns the code that we run in the workspace itself. Every dynamic method allows a references to the object that invoked through a special variable called `this`. In fact, every field access `x`, is short for `this.x`. We will only execute code in the workspace where these references have been made explicit. In other words, even though we may write the code in Figure 24.1, the code that we will actually use is the one in Figure 24.3.

The code in the figure also makes one more feature of Java explicit. The first line of every constructor should start with an invocation of the constructor of the superclass of the class, using the keyword `super`. (Recall that if a class does not have an explicit superclass, its superclass is `Object`). Often we will write this invocation explicitly, especially if the superclass requires arguments. However, even if we leave it out, Java will implicitly add it. For the ASM, we will assume that all code for constructors starts with a call to `super`.

### 24.2 The revised ASM in action

To demonstrate how the ASM models constructors and method invocation, we next step through the operation of the ASM for the example program. The starting
public class Counter extends Object {
    private int x;
    public Counter () {
        super();
        this.x = 0;
    }
    public void incBy(int d) {
        this.x = this.x + d;
    }
    public int get() {
        return this.x;
    }
}

public class Decr extends Counter {
    private int y;
    public Decr (int initY) {
        super();
        this.y = initY;
    }
    public void dec() {
        this.incBy(-this.y);
    }

    // ... somewhere in main:
    Decr d = new Decr(2);
    d.dec();
    int x = d.get();

Figure 24.3: Example with explicit uses of this and super.

configuration has the given class table and puts the given code in the workspace.

Constructor invocation

The next step is to invoke the constructor for the Decr class, giving it the argument 2. Figure 24.5 shows the result of this action. A constructor invocation is a lot like a function call in OCaml, or a static method call in Java. It saves the current workspace, puts bindings for the parameters on the stack, and puts the body of the constructor in the workspace. In this case the Decr constructor takes one argument, so the binding initY is added to the stack.

The difference is that constructors also allocate, i.e. create the new object in the
heap. The object values store the values of the fields (or instance variables) of the object. For a class like \texttt{Decr}, which extends another class, the fields include the fields declared in the \texttt{Decr} class plus all fields declared in the super classes (i.e. \texttt{Counter}). Furthermore, the variable \texttt{this}, a reference to the newly created object is also pushed onto the stack. Finally, the object value

Next, the code in the constructor begins to execute. The first line of the \texttt{Decr} constructor is to invoke the constructor of its super class, i.e. the \texttt{Counter} constructor. The result of this step is in Figure 24.6. As before, the current workspace is saved to the stack, and the code for the \texttt{Counter} constructor is copied from the class table to the workspace. However, this time, because the object is already allocated, the constructor merely pushes a \texttt{this} pointer to the same heap object onto the stack. Furthermore, the \texttt{Counter} object takes no parameters, so no additional variables are added to the stack.

The first step of the \texttt{Counter} constructor is to call the constructor for its super-class, \texttt{Object}. Here we will skip this step—the object constructor has no effect in the ASM model. The next step is to update the $x$ field of the newly created object, as shown in Figure 24.7. As the default value of the field was 0, this action does not actually change the object.
Invoking a constructor:
- allocates space for a new object in the heap
- includes slots for all fields of all ancestors in the class tree (here: \(x\) and \(y\))
- creates a pointer to the class – this is the object's dynamic type
- runs the constructor body after pushing parameters and \texttt{this} onto the stack

\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{constructor_invocation.png}
\caption{Invoking the constructor for the \texttt{Decr} class}
\end{figure}

After the \texttt{Counter} constructor completes its execution, the ASM pops the stack and restores the saved workspace. The next step is to continue the execution of the \texttt{Decr} constructor, as shown in Figure 24.8.

The \texttt{this} reference directs the initialization of the \(y\) field of the object. This time, the field is updated to the value that was originally provided as the argument to the constructor, as shown in Figure 24.9.

After the \texttt{Decr} constructor finishes its execution, the ASM again restores the saved workspace. The reference to the new object is pushed onto the stack as the value of the local variable \(d\).

The important things to remember about how the ASM treats a constructor call are:

- The newly allocated object value is tagged with the class that created it.

- The newly allocated object value includes fields that are declared in the class that constructs the object as well as all superclasses of that class.

- The first step of a constructor invocation is to call its superclass constructor. Even if the source code does not do this explicitly, Java will implicitly add this call.
- Each constructor pushes its own `this` pointer onto the stack so that it can modify the newly allocated object. However, all of these pointers refer to the same object value.

**Dynamic method call**

The next line of code is a dynamic method call to the `dec` method. Dynamic method calls again work like static method calls—they save the current workspace and push their parameters onto the stack. There are two important differences between dynamic and static method calls.

1. The method body that is placed on the workspace is retrieved from the class table. The class tag in the object value (`Decr` in this case) tells the ASM where to look for this method. Because the `Decr` class contains a `dec` method, the code from that method declaration is the one that is run. This process of finding the correct method is called *dynamic dispatch* because it depends on the dynamic class of the object that calls the method. It is illustrated in Figure 24.11.
2. As well as pushing the parameters on the stack, the method also pushes a reference to the object which called the method. This reference is called \texttt{this}, and the method code can refer to the \texttt{this} variable whenever it needs a reference to the current object.

The execution of the \texttt{dec} method continues as before. However, when the code gets to the invocation of the \texttt{incBy} method, the ASM must do another dynamic dispatch to determine what code to run. This time, the method is not defined in the \texttt{Decr} class, so the ASM searches for the method in the superclasses of \texttt{Decr}. The method is found in the \texttt{Counter} class, so that is the code that is placed on the workspace for this call.

The \texttt{incBy} method modifies the value of the \texttt{x} field of the object. Note that this field is private to the \texttt{Counter} class. That means that methods in the \texttt{Decr} class cannot modify the field directly. However, even though the \texttt{Decr} class \emph{inherits} the \texttt{incBy} method, it may modify the \texttt{x} field because it was \emph{declared} as a part of the \texttt{Counter} class.

After the completion of the \texttt{incBy} (and \texttt{dec}) method calls, the next step in
the computation is a call to the `get` method of the object. Again, the ASM uses dynamic dispatch to find the code to run (this time from the `Counter` class).

The `get` method returns the value -2, which is the value of the local variable `x` placed on the stack.

The important points to remember from this example are:

- When object’s method is invoked, as in `o.m()`, the code that runs is determined by `o`’s dynamic class.

- The dynamic class, which is just a pointer to a class, is included in the object structure in the heap.

- If the method is inherited from a super class, determining the code for `m` might require searching up the class hierarchy via pointers in the class table.

- This process is called dynamic dispatch.

Once the code for `m` has been determined, a binding for `this` is pushed onto the stack. The `this` pointer is used to resolve field accesses and method invocations inside the code.
Assignment into the this.y field.

(This really takes two steps as we saw earlier, but we’re skipping some for the sake of brevity…)

Figure 24.9: Initializing the y field.

Static fields

Some fields in Java can be declared as static. This means that the values of those fields are stored with the Class Table instead of with individual objects.

```java
public class C {
    public static int x = 23;
    public static int someMethod(int y) {
        return C.x + y;
    }
    public static void main(String args[]) {
        ...
    }
    C.x = C.x + 1;
    C.someMethod(17);
}
```

Like static methods, static fields can be accessed without having an object around. Essentially, the class table itself serves as a container for the data. Because all objects refer to the same class table, all objects have aliases to the static
Allocate a stack slot for the local variable \( d \). It’s mutable... (see the bold box in the diagram).

Aside: since, by default, fields and local variables are mutable, we often omit the bold boxes and just assume the contents can be modified.

Figure 24.10: Ready to call method \( \text{dec} \)

fields. Changes to the value of a static field in a method called by one object will be visible to all other objects. As a result, static fields are like global variables, and generally not a good idea.

The best use of static fields is for constants, such as \( \text{Math.PI} \).

What about static methods?

We have already seen how static methods execute in the ASM, and the refinements of this chapter do not change that execution. But, we can now look more closely at the difference between static and dynamic methods in Java.

In particular, the biggest difference is that static methods do not have access to a \texttt{this} pointer while they are executing. This is because they are invoked directly via the class name (e.g. \texttt{C.m()} ) instead of through an object. There is no object around for the \texttt{this} pointer to refer to.

As a result, static methods cannot refer to the fields in the class that they are defined in (because there is no way for the method to access those fields) nor can they call nonstatic methods directly. (Of course, they could create a new object and call the nonstatic methods using that object.)
Dynamic Dispatch: Finding the Code

Invoke the dec method on the object. The code can be found by “pointer chasing”.

This process is called dynamic dispatch – which code is run depends on the dynamic type of the object. (In this case, Decr.)

Figure 24.11: Dynamic Dispatch
Call the method, remembering the current workspace and pushing the this pointer and any arguments (none in this case).

Figure 24.12: During the execution of the `dec` method
Invoke the `incBy` method on the object via dynamic dispatch.

In this case, the `incBy` method is *inherited* from the parent, so dynamic dispatch must search up the class tree, looking for the implementation code.

The search is guaranteed to succeed – Java’s static type system ensures this.

Figure 24.13: Invoking the `incBy` method
Figure 24.14: Executing the `incBy` method
Now use dynamic dispatch to invoke the `get` method for `d`. This involves searching up the class tree again...

Figure 24.15: Last step: the `get` method
24.3 Example: Datatype variants in Java

One useful design pattern for subclassing and dynamic dispatch is to implement variant types, i.e. types that come in several alternatives.

For example, suppose we would like to represent the various kinds of messages that could be sent from a chat client application to a chat server. (This example is inspired by the PennPals homework assignment, but significantly simplified.)

- When a user connects to the server, it receives a default username. A `NicknameCommand` command instructs the server to change that name to a new string. The data associated with the this command is the sender of the message (using the old nickname) and the new name the sender wants to be known as.

- Users must join channels to send and receive messages to others on the same channel. The `JoinCommand` must carry data for the sender of the message and the channel they wish to join.

- Finally, the `MessageCommand` instructs the server to send a message to from the sender to all users of a channel.

In OCaml: Datatypes and pattern matching

In OCaml, we use datatypes to represent variants. Therefore, we might represent these three commands using the following record and data type declarations.

```ocaml
type nickname_command_data =
{ sender : string; new_nickname : string }

type join_command_data =
{ sender : string; channel : string }

type message_command_data =
{ sender : string; channel : string; message : string }

type command =
| NicknameCommand of nickname_command_data
| JoinCommand of join_command_data
| MessageCommand of message_command_data
```

The server might be implemented with an OCaml “object” that includes operations that update its hidden state in response to these commands and produce
a result of type broadcast that represents the messages that must be sent in response to this command.

```java
// server_model

let update_server_model (c: command) (model: server_model) : broadcast =
begin match c with
| JoinCommand data -> model.join_command data
| MessageCommand data -> model.message_command data
| NicknameCommand data -> model.nickname_command data
end
```

**In Java: Abstract superclass and dynamic dispatch**

How might we express this data and control structure in Java? How can we use subclassing to give all three commands a common type? Where does dynamic dispatch come into play?

The key idea is that we can represent the datatype `command` above using three classes that each extend an abstract super class that serves as both a common supertype and an implementation of any features that the commands have in common. We’ll call the abstract class `Command` and its three subclasses `JoinCommand`, `MessageCommand` and `NicknameCommand`. This hierarchy makes sense because a `JoinCommand` is-a `Command`, etc.

Note that the data carried by all three commands includes a fields for the sender of the command. Therefore, we can factor this commonality out by making this field part of the superclass. Each of the three command variants will inherit this field along with its associated accessor method. We also need to define a constructor for this class which will be used to initialize it. Because `sender` is marked `private` it is accessible only within in the `Command` class and not any of its subclasses. We’ll need to use this constructor to initialize the `sender` field.
The Java ASM and dynamic methods

```java
public abstract class Command {
    private final String sender;

    // constructor
    Command(String sender) {
        this.sender = sender;
    }

    // accessor method for the sender
    public String getSender() {
        return sender;
    }

    // Process the command and update the server model accordingly.
    public abstract void updateServerModel(ServerModel model);
}
```

Furthermore, the `Command` class declares an `abstract` method called `updateServerModel`. The three subclasses will implement this method in different ways, but including it as an abstract method here ensures that it is part of the `Command` type. Even if we do not know what sort of command we have (i.e. if we have a value of type `Command` instead of `JoinCommand`, `MessageCommand` or `NicknameCommand`) the type asserts that the method is available.

Additionally, the `ServerModel` class includes methods that can process the three commands. (This is part of what you’ll need to implement in your homework assignment.)

```java
public class ServerModel {
    // ... other parts of class omitted

    public Broadcast joinChannel(JoinCommand joinCommand) {
        ...
    }
    public Broadcast sendMessage(MessageCommand messageCommand) {
        ...
    }
    public Broadcast changeNickname(NicknameCommand nickCommand) {
        ...
    }
}
```

Finally, we have the implementations of the three subclasses. Each one stores its own individual data as fields in the class and may implement accessor meth-
ods for that data. Because these classes extend Command they also inherit the sender field and its accessor method getSender. The constructor of each of these classes must call the constructor of Command, using super, in order to initialize the sender field. Notably, each class must implement the abstract method updateServerModel. They each do so merely by calling the appropriate method of the ServerModel class, passing in the this reference as an argument. In each case, this is a reference to the object that was used to invoke updateServerModel and its type is the enclosing class. By supplying the this reference, each of the methods in the ServerModel class can the data carried by the command objects.

class JoinCommand extends Command {
    private final String channel;

    public JoinCommand(String sender, String channel) {
        super(sender);
        this.channel = channel;
    }

    @Override
    public Broadcast updateServerModel(ServerModel model) {
        return model.joinChannel(this);
    }

    public String getChannel() {
        return channel;
    }
}

class NicknameCommand extends Command {
    private final String newNickname;

    public NicknameCommand(String sender, String newNickname) {
        super(sender);
        this.newNickname = newNickname;
    }

    @Override
    public Broadcast updateServerModel(ServerModel model) {
        return model.changeNickname(this);
    }

    public String getNewNickname() {
        return newNickname;
    }
}
class MessageCommand extends Command {
    private final String channel;
    private final String message;

    public MessageCommand(String sender, 
        String channel, String message) {
        super(sender);
        this.channel = channel;
        this.message = message;
    }

    @Override
    public Broadcast updateServerModel(ServerModel model) {
        return model.sendMessage(this);
    }

    public String getChannel() {
        return channel;
    }

    public String getMessage() {
        return message;
    }
}

In Java: Pattern matching with instanceof

Most of the time, it is best to use dynamic dispatch to implement operations that do different things for different variants of the type.

However, sometimes we might have a Command object and want to determine which of the subclasses of Command it represents. For this purpose, Java includes the instanceof operation.

For example, the static method okay creates a Broadcast object representing a successful response from the server that should be communicated to multiple recipient clients. (We will learn more about Java’s Collection interface in the next chapter.) After constructing the broadcast that will eventually be returned, this method accesses every recipient in the input and adds a response to them to the data structure.

However, there is a special case in this method, if the command that this broadcast is responding to is a NicknameCommand we need to respond using the new nickname not the old one. Therefore, this code uses instanceof to test whether the dynamic class of command is a subtype of NicknameCommand.

If this test succeeds, the variable nickCommand becomes an alias of command created by the instanceof test. An the body of the if statement, nickCommand
has static type \texttt{NicknameCommand} instead of \texttt{Command}, allowing access to methods that are specific to that class, such as \texttt{getNewNickname}.\footnote{The ability to define the new variable \texttt{nickCommand} is a feature of Java 16. Before this release, developers were required to use a dynamic cast inside the if statement. See \url{https://openjdk.java.net/jeps/394} for more information.}

```java
public static Broadcast okay(Command command,
                            Collection<String> recipients) {

    Broadcast broadcast = new Broadcast();
    for (String recipient : recipients) {
        broadcast.addResponse(recipient, command.toString());
    }

    // Need to send response to user ID associated with *new* nick
    if (command instanceof NicknameCommand nickCommand) {
        broadcast.responses.remove(command.getSender());
        broadcast.addResponse(nickCommand.getNewNickname(),
                               command.toString());
    }
    return broadcast;
}
```
Chapter 25

Generics, Collections, and Iteration

In the next few chapters, we will be covering parts of the Java standard library. In particular, we will focus on three main parts of the library:

1. The Java Collections Framework, which include a number of data structures for aggregating data values together.
2. The IO libraries, which allow Java programs to process input and output from various sources.
3. Swing, a Java GUI library.

We cover these libraries in CIS 1200 for a number of reason. The foremost is that they are useful. Part of being a good programmer is knowing how to use library code so that you don’t have to write everything from scratch. Not only is the code faster to write, but it has already been debugged. It is also good style: using the abstractions of standard libraries means that others will be able to more quickly understand your code.

However, knowing how to use libraries is a skill in itself. The libraries are documented, and you will need to know how to read that documentation. The libraries also include features of Java that we haven’t yet covered—some of those features, such as packages, generics, exceptions and inner classes, we will cover in lecture, and these libraries provide examples of those features. However, some language features you will have to learn on your own if you would like to use that part of the library.

Finally, the library designs themselves are worthy of study. This code is designed for reusability. What about the interface makes it reusable? Where does it succeed? What design patterns can you learn from it?
25.1 Polymorphism and Generics

Polymorphism is a feature of typed programming language that allows functions to take different types of arguments. The name, polymorphism, comes from the Greek word for “many shapes” because polymorphic functions work for many different shapes of data.

The Java language includes two different forms of polymorphism, *subtype polymorphism* and generics (also called *parametric polymorphism*). Although both sorts are available, it turns out that generics are more appropriate for container data types, such as found in the collections framework. To see why, consider the following comparison between the two different sorts of polymorphism in the queue interface.

Subtype polymorphism is enabled by using the type `Object` in the interface of a data structure, such as in the type of the `enq` and `deq` methods. Because every (reference) type is a subtype of `Object`, then this queue can store any type of value.

```java
public interface ObjQueue {
    void enq(Object o);
    Object deq();
    boolean isEmpty();
    boolean contains(Object o);
    ...
}
```

Alternatively, we can also make the queue data structure polymorphic by using Generics, as we did in Chapter 33. In this case, we parameterize the interface by the type `E`. This type appears as the argument of the `enq` method and the result of the `deq` method.

```java
public interface Queue<E> {
    void enq(E o);
    E deq();
    boolean isEmpty();
    boolean contains(E o);
    ...
}
```

To see the difference between these two interfaces, compare how queues with these interfaces may be used.
In the first example, suppose we have a queue `q` of type `ObjQueue`. Then we can add a string to this queue with the `enq` method because the type `String` is a subtype of the type `Object`. However, when we remove the first element of the queue, with the `deq` method, its static type is `Object`, as declared by the interface. Therefore, the next line in the example, `x.toLowerCase()`, contains a type error. The `toLowerCase` method is part of the `String` class, not supported by `Object`.

Alternatively, if we use generics as in the second example, then we must instantiate the queue with a specific type, such as `String`. This means that when we `deq` from the queue, then the Java type checker knows that the resulting value must be a `String`. So in this case, the method call `x.toLowerCase()` type checks.

However, the cost of permitting this method call is that all elements of the elements in the queue must be a subtype of the `String` type. Going back to the first example, it is allowed to `enq` a point into a queue that contains strings. The reason is because they are both considered `Objects` when they are in the queue. In the second example, the line `q.enq(new Point(0.0, 0.0))` contains a type error. The type `Queue<String>` prevents the queue from storing anything except for (subtypes of) strings.

We could recover the heterogeneity of the first queue by instantiating the second interface with the `Object`. A queue of type `Queue<Object>` would behave exactly the same as one of type `ObjQueue`. Therefore, to give programmers the choice of behaviors, the Java Collections Framework uses Generics to give the data structures defined in the library flexible interfaces.
25.2 Subtyping and Generics

When considering the subtyping relationship between Generic types in Java, the rule to remember is that the type parameter must be invariant. In other words, even though type B may be a subtype of type A, it is not the case that the type Queue<B> is a subtype of Queue<A>.

Although this restriction seems counter-intuitive, without it the type checker could miss serious bugs in your code. For example, consider this program:

```java
Queue<String> qs = ... // OK
Queue<Object> qo = qs; // OK?
qo.enq(new Integer(4));
String s = qs.deq(0);
s.toLowerCase(); // oops!
```

In the first line, we create an object qs that stores strings. We then rename it (alias it) so that its type claims that the queue stores objects. This line is only allowed if Queue<String> is a subtype of Queue<Object>. That relationship is not true in Java, but suppose for a moment that it is allowed. Then, in the next line, we can use the alias to add a new object to the queue, because Integer is a subtype of Object (as usual). However, when we remove that integer from the queue using qs, and name that value s, we can fool Java. The static type of s is String, because that is what the result of deq is for in the interface Queue<String>. However, the dynamic class is actually Integer, because that is actually the value that we put in and removed from the queue. That is a problem because the dynamic class is always supposed to be a subtype of the static type. If Java thinks that an integer has type String, then it won’t stop us from trying to call string methods on the integer.

The basic problem with covariant generics [i.e. making Queue<B> a subtype of Queue<A>] is that it lets you take a bowl of apples and call it a bowl of fruit. That’s fine if you’re just going to eat from the bowl and you like all fruits, but what if you decide to contribute a banana to the fruit bowl? Someone taking from the bowl expecting an apple might choke. And someone else could call the same bowl a bowl of things then put a pencil in it, just to spite you.  

The Java Tutorial\(^2\) includes additional information about the behavior and meaning of Generics in Java. It goes much beyond what is covered in CIS 1200.

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\(^1\)Chung-chieh Shan, “Why not covariant generics?” at http://conway.rutgers.edu/~cshan/wiki/blog/posts/Unsoundness/

\(^2\)http://docs.oracle.com/javase/tutorial/java/generics/index.html
25.3 The Java Collections Framework

The Java Collections Framework includes implementations of several of the data structures that we have already seen in CIS 1200. In particular, it includes binary search trees (from Chapter 6), linked lists (from Chapter 16) and resizable arrays (from Chapter 32). It uses these data structures to implement deques, sets and finite maps (from Chapter 10).

- Collection\(<E>\)
- List\(<E>\)
- Deque\(<E>\)
- Set\(<E>\)
- Map\(<K,V>\)

Figure 25.1: A few of the interfaces in the Java collections library.

25.3.1 The Collection interface and its implementations

The most important interfaces in this library appear in Figure 25.1. In particular, the collections framework unifies the interfaces for (mutable) lists, deques, and sets under a common interface called a Collection. The Collection interface itself is parameterized by E, the type of elements stored in the collection.

A portion of the Collection interface itself is shown below.

```java
public interface Collection<\text{E}> ... {
    // basic operations
    int size();
    boolean isEmpty();
    boolean add(\text{E} o);
    boolean contains(\text{Object} o); \text{// why not \text{E}?}*
    boolean remove(\text{Object} o);

    ...
}
```

This interface includes operations for returning the number of elements in the collection (its size), determining whether the collection is empty or not, adding a
new element to the collection, determining whether the collection contains a specified element, and removing a specified element. This interface is very similar to the ones that we used in the OCaml part of the course for Queues and Deques.

Note that `contains` and `remove` both take arguments of type `Object` instead of type `E`. This is because these methods use the `equals` method from the object class to determine whether the supplied object matches the element in the collection. It could be that the provided element is not a subtype of `E`, but is still equivalent to it. (The equality method does not have to return false for objects of different types, it may only look at the common parts of the object values to determine if they are “equal”. Most applications only store and remove one type of element in a collection, in which case this subtlety never becomes an issue.)

![Diagram of Sequence Implementations](image)

**Figure 25.2: Sequence implementations.**

Lists and Deques are both ordered collections of elements, which we will informally call *Sequences*. Figure 25.2 shows several implementations of these interfaces in the Java Collections Framework. In particular, the `ArrayList` and `ArrayDeque` implementations are similar to the resizable array class which we developed in Chapter 32. The `LinkedList` class is similar to the deque implementation from Chapter 33. When you are reasoning about how long operations take for these implementations, you should use the related implementations as a model. For example, both `ArrayList` and `LinkedList` allow you to access elements by their position in the sequence. However, since the `ArrayList` stores the elements in an array, it is just as fast to access the last element in the list as the first one. On the other hand, accessing the last element in an `LinkedList` can
take a long time if the implementation has to trace through the entire list of linked nodes to find the element. Conversely, both implementations also allow you to add elements to the middle of the sequence. In this case, it is much faster to add an element in the middle of a linked list (where it needs to only create a new node), then to add one to the middle of an array (which needs to allocate a new array and copy the elements over).

Figure 25.3: Set and Map implementations.

Figure 25.3 shows some implementations of the set interface (also a collection) and the map interface. The most important implementations of these interfaces are based on hashing (in HashSet and HashMap) and binary search trees (in TreeSet and TreeMap). The BST based implementation of sets actually implements a subinterface of set called SortedSet. This is the interface of sets that requires an ordering on elements in the set. In OCaml, all data values were ordered by the pre-defined < operator. However, in this library design, each can use a specific comparison method for the elements in the set. That makes these BSTs (and BST-based maps) more flexible.

Hashing is an implementation technique that is beyond the scope of this course—you’ll learn more about it in CIS 121. We include those implementations here to point out the difference between sets and sorted sets.
25.3.2 The Map interface and its implementations

The library also includes a separate interface for finite maps, Map that is not a subinterface of Collection. However, because finite maps are a particularly useful data structure, we include them here. We were introduced to finite maps in the context of OCaml, in Section 10.3.

An excerpt of Java’s Map interface appears below. Unlike Collection (and its subinterfaces), which was parameterized over a single element type, the finite map interface is parameterized by two different types $K$ for the type of keys, and $V$ for the type of values.

```java
public interface Map<K, V> {

    // ---- basic operations
    int size(); // Returns the number of key-value mappings in this map
    boolean isEmpty(); // Returns true if this map contains no key-value mappings

    V put(K key, V value); // Associates the specified value with the specified key
    V get(K key); // Returns the value to which the specified key is mapped, // or null if this map contains no mapping for the key

    boolean containsKey(Object o); // Returns true if this map contains a mapping for the // specified key.
    boolean containsValue(Object o); // Returns true if this map maps one or more keys to // the specified value.

    V remove(Object key); // Removes the mapping for a key from this map if it is present

    // ---- Collection-like views
    Set<K> keySet(); // Returns a Set view of the keys contained in this map
    Collection<V> values(); // Returns a Collection view of the values contained in this map
    Set<Map.Entry<K, V>> entrySet(); // Returns a Set view of the mappings contained in this map

    ...
}
```

Finite maps keep track of associations between keys and values. Each key
stored in the map can be associated with some value (using the `put` method), and that value can be retrieved using the key (using the `get` method). This means that each key can be stored in the map only once — if you call `put` with the same key and two different values, the second call will replace the association with the new value. The old value will no longer be stored in the map. If this happens, the `put` operation will return the old value that was stored in the map (or `null`, if this is the first association for a particular key).

Because maps store both keys and values, there are two different operations that correspond to the `contains` method of the `Collection` interface—we can ask whether a key is present or we can ask whether a value is present.

The last three methods above (`keySet`, `values`, and `entrySet`) allow you to treat a `Map` like a `Collection`. These methods provide direct access to the mutable data structures that implement the `Map`: you can use the sets and collections that are returned by these methods to change what key-value associations are stored.

Because keys are uniquely stored, the `keySet` method returns a `Set`. However, the same value could be associated with multiple keys, so the `values` method must return a `Collection` instead.

The last method, `entrySet` deserves a little more explanation. This method converts the `Map` into a set of entries, where the `Map.Entry` interface is defined as follows:

```java
public static interface Map.Entry<K, V> {
    K getKey();     // Returns the key corresponding to this entry
    V getValue();  // Returns the value corresponding to this entry
    V setValue(V value);   // Replaces the value corresponding to this entry with
                          // the specified value
}
```

You can view this interface as describing a data structure with two components: a key and a value. The important operations of this interface include two methods for accessing these components as well as one method that allows the value to be modified.\(^3\)

This interface has a slightly confusing name: its name is `Map.Entry<K, V>`, not merely `Entry`. The reason for this name is that it is defined as a (static) member of `Map`.

\(^3\)Think a bit about why it is important that the key not be modified; a map has an invariant that each key only has one associated value. What if you could change the key of an association stored in the map?
the `Map` interface. However, you can use this interface just as you would any other in Java.

The `entrySet` method of the `Map` interface is particularly useful for efficiently iterating over all of the associations stored in the map. In the next section (25.4), we show an example of how this might be done.

The implementation of the `Map` interface that we would like you to practice working with in CIS 1200 is the `TreeMap` class. For example, one could define an instance of the `TreeMap` class and use it in the following way, according to the `Map` interface.

```java
Map<String, Integer> m = new TreeMap<>(());
Integer i1 = m.put("A", 1); // returns null
Integer i2 = m.put("B", 2); // returns null
Integer i3 = m.put("A", 3); // returns 1
boolean b1 = m.containsKey("A"); // returns true
Integer i4 = m.get("A"); // returns 3
Integer i5 = m.get("C"); // returns null
```

The `TreeMap` class uses a binary search tree to store the associations of the map, based on the ordering of the keys. Therefore, as in `TreeSets`, the type used for keys in the map should implement the `Comparable` interface.

What this means is that operations such as `containsKey`, `get`, `put`, and `remove` can be done efficiently, as the binary search tree invariant can be used to quickly find the key. However, operations such as `containsValue`, cannot take advantage of the binary search tree invariant and will possible need to look through all of the associations stored in the map to determine whether one of them contains a particular value.

### 25.3.3 BSTs and the `Comparable` interface

Consider the following implementation of immutable points:

```java
class Point {
    private final int x, y;
    public Point(double x, double y) {
        this.x = x; this.y = y;
    }

    public double getX() {
        return x;
    }

    public double getY() {
```
Say we would like to store a set of these points using a TreeSet. Unfortunately, running the following code:

```java
Set<Point> s = new TreeSet<>();
Point p1 = new Point(0, 0);
s.add(p1);
```

triggers a `ClassCastException` exception!

```
Exception in thread "main" java.lang.ClassCastException:
  class Point cannot be cast to class java.lang.Comparable
(Point is in unnamed module of loader 'app'; java.lang.Comparable
is in module java.base of loader 'bootstrap')
at java.base/java.util.TreeMap.compare(TreeMap.java:1563)
at java.base/java.util.TreeMap.addEntryToEmptyMap(TreeMap.java:768)
at java.base/java.util.TreeMap.put(TreeMap.java:777)
at java.base/java.util.TreeMap.put(TreeMap.java:534)
at java.base/java.util.TreeSet.add(TreeSet.java:255)
at TreeSetExample.main(TreeSetExample.java:13)
```

The problem behind this exception is that the `TreeSet` stores its elements using a Binary Search Tree in order to support efficient lookup, insertion and deletion. As a result, all elements stored in the tree must implement the `Comparable` interface so that the implementation can order these points. The `Comparable` interface contains a single method:

```java
interface Comparable<T> {
    int compareTo(T o)
    // Compares this object with the specified object for order.
    // Returns a negative integer, zero, or a positive integer
    // as this object is less than, equal to, or greater than
    // the specified object.
}
```

What this means is that we need to update the `Point` class to implement this interface. We can do this as follows, by adding a `compareTo` method to the class.
class Point implements Comparable<Point> {
    // fields, constructors and methods as above

    // Compare this point to another o by first looking at 
    // their x components and then looking at their y 
    // components.
    public int compareTo(Point o) {
        if (this.x < o.x) {
            return -1;
        } else if (this.x > o.x) {
            return 1;
        } else if (this.y < o.y) {
            return -1;
        } else if (this.y > o.y) {
            return 1;
        }
        return 0;
    }
}

What this method does is compare points lexicographically (i.e. like you would compare words in a dictionary). First the method compares the x components of the points to determine if this point should be less than or greater than the other point o (returning -1 or 1 accordingly.) If the x components are equal, then the method does the same with the y components. If both x and y are the same, then the points are equal, so the method returns 0.

With this addition, we find that we can run the TreeSet example code above and have it work as expected. Furthermore, this implementation was required because Point was a user-defined class. Many classes that are part of the Java language, including Integer, String, and Boolean already implement this interface.

When implementing the compareTo method of your class, you should only use the immutable components of objects to determine the comparisons. The reason is that the BST implementations TreeSet and TreeMap cannot adapt to objects reordering themselves. If o1 and o2 are stored in a BST and then it must be the case that their relationship stays constant — otherwise the tree would need to be reordered. The easiest way to make sure that this stays true is to use final fields only in the definition of compareTo.

Another issue with compareTo is that it should agree with the definition of the equals method for that class. We discuss how and why one should override the equals method in Chapter 26.
25.4 Iterating over Collections

Java provides a powerful tool for working with all of the elements of a collection in a generic way.

As shown in Figure 25.4, the Collections interface in Java itself extends another interface, called Iterable.

This interface specifies that all collections must provide an iterator. I.e. the definition of an iterable object is one that provides at least the method iterator, which itself provides access to an iterator for the object.

```
interface Iterable<E> {
    Iterator<E> iterator();
}
```

An iterator object is an object whose sole purpose is to provide access to a sequence of elements. It must satisfy the Iterator interface, shown below.
An iterator provides access to elements through repeated calls to the `hasNext` and `next` methods. The first method determines if there is a next element for the iterator to produce, the second method actually produces it.

As of Java 8, both `Iterator` and `Iterable` interfaces have additional methods with default implementations. We only show the required ones here.

For example, consider this code that catalogs the books contained in a list (called `shelf`).

```java
interface Iterator<E> {
    boolean hasNext();
    E next();
}

An iterator provides access to elements through repeated calls to the `hasNext` and `next` methods. The first method determines if there is a next element for the iterator to produce, the second method actually produces it.

As of Java 8, both `Iterator` and `Iterable` interfaces have additional methods with default implementations. We only show the required ones here.

For example, consider this code that catalogs the books contained in a list (called `shelf`).

```java
List<Book> shelf = ... // create a list of Books

// iterate through the elements on the shelf
Iterator<Book> iter = shelf.iterator();
while (iter.hasNext()) {
    Book book = iter.next();
    catalog.addInfo(book);
    notebook += numbooks + 1;
}
```

Because `List` is a subinterface of `Collection`, and `Collection` is a subinterface of `Iterable`, we know that the shelf has an `iterator` method. This method returns an `Iterator` for the elements in the list (which are books). The while loop executes as long as not all of the books have been accessed (or iterated). For each book supplied by the iterator (using `iter.next()`), the example adds the book information to the catalog and increments the number of books.

The iterator means that we can access the elements of the list in sequence, regardless of the actual implementation of the list. What matters is that we are doing something for each element of the list—not how we are accessing each of those elements. The iterator hides the complexity of array indexing (if we are working with an `ArrayList` for example) or of walking down a list of nodes (if we are working with a `LinkedList`). If we were to change our implementation from one implementation to another, we would not need to update this code. At the same time, it provides efficient access to the elements in either version.

Java also provides special “syntactic sugar” for working with objects that are `Iterable`. The code below uses a “for-each” loop to catalog all of the books on the shelf. This code is equivalent to the previous two versions. The loop successively
binds the variable book of type Book to each element in the collection shelf. For each of these elements, it executes the body of the loop.

```java
// iterate through the elements on a shelf
for (Book book : shelf) {
    catalog.addInfo(book);
    numBooks = numbooks+1;
}
```

The general for a for-each loop is shown below. The for loop declares the variable variable of type type with a scope that includes the body of the for-each loop. The loop iterates once for each element in the collection coll.

```java
// repeat body for each element in collection
for (type variable : coll) {
    body
}
```

A nice feature of Java is that arrays are also Iterable. For example, we could use a for-each loop to count the non-zero elements of an array with the following code:

```java
int[] arr = ... // create an array of ints

for (int elt : arr) {
    if (elt != 0) { cnt = cnt+1; } // count nonzero elements
}
```

In fact, any object that satisfies the Iterable interface can be used with a for-each loop.

As a last example, let's iterate over the entrySet of a ClMap. Suppose we have some Map<String, Integer> that associates numbers with particular strings. The Map type is not directly iterable, but its set of entries is. Therefore, we can successfully access each of the entries in the map using this code:

```java
Map<String, Integer> m = ... // create a map

for (Map.Entry<String, Integer> entry : m.entrySet()) {
    String key = entry.getKey();
    Integer value = entry.getValue();

    // do something with each key and value
```
25.4.1 Modifying the collection during iteration

One pitfall with working with iterators is that to modify the collection during iteration, you must use the iterator interface. For example, suppose you want to replace certain books from your shelf with less objectionable versions. In that case, you might try to use the iterator to work through the books on the shelf, removing certain ones, and replacing them with alternative versions.

```java
// iterate through the elements on a shelf
for (Book book : shelf) {
    if (book.getTitle().equals("Fahrenheit 451")) {
        shelf.remove(book);
        shelf.add(sanitize(book));
    }
    catalog.addInfo(book);
    numBooks = numBooks+1;
}
```

This code compiles, but if you were to run it, you would be treated to a `java.util.ConcurrentModificationException`. The reason for this exception is that iterators require you to refrain from modifying underlying data structure during iteration. The prohibited modification only refers to the collection itself; if the elements of the collection (like the books) are mutable you are still free to update them.

**What can you do instead?** If you only wish to delete certain elements from the collection, then the optional `remove` operation of the iterator interface will allow you to remove the last element iterated. For example, to merely remove offending books from the shelf, you can code of the following form. (Note that the “for-each” syntax does not support deletion.)

```java
Iterator<Book> iter = shelf.iterator();
while (iter.hasNext()) {
    Book book = iter.next();
    if (book.getTitle().equals("Fahrenheit 451")) {
        iter.remove();
    } else {
        catalog.addInfo(book);
    }
}
The `remove` method is an *optional* part of the `Iterator` interface. What this means is that not all iterators support this operation: some will raise an `java.lang.UnsupportedOperationException` instead. If you are working with such an iterator, your only recourse is to make a copy of the collection before the iteration and modify that copy instead.

Furthermore, while `remove` is an *optional* part of the iterator, `add` is not. If you would like to also insert new elements during iteration, you will need to use a more specialized iterator, such as a `ListIterator`. 

```java
numBooks = numBooks+1;
}
}
```
Chapter 26

Overriding and Equality

In this chapter we talk more about method overriding, the idea that a subclass can redefine a method that is already present in one of its ancestor classes. In the previous chapters, we have already seen an example where method overriding is important: subclasses of JComponent typically override the paintComponent method to control how they are displayed on the screen. Here we both make the semantics of overriding precise by showing what it looks like in the abstract stack machine, and also discuss when and where method overriding is appropriate in Object-Oriented programming.

The former turns out to be trivial. Our ASM model for dynamic dispatch already explains what happens when methods are overridden—we don’t need to add any new functionality to our model. However, the latter is a much deeper issue. Method overriding can make code confusing and difficult to reason about if not used carefully.

26.1 Method Overriding and the Java ASM

Consider the following Java class definitions.

```java
public class C {
    public void printName() { System.out.println("I'm a C"); }
}

public class D extends C {
    public void printName() { System.out.println("I'm a D"); }
}
```

Now, when the following code is run, what is printed to the console? And why?
The result is that, even though the static class of `c` is `C`, dynamic dispatch means that the method definition in class `D` is the one that is selected. Therefore `I'm a D` is the result printed in this example.

We can see how this works precisely by stepping through the execution of the ASM for this example. The ASM is initialized by putting the code snippet on the workspace, and the class definitions above in the Class Table.

After executing the first line on the workspace, the stack contains the variable `c` which is the reference to some object, with dynamic class `D`, stored on the heap. (Because the class `D` does not declare any instance variables, we represent objects created by this class just by their classname.)
Next, for the method call to the `printName` method, we look up the dynamic class of the object to find where to look in the class table for this method definition. After this method call, the body of this method is placed on the workspace and the saved workspace and `this` reference are pushed onto the stack.
Finally, after this code executes, the message I’m a D appears in the console. Because we started looking for the definition of the `printName` method in the class `D`, we found that version of the method to execute. Even though the `C` class also contains a definition of that method, we did not use it.

This behavior is true for all method invocations, even those for code defined in superclasses.

For example, consider these two classes:

```java
class C {
    public void printName() {
        System.out.println("I'm a " + getName());
    }

    public String getName() {
        return "C";
    }
}

class E extends C {
    public String getName() {
        return "E";
    }
}
```
Overriding and Equality

// in main
C c = new E();
c.printName();
// The string "I'm a E" is printed to the console

Above, the definition of the class E overrides the getName method. As a result, even though the printName method is defined in the class C, it calls the getName method defined in class E. This is because the dynamic class of the method determines every method invocation.

This behavior of dynamic dispatch can make reasoning about programs difficult. The class C may be written in a different library than the class E, and by different authors. The author of the C class must think about not just their own method implementations, but the implementations of any other subclass. There is no way for C to predict the result of getName. Instead, the author must define the expected properties (i.e. behavioral contract) of any overriding method, document it in the code, and hope that all subclasses respect that contract.

Sometimes overriding is the right thing to do, especially when the parent class is designed specifically to support such modifications, and the expected properties of the overridden methods is clearly defined by the super class. For example, the paintComponent method in the class JComponent is designed to be overridden, and the Swing documentation discusses what overriding methods should and should not do. In this case the library designer will specifically provide a behavior contract that the parent methods assume about overridden methods.

As we will see, there are a few other methods in the Java libraries where overriding makes sense (and in fact, is necessary).

Another opportunity for overriding is if both parent and child class are controlled by the same author. As long as this author will maintain control of both parts as the software evolves, overriding may be ok.

However, there are usually better ways of structuring software that avoid overriding. For example, composition and delegation often achieve similar benefits with minor overheads and much less confusion about behavior. For further discussion about this topic, see Joshua Bloch’s Item 16 in Effective Java [2]. In particular, this reference discusses how inheritance can break encapsulation.

Class authors can prevent subclasses from overriding their methods by using the final modifier. When applied to methods, the final modifier prevents subclasses from overriding that particular method. That way the class author can always reason about what happens during a method call—the final modifier means that a dynamic method invocation must be to an existing method.
26.2 Overriding and Equality

The `equals` method of the object class is an example of a method often should be overridden. To see why, consider this definition of a class that does not override the equals method:

```java
public class Point {
    private final int x;
    private final int y;
    public Point(int x, int y) { this.x = x; this.y = y; }
    public int getX() { return x; }
    public int getY() { return y; }
}
```

Now, suppose we use this class with the linked lists defined in Java Collections framework.

```java
// somewhere in main...
List<Point> l = new LinkedList<Point>();
l.add(new Point(1,2));
System.out.println(l.contains(new Point(1,2)));
```

Unfortunately, even though we have added the point at position (1,2) to the list, the contains method returns `false`.

The reason is that in the linked list class, the contains method works in a way something like this:

```java
public boolean contains(Object o) {
    if (o == null) {
        // iterate over every element in the linked list
        for (E e : this) {
            if (e==null) { return true; }
        }
    } else {
        // iterate over every element in the linked list
        for (E e : this) {
            if (o.equals(e)) { return true; }
        }
    }
    return false;
}
```

This code iterates over all of the elements in the linked list (using the for-each notation). If the argument is null, then the method returns true if any of the ele-
ments are null. Otherwise, if the argument is non-null, then the method returns 
true according to the equals method of the argument.

The point class above inherits the equals method of the Object class. This 
method returns true only for reference equality. In other words, it behaves as if 
we had said o == e. However, in the example above, we are comparing against 
an object with the same structure, but that object is not an alias to any of the other 
objects stored in the list.

To solve this problem we should override the equals method in the Point 
class.

26.2.1 When to override equals

In general, classes should override the equals method when they represent im-
mutable values. For example, the point class above represents locations—there is 
not reason to distinguish locations with the same x and y coordinates, we really do 
want to identify all points that represent the same location in the coordinate space.

Another example is the String class. Java’s implementation of this class over-
rides the default equality with one that compares strings character-by-character. 
This behavior is often what we want anyways when we compare string, and the 
reason why we often say “use .equals when comparing strings.”

Furthermore, the set implementation itself overrides the .equals method be-
cause there is a non-trivial definition of equality for sets. In particular, no matter 
how sets are represented (using arrays, binary trees or hash tables), two sets should 
be equal if and only if they contain equal elements. This definition even allows two 
sets with completely different representations to be determined equal (i.e. such as 
a TreeSet and a HashSet, for example). As long as these sets contain the same 
elements then .equals will return true.

As the example above demonstrates, it is particularly important to override 
equals when objects need to serve as elements of a set or keys in a map. In 
these cases, it is very unlikely that reference equality should be used to determine 
whether a set contains a particular value or the map contains a particular key. 
The mathematically inspired abstractions typically use the more mathematically 
inspired definition of structural equality.

26.2.2 How to override equals

The .equals method is one that is intended to be overridden. That means that 
the documentation of this method specifies a contract that all subclasses should 
satisfy. Specifically, the documentation states the following\(^1\)

---
\(^1\)This text is taken directly from: https://docs.oracle.com/en/java/javase/17/docs/api/java.base/java/lang/Object.html
The equals method implements an equivalence relation on non-null object references:

- It is reflexive: for any non-null reference value \( x \), \( x \text{.equals}(x) \) should return true.

- It is symmetric: for any non-null reference values \( x \) and \( y \), \( x \text{.equals}(y) \) should return true if and only if \( y \text{.equals}(x) \) returns true.

- It is transitive: for any non-null reference values \( x \), \( y \), and \( z \), if \( x \text{.equals}(y) \) returns true and \( y \text{.equals}(z) \) returns true, then \( x \text{.equals}(z) \) should return true.

- It is consistent: for any non-null reference values \( x \) and \( y \), multiple invocations of \( x \text{.equals}(y) \) consistently return true or consistently return false, provided no information used in equals comparisons on the objects is modified.

- For any non-null reference value \( x \), \( x \text{.equals}(null) \) should return false.

This contract is itself adapted from the mathematical concept of an equivalence relation.

So let’s try to override equals for the Point class. Here’s a first (incorrect) attempt. It seems like it should work, but there is something wrong with this definition. What is it?

```java
public class Point {
    private final int x;
    private final int y;
    public Point(int x, int y) {this.x = x; this.y = y;}
    public int getX() { return x; }
    public int getY() { return y; }
    public boolean equals(Point that) {
        return (this.getX() == that.getX() &&
                this.getY() == that.getY());
    }
}
```

There are two problems with this definition. The first is that it doesn’t account for that point to be null. If the argument to the equals method is null, then this code throws a NullPointerException.

A more subtle issue with this code is that it actually doesn’t override the equals method. Recall that the type of equals requires its argument to be an Object. Instead, because of the difference in the type of the argument, this definition uses
Overriding and Equality

overloading to add an additional method to the Point class. The inherited equals method is still available, and Java uses the static type of an argument to determine which method to call.

For example, in the code below, the first invocation of equals is to the inherited method, so reference equality is used. The second invocation is to the overloaded method defined in the Point class above, which implements structural equality.

```java
Point p1 = new Point(1,2);
Point p2 = new Point(1,2);
Object o = p2;
System.out.println(p1.equals(o));
// prints false!
System.out.println(p1.equals(p2));
// prints true!
```

We can avoid unintentional overloading by using the @Override annotation when we define the method in the Point class. In this case, if the types of the argument to the method are incorrect (i.e. if the method does not actually override an existing method in the superclass) then the compiler can issue a warning.

Furthermore, we can also prevent NullPointerExceptions. In the case that the argument is null we can immediately return false. We can only call the equals method for a non-null object, and null should never be equal to a non-null object. (This is the last part of the specification of equals.)

```java
@override
public boolean equals(Object obj) {
    if (obj == null) { return false; }
    // what do we do here???
}
```

However, because the type of the argument must be Object, we are a bit stuck. How do we access the x and y components of the argument? How do we know whether the argument even has these components (i.e. is a Point)? We need some way to check the dynamic type of an object.

26.2.3 Using instanceof in the equals method

As we have seen before, the instanceof operator tests the dynamic class of an object. If the dynamic class is a subtype of the provided class or interface, the test returns true.
For example, suppose we define the following variables.

```java
Point p = new Point(1,2);
Object o1 = p;
Object o2 = "hello";
```

Then the expression

```java
System.out.println(p instanceof Point);
```

prints true because `p` is a reference to a `Point` object stored on the heap. Similarly, the expression

```java
System.out.println(o1 instanceof Point);
```

also prints true. Even though the static type of `o1` is `Object` it is a reference to a `Point` object (in fact, it is an alias to the same object as above).

On the other hand, the expression

```java
System.out.println(o2 instanceof Point);
```

prints false because `o2` is a reference to a `String` object. Again, `o1` and `o2` have the same static type but give different results from the `instanceof` test.

Furthermore, the dynamic class could be a subtype of the queried class. This expression also returns true

```java
System.out.println(p instanceof Object);
```

because `Point` is a subtype of `Object`. In fact, any reference to an object will return true for this test because all classes are subclasses of `Object`. On the other hand, the null reference

```java
System.out.println(null instanceof Object);
```

is not an instance of any class, so this test prints false.

With `instanceof` we can add another line to our implementation of `equals`. We can make sure that the argument has a dynamic class that is compatible with
this one. Furthermore, we can use the Java feature of pattern matching with `instanceof` in the condition of an `if` statement to create an alias of the object with the refined static type. Below, we use `instanceof` to create a new variable (called `that`) with a more precise type. With this new variable, we can make sure that both the x and y components of `Point` agree. If all of the tests succeed, we know that `o` is equal to the point that invoked the method.

```java
@Override
public boolean equals(Object obj) {
    if (obj == null) {
        return false;
    }
    if (obj instanceof Point that) {
        // "that" has type point and is an alias of o
        // check components agree
        return (x == that.x && y == that.y);
    } else {
        return false;
    }
}
```

We need to use `instanceof` in the case of equals because the method behavior depends on the dynamic types of two objects: `o1.equals(o2)`. However, use `instanceof` judiciously in your code—usually dynamic dispatch works better.

For example, if you find yourself writing code that follows this pattern:

```java
if (o instanceof Point p) {
    // special case for points...
} else if (o instanceof Circle c) {
    // special case for circles...
} else if (o instanceof Rectangle r) {
    // special case for rectangles ...
} ...
```

consider refactoring your development so that dynamic dispatch is used to determine the special cases instead of the nested if-statements. The resulting code will be more extensible.

## 26.3 Equals and subtyping

The above recipe for equality works for simple class hierarchies, but the combination of subclassing and structural equality is much more subtle.
Suppose that we add a subclass of the `Point` class that adds a new field. We would also like to override `equals` in the subclass so that it too implements structural equality. Our first try at overriding `equals` in the `ColoredPoint` class might look like this:

```java
public class ColoredPoint extends Point {
    private final int color;
    public ColoredPoint(int x, int y, int color) {
        super(x, y);
        this.color = color;
    }
    @Override
    public boolean equals(Object obj) {
        if (obj == null) {
            return false;
        }
        if (!super.equals(obj)) {
            return false;
        }
        if (obj instanceof ColoredPoint other) {
            return color == other.color;
        } else {
            return false;
        }
    }
}
```

This method adapts the code above to the `ColoredPoint` class. It also uses the method call `super.equals(obj)` to compare the `x` and `y` components of the object.

Unfortunately, there is a problem with this definition. It doesn’t satisfies all of the requirements of an implementation of `equals`. In particular, this method is not *symmetric* when a `Point` is compared with a `ColoredPoint`.

For example, consider the following declarations.

```java
Point p = new Point(1,2);
ColoredPoint cp = new ColoredPoint(1,2,17);
```

According to the implementation, the expression `p.equals(cp)` returns true, because a `ColoredPoint` is an instance of a `Point`. On the other hand, the expression `cp.equals(p)` returns false, because the reverse doesn’t hold.
26.3.1 Restoring symmetry

To properly implement and equals method that is symmetric, the right thing to do is check that the dynamic class of the other object is identical to the class of the object implementing equals. Though it is possible to code up such behavior (in a somewhat convoluted manner) by using instanceof using a second method, a more direct solution is to somehow access the dynamic class of an object directly.

Fortunately, Java’s Object class provides a mechanism for doing exactly that: a method called getClass, which returns an object of type Class<?>. In general, an object of type Class<T> is a dynamic representation of the class T, but the ? in getClass’s type indicates a wildcard type that is not known statically. The Class class is itself just an ordinary Java class that provides a number of methods for programming by reflection (briefly, reflection let’s us write programs that manipulate program syntax—a topic that is well beyond the scope of CIS 1200).

The salient point for implementing equals is that an object’s getClass method will return a unique representation of its class. We can therefore determine whether two objects o1 and o2 have the same class by doing:

```java
o1.getClass() == o2.getClass()
```

This observation lets us implement a correct equality method for the Point class, like this:

```java
@Override
public boolean equals(Object obj) {
    if (obj == null) {
        return false;
    }
    if (getClass() != obj.getClass()) {
        return false;
    }
    Point other = (Point) obj;
    if (x != other.x) {
        return false;
    }
    if (y != other.y) {
        return false;
    }
    return true;
}
```

However, by using getClass to compare the dynamic classes of this and obj, we lose the pattern matching ability of instanceof that we saw above. So,
to be able to access x and y of the other object, we must use a dynamic cast to construct an alias of obj with static type Point.

The class cast expression, written (T) e and used above as (Point) obj, can construct such an alias. At compile time, Java checks that T is a subtype of e’s static type (otherwise it would be impossible for the “downcast” to succeed). At runtime, this expression checks the dynamic class of the expression e and throws a ClassCastException if e’s dynamic class is not a subtype of T. (In this example, because we have already looked at the dynamic class of obj, we know that this check cannot fail.) The result of this expression has static type T, i.e. in this example, Point, so we can assign it to a variable with this type.

Finally, there is an alternative implementation for classes that implement the Comparable interface. In this case, the equals and compareTo methods should agree. In other words, if p is not null, it should be the case that o.compareTo(p) == 0 exactly when o.equals(p).

We can trivially ensure this agreement by using

```java
@Override
public boolean equals(Object o) {
    if (o == null || getClass() != o.getClass()) {
        return false;
    }
    Point point = (Point) o;
    return (this.compareTo(point) == 0);
}
```

There is one last optimization that equals methods often use. They check to see if the argument happens to be an alias of this object (the one that invoked the equals method.) If this is true, the method can immediately return true. This initial check can eliminate the need for more expensive testing in certain cases, an especially valuable trade-off for large data structures.

```java
@Override
public boolean equals(Object o) {
    if (this == o) {
        return true;
    }
    if (o == null || getClass() != o.getClass()) {
        return false;
    }
    Point point = (Point) o;
    return (this.compareTo(point) == 0);
}
```
The code above is a standard example of an `equals` method. Other classes that override equals should do so in a similar manner. In fact, IntelliJ and other Java IDEs can generate these methods automatically. (See the Code >> Generate... >> `hashCode()` and `equals()` ... menu option.) Note that it is a good idea to also override the `hashCode` method whenever the `equals` is overridden. This is to provide consistency when using classes that use the technique of `hashing`, such as `HashSet` and `HashMap`. 
Chapter 27

Exceptions

Programs often have to deal with unexpected inputs.

- Some methods require that their arguments satisfy certain preconditions. For example, a function that calculates the maximum value of an array requires that its input not be null or the empty array.

```java
public static int max(int[] arr) {
    int v = arr[0];
    for (int x : arr) {
        if (x > v) {
            v = x;
        }
    }
    return v;
}
```

The Java type checker cannot prevent this method from being called with null or a zero-length array. How can this method deal with that situation?

- As of Java 8, interfaces can have optional methods. For example, the iterator interface includes a delete operation (which modifies the underlying sequence, removing the element most recently returned by `next` from the collection).

```java
interface Iterator<E> {
    public boolean hasNext();
    public E next();
    public void remove(); // optional
}
```
However, not every iterator needs to support that operation. Those classes can either implement that method and provide a meaningful implementation or ignore it completely (since Java provides a default implementation).

- Some parts of the program deal with external resources. Those resources may or may not be present. For example, a Java method in the IO library may try to open and read from a file on the computer’s hard drive. But what if that file doesn’t exist?

- Sometimes during the execution of a Java program, a resource may be exhausted. What if the program tries to write to a file on the disk, but the disk is full? What if the program makes too many nested method calls and runs out of stack space?

- Some parts of the program just may not be finished. How can a programmer indicate that some methods are not ready to be used and only present in an object to satisfy interfaces?

All of the above are exceptional circumstances.

27.1 Ways to handle failure

There are several ways to design methods to deal with failure and exceptional circumstances.

The simplest way is for the method to return an error value in the case of failure. For example, the Math.sqrt method returns NaN ("not a number") if its given input is less than zero. Likewise, it is common for methods to return the null reference, if the appropriate value cannot be computed.

However, there is a drawback to this practice. It puts the burden on the caller of the method to check the result to make sure that it is not the error value. However, it is very easy for the caller to forget to do such checks, leading to subtle bugs in the program.

In Chapter 11 we introduced an alternative method. The option type in OCaml allows partial functions to indicate that they are partial in their type. Callers cannot forget to check the return value because the type forces them to pattern match the option. It is possible to replicate this solution in Java, using a special class to indicate possible failure.

However, although this strategy is much more likely to produce correct code, it can be tedious. The caller of every method must check the return value, even if there is nothing that caller can do to mitigate the failure. Furthermore, the logic of the program that deals with failure is scattered throughout the normal execution of the method, making the method difficult to read.
This chapter presents a new alternative to dealing with exceptional circumstances—the use of a language feature called *exceptions*. Most modern languages, including OCaml and Java, support this feature. Exceptions allow functions and methods to signal errors in a way that any indirect caller can handle the error, not just the most immediate one. Furthermore, if the error is not handled, the program immediately terminates, meaning that bugs are easier to detect and therefore *not* as subtle.

### 27.2 Exceptions in Java

An *Exception* in Java is an object (Surprise!) that represents an abnormal circumstance. The dynamic class and fields of the object indicate information about what went wrong. For example, the Java language and libraries include a number of pre-defined Exception classes to indicate run time errors. Calling a method or accessing a field with a null reference triggers a *NullPointerException*. Many IO functions return *IOException*s. Exceptions can be created, just like other objects with the *new* keyword.

For example, you could create your own instance of the null pointer exception class (i.e. an object with dynamic class *NullPointerException*) by invoking its constructor.

```java
NullPointerException ex = new NullPointerException();
```

Creating an exception like this does not do anything special. The unique aspect of exceptions is that they can be thrown.

*Throwing* an exception is like an emergency exit from the current method. The exception propagates up the invocation stack until it either reaches the top and the stack, in which case the program aborts with the error, or the exception is caught. We’ve already seen exception throwing before, we just didn’t call it that. In OCaml, the *failwith* expression throws an exception (called *Failure*) in that language. To throw an exception in Java, use the *throw* keyword. For example, to exit a method when its argument is three, we could throw an illegal argument exception.

```java
static void m (int x) {
    if (x == 3) {
        throw new IllegalArgumentException();
    }
    // here we know that x cannot be 3.
}
```

*Catching* an exception lets callers take appropriate actions to handle the abnormal circumstances. This lets programs have a chance to recover from the abnor-
mal situation and try something else. Exceptions thrown within the block of a `try` statement are caught using a `catch` block.

For example, if a file for reading is not found, then the program can give an alert to the user and ask for a different filename. For example, consider this method from a GUI for displaying images (such as in HW07). The constructor of the `Picture` class takes a string that is the filename of a new picture to show in the window. If the file is successfully read, then the new picture is displayed by this method (we’ve omitted that code). However, because this process could fail, it is put inside of a `try` block.

```java
void loadImage(String fileName) {
    try {
        Picture p = new Picture(fileName);  // could fail
        // ... code to display the new picture in the window
        // executes only if the picture is successfully created.
    } catch (IOException ex) {
        // Use the GUI to send an error message to the user
        // using a dialog window
        JOptionPane.showMessageDialog(
            frame,  // parent of dialog window
            "Cannot load file\n" + ex.getMessage(),
            "Alert",  // title of dialog
            JOptionPane.ERROR_MESSAGE  // type of dialog
        );
    }
}
```

If the `Picture` constructor cannot read from the specified file, then it throws an `IOException`, indicating that trouble. The `catch` expression after the `try` block includes code to execute in the case that an `IOException` is thrown. The actual exception that was thrown is bound to the variable `ex`, and information that it carries, such as an error message, can be accessed in the catch. For example, the code above uses `ex.getMessage()` to get further details about why the file cannot be read.

Note that constructors must return a reference to a newly constructed objects. They do not have the choice to return null instead, indicating an error. Exceptions are the only way that constructors can indicate difficulties in object construction.

### 27.3 Exceptions and the abstract stack machine

The Java ASM gives us a model of how exceptions work by demonstrating both how exception objects are represented in the heap, and what happens when exceptions are thrown and caught. Each exception handler (i.e. `catch` clause) is
saved on the stack whenever execution reaches the accompanying try block in the workspace. When exceptions are thrown, the stack is popped until a saved exception handler is found. If there are no exception handlers, then program execution terminates. The program stops with an error.

The lecture slides from the Exceptions Lecture demonstrate the ASM in action.

27.4 Catching multiple exceptions

The code in a try block may encounter many different sorts of exceptional circumstances. For example, when trying to load a file, several errors could occur. Perhaps the file might not exist, or perhaps the file does exist but is locked by the operating system and unable to be read. In these situations, the method for loading the file would throw different exceptions, indicating the different sources of trouble.

For this reason, Java allows try blocks to have multiple catch clauses. Each clause can catch a different class of exception. For example, suppose we wished to separate the handling of file not found exceptions from other sorts of IO exceptions. Then we could use the following code:

```java
try {
    ...
    // do something with the IO library
} catch (FileNotFoundException e) {
    ...
    // handle an absent file
} catch (IOException e) {
    ...
    // handle other kinds of IO errors.
}
```

In this example the first clause catches any `FileNotFoundException` and the second clause catches all other `IOException` that could be thrown by the body of the `try` block. Other exceptions, such as `NullPointerExceptions`, are not caught and propagate outward.

This example demonstrate that it is the dynamic class of the thrown exception object that determines what handling code is run. The exception handlers are examined in order and any one that binds an exception variable with some type that is a superclass of the dynamic class of the thrown exception is the one that is triggered.

Note that, in the Java IO libraries, the class `FileNotFoundException` extends the `IOException` class. This means that `FileNotFoundException` is a subtype of `IOException`. As a result, if we had exchanged the order of the exception handlers above:
then the handler for FileNotFoundExceptions would never be triggered. If such an exception were thrown, it would be handled by the first compatible exception handler, in this case IOException.

All exceptions in Java are subclasses of a special class called Exception. This means that it is possible to create an exception handler that can handle any sort of exception whatsoever:

```java
try {
    ...
} catch (IOException e) {
    ...
} catch (FileNotFoundException e) {
    ...
}
```

However, such exception handlers are usually not a good idea. If you use one in your code, you are claiming that you know how to handle any sort of exceptional circumstance whatsoever, and that is not usually the case. It is much more likely that your code will handle some sorts of exceptions, but completely ignore other sorts, such as NullPointerExceptions. This is particularly bad because those exceptions will not propagate to the top level, hiding bugs that exist in your code. And, if you cannot detect bugs early, they are much more difficult to eliminate.

## 27.5 Finally

Exception handlers can also include finally clauses.

A finally clause of a try/catch/finally statement always gets run, regardless of whether there is no exception, a propagated exception, a caught exception, or even if the method returns from inside the try.

These sorts of clauses are most often used for releasing resources that might have been held/created by the “try” block. For example, whenever files are opened for reading in Java, they must also be closed afterwards. The operating system can only allow so many files to be open at once, closing the file when reading is complete means that other file operations are more likely to succeed. The code below uses the FileReader class to open and read from a file.

```java
try {
    ...
} finally {
    ...
}
```
While reading from the file, an IOException may occur. If that is the case, then the method should still close the file afterwards.

```java
public void doSomeIO (String file) {
    FileReader r = null;
    try {
        r = new FileReader(file);
        // do some IO
    } catch (FileNotFoundException e) {
        // handle the absent file
    } catch (IOException e) {
        // handle other IO problems
    } finally {
        if (r != null) {
            // don't forget null check! If the file
            // doesn't exist, then r will be null.
            try { r.close(); } catch (IOException e) {
                // handle an IOException if caused by closing the file
            }
        }
    }
}
```

### 27.6 The Exception Class Hierarchy

Figure 27.1 shows the relationship between several classes in Java.

All exceptions in java are instances of some class that is a subtype of the `Exception` class.

Not just exceptions can be thrown. Any object that is a subtype of the `Throwable` class is throwable. This includes exceptions and `Errors`. Errors are intended to stop the execution of a Java program. They indicate a serious runtime violation or abnormal condition. They should never be caught by the program.

Exceptions are all subtypes of the `Exception` class. Java uses the class hierarchy to make a further distinction—exception classes that extend `RuntimeException` are treated differently than other exceptions.

### 27.7 Checked exceptions

Most methods that possibly throw exceptions (and do not handle them) must include this information in their interface, or method `declaration`. They do so by adding a `throws` clause, after the parameters of the method.
Exceptions

For example, this method below could throw an instance of the AnException class.

```java
public void maybeDoIt() throws AnException {
    if (this.moonIsFull()) {
        throw new AnException();
    } else {
        // do something else
    }
}
```

Therefore, it must declare that this is a possibility. If the programmer forgets to add the throws AnException to the method header, then the compile will not compile. The Java type checker will check that this exception must be declared wherever it may be thrown.

This throws clause is part of the method type. In an interface that includes the maybeDoIt method, the throws clause must be present as well.

```java
public interface Doable {
    public void maybeDoIt() throws AnException;
}
```
That is so that every caller of the method knows that the exception could be triggered by this method call.

Methods that call other methods that could throw exceptions must also include throws annotations. For example, the method below might call the method above, and because `maybeDoIt` might throw `AnException`, this method might throw `AnException`.

```java
public void maybeNot() throws AnException {
    if (this.starsAligned()) {
        this.maybeDoIt();
    } else {
        // do something else
    }
}
```

Note that if a method successfully handles a potentially thrown exception, it does not need to declare it. For example, even though the method call below, could throw `AnException`, that code is in a try block that will catch the exception and prevent its propagation to the users of the `definitelyNot` method.

```java
public void definitelyNot() {
    try {
        this.maybeDoIt();
    } catch (AnException ex) {
        // ... handle the exception ...
    }
}
```

### 27.8 Undeclared exceptions

However, some exceptions do not need to be declared. (There is an exception to the rule about exceptions.) Methods that could throw `RuntimeExceptions` do not need to indicate this possibility.

Many of the exceptions that you have already seen are runtime exceptions. They do not need to be declared by the objects that throw them. These include `NullPointerException`, `IndexOutOfBoundsException` and `IllegalArgumentException`. Requiring methods to declare that they could throw these exceptions would be excessive. Almost every method that uses an array or object could potentially throw a `NullPointerException`. 
Why are only some exceptions declared? The original intent was that runtime exceptions represent disastrous conditions from which it was impossible to sensibly recover. Furthermore, the prevalence of potential null pointer exceptions means that every method would have to declare them, making the declaration itself tedious but meaningless.

As you define your own exception classes, you have the choice of whether they should be declared or not, by choosing whether to extend `RuntimeException` or `Exception`. Declared exceptions provide better documentation for users—the interface for the method is more explicit when it includes the potential exceptions that the caller should be aware of. With undeclared exceptions, it is easier for the callers to not even know that they should set up exception handlers for exceptional circumstances.

However, the cost of declared exceptions is that it is more difficult to maintain code as this interface must be adapted each time the code is modified. In practice, developers have not seen much benefit to declared exceptions. Test-driven development encourages a “fail early/fail often” model of code design and lots of code refactoring, so undeclared exceptions are prevalent.

As a compromise, only general purpose libraries tend to use declared exceptions, as the explicit interfaces are much more important in that situation.

### 27.9 Good style for exceptions

We end this chapter with some style suggestions for using exceptions sucessfully in your code.

- In Java, exceptions should be used to capture exceptional circumstances. Exception throwing and handling (i.e. `try/catch/throw`) incurs performance costs and, more importantly complicates reasoning about the program. Don’t use them when better solutions exist.

- Just as it is good style to re-use data structures from the standard library, it is also good style to re-use existing exception types when they are meaningful to the situation. For example, if you are implementing your own sort of container class, it makes sense to use the `NoSuchElementException` from the Java collections framework.

- However, for exceptional circumstances that are specific to your application, it makes sense to define your own subclasses of `Exception`. By doing so, you can convey useful information to possible callers that can handle the exception. At the very least, you will give a new name to the exception class,
so that it can be caught independently of other exceptions. Furthermore, because exceptions are objects, the fields of the object are a great place to store additional information about the exceptional circumstance, such as the values of variables that were in scope when the exception was thrown. Such values can help exception handlers recover from the situation more gracefully, and if necessary, provide more insightful error messages to users.

- It is often sensible to catch one exception and re-throw a different (more meaningful) kind of exception. For example, suppose you were implementing a class that provides an `Iterator` interface to a file. This class would read from the file one word at a time, and would provide the next work with each call of the `next` method. However, file reading could trigger an `IOException` if there are no more characters to be read. It is much better style if this iterator catches that exception and replaces it with a `NoSuchElementException`.

- Catch exceptions as near to the source of failure as makes sense. You could put all of your exception handling code in the `main` method of your application, which would prevent your program from being terminated by a thrown exception. However, the `main` method probably does not have enough information to recover from the situation. It is better to handle the exception as soon as possible.

- As mentioned above, it is best to catch exceptions with as much precision as possible. In other words, don’t do:

  ```java
  try {...} catch (Exception e) {...}
  ```

  Instead use an exception handler tailored to the specific class of exception that you would like to handle. For example,

  ```java
  try {...} catch (IOException e) {...}
  ```

  See the Java Tutorial\(^1\) for further information about exceptions in Java.

\(^1\)http://docs.oracle.com/javase/tutorial/essential/exceptions/
Chapter 28

IO

Like Chapter 25, this chapter concerns a very useful part of the Java Standard library, the IO library. The abbreviation IO is short for Input-Output. This library contains classes so that Java programs can interact with its environment.

The fundamental abstraction in the IO library is a stream, a communication channel to the outside world. A stream is a sequence of values that the program processes in order, and may not have a fixed end (unlike a list or array). For example, an input stream may consist of the sequence of characters being read from the keyboard or a file, a sequence of bytes read from a network connection. Output streams allow the program to send information, either to the console, a text window, a file, or the network. Values are read or written to the stream in order, one-by-one.

Java unifies all of these sources and sinks of data using a common type. The two abstract classes InputStream and OutputStream describe the interface for basic operations in the stream hierarchy.\footnote{Abstract classes are a cross between interfaces and classes. Like interfaces, they include method declarations and cannot be instantiated. However, they may also include method definitions, con-}
The basic operation from the `InputStream` class is a method to read data from the stream.

```java
abstract int read() throws IOException; // read the next byte of data
```

Likewise, the `OutputStream` class is based on writing writing data.

```java
abstract void write(int b) throws IOException; // writes the byte b to the output
```

In both cases, these methods are abstract—they just declare the methods that subclasses must implement. Subclasses that extend these classes will implement `read` and `write` to actually pull data from and push data to the appropriate devices (files, keyboards, network, etc.) Furthermore, although the types of these methods look like they read and write integer values, in actuality, input and output is based on bytes. Bytes are 8-bit integers—i.e. numbers in the range 0-255. The `read` method will never return the integer 256 or higher. Likewise, the `write` method will produce strange results when given numbers that are not within 0-255.

The `read` method returns -1 when the end of the stream is detected and there are no more bytes to be read.

Both of these methods could throw an `IOException` if the stream cannot be read or written to.

### 28.1 Working with (Binary) Files

The classes `FileInputStream` and `FileOutputStream` extend the `InputStream` and `OutputStream` classes respectively. These two classes allow you to read and write data to files. Note however, that these classes are for working with binary data, such as the bytes in an image file.

For example, here is a constructor for class that represents black-and-white images. The constructor for this class creates an image by reading in a file in binary format. This simple format contains first the width, then the height of the image. After that, each byte represents a pixel in the image. Because this is a black-and-white image each pixel only contains one component, a value between 0 (pure black) and 255 (pure white).
class Image {
    private int width;
    private int height;
    private int[][] data; // each value is in the range 0-255

    // create a new input stream from the specified file
    public Image(String fileName) throws IOException {
        InputStream fin = new FileInputStream(fileName);
        width = fin.read(); // read the width
        height = fin.read(); // read the height
        if (width == -1 || height == -1) {
            throw new IOException("Height/Width not available.");
        }
        data = new int[width][height];
        for (int i = 0; i < width; i++) {
            for (int j = 0; j < height; j++) {
                int ch = fin.read();
                if (ch == -1) {
                    throw new IOException("File ended too early.");
                }
                data[i][j] = ch;
            }
        }
        fin.close();
    }
}

Note that after the constructor is finished with the file, it closes the input stream.
File streams are managed by the operating system. Only open files may be read from or written to. Furthermore, the operating system should be notified when
the file access is complete by closing the file. This lets the operating system know
that it no longer needs to manage the file.

Furthermore, this constructor explicitly throws exceptions indicating that the file
is not in the correct format. Furthermore, some of the operations that the construc-
tor uses to read the file could also throw exceptions. For example, if the file could
not be opened by the FileInputStream constructor, then that constructor may
throw an FileNotFoundException. Likewise, the read methods could throw
IOExceptions for other sorts of errors.

Input streams provide the most basic support for working with input and output, but some times you would like more help. For example, we could make the
code above more efficient by using a BufferedInputStream. This class groups
together multiple reads into one file access, while still providing the data byte by
byte. Because setting up the file access is the slow part, its much faster to read
multiple bytes at once.

Using a BufferedInputStream is simple. This class just “wraps” another
InputStream to add buffering. For example, we could add buffering to the example above by changing the beginning of the constructor, thus:

```java
public Image(String fileName) throws IOException {
    FileInputStream fin1 = new FileInputStream(fileName);
    InputStream fin = new BufferedInputStream(fin1);
}
```

A BufferedInputStream is also an input stream, so anywhere an input stream could be used, a buffered input stream is permissible.

Buffering is not the only functionality that the Java libraries builds on top of IO streams. For example, many Java applications need to process character-based input, instead of raw binary data. Therefore, the Java library includes many more classes and higher-level abstractions to assist with this sort of stream processing.

### 28.2 PrintStream

For example, one class that you have already used (without even knowing about it) is the PrintStream class. This class extends OutputStream with methods for printing various different types of values to the console, including Strings. Unlike the OutputStream above, which only writes bytes, this stream can write any Java value.

The System class (part of Java) contains a static field called out that is an instance of this class. So every use of System.out.println is calling a method of the PrintStream class.

The println method is an example of an overloaded method. This means that there are actually several different variants of the println method in the PrintStream class. For example, the javadocs for this class include the following methods, useful for printing both primitive values and objects.

```java
void println()
// Terminates the current line by writing the
// line separator string.
void println(boolean x)
// Prints a boolean and then terminate the line.
void println(char x)
// Prints a character and then terminate the line.
```

---

2See [http://docs.oracle.com/javase/6/docs/api/java/io/PrintStream.html](http://docs.oracle.com/javase/6/docs/api/java/io/PrintStream.html) for the documentation of the PrintStream class.

3Note that System.out is a static member of the class System—this means that the field “out” is associated with the class, not an instance of the class. Recall that static members in Java act like global variables, as described in §24.
void println(double x)
// Prints a double and then terminate the line.
void println(float x)
// Prints a float and then terminate the line.
void println(int x)
// Prints an integer and then terminate the line.
void println(Object x)
// Prints an Object and then terminate the line.
void println(String x)
// Prints a String and then terminate the line.

With overloading, the number and static types of the arguments determine which version of the method executes. The Java IO library uses overloading of constructors pervasively to make it easy to “glue together” the right stream processing routines.

Other useful methods in the PrintStream class include a method to print values without terminating the line (overloaded like println above) and a method to flush the output.

void print(String x)
// write x without terminating the line
// (output may not appear until the stream is flushed)
void flush()
// actually output any characters waiting to be sent

What does the flush method do? The PrintStream class actually buffers output to the console. What this means is that it gathers together the output of several calls to print in a special data structure called a buffer. It does not display them immediately. Only when the buffer is flushed does the output appear in the console. Flushing happens when the buffer is full, with every newline, and when it is flushed explicitly with the flush method.

28.3 Reading text

For reading streams text, Java provides another abstract class called a Reader. Just like subclasses of the InputStream class provide streams of bytes, the subclasses of the Reader class provide streams of characters. While bytes can be stored with 8 bits, characters are 16 bit values. Like InputStreams, Readers have a read

4In some languages characters and bytes are the same thing. However, Java distinguishes these two sorts of values.
method. However, this time, the read method returns an integer in the range 0 to 65535. Also like InputStreams, the read method returns -1 when there are no more characters to be read from the input stream.

The FileReader class creates a reader that reads characters from an input text file. For example, given a string fileName, we can construct a reader as follows:

```java
Reader reader = new FileReader(fileName);
```

If we would like to add buffering to the file access (as we did for input streams above) the BufferedReader class serves the same role as the BufferedInputStream class. For example, creating a file reader with buffering can be done just by wrapping the file reader with a buffered reader:

```java
Reader reader = new BufferedReader(new FileReader(fileName));
```

We will walk through an example using the Reader class in §histogram.

### 28.4 Writing text

The output analogue to the Reader class is the abstract Writer class. This class is similar to the OutputStream class. Instead of writing data byte-by-byte, this class writes data character-by-character. For example, if you would like to write text to an output file, it would be a good idea to create an instance of the FileWriter class, a subclass of the Writer class that sends its output to a specified file.

The Java library provides a very useful form of writer called a StringWriter. Recall in Java that strings are immutable. Suppose you were creating a string of characters, one by one, but you didn’t know in advance what the string would be (perhaps you are reading in the characters from an input file).

For example, you could use the following code to read all of the text of a file into a new string value.

```java
Reader in = new FileReader("one.txt");
int ch = in.read();
String str = "";
while (ch != -1) {
    str = str + ((char)ch);  // cast to primitive char type
    ch = in.read();
}
```
This code opens a new file reader for a specified input file. It then reads the file character-by-character until there are no characters remaining in the file. As each character is read, it updates the string value to include that new character at the end by concatenating the current string and the new character. (Note that before the int character can be added to the string it must be casted to the primitive Java type `char`. This makes sure that the value is interpreted as a character as it is appended to the string instead of a number.)

All of these appends make this routine very slow. As each character is read, a new string must be allocated in the heap and all of the previous values of the old string, plus the new string must be copied into it.

Instead, the `StringWriter` class uses a resizable array to read into a string of unknown size more efficiently. This class doubles the array each time that it needs to grow, so it does not need to do as many copies as the code above. The `StringWriter` is a `Writer`, so its `write` method appends its input to the end of the output. The `toString` method of the `StringWriter` class returns the current output as a `String` value.

```java
Reader in = new FileReader("one.txt");
int ch = in.read();
StringWriter outputWriter = new StringWriter();
while (ch != -1) {
    outputWriter.write(ch);
    ch = in.read();
}
String output = outputWriter.toString();
```

### 28.5 Histogram demo

In the last part of this chapter, we use a design exercise to put these ideas together. This exercise also demonstrate the use of the Java Collections framework at the same time, and is good preparation for homework HW09.

Consider the following problem:

Write a command-line program that, given a filename for a text file as input, calculates the frequencies (i.e. number of occurrences) of each distinct word of the file. The program should then print the frequency distribution to the console as a sequence of “word: freq” pairs (one per line).

For example, if the above text were stored in an input file, then the console should print:

```
CIS 1200 Lecture Notes  Draft of April 4, 2024
```
Histogram result:
The: 1
Write: 1
a: 4
as: 2
calculates: 1
command: 1
console: 1
distinct: 1
distribution: 1
e: 1
each: 1
file: 2
filename: 1
for: 1
freq: 1
frequencies: 1
frequency: 1
given: 1
i: 1
input: 1
line: 2
number: 1
occurrences: 1
of: 4
one: 1
pairs: 1
per: 1
print: 1
program: 2
sequence: 1
should: 1
text: 1
that: 1
the: 4
then: 1
to: 1
to: 1
word: 2

Note that in this example, punctuation is ignored. The program merely breaks up the input into words and then counts the number of occurrences of each word in the program.
When thinking about this exercise, we must ask a number of questions.

- how do we input data?
- what do we need to do to process it?
- what is a word?
- how do we iterate over the input?
- how do we keep track of the frequencies?
- how do we extract the output data?

The answers to these questions help us break up the whole problem into sub-problems and define the interface between those components. Furthermore, in answering these questions, we may need to look at the Java libraries to see if there is some pre-defined functionality that can help us.

One observation that we can make is that since we need to work through the file word-by-word, we need some way to return each of the words in the file until there aren’t any more. The `Iterator` interface describes a class that returns a sequence of values, because we will represent words by strings, we will create a class that implements the `Iterator<String>` interface.

### WordScanner

We will call this class a `WordScanner`. We have already defined some of the interface for this class—it should be an iterator.

The other part of the interface to define is the constructor for the class. How will we create a `WordScanner`?

The constructor for this class needs a place to read the words from. Since we are working with words, we will want an input stream that works with text. Therefore, we will make the constructor take a `Reader` as an argument. The class itself will read characters from the reader and assemble them into words.

Before we write the code, we should create a few test cases. These test cases will need to supply a `Reader` to the word scanner:

For example, given a blank input, we should not be able to read any words from it. Because the word scanner will use a reader, we can test it with any subclass of reader. Even though in the full program we will read from files, for the test cases, we can use a `StringReader` to test the `WordScanner`. 
```java
@Test public void testEmpty() {
    WordScanner ws = new WordScanner(new StringReader(""));
    assertFalse(ws.hasNext());
}

@Test public void testOne() {
    WordScanner ws = new WordScanner(new StringReader("one"));
    assertTrue(ws.hasNext());
    String word = ws.next();
    assertTrue(word.equals("one"));
    assertFalse(ws.hasNext());
}
```

After designing a few test cases, including those with multiple words, and with punctuation or other non-letter characters, we can then move onto the implementation of the word scanner. The implementation of this class is in Figure 28.2 and Figure 28.3.

The `WordScanner` class needs two pieces of private state. It needs to remember the `Reader` that it gets the input from (we’ll call this `r`) and the last character read (we’ll call this `c`) from this `Reader`.

The invariant is that if the character is -1 then there are no more characters in the input, and therefore no more words to return. Therefore, the `hasNext` method can just return whether this character is -1.

Furthermore, the reader will be in a state such that the last character read is always a letter. If any of the methods reads a nonletter character, the method will keep reading until it either reaches -1 or a letter. In fact, the private method `skipNonLetters` does just this. Note that the static method `Character.isLetter` can determine whether a specific character is a letter or not.

Every time the `next` method is invoked, the wordscanner needs to read all of the letter characters in the input and return that as a word. Also, to maintain the invariant about `c`, it needs to skip all of the nonletter characters following the word. This method uses a `StringWriter` to gather the read characters as above.

### Histogram

Figure 28.4 uses the `WordScanner` class to solve the design problem in its `main` method. The first step is to make sure that the method was called correctly. The arguments to the `main` method are the `commandline arguments` to the program. In this case, we want to make sure that the program is called with a single argument, the name of the file to process. This file name should be stored in the first position of the `args` array, i.e. `args[0]`. If this argument is not present, or if there are additional arguments, the program terminates with a message describing how to run the program from the command line.
public class WordScanner implements Iterator<String> {
    private Reader r;
    private int c;

    // Invariant:
    // c is -1 for EOF, otherwise the int representation
    // for a *letter* starting the next word.

    public WordScanner (Reader initR) {
        r = initR;
        c = 0;
        skipNonLetters();
    }

    // scans the file to make c equal to the next letter
    // character in the file. If there are none left, c is -1.
    private void skipNonLetters() {
        try {
            c = r.read(); // returns -1 at the end of the file
            while (c != -1 && !Character.isLetter(c)) {
                c = r.read();
            }
        } catch (IOException e) {
            c = -1; // use -1 for other IOExceptions
        }
    }

    /**
     * Returns true if there is a word available.
     */
    public boolean hasNext() {
        return (c != -1);
    }
}

Figure 28.2: Implementation of the WordScanner (Part I)

Next, the method uses a word scanner to read in the words from the file one by one. As each word is read, the method stores the word in a finite map. The Collections framework includes TreeMap an implementation of the Map interface. In this case we would like to map words to their number of occurrences. So the Map that want to create maps String keys to Integer values.

The Reader for the WordScanner is created inside of a try block. This is because this process could fail. If the given filename (args[0]) then the constructor for the FileReader class will throw an exception. For efficiency, we wrap the
/**
 * Returns the next word available from the Reader and
 * then skips all non-letter characters.
 * Throws "NoSuchElementException" if there is not
 * another character
 * @see java.util.Iterator#next()
 */
public String next() {
    if (c == -1) throw new NoSuchElementException();
    // a "buffer" to read the word into
    StringWriter buf = new StringWriter();
    try {
        while (Character.isLetter(c)) {
            buf.write(c);
            c = r.read();
        }
    } catch (IOException e) {
        throw new NoSuchElementException();
    }
    skipNonLetters();
    return buf.toString();
}

Figure 28.3: Implementation of the WordScanner (Part II)

file reader inside a BufferedReader before passing it to the constructor of the
WordScanner class.

The main loop of the program iterates through all of the words in the file. If the
word is already found in the TreeMap, the program increments its value. Other-
wise, the program inserts the word into the TreeMap with the value 1, indicating
that the word has been seen once.

After the entire file has been processed, the program closes the input file, using
the close method of the FileReader class. The program then uses the iterator of
the TreeMap class to print out the frequencies of all of the words. The for-each ex-
pression gives access to all the entries in the finite map, represented using the class
Map.Entry. The getKey() method of this class gives the key (i.e. the word) and
likewise getValue() returns the number of occurrences that were calculated. Be-
cause we used a binary search tree to implement the map, the entries are returned
in alphabetical order.
public class Histogram {
    public static void main(String[] args) {
        if (args.length != 1) {
            System.out.println("Usage: java Histogram <file>");
            return;
        }

        // Basic idea:
        // Use a WordScanner to read in the words from the file.
        // Then use a TreeMap to calculate the word frequencies
        // Then use a PrintWriter to display the key value data
        Map<String, Integer> freq =
            new TreeMap<String, Integer>();

        try {
            FileReader freader = new FileReader(args[0]);
            Reader reader = new BufferedReader(freader);
            WordScanner s = new WordScanner(reader);

            while (s.hasNext()) {
                String word = s.next();
                if (freq.containsKey(word)) {
                    Integer i = freq.get(word);
                    freq.put(word, i+1);
                } else {
                    freq.put(word, 1);
                }
            }

            // release the resources used by the input streams
            reader.close();

            // Print the result
            System.out.println("Histogram result:");
            for (Map.Entry<String, Integer> kv : freq.entrySet()) {
                System.out.println(kv.getKey() + " : " + kv.getValue());
            }
        }
        catch (FileNotFoundException e) {
            System.out.println("File not found.");
        }
        catch (IOException e) {
            System.out.println("IO error from closing reader.");
        }
    }
}

Figure 28.4: Implementation of the Histogram class.
Chapter 29

Swing: GUI programming in Java

The third major library that we cover in CIS 1200 is Swing, the Java library for developing GUI applications. We study this library in CIS 1200 for a number of reasons:

- It is an example of the event-based (or reactive-) programming model.

  One goal of CIS 1200 is to expose students to many different forms of programming, from functional (computation produces values), to iterative (where computation does something, such as modify data structures and print output), to object-oriented (where computation is the interaction between state-hiding components) to reactive (where computation means installing actions that happen in response to events).

- It is also an example of Object-Oriented programming.

  The Swing library makes extensive use of subtyping, inheritance and overriding to define its abstractions and produce reusable code. In §18 we designed a GUI library in OCaml without any of these features. So we will be able to make a good comparison so that we understand and justify these constructs.

- As with the other libraries that we have covered, we can look at how this one is organized to learn a bit about library design.

- It enables fun applications! The Swing library gives us a rich set of classes to work with.

In this chapter we introduce the basic framework of the Swing library and discuss how it compares to the OCaml GUI library that we developed earlier in the course. For more information about Swing and developing GUI applications in Java, we recommend the Java Swing Tutorial\(^1\).

\(^1\)http://docs.oracle.com/javase/tutorial/ui/index.html.
The OCaml GUI library that we developed in §ch:gui was intended to serve as a model of Swing. There were three important parts of that model.

The fundamental building block of the OCaml GUI library was the window, defined in Widget.ml. This module provided an abstract type of “things” displayed on the screen, giving a uniform interfaces to the building blocks of GUIs (buttons, canvas, labels, checkboxes, etc.). Other widgets provide layout of these basic elements, by placing them beside or above each other. In this way, the widgets divide up the window of the application in a hierarchical fashion. The widget interface included three components: a function from drawing the widget on the screen (called repaint), a function for calculating the size of the drawn widget (called size), and a function for handling events that occur in the widget’s area of the window.

For drawing, GUI library included the idea of a graphics context, implemented in Gctx.ml. This module provided the drawing operations that we used to build the rest of the library. It also relativized the coordinates for drawing, so that each

<table>
<thead>
<tr>
<th>OCaml</th>
<th>Java</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graphics Context</td>
<td>Gctx.t</td>
</tr>
<tr>
<td>Widget type</td>
<td>Widget.t</td>
</tr>
<tr>
<td>Basic Widgets</td>
<td>button label</td>
</tr>
<tr>
<td></td>
<td>checkbox</td>
</tr>
<tr>
<td>Container Widgets</td>
<td>hardships, vpairs</td>
</tr>
<tr>
<td>Events</td>
<td>event</td>
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<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>Event Listener</td>
<td>mouse_listener</td>
</tr>
<tr>
<td></td>
<td>mouse_click_listener</td>
</tr>
<tr>
<td></td>
<td>(any function of type event -&gt; unit)</td>
</tr>
</tbody>
</table>

Figure 29.1: Concepts from OCaml GUI library have analogues in Swing
Swing: GUI programming in Java

A widget could draw itself using the same code, no matter where the widget was located in the final application. Finally the graphics context tracked the state necessary for drawing, such as the current pen color or line thickness.

To handle events, the GUI library stored certain higher-order functions as event listeners. When an event is triggered, the event listeners would update the state of the application. The program would then communicate the changed state by redrawing all of the widgets.

The concepts that you saw in the OCaml GUI library have analogues in the Java Swing library, as listed in Figure 29.1. In OCaml, the concepts were usually represented by a module, type definition or functions. In Java, they are always classes.

### 29.1 Drawing with Swing

We will first just discuss how to draw pictures using the Swing libraries. Using the OCaml GUI library, we could draw a picture by creating a widget where the repaint method uses the graphics context to draw pictures every time the widget is displayed.

For example, the following OCaml code creates a window with a line and point.

```ocaml
let w_draw : Widget.t = {
  repaint = (fun (gc:Graphics.t) ->
    Graphics.draw_line gc (0, 0) (100, 100);
    Graphics.draw_point gc (3,4)) ;

  size   = (fun (gc:Graphics.t) -> (200,200));

  handle = (fun () -> ())
}
;; Eventloop.run w_draw
```

In our Java example, we will draw in roughly the same way. The Swing analog to widget is the class JComponent. All Swing GUI components are subclasses of this class. To create a component that draws a picture in the window, like the one above, we need to create a subclass of this class that overrides the methods that correspond to repaint and size above.\(^2\)

The two analogous methods in the JComponent class are:

\(^2\)Recall that method overriding is when a subclass replaces a method definition with a definition of its own.
public void paintComponent(Graphics g);
    // corresponds to repaint above
public Dimension getPreferredSize();
    // corresponds to size above

(A Dimension is an object that contains an height and width fields.)

Figure 29.2: A fractal tree

For example, to produce a component that displays as in Figure 29.2 we would first create the class shown in Figure 29.3. During the execution of the paintComponent method, this class uses the graphics context Graphics to set the pen color to green and draw lines in the window. The coordinate system for drawing is relative to the upper-left corner of the Component. The tree starts drawing at pixel position (75,100) and each recursive call to the fractal method adds to the image.

Note that the first line of the paintComponent method is an invocation of super.paintComponent. This method definition overrides the definition of paintComponent in the superclass. However, that method definition already does things like paint the background of the component. Therefore, the first line of the new method is a call to the old method. After the background is painted, then the tree is painted on top.

In OCaml, to display a widget, we just needed to start the eventloop with the widget at the toplevel. In Java, to get things started we need to create a JFrame, a container that stores the toplevel JComponent. This frame corresponds to the window that your operating system uses to display GUI applications. The same Java code will produce different windows on different platforms because it uses the window drawing routines supported by that platform.
public class DrawingCanvas extends JComponent {

    /* This paint function draws a fractal tree
     * Google "L-systems" for more explanation / inspiration.
     */
    private static void fractal(Graphics gc, int x, int y, double angle, double len) {
        if (len > 1) {
            double af = (angle * Math.PI) / 180.0;
            int nx = x + (int)(len * Math.cos(af));
            int ny = y + (int)(len * Math.sin(af));
            gc.drawLine(x, y, nx, ny);
            fractal(gc, nx, ny, angle + 20, len - 2);
            fractal(gc, nx, ny, angle - 10, len - 1);
        }
    }

    public void paintComponent(Graphics gc) {
        super.paintComponent(gc);
        // set the pen color to green
        gc.setColor(Color.GREEN);
        // draw a fractal tree
        fractal(gc, 75, 100, 270, 15);
    }

    // get the size of the drawing panel
    public Dimension getPreferredSize() {
        return new Dimension(150,150);
    }
}

The run method below demonstrates this process. This method creates and displays the window containing the drawing defined above.

class DrawingCanvasMain implements Runnable {
    public void run() {
        // a frame is a top-level window
        JFrame frame = new JFrame("Tree");
        // set the content of the window to be the drawing
        frame.add(new DrawingCanvas());
    }
}
The argument to the JFrame constructor is the name on the “title” of the window (usually shown at the top of the window by most operating systems.) The window shown in Figure 29.2 has the word “Tree” at the top. This line is where that is specified. The next line of the program instructs the frame that it should display a new instance of the DrawingCanvas class. Frames are containers, in that they hold a single JComponent, and this line determines the component that will be displayed in the frame. The next line instructs the frame what to do when the user clicks the close button on the window (on Mac OS, the red circle in the titlebar). The program doesn’t end automatically when this happens unless we include this line in the code. After that, the frame must calculate how big it should be. The pack method performs this calculation automatically, using the getPreferredSize method of the component, and making sure that the frame is exactly big enough to contain the drawing panel.

Finally, although we have created the frame, it doesn’t display until we tell it to show itself. This setVisible actually makes the frame appear on the screen. This frame can be interacted with using the standard windowing commands (move, resize, minimize, maximize, close) provided by the operating system. But it doesn’t really do anything else.

We start a Swing application using the following main method. The static method SwingUtilities.invokeLater makes sure that the GUI starts correctly. Its argument must be something that implements the Runnable interface (which only requires the class to have a run method).
29.2 User Interaction

Next, we show how to use reactive programming to develop applications that react to standard user input, such as mouse events and key presses. Our eventual goal will be to re-create something like the Paint program using Swing instead of our hand-rolled OCaml GUI.

![Java Paint](image.png)

However, before we do that, we will start with something much more modest. We will go back to the lightswitch demo that we used for OCaml (back in Figure 18.9) and rewrite it using the Swing libraries. Our first goal is the simple design problem:

Program an application that displays a button. When the button is pressed, it toggles a “lightbulb” on and off.

To implement the lightswitch, we will first assemble the components and then add the interactivity. In this case, our application is composed of two different components, a button (labeled On/Off) and a section of the window that changes
color from yellow to black. For the latter, we will create a component similar to the `Drawing` above. The difference is that this time the object will include a boolean field, called `isOn`, that will determine whether to repaint itself yellow or black. If the value of `isOn` is true, then the object will repaint itself with a yellow rectangle. Otherwise, it will use black. (Note that this time we omit the call to `super.paintComponent` because our painting completely fills the component. We don’t need the background.)

The method `flip` changes the state of the lightbulb. If it is on, then it turns off and vice versa. However, there is one more important part to `flip`.

We can get this started as we did for the fractal tree drawing above. Again we create a frame and specify its title. However, this time we would like to add two components to the frame, a button and an instance of the `Lightbulb` class above. A frame can only contain one component, if we tried to add two of them, then only the most recently added component would be displayed.

Therefore, we need a `Container` component that can hold multiple components. The class `JPanel` is such a component. We create after creating an instance of this class, we can add both a button (created from the class `JButton`) and a lightbulb to the panel. (By default, these two components will appear side-by-side, as in a `hpair`.)

```java
public class OnOff implements Runnable {
    public void run() {
        JFrame frame = new JFrame("On/Off Switch");

        JPanel panel = new JPanel();
        frame.add(panel);
    }
}
```
class Lightbulb extends JComponent {
    private boolean isOn;

    public void paintComponent(Graphics gc) {
        if (isOn) {
            gc.setColor(Color.YELLOW);
        } else {
            gc.setColor(Color.BLACK);
        }
        gc.fillRect(0, 0, 100, 100);
    }

    public Dimension getPreferredSize() {
        return new Dimension(100, 100);
    }

    public void flip() {
        isOn = !isOn;
    }
}

Figure 29.6: The Lightbulb class

JButton button = new JButton("On/Off");
panel.add(button);

Lightbulb bulb = new Lightbulb();
panel.add(bulb);

frame.setDefaultCloseOperation(JFrame.EXIT_ON_CLOSE);
frame.pack();
frame.setVisible(true);
}

However, although the code above will display the button and the lightbulb, it doesn’t do anything. Pushing the button has no effect. That is because we haven’t added an event handler to the button to react to button presses.
29.3 Action Listeners

In the OCaml GUI library, we used *notifiers* to handle events. These widgets maintained a list of higher-order functions that would execute in the case of an event.

The Swing library works in a similar manner. However, because Java lacks higher-order functions, the library uses objects instead. Any class that implements the `ActionListener` interface (see below) can be used to handle events that are triggered as the result of user actions. This interface is defined in the package `java.awt.event`.

```java
interface ActionListener {
    public void actionPerformed(ActionEvent e);
}
```

In our lightswitch example, we would like to implement an `ActionListener` that changes the state of the lightbulb by calling its `flip` method. To do this, we create a class that stores a reference to the lightbulb (using the private field `bulb`) and then, in the `actionPerformed` method, calls the `flip` method of the `bulb` object. The second line of the method, the call `repaint`, tells the swing event loop that this component should be redisplayed. Unlike the OCaml GUI library, which repaints every widget at every time step, the Swing library only repaints the components that indicated that they need to be repainted.

The only other part of this class is a constructor that initializes the field.

```java
class BulbSwitch implements ActionListener {
    private Lightbulb bulb;

    public BulbSwitch(Lightbulb b0) {
        this.bulb = b0;
    }

    public void actionPerformed(ActionEvent e) {
        bulb.flip();
        // In Swing you have to explicitly ask to repaint
        // a component. You should call repaint whenever
        // the display of the component changes.
        bulb.repaint();
    }
}
```

The final step is to “wire up” the button. In other words, we need to create an instance of the `BulbSwitch` class and tell the button to store this object as an action listener. We do this by adding the following line to the `main` method, after the
button and bulb components have been created. The addActionListener method of the JButton class adds its argument to the list of action listeners to the button. Whenever the button is pressed, the actionPerformed methods of all of the action listeners will be called.

```java
// "wire up" the bulb to the button
button.addActionListener(new BulbSwitch(bulb));
```

### 29.3.1 Timer

Suppose we would like to implement a blinking light bulb, one that turns itself on and off without waiting for user input in addition to reacting to a button press.

To control this light bulb, we use a Timer object, as in the code below.

```java
// Add a blinking light too
Lightbulb blinker = new Lightbulb();
panel.add(blinker);
// Create a timer that will call actionPerformed() on the
// given TimerAction object every second (1000ms)
Timer timer = new Timer(1000, new BulbSwitch(blinker));
timer.start();
```

The Timer constructor takes two arguments, an time interval (in milliseconds), and an ActionListener to run whenever the timer “goes off”. The method start gets the timer started.

Note that both the Timer and the JButton can use the same ActionListener. We didn’t have to change anything in the BulbSwitch class. This is a nice property of the Swing library design, it separates the description of what should happen (toggling a lightbulb) from the description of why it should happen (because the user pressed a button, or because a timer went off.)

In fact, even though in the example above, the button and timer control different bulbs, there is no reason that they can’t control the same bulb—which bulb changes is specified by the argument of the BulbSwitch constructor. Likewise, a button or timer could control multiple bulbs, merely by adding additional action listeners.

### 29.3.2 Using a Java lambda expression

Defining the BulbSwitch class is rather verbose. All we want to do is make two method calls whenever the button is pressed. To make our lives easier, Java
includes a way to describe anonymous computation, similar to anonymous functions that we saw in the OCaml language. Java calls these functions “lambda” expressions and they can be used to replace classes that implement interfaces that include a single method, such as ActionListener. With the code below, the BulbSwitch class is not necessary: its functionality can be replaced by the following lines.

```java
// "wire up" the bulb to the button using a lambda
button.addActionListener((ActionEvent e) -> {
    bulb.flip();
    bulb.repaint();
});
```

In this code, the argument to addActionListener looks like a function with parameter e that is of type ActionEvent, just as in the actionPerformed method of the BulbSwitch class above. The body of this method is defined at the same place that the ActionListener object is constructed.

### 29.4 Inner Classes

Basically, Inner classes allow classes to contain each other. They are useful in situations where two objects require “deep access” to each other’s internals. The basic idea is that we can define one class inside of another. The inner class can then refer to the fields of the outer class. As a result, instances of the inner class must be created using instances of the outer class.

Inner classes are a replacement for tangled workarounds like “owner” references (as in the example in Section 30.2). They help clarify the code: the solution with inner classes is easier to read. Furthermore, they better support encapsulation as there is no need to allow public access to instance variables of outer class.

For example, consider this definition, with outer class Outer and inner class Inner. The inner class constructor can refer to the field outerVar, even though it is a private field. That is because Inner itself is a part of Outer. The full name of the inner class is actually Outer.Inner, which is the type of objects that this class creates.

```java
public class Outer {
    private int outerVar;
    public Outer () {
        outerVar = 6;
    }
}
```

---

3Also called “dynamic nested classes.”
Inner classes must be creating using instances of the outer classes. Even though the class name is `Outer.Inner`, we cannot create an instance of this class with

```java
Outer.Inner inner = new Outer.Inner(3);
```

Usually, instances of the inner class will be created in the nonstatic methods of the outer class. This situation looks like normal object creation:

```java
public Outer () {
    Inner b = new Inner ();
}
```

but it is not quite the same. Just like a field access `x` is different than a local variable and really short for `this.x`, the above code is short for using the current outer object to create a new inner one.

```java
public Outer () {
    Inner b = this.new Inner ();
}
```

Outside the outer class, we need to specify what object to use to create instances of the inner class. For example, in some other file, we could first create an object `a`, and then use it to create an inner object `b`.

```java
Outer a = new Outer();
Outer.Inner b = a.new Inner();
```
Anonymous Inner Classes

Anonymous Inner classes are a new expression form that defines a class and instantiates it (creating an object) all at once. The general format starts with the `new` keyword. However, after that comes either an interface or a class name, followed by the definition of perhaps multiple members for that class (i.e. fields and methods.) For example, in the `LightBulb` example above, we can use an instance of an anonymous class that extends the `ActionListener` interface to react to button presses.

```java
final LightBulb bulb = new LightBulb();
JButton button = new JButton("On/Off");

// "wire up" the bulb to the button using an anonymous inner class
button.addActionListener(new ActionListener() {
    public void actionPerformed(ActionEvent e) {
        bulb.flip();
        bulb.repaint();
    }
});
```

More generally, the expression form requires either an interface or class to specify what the new anonymous class should implement or extend. Furthermore, if multiple methods are needed then they can all be provided in the same expression.

```java
new InterfaceOrClassName() {
    public void method1(int x) {
        // code for method1
    }
    public void method2(char y) {
        // code for method2
    }
}
```

Note that there is a limitation here: the anonymous class cannot define a constructor. Such classes rarely need them however, the scoping rules mean that the objects fields can be initialized using values in the current context. The static type of this expression is the interface or class that was used to create the object. This static type is a supertype of the object’s dynamic class, however the object’s dynamic class is `anonymous`, we didn’t give it a name. Therefore, Java will not allow us to refer to it.
Lambda expressions

Finally, we can observe that a Java lambda expression is just an anonymous inner class when we have a functional interface. We saw an example of this above, where we added the action listener for the button using a lambda expression instead with a class instance. In fact, we could have implemented this code more concisely, as Java can automatically figure out the type of e, the parameter of the actionPerformed method.

```java
final LightBulb bulb = new LightBulb();
JButton button = new JButton("On/Off");

button.addActionListener(e -> {
    bulb.flip();
    bulb.repaint();
});
```

More generally, you will see lambda expressions with the following forms, perhaps with multiple arguments and perhaps with an expression instead of a block of statements as the body of the method.

```
x -> { body }  // type of x inferred
(T x) -> { body }  // arg x has type T
(T x, W y) -> { body }  // multiple arguments
x -> body  // single expression for the body
```

Why do we say that anonymous Java’s inner classes and lambda expressions are similar to OCaml’s higher-order functions? All of these features create anonymous structures. In Java we don’t define the actual name of the class that constructs the object above, and in OCaml, we don’t define a name for the function when we say `fun (x:int) -> x + 1`.

Furthermore, these language features create “delayed computation” that can be stored in a data structure and run later. For example, in Java these are commonly used in GUI programming for event listeners, while in OCaml, we used first-class functions for the same purpose. The computation is delayed because it only runs when the button is pressed, and could run once, many times, or not at all.

Finally, the scoping of these constructs is similar. Both sorts of computation can refer to variables in the current scope. In OCaml, all variables are immutable, so OCaml first class functions could refer to any available variable. In Java, these methods can refer to only instance variables (fields, which are referenced through the immutable variable this) and variables marked final (which are also immutable).
Chapter 30

Swing: Layout and Drawing

30.1 Layout

A GUI application typically is composed of several components: buttons, canvases, checkboxes, textboxes etc. One challenge for the programmer is specifying how these components should be arranged on the screen in relation to each other.

In the OCaml GUI library, we used vpair and hpair to simply put widgets side-by-side, or on top of each other. By nesting these operations, we can lay out widgets in many different configurations. However, this work is tedious.

In Swing, we can use layout managers to more succinctly develop standard component arrangements. In this chapter, we demonstrate how to use a few of the layout managers. However, we don’t intend to be comprehensive. For more information about various forms of layout see the Java Swing Tutorial “Lesson: Laying Out Components Within a Container” available at: http://docs.oracle.com/javase/tutorial/uiswing/layout/index.html.

In this section, we will demonstrate the effect of three different layout managers, used to assemble a graphical application. Our application in these examples just consists of five different buttons. These buttons won’t do anything, we will just arrange them in different configurations.

The listing below includes the entire code of the application. The run method below creates a frame and five buttons. It also creates a container component, a JPanel to store the five buttons. The frame contains the panel, and the panel contains the buttons.

```java
public class LayoutExample implements Runnable {
    public void run() {
        JFrame frame = new JFrame("LayoutExample");
        JButton b1 = new JButton("one");
        JButton b2 = new JButton("two");
    }
}
```
The default layout for a JPanel is called FlowLayout. This layout means that all components added to the panel will be positioned in order left-to-right. If there is not enough width to fit all of the components, then the layout starts a new line of components. Within each line, all of the included components are centered on the line.

Because FlowLayout is the default layout, we do not have to do anything special to use this configuration. Furthermore, the JPanel does not fix its width, so the layout puts all of the buttons on a single line, and resizes the panel to fit around all of the buttons. The effect of this layout is shown on the left side of Figure 30.1.
However, as the window (and panel) changes width, the buttons rearrange themselves. The “flow” so that they still fit into the narrower window, as in the right side of the figure.

The next layout we will demonstrate is the GridLayout. This layout puts the buttons into a grid configuration. Changing the application to use this layout merely requires adding the line

```java
panel.setLayout(new GridLayout(3,2));
```

to run method right before all of the buttons are added to the panel. This command instructs the panel to divide itself into a grid containing three rows and two columns. The resulting window of buttons is shown in Figure 30.2.

![GridLayout](image)

Figure 30.2: GridLayout

No matter how this window is resized, it maintains this grid configuration. Furthermore, as the window is enlarged or shrunk, the buttons resize themselves to always take one sixth of the size of the window.

The last layout that we will demonstrate is the border layout. This layout has exactly five positions, as demonstrated in Figure 30.3. The application can use this layout by first instructing the panel to use a BorderLayout, and then changing how the buttons are added to the panel. Each button must specify which position it should occupy. (Not all positions must be occupied in the border layout.)

```java
panel.setLayout(new BorderLayout());
panel.add(b1, BorderLayout.LINE_START);
panel.add(b2, BorderLayout.CENTER);
panel.add(b3, BorderLayout.LINE_END);
```
As the window is resized, the button in the center position is resized to accommodate the new space. The components on the top and bottom retain their heights, but adjust their widths. The components on the left and right retain their widths, but adjust their heights.

Figure 30.3: BorderLayout

30.2 An extended example of Drawing

In this section, we will go through a few variations of a simple graphical application. These variations will provide a bigger example of GUI layout, but also discuss design patterns for object-oriented programming.

To begin, let’s consider the following application. The window looks like this:

The idea behind this application is that it a very simplified paint program. The part of the window on the left is a canvas, and the right are the controls. Each button adds a new drawing at a fixed location to the canvas. Figure 30.4 shows the result after all of the buttons have been pressed.

Initial design

The first question is, what components should we use to build the interface? The drawing area to the left should be a component where we override the paintComponent method so that it displays the shapes. We’ll design the class DrawingExampleCanvas to do that. For the buttons on the right, we can use the standard JButton class. As above, we will store references to these components in the fields of a class that uses a run method to set up the interface.
Figure 30.4: A Simple GUI Application

Next we should think about how we layout such an application. As we change the size of the window, we would like the canvas to grow in size. This implies that we should use a BorderLayout for the top-level frame and insert the canvas in the center position. The buttons, on the right of the window, will need to be stored in their own container component, a JPanel, so that they can be inserted into the
frame at the position JFrame.LINE_END. We would like to lay out the buttons vertically within the panel. Therefore we will use a GridLayout with 5 rows and a single column.

```java
public void run() {
    JFrame frame = new JFrame("Drawing Example");

    // Create the buttons
    b1 = new JButton("Line");
    b2 = new JButton("Square");
    b3 = new JButton("Triangle");
    b4 = new JButton("Oval");
    b5 = new JButton("Text");

    // canvas for displaying the shapes
    drawingCanvas = new DrawingExampleCanvas(this);

    // panel to contain the buttons
    JPanel eastPanel = new JPanel();
eastPanel.setBorder(
        BorderFactory.createTitledBorder("Controls")
    );
    // layout the panel with a grid of 5 rows and 1 column
    // each grid cell will be the same size and the buttons
    // will expand to fill each cell
    eastPanel.setLayout(new GridLayout(5, 1));
eastPanel.add(b1);
eastPanel.add(b2);
eastPanel.add(b3);
eastPanel.add(b4);
eastPanel.add(b5);

    frame.setLayout(new BorderLayout());
    frame.add(drawingPanel, BorderLayout.CENTER);
    frame.add(eastPanel, BorderLayout.LINE_END);

    // Put it on the screen
    frame.pack();
    frame.setDefaultCloseOperation(JFrame.EXIT_ON_CLOSE);
    frame.setVisible(true);
}
```

Next, we should consider the interactions between the components. What sort of state should be shared between them? How will the DrawingExampleCanvas know what shapes to display? How will the buttons toggle that state?

For our first cut, we will add some boolean fields to the DrawingExample class to remember which buttons have been pushed. The idea is that canvas will...
look at these fields to determine which shapes to draw, and the buttons will set the appropriate one to true when pressed.

```java
public class DrawingExample implements Runnable {
    ...  // these are public so that they can be accessed by the canvas.
    public boolean drawLine = false;
    public boolean drawSquare = false;
    public boolean drawTriangle = false;
    public boolean drawOval = false;
    public boolean drawText = false;

    Note that we make these boolean fields public because they must be read and modified by other classes. The class for the DrawingExampleCanvas must read them to find out which shapes to display. To do this, it must also keep a reference (called owner) to the object that contains these boolean fields. (See the line above which creates the canvas—the constructor is invoked with the this reference.)

    class DrawingExampleCanvas extends JComponent {
        // must include a reference to the "top-level" application to be able to access its state.
        private DrawingExample owner;

        public DrawingExampleCanvas (DrawingExample p) {
            owner = p;
        }

        // We override this method to perform our own custom drawing.
        public void paintComponent(Graphics gc) {
            super.paintComponent(gc);

            if (owner.drawLine) {  // code for drawing lines
            }

            if (owner.drawSquare) {  // code for drawing squares
            }

            if (owner.drawTriangle) {  // code for drawing triangles
            }

            if (owner.drawOval) {  // code for drawing ovals
            }
        }
    }
```
Finally, we need to add the action listeners to the buttons so that they modify the correct boolean value. We use the same listener for each button, and pass a reference to the button that the listener is associated with. When the button is pressed, we compare this reference to each of the buttons in the application to determine which shape to draw.

class DrawingExampleListener implements ActionListener {
    private DrawingExample owner;
    private JButton button;

    // Store a reference to our "owner object"
    public DrawingExampleListener(DrawingExample p, JButton b) {
        owner = p; button = b;
    }

    public void actionPerformed(ActionEvent e) {
        // Find out which button generated the event, and
        // use this information to set the appropriate
        // flag in the owner object
        if (button.equals(owner.b1)) {
            owner.drawLine = true;
        } else if (button.equals(owner.b2)) {
            owner.drawSquare = true;
        } else if (button.equals(owner.b3)) {
            owner.drawTriangle = true;
        } else if (button.equals(owner.b4)) {
            owner.drawOval = true;
        } else if (button.equals(owner.b5)) {
            owner.drawText = true;
        }

        // Notify Swing that the drawing panel needs
        // to be repainted
        owner.drawingCanvas.repaint();
    }
}

public Dimension getPreferredSize() {
    return new Dimension(200, 200);
}
Again, because the execution of the `actionPerformed` method accesses the fields of the top-level object, the constructors for the `DrawingExampleListener` class must take in a reference to it.

In the `run` method, after the buttons are created, we add their action listeners with the following code.

```java
// Attach actions to the buttons.
b1.addActionListener(new DrawingExampleListener0Listener(this, b1));
b2.addActionListener(new DrawingExampleListener0Listener(this, b2));
b3.addActionListener(new DrawingExampleListener0Listener(this, b3));
b4.addActionListener(new DrawingExampleListener0Listener(this, b4));
b5.addActionListener(new DrawingExampleListener0Listener(this, b5));
```

### Variant A: Using Dynamic Dispatch

The code above gets the job done and works correctly, but it is clumsy. In the next few subsections, we discuss how to refactor the code to improve the object-oriented style of its implementation. One problem with this implementation is the lack of encapsulation: we made the fields public in the top-level class so that they could be accessed by the helper class. (We could improve things with “package” scope, but as we will see, there are still better strategies.) Another problem concerns extensibility: if we wanted to add a new shape-drawing button, then what must we modify? We must not only add a new button, a new boolean field for that shape, but we must also modify the if statements in the methods `paintComponent` and `actionPerformed` to test this new boolean value.

In general, sequences of boolean tests, of the form

```java
if (test1) {
    // do something
}
if (test2) {
    // do something
}
```

are not extensible. Instead, it is much better to refactor the application to avoid these if statements. In this section, we will demonstrate how to use dynamic dispatch to eliminate this sequence in `paintComponent`. In the next section, we will refactor the code again to remove the if statements in `actionPerformed`. 

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The code in the paintComponent class must display all of the shapes that have been selected by the buttons. This code dispatches on the boolean values to do the shape drawing, instead we would like to refactor the code so that instead of using a fixed set of boolean fields to remember which shapes to draw, we will use a mutable collection of shapes. In other words, we will replace the boolean fields with the single field:

```java
public List<Shape> shapes = new LinkedList<Shape>();
```

That way we can refactor the paintComponent method to look like this:

```java
public void paintComponent(Graphics gc) {
    super.paintComponent(gc);
    for (Shape shape : owner.shapes) {
        shape.draw(gc);
    }
}
```

Here, the toplevel applications uses the field shapes to store a collection of object that all implement the Shape interface. Because owner.shapes is a collection, we can use the “for-each” notation to iterate through each shape in the collection. Each shape knows how to draw itself, so that is what the paintComponent method does for each shape in the collection.

What is a shape? It is an object that knows how to draw itself. Therefore, we can create an interface that declares exactly this:

```java
interface Shape {
    public void draw(Graphics gc);
}
```

and define various classes that implement that interface:

```java
class Line implements Shape {
    public void draw(Graphics gc) {
        gc.drawLine(10, 10, 100, 100);
    }
}
class Oval implements Shape {
    public void draw(Graphics gc) {
        gc.drawOval(50, 50, 25, 75);
    }
}
```
Variant B: Refactoring references

Now there is one more change to finish out the first variation—we need to modify the `actionPerformed` method of the event listener to add shapes to the collection instead of modifying boolean values.

```java
class DrawingExampleListener implements ActionListener {
    private DrawingExample owner;
    private JButton button;

    // Store a reference to our "owner object" and the button
    public DrawingExampleListener(DrawingExample p, JButton b) {
        owner = p; button = b;
    }

    public void actionPerformed(ActionEvent e) {
        // Find out which button generated the event, and
        // use this information to set the appropriate flag in
        // the owner object
        if (button.equals(owner.b1)) {
            owner.shapes.add(new Line());
        } else if (button.equals(owner.b2)) {
            owner.shapes.add(new Square());
        } else if (button.equals(owner.b3)) {
            owner.shapes.add(new Triangle());
        } else if (button.equals(owner.b4)) {
            owner.shapes.add(new Oval());
        } else if (button.equals(owner.b5)) {
            owner.shapes.add(new Text());
        }

        // Notify Swing that the drawing panel needs
        // to be repainted
        owner.drawingCanvas.repaint();
    }
}
```

However, this code is still a series of if expressions! Like the original version of the `paintComponent` it is not automatically extensible. If we want to add more shapes, we have to modify this code.

However, our previous modification suggests a simple fix. Instead of remembering the button that was pressed to figure out which shape to add, ActionLis-
tener should just skip a step and remember the actual shape to add. In other words, we’ll change the class definition to include a shape reference, which should be initialized by the constructor.

As an added bonus, we can avoid adding the same shape twice. We can test whether the collection already contains the shape before adding it.

```java
class DrawingExampleListener implements ActionListener {
    private DrawingExample owner;
    private Shape shape;

    // Store a reference to our "owner object"
    public DrawingExampleListener(DrawingExample p, Shape s) {
        owner = p; shape = s;
    }

    public void actionPerformed(ActionEvent e) {
        if (!owner.shapes.contains(shape)) {
            owner.shapes.add(shape);
        }

        // Notify Swing that the drawing panel needs
        // to be repainted
        owner.drawingCanvas.repaint();
    }
}
```

Now, when we add the action listeners to the buttons, we need to merely create the appropriate shape for each button. Whenever the button is pressed, that shape will be added to the collection.

```java
// Attach actions to the buttons.
b1.addActionListener(
    new DrawingExampleListener(this, new Line()));
b2.addActionListener(
    new DrawingExampleListener(this, new Square()));
b3.addActionListener(
    new DrawingExampleListener(this, new Triangle()));
b4.addActionListener(
    new DrawingExampleListener(this, new Oval()));
b5.addActionListener(
    new DrawingExampleListener(this, new Text()));
```
Variant C: Using a helper method

Now we can see that there is some redundancy in button creation. First the method calls the JButton constructor five times to create the buttons. Then it calls the addActionListener five times to attach the action listeners to the buttons. The next refactoring we will do will be to create a helper method to factor out this repeated code.

The helper method should create a button and add its action listener. To do this, the method needs to know two things: the name of the button, and the shape that should be drawn when the button is pressed. Therefore we add the following method to the DrawingExample class.

```java
// Create a new button, given the name of the shape and a shape object for drawing
private JButton makeButton(String name, Shape shape) {
    JButton b = new JButton(name);
    b.addActionListener(new DrawingExampleListener(this, shape));
    return b;
}
```

Now we can go back to the run method and replace the repeated code with calls to this method. Now the button creation code read succinctly:

```java
// Create the buttons
JButton b1, b2, b3, b4, b5;
b1 = makeButton("Line", new Line());
b2 = makeButton("Square", new Square());
b3 = makeButton("Triangle", new Triangle());
b4 = makeButton("Oval", new Oval());
b5 = makeButton("Text", new Text());
```

This code is better because it is easier to read. Each button declares exactly what is important about it, compared to the other buttons. We know that all the buttons roughly do the same thing, because they are all created by the makeButton method. But we know that they differ in their name, and in the shape that they create.

Variant D: Inner Classes

These previous refactorings solved the problem of extensibility and code redundancy, but the encapsulation problem still remains. The canvas and the action listeners still need to access the fields of the DrawingExample object. Therefore, these fields are public.
Furthermore, these two classes are very related to the DrawingExample class. They don’t include a lot of code (especially after the refactoring) and only make sense in conjunction. In this subsection, we will see how the Swing feature of inner classes can tie these classes together.

For example, a cut down version of the drawing example stores the list of shapes in instances of the class DrawingExample, and displays them in instances of the class DrawingCanvas.

```java
public class DrawingExample implements Runnable {
    public List<Shape> shapes = new LinkedList<Shape>();
    private DrawingPanel drawingPanel;
    public void run() {
        JFrame frame = new JFrame("Drawing Example");
        drawingPanel = new DrawingPanel(this);
        ...
    }
}
class DrawingCanvas extends JComponent {
    private DrawingExample owner;
    public DrawingCanvas (DrawingExample p) { owner = p; }
    public void paintComponent(Graphics gc) {
        super.paintComponent(gc);
        for (Shape s: owner.shapes) {
            s.draw(gc);
        }
    }
    ...
}
```

Alternatively, we can make DrawingCanvas an inner class of DrawingExample. Note below that the canvas class is defined inside the DrawingExample class.

```java
public class DrawingExample implements Runnable {
    public List<Shape> shapes = new LinkedList<Shape>();
    private DrawingPanel drawingPanel;
    public void run() {
        JFrame frame = new JFrame("Drawing Example");
        drawingPanel = new DrawingPanel();
        ...
    }
}
class DrawingCanvas extends JComponent {
    public DrawingCanvas () {
    }
    public void paintComponent(Graphics gc) {
        super.paintComponent(gc);
        for (Shape shape : shapes) {
```
Likewise, we can move the `DrawingExampleListener` class to be inside the `DrawingExample` class and eliminate its `owner` field.

**Variant E: Anonymous Inner Classes**

For the last refactoring of the `DrawingExample` class, we will observe a few things about the inner classes that we defined above (`DrawingExampleListener` and `DrawingExampleCanvas`). Both of these classes are fairly short (now that we’ve made them inner classes), and both of them are used *only once* to create new objects. Given these two properties, it is annoying that we have to name these classes and define them far away from their single use. In deed, in OCaml we might just use an anonymous function as an event listener, and forgo a separate definition.

*Anonymous Inner Classes* let us refactor the `DrawingExample` so that the code that gets run by the button can be defined at the same place where the button’s action listener is installed.

We’ll do this by revising the button creation helper method (which is the code that installs the action listeners for the button). Instead of `new DrawingExampleListener(shape)`, we will inline the actual code for the `DrawingExampleListener` class right there. This code only defines the `actionPerformed` method, so we will defined that method in place.

```java
// Create a new button, given the name of the shape and
// a shape object for drawing
private JButton createButton(String name, final Shape shape) {
    JButton b = new JButton(name);
    b.addActionListener(new ActionListener() {
        public void actionPerformed(ActionEvent e) {
            if (!shapes.contains(shape)) {
                shapes.add(shape);
            }
            drawingCanvas.repaint();
        }
    });
    return b;
}
```
Note that the class `DrawingExampleListener` goes away. With the definition above we can remove this class definition. Instead, we have an anonymous class—all we know about it is that it is an instance of the interface `ActionListener`. This is the one place in Java where we can put an interface name after the `new` keyword. The reason that we can do this is that we immediately satisfy that interface with the definition of the `actionPerformed` method.

Note that this method definition is allowed to refer to the variable `shape`, which is a parameter to the `createButton` method. Java allows this reference only for `final` variables, those with values that cannot be mutated.

### Variant F: Lambda Expressions

Finally, wherever an anonymous inner class can be used, Java allows the use of a lambda expression. The `createButton` method can omit part of the `ActionListener` interface (it can be inferred from the type of `addActionListener`) so that the code can focus on the important part: what to do in the implementation of the `actionPerformed` method.

```java
// Create a new button, given the name of the shape and
// a shape object for drawing
private JButton createButton(String name, final Shape shape) {
    JButton b = new JButton(name);
    b.addActionListener((ActionEvent e) -> {
        if (!shapes.contains(shape)) {
            shapes.add(shape);
        }
        drawingCanvas.repaint();
    });
    return b;
}
```
In this chapter we will use a larger example to demonstrate user interaction with Swing. In particular, we will go back to the paint program that we developed with the OCaml GUI library and reimplement it with Java’s swing library. This application requires installing mouse listeners to interact with the drawing on the screen. It will also give us a chance to make some comparisons between the OCaml and Java languages, with respect to Object-Oriented programming.

This demo uses a simple hierarchy of shapes. The interface Shape includes a single method, draw, used to draw the shape on the screen. There are two classes, PointShape and LineShape that implement this interface. We will refer to these classes below but won’t describe them in much detail here.

31.1 Version A: Basic structure

The basic structure of the application is similar to the drawing example of the previous chapter. The top-level application contains the ‘state’ of the application and the list of shapes that should be drawn. Shapes are drawn on the canvas, an area of the screen.

```java
public class Paint {
    /** The list of shapes that will be drawn on the canvas. */
    private List<Shape> shapes = new LinkedList<>();

    /** Area of the screen used for drawing */
    private Canvas canvas = new Canvas();
}
```

The constructor of the class lays out the application using a BorderLayout.
Figure 31.1: A Simple Paint Application

Below the canvas is the `modeToolbar`, the section of the screen used to select the shape to be drawn. The constructor of the `Paint` class creates the GUI elements and lays them out in the window.

```java
public Paint () {

    JFrame frame = new JFrame();
    frame.setLayout(new BorderLayout());
    frame.add(canvas, BorderLayout.CENTER);
    frame.add(createModeToolbar(), BorderLayout.PAGE_END);

    frame.pack();
    frame.setDefaultCloseOperation(JFrame.EXIT_ON_CLOSE);
    frame.setVisible(true);
}
```
To run the application, we merely need to make an instance of the class.

```java
public run() {
    new Paint();
}
```

However, there is no need to define the `run` method explicitly. Instead, the main method could use a Java lambda expression for this `run` method.

```java
public static void main(String[] args) {
    SwingUtilities.invokeLater(() -> new Paint());
}
```

Even more succinctly, we can just provide the name of this constructor as the lambda expression.

```java
public static void main(String[] args) {
    SwingUtilities.invokeLater(Paint::new);
}
```

The code for the canvas is almost identical to that of the previous chapter. As before, it is an inner class so that it can access the private fields of the top-level application. It also extends from the `JPanel` class, overriding the `paintComponent` and `getPreferredSize` methods. It also uses the inherited `setBackground` method to set the background color to be white.

```java
private class Canvas extends JPanel {
    @Override
    public void paintComponent(Graphics gc) {
        super.paintComponent(gc);
        for (Shape s : shapes) {
            s.draw(gc);
        }
    }

    @Override
    public Dimension getPreferredSize() {
        return new Dimension(600, 400);
    }
}
```
The mode toolbar is created by an auxiliary method in the `Paint` class. This method constructs a panel to store the controls. So far, the controls include two radio buttons (one for drawing shapes, one for drawing lines). Radio buttons are UI elements, where only one can be selected at a time. We could extend the application to include more shapes by adding more radio buttons to this toolbar.

After the mode selector buttons, we add a checkbox and a button to exit the application. We also use a Java lambda expression for the `ActionListener` of the button that calls the `System.exit` method to exit the program.

```java
private JPanel createModeToolbar() {
    JPanel toolbar = new JPanel();
    
    // Create the group of buttons that select the mode
    ButtonGroup group = new ButtonGroup();
    
    // create buttons for points and lines,
    // and add them to the list
    JRadioButton point = makeShapeButton(group, modeToolbar, "Point");
    JRadioButton line = makeShapeButton(group, modeToolbar, "Line");
    
    // add more shapes here
    // start by selecting the buttons for points
    point.doClick();
    
    // exiting the program
    JButton quit = new JButton("Quit");
    toolbar.add(quit);
    quit.addActionListener(e -> System.exit(0));
    
    return toolbar;
}
```

The `makeShapeButton` method actually creates the radio buttons. The radio
buttons must be added to both the toolbar panel and the ButtonGroup group. This button group controls which radio buttons are associated with one another. As one button is selected within the group, the others are deselected.

This method also adds an action listener to each button. This code runs whenever the button is selected. Currently the action listener does nothing.

```java
private JRadioButton makeShapeButton(ButtonGroup group, JPanel modeToolbar, String name) {
    JRadioButton b = new JRadioButton(name);
    group.add(b);
    modeToolbar.add(b);
    b.addActionListener((ActionEvent e) -> {
        // does nothing for now
    });
    return b;
}
```

### 31.2 Version B: Drawing Modes

Our first goal is to add some interaction to this application. In the example from the previous chapter, shapes were drawn at fixed positions by pressing buttons. Here we’d like to use the mouse to select the spots on the canvas to the points and lines.

In our first cut, we’ll copy the implementation of the OCaml Paint program that we built in the first half of the course. In OCaml, we used a datatype to keep track of the current mode of the application. In Java, we can implement similar behavior with an enum. Below, we add the following two members to the Paint class—note that the enum is a nested class, and mode is a new field. We’ll initialize this field with Mode.PointMode to record that we start drawing points.

```java
public enum Mode {
    PointMode, LineStartMode, LineEndMode
}

private Mode mode = Mode.PointMode;
```

Furthermore, we’ll modify the action listener for the radio buttons so that when they are selected, they will change the mode. We can do this by adding an additional parameter to the makeShapeButton method. This parameter must be marked as final so that it may be referred to in the lambda expression.
private JRadioButton makeShapeButton(ButtonGroup group, JPanel modeToolbar, String name, final Mode buttonMode) {
    JRadioButton b = new JRadioButton(name);
    // ... add to button group and toolbar
    b.addActionListener((ActionEvent e) -> mode = buttonMode);
    return b;
}

When the radio buttons are created, we also need to specify their initial mode.

// create buttons for points and lines, // and add them to the list
JRadioButton point =
    makeShapeButton(group, modeToolbar, "Point",
    Mode.PointMode);
JRadioButton line =
    makeShapeButton(group, modeToolbar, "Line",
    Mode.LineStartMode);

31.3 Version C: Basic Mouse Interaction

Now that the application can keep track of the drawing mode, we can set up the canvas so that it will respond to mouse clicks and movements. The behavior that we want is this: when we are in point mode, and the user clicks the mouse, we want to add a point at that particular location. When we are in LineStartMode and the user clicks the mouse, we want to remember where the user clicked and change the mode to LineEndMode. When we are in LineEndMode, we want to draw a line from the saved point to the point where the user clicked and revert back to LineStartMode.

We can implement this behavior with a mouse listener object that has methods for reacting to mouse behavior. The MouseListener interface describes the methods that such an event listener must include.

This interface includes several methods that run in response to mouse events such as mouse clicks, mouse button presses and mouse button releases. Because we only want to add a listener for mouse clicks, we can implement this interface by extending the MouseAdapter class. This class has “stub” methods for the required methods in the MouseListener interface. In our implementation, we will override only the mouseClicked method.

The mouseClicked method uses Java’s enhanced switch statement to pattern match on the various values of the Mode enumeration.
private class Mouse extends MouseAdapter {

    // location of last click in LineStartMode
    private Point modePoint;

    @Override
    public void mouseClicked(MouseEvent arg0) {
        // access location of the mouse click
        Point p = arg0.getPoint();
        switch (mode) {
            case PointMode ->
                shapes.add(new PointShape(color, stroke, p));
            case LineStartMode -> {
                mode = Mode.LineEndMode;
                modePoint = p;
            }
            case LineEndMode -> {
                shapes.add(new LineShape(color, stroke, p, modePoint));
                mode = Mode.LineStartMode;
            }
        }
        canvas.repaint();
    }
}

After the canvas is created in the constructor of the Paint class, we can add the mouse listener so that it can react to mouse events.

canvas.addMouseListener(new Mouse()); // mouse clicked events

31.4 Version D: Drag and Drop

The interaction in the previous version was very primitive. What if we’d like to emulate the drag-and-drop behavior of the OCaml Paint program? We can do so by copying that implementation.

For drag-and-drop, we need to add a new field, called preview, that stores a preview shape, to the Paint class.

/** an optional shape for preview mode */
private Shape preview;

During the paintComponent method of the Canvas class, we also need to draw this shape, if it is non-null.
```java
public void paintComponent(Graphics gc) {
    super.paintComponent(gc);
    if (shapes != null) {
        for (Shape s : shapes) {
            s.draw(gc);
        }
    }
    if (preview != null) {
        preview.draw(gc);
    }
}
```

Furthermore, we need to change how the canvas listens to mouse events, using the mouse class. Before, all the action was in the `mouseClicked` method. This time, we need to spread the action between several methods. We don’t need to change the behavior for points too much, but for lines, we need to refine the behavior by overriding the `mousePressed`, `mouseReleased` and `mouseDragged` methods.

If the mode is `LineStartMode`, then when the mouse is pressed we need to save the location of the current click (in the field `modePoint`). We then switch modes to await dragging and the eventual end of the line (signaled by releasing the mouse button). Finally, we store the current location of the line.

```java
@Override
public void mousePressed(MouseEvent arg0) {
    Point p = arg0.getPoint();
    if (mode == Mode.LineStartMode) {
        mode = Mode.LineEndMode;
        lineStart = p;
        preview = new LineShape(color, stroke, lineStart, p);
    }
    canvas.repaint();
}
```

When the mouse is dragged, and we are in `LineEndMode`, we need to update the preview shape to reflect the current mouse position. As the mouse moves across the screen, the preview line will be continuously redrawn.

```java
@Override
public void mouseDragged(MouseEvent arg0) {
    Point p = arg0.getPoint();
    if (mode == Mode.LineEndMode) {
        preview = new LineShape(color, stroke, lineStart, p);
    }
}
```
Only when the mouse is finally released do we add a new shape to the canvas. In this case we set the preview shape to null and switch back to LineStartMode to await a new shape.

```java
@Override
public void mouseReleased(MouseEvent arg0) {
    Point p = arg0.getPoint();
    switch (mode) {
    case PointMode ->
        shapes.add(new PointShape(color, stroke, p));
    case LineEndMode -> {
        mode = Mode.LineStartMode;
        shapes.add(new LineShape(color, stroke, lineStart, p));
        lineStart = null;
        preview = null;
    }
    default -> {
        // do nothing
    }
    } // do nothing
    canvas.repaint();
}
```

### 31.5 Version D: Keyboard Interaction

In this next version of the paint program, we’d like to add the ability to control the program using the keyboard. In particular, we’d like to be able to switch between modes by pressing buttons. If the user presses the ‘l’ or ‘L’ button, the application should immediately switch to line mode (if it isn’t there already). Likewise, if the user presses the ‘p’ or ‘P’ button, the application should switch to point drawing.

Giving a GUI component access to keyboard events requires that component to have the keyboard focus. There could be several different parts of the application that would like to react to key presses, but usually only one should be reacting at a time. For example, if there are several text input areas in a window, only the selected one should display the typed text.

The component that we would like to add keyboard control to is the modeToolbar, the panel that contains the two radio buttons. We can add this functionality in the method that creates the component:
private JPanel createModeToolbar() {

    JPanel modeToolbar = new JPanel();

    // Create the group of buttons that select the mode
    ButtonGroup group = new ButtonGroup();

    // create buttons for points and lines, 
    // and add them to the list
    final JRadioButton point =
        makeShapeButton(group, modeToolbar, "Point", Mode.PointMode);
    final JRadioButton line =
        makeShapeButton(group, modeToolbar, "Line", Mode.LineStartMode);

    // Add Keyboard control to application
    modeToolbar.setFocusable(true);
    modeToolbar.addKeyListener(new KeyAdapter() {
        public void keyTyped(KeyEvent arg0) {
            char c = arg0.getKeyChar();
            if (c == 'l' || c == 'L') {
                line.doClick();
            } else if (c == 'p' || c == 'P') {
                point.doClick();
            }
        }
    });
    modeToolbar.requestFocusInWindow();
    // start by selecting the buttons for points
    point.doClick();
    return modeToolbar;
}

Note that after the radio buttons are created, we have inserted new code to add keyboard control. This code sets the panel to be “focusable”, i.e. able to receive the keyboard focus. It then adds a key listener to the panel using an anonymous inner class. This anonymous class extends the KeyAdapter class and overrides the keyPressed method. When the panel has the focus and when a key is pressed on the keyboard, this method will be called.

The action of this method is to change the mode. We do that by forcing a click on the point and line radio buttons. We are faking button presses with these calls. Note that for the radio buttons to be accessible in the inner class, they must be declared to be final when they are initialized.

The last step is to actually request the keyboard focus, using the line modeToolbar.requestFocusInWindow();
No other component in the application will request the focus, so it will stay with the modeToolbar.

For more information about how to use keyboard control, see the Java tutorial: http://docs.oracle.com/javase/tutorial/uiswing/events/keylistener.html.

### 31.6 Interlude: Datatypes and enums vs. objects

How does our treatment of shape drawing in our current Java Paint example compare with the treatment in the OCaml GUI project?

In Java, we have

- An interface called Shape for drawable objects:

  ```java
  public interface Shape {
    public void draw(Graphics gc);
  }
  ```

- Classes implement that interface (and describe how to draw themselves).

  ```java
  public class PointShape implements Shape {
  ...
  }
  
  public class LineShape implements Shape {
  ...
  }
  ```

- A canvas that uses dynamic dispatch to draw the shapes

  ```java
  private class Canvas extends JPanel {
    public void paintComponent(Graphics gc) {
      super.paintComponent(gc);
      for (Shape s : actions)
        s.draw((Graphics2D)gc);
      if (preview != null)
        preview.draw((Graphics2D)gc);
    }
  }
  ```

Alternatively, in the OCaml implementation, we had

- A datatype that specifies variants of drawable objects
A Canvas that uses pattern matching to draw the shapes

```
let repaint (g:Gctx.t) : unit =
  let actions = List.rev paint.shapes in
  let drawit d =
    begin match d with
    | Point (c,t,p) ->
      Gctx.draw_points (set_params g c t) p
    | Line (c,t,p1,p2) ->
      Gctx.draw_line (set_params g c t) p1 p2
    end in
  List.iter drawit actions
```

The difference between these two versions is extensibility. The Java code can easily add more shapes by adding more classes. In the OCaml code, we add more shapes by adding more variants, and by modifying the repaint code in the canvas for drawing.

This example demonstrates the differences between using datatypes and objects. With datatypes, the focus is how the data is stored. It is easy to add more operations that work with the data, but harder to add more variants, or different types of data. Conversely, with objects, the focus is on how the data is used. It is east to add more variants (i.e. another class), but harder to add more operations to the interface, because all existing classes need to be modified.

Datatypes are better for situations where the structure of the data is fixed, such as in binary search trees. However, objects are better when the interface to the data is fixed, such as drawing shapes.

Returning to our paint example, we’ve used objects for storing the shapes, but we are still using variants for the drawing modes. That’s not very extensible, as we add new shapes we’ll have to add new drawing modes, and modify the mouse listener to react to those new modes. Can we do better?

### 31.7 Version E: OO-based Refactoring

In this section we will replace the enum for the drawing mode with a new definition that will be more extensible. It will require refactoring the code in several
places, as well as a bit of indirection (or delegation) in the mouse listener.

Currently, the mouse listener uses a switch statement (on the current mode) to decide what code to execute. We would like to change that to use dynamic dispatch with the mode itself. In other words, we would like to modify the mouse listener so that the current mode determines the action in each situation.

```java
private class Mouse extends MouseAdapter {
    public void mousePressed(MouseEvent arg0) {
        mode.mousePressed(arg0);
        canvas.repaint();
    }
    public void mouseDragged(MouseEvent arg0) {
        mode.mouseDragged(arg0);
        canvas.repaint();
    }
    public void mouseReleased(MouseEvent arg0) {
        mode.mouseReleased(arg0);
        canvas.repaint();
    }
}
```

What this implies is that the mode is itself a mouse listener. Therefore, we will change the definition of the mode type to reflect that:

```java
interface Mode extends MouseListener, MouseMotionListener {  
}
```

The various modes themselves (such as PointMode, LineStartMode, etc.) will be classes that implement the Mode interface. Because this interface requires that the class implement the mousePressed, mouseDragged and mouseReleased methods, the code above makes sense.

The advantage of this design means that we can think about the mouse reactions in each mode independently. For example, the PointMode class needs to only react to mouseReleased events. All other events are ignored in this mode.

```java
class PointMode extends MouseAdapter implements Mode {
    public void mouseReleased(MouseEvent e) {
        Point p = e.getPoint();
        shapes.add(new PointShape(color,p));
    }
}
```

The line drawing modes work together, defined by the following pair of classes.
The starting mode just switches the current mode to the ending mode, saving the current point by passing it as a constructor to the newly created mode.

The ending mode updates the preview field as the mouse is dragged (creating the line using the saved point in the mode as well as the current location of the mouse.) When the mouse is released, it switches the mode back to the starting mode, adds the new shape to the list of shapes to draw, and resets the preview field.

```java
class LineStartMode extends MouseAdapter implements Mode {
    public void mousePressed(MouseEvent e) {
        mode = new LineEndMode(e.getPoint());
    }
}

class LineEndMode extends MouseAdapter implements Mode {
    Point modePoint;
    LineEndMode (Point p) { modePoint = p; }

    public void mouseDragged(MouseEvent arg0) {
        Point p = arg0.getPoint();
        preview = new LineShape(color,modePoint,p);
    }

    public void mouseReleased(MouseEvent arg0) {
        mode = new LineStartMode ();
        Point p = arg0.getPoint();
        shapes.add(new LineShape(color,modePoint, p));
        preview = null;
    }
}
```

Compared to the previous version, the switching based on the mode is implicit. The mouse listener uses dynamic dispatch to figure out the correct reaction to mouse events.

As we add new shapes to this application, we can add new modes just by adding new classes. We don’t need to modify any existing classes. Indeed, these classes are defined as inner classes of the Paint application for convenient access to the mode, shapes and preview fields. However, we could move these class definitions outside of the class as long as each mode had a way of accessing these components.
31.8 The Model-View-Controller design pattern

GUI applications, such as Paint in this section, often benefit from viewing individual parts separately, according to their role. In particular, we can often separate these applications into three parts: the model, view and controller.

In this decomposition, the model represents the state of the application and the rules of the “game logic” or “business logic” that determines how this state changes over time. The view is responsible for presenting the current state to the user of the application. The view does not store state itself, but merely determines how it should (or should not be) displayed. Finally, the user interacts with the controller, or part of the user interface that enables interaction. These interactions issue commands to the model, that update the state.

If we step back from the Paint application, we can see how it can be decomposed along these lines. The model is represented by the instance variables of the Paint class. This is primarily the list of shapes to draw as this is not a complicated application. The view includes the code that determines how the shapes are
displayed. This is the Canvas class as well as the paint methods of each of the Shape objects. Finally the controller includes the GUI elements of this application: the radio buttons that select the shape to draw, the mouse interaction with the canvas, the line thickness checkbox and the quit button.

This design pattern shows up in many applications. For a web pages are defined by their internal representation: the Document Object Model or DOM. This model is rendered from HTML using the view supplied by a web browser. User interaction on web pages is available via JavaScript: this API includes mechanisms for adding event listeners to UI elements that can update the state of the DOM.

Why should we think of GUI applications in this way? The primary benefit of this decomposition is that it decouples the “model state” from how that state is presented and manipulated. This decoupling helps in our system design as it can suggest where to insert interfaces between components and isolate a testable component of the application that is independent of the graphical interface.

Furthermore, once we have separated the representation of the state from its view, it is much easier to support multiple views of the same model. These multiple views can be used to provide access to the state from multiple angles or access to the state for multiple users.

Furthermore, separating the representation of the state from its control also allows multiple controllers. We saw this in the Paint example, where we could select the input mode using either radio buttons or via keyboard interaction. Both of these controls affect the same private instance variable, the mode.

Although a pure decomposition between model, view and controller provides many benefits, sometimes you will see variations on this pattern that combine elements. For example, if the model carries most of the information about the view, and there is a single view, you might see the model and view components combined together. On the other hand, in the Swing library, many components have internal state, so you may see combinations of model and controller.
Chapter 32

Java Design Exercise: Resizable Arrays

This chapter works through a design exercise that emphasizes the use of encapsulation as a means to enforce program invariants. Along the way, it provides an example of array programming in Java.

32.1 Resizable Arrays

The built-in arrays provided by Java are very convenient, except for one thing: their size is fixed at creation time. Sometimes, however, the number of elements that will need to be stored in the array is not known early enough. For example, suppose you wanted to keep track of an inventory of comic books, which are given issue numbers starting at 0 and increasing as each new issue is produced. Since the number of issues isn’t determined in advance, it is not easy to allocate an array ahead of time. One could imagine allocating a very large array in anticipation of many issues, but that will consume a lot of wasted memory in the case that there only a few issues of the comic book produced.

A different alternative is to implement a kind of “adaptive” or “resizable” array datatype that strikes a balance between over provisioning and array-like performance. We’ll call this datatype a ResArray for “resizable array”\(^1\). For the purposes of this design exercise, we will simplify things a bit and assume that the array stores only \texttt{int} values (which would be sufficient to keep track of the number of comics of a particular issue number in the inventory, but would not be as general as you might want).

The basic idea of the ResArray structure is to use a “backing” array to store the data and provide access to the elements via \texttt{set} and \texttt{get} operations. Unlike

\(^1\)Resizable arrays are loosely similar to the Java library’s \texttt{ArrayList} structures.
regular arrays, however, a `ResArray` acts as though its capacity is unbounded—a client of the `ResArray` can set and get any non-zero index. Of course, since the `ResArray` will use a real array internally, the `ResArray` structure will have to adjust the size of the backing array to ensure that it has enough space. This might occasionally cause the `ResArray` to have to copy the contents of the backing array to a new backing array with more room.

The `ResArray` interface

The next step of designing the `ResArray` data structure is, as usual, to specify the types of its methods. In this case, the job is made simpler because a `ResArray` acts almost as if it is a regular array—it therefore needs `set` and `get` methods that take `int` indices. We might also want to ask about the location of the largest non-zero element of the `ResArray`. Also, for ease of inter-operation with regular Java libraries, we might want to provide a way to extract an ordinary Java array from a `ResArray`. This leads us to the following skeleton for the `ResArray` class:

```java
/**
 * An "infinitely large array" of integers; the backing buffer
 * automatically resizes itself as new values are added.
 */
public class ResArray {

    public ResArray()
    {
    }

    /** access the array at position i. If position i has
     * not yet been initialized, return 0.
     * @param i - index into the array
     * @return value of the array at that index
     */
    public int get(int i) {
        return 0; // TODO: this is a stub
    }

    /** Modify the array at position i to contain value v.
     * @param i - index
     * @param v - new value
     */
    public void set(int i, int v) {
        return; // TODO: this is a stub
    }

    /** the "extent" is the size of an array that would be
     * necessary to store the smallest prefix
     */
}
ResArray Test Cases

Programming against this stubbed-out specification, we can easily create a collection of test cases that help explain the expected behavior. We record these cases as Java JUnit tests—the import clauses at the top of the program bring the needed classes and operations into scope. Programming environments such as Eclipse know how to run such JUnit tests automatically, providing visual feedback about which tests pass and which tests fail. Running the tests against the stub implementation will reveal that almost all of the tests fail, as expected.

The important thing about the process of generating such tests is that it forces us to consider how the operations of a ResArray should interact. For example, the getExtent method must return 0 if we set and then zero-out an element of the ResArray, as shown in TestExtent3. Similarly, if we set two elements and then zero-out the second one, the extent should "shrink" back to the one past the index of the first element, as shown in TestExtent4.

The ability to design a set of good tests cases takes practice. It’s often not clear how many tests to generate or when to stop making them up. A good rule of thumb is to start with tests for all of the “obvious” behaviors that match your intuitions (such as testGet0 and testGet1), and then add more as you develop and debug your program. It is good practice to record each bug you find as a test case so that future changes to the program don’t re-introduce old bugs.

Following these guidelines, we generate the following test program for the ResArray structure.

```java
import static org.junit.Assert.*;
import org.junit.Test;

public class ResArrayTest {
    // uninitialized location returns 0
    @Test
    public void testGet0 () {
        ResArray a = new ResArray();
```

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assertEquals(a.get(47),0);
}

// can read the value we set
@Test
public void testSet1 () {
    ResArray a = new ResArray();
a.set(47, 3);
    assertEquals(a.get(47),3);
}

// get last set values
@Test
public void testSet2 () {
    ResArray a = new ResArray();
a.set(2, 4);
a.set(2, 5);
    assertEquals(a.get(2),5);
}

// setting to zero works
@Test
public void testSet3 () {
    ResArray a = new ResArray();
a.set(0, 0);
    assertEquals(a.get(0),0);
}

// setting after growth works
@Test
public void testSet4 () {
    ResArray a = new ResArray();
a.set(47, 3);
a.set(49, 6);
    assertEquals(a.getExtent(),50);
}

// extent of an empty array is zero
@Test
public void testExtent0() {
    ResArray a = new ResArray();
    assertEquals(a.getExtent(),0);
}

// after one set, extent is correct
@Test
public void testExtent1() {
    ResArray a = new ResArray();
a.set(47, 3);
    assertEquals(a.getExtent(),48);
}

// after two sets, extent is correct
@Test
public void testExtent2() {
    ResArray a = new ResArray();
a.set(47, 3);
a.set(49, 6);
    assertEquals(a.getExtent(),50);
}
// going back to extent zero
@Test
public void testExtent3() {
    ResArray a = new ResArray();
    a.set(47, 2);
    a.set(47, 0);
    assertEquals(a.getExtent(), 0);
}

// going back to previous extent
@Test
public void testExtent4() {
    ResArray a = new ResArray();
    a.set(47, 3);
    a.set(49, 6);
    a.set(49, 0);
    assertEquals(a.getExtent(), 48);
}

// extent correct, even setting 0th element to zero
@Test
public void testExtent5() {
    ResArray a = new ResArray();
    a.set(0, 0);
    assertEquals(a.getExtent(), 0);
}

// no values in an initial ResArray
@Test
public void testValues0() {
    ResArray a = new ResArray();
    int[] b = a.values();
    assertEquals(b.length, 0);
}

// Getting all of the values after some
// assignment
@Test
public void testValues1() {
    ResArray a = new ResArray();
    a.set(1, 1);
    a.set(3, 4);
    int[] b = a.values();
    assertEquals(b.length, 4);
    assertEquals(b[0], 0);
    assertEquals(b[1], 1);
    assertEquals(b[2], 0);
    assertEquals(b[3], 4);
}

ResArray Implementation

Developing the test cases has revealed some of the issues we must address with the ResArray implementation. First, the size of the underlying array—the backing
buffer—might be larger than the index returned by `getExtent`. The reason is shown by testExtent3, which first sets the value at index 47 to 2 and then resets it to 0. Presumably, we must grow the backing buffer to hold at least 48 elements in order to write at index 47, but it would be unnecessary to re-size the backing buffer after resetting the value to 0.

This analysis suggests that the ResArray class contains two pieces of local state: the backing buffer itself, which is an array of integers, and an integer value that we’ll call `extent`, which keeps track of (one past) the index of the last non-zero element of the ResArray.

How are the `extent` and the buffer related? The buffer must always be at least big enough to hold elements indexed up to (but not including) the `extent`. If the `extent` is smaller than the length of the buffer, then all of the elements whose indices are greater than (or equal to) the `extent` must be 0. If `extent - 1` is positive, then `buffer[extent - 1]` must be non-zero.

Putting all of these considerations together, we arrive at the following ResArray invariant, which are defined in terms of two private fields `extent` and `buffer`:

- `0 <= extent <= buffer.length`
- if `extent = 0` then all of the elements of the ResArray are 0.
- if `extent > 0` then `buffer[extent - 1]` is the last non-zero value in the ResArray.

Guided by these invariants, we can easily implement the first few parts of the ResArray class. There are two private fields, and the constructor simply creates an “empty” ResArray.

```java
public class ResArray {
    private int[] buffer;
    private int extent;

    public ResArray() {
        extent = 0;
        buffer = new int[0];
    }
}
```

The `get` operation is slightly more interesting—it uses the fact that if `i < extent` then `buffer[i]` is well defined (unless `i` is negative, in which case it is appropriate to throw an array bounds exception). If the index is greater than or equal to `extent`, then the invariants tell us that we should always return 0.
/** Access the array at position i. If position i has
* not yet been initialized, return 0.
* @param i - index into the array
* @return value of the array at that index
*/
public int get(int i) {
    if (i < extent) {
        return buffer[i];
    } else {
        return 0;
    }
}

The set operation is more interesting still. Here there are several cases to consider. First, if the value being set is 0 and the index i is above the extent, then nothing needs to be done—all of the array invariants are preserved and there is no reason to change the backing buffer.

Second, if i is too big to fit into the existing buffer space, we must grow the buffer—for now, we defer defining this operation, but observe that it should modify the buffer field so that it’s size is at least equal to i+1.

After possibly growing the array, it is safe to update the ith index to contain the value v. Doing so might break the ResArray invariants, though, so we must add code to re-establish them. In particular, if v is non-zero then we have to adjust extent in the case that i is larger than the old extent. On the other hand, if v is 0 and the index we’re updating happens to be the last non-zero element of the array, then we have to search backwards through the array to find the remaining largest non-zero element. This is done in the method shrinkExtent.

Both grow and shrinkExtent should be private methods—they are used only internally to the ResArray class and so should not be exposed to outside code.

Putting all of this together, we arrive at:

/** Modify the array at position i to contain value v.
* @param i - index
* @param v - new value
*/
public void set(int i, int v) {
    if (v == 0 && i >= extent) {
        return;
    }
    if (i >= buffer.length) {

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```java
grow(i);
}
buffer[i] = v;
if (i >= extent) {
    extent = i+1;
}
if (v == 0 && extent == i+1) {
    shrinkExtent(i);
}
```

Writing `shrinkExtent` is fairly straightforward. Its job is to search backwards through `buffer` starting from index `i` to find the last non-zero element. Once it is found (if any) then `extent` is set to one more than its index, which re-establishes the invariants:

```java
// Adjust the extent when assigning a 0 to the buffer */
private void shrinkExtent(int i) {
    int j = i;
    while (j >= 0 && buffer[j] == 0) {
        j--;
    }
    extent = j+1;
}
```

The `grow` method must, at a minimum, create a new backing array large enough to store `i+1` elements, and then copy the old contents into the new array. A straightforward implementation would be the following:

```java
// Grow the backing buffer to accommodate up to i */
private void grow(int i) {
    int newlen = i+1;
    int [] newbuffer = new int[newlen];
    for (int j=0; j<extent; j++) {
        newbuffer[j] = buffer[j];
    }
    buffer = newbuffer;
}
```

The above implementation is perfectly functional and will meet the requirements of the ResArray invariant, but if you use it in practice, it might give poor performance in the case that you set a sequence of consecutive indices: `a.set(0, v0); a.set(1, v1); a.set(2, v2); ...`. The problem is that
each subsequent call will make a copy of all the preceding elements. This means that the total amount of work done to set an \( n \) element sequence is proportional to \( n^2 \).

A better strategy (which, incidentally, is used in many other contexts, including networking protocols like TCP) is to double the previous size of the array. Doing so means that, when setting a consecutive sequence as in the case above, the `grow` method will not make so many copies of the preceding elements. Intuitively, doubling the array over provisions the space needed to store the elements, but, is at most twice as much space as would otherwise be needed. Note that to maintain the ResArray invariants, we must still ensure that at least index \( i \) is included in the new buffer. We are thus led to the following implementation of `grow`:

```java
/* Grow the backing buffer to accommodate up to i */
private void grow(int i) {
    int newlen = Math.max(i+1, 2 * buffer.length);
    int [] newbuffer = new int[newlen];
    for (int j=0; j<extent; j++) {
        newbuffer[j] = buffer[j];
    }
    buffer = newbuffer;
}
```

The `getExtent` method is trivial to implement:

```java
/** the "extent" is the size of an array that would be
 * necessary to store the smallest prefix
 * that contains all of the nonzero data.
 * @return extent
 */
public int getExtent() {  
    return extent;
}
```

### Encapsulation

Encapsulation is the process of controlling access to the state of an object. In particular, in an encapsulated object, all changes to an objects state should be done directly by the methods of the object.
The purpose of encapsulation is to preserve the invariants of an object. Recall that an invariant of a data structure is a property that should always hold, for any instance of that data structure, throughout its lifespan.

For example, resizable arrays have the following invariant, which states a relationship between the two private fields `extent` and `buffer`:

- \(0 \leq \text{extent} \leq \text{buffer.length}\)
- if \(\text{extent} = 0\) then all of the elements of the `ResArray` are 0.
- if \(\text{extent} > 0\) then \(\text{buffer}[\text{extent} - 1]\) is the last non-zero value in the `ResArray`.

The establishment of the invariant guided the implementation of the `ResArray` class, including the code that updates the `extent` field as the `buffer` is modified.

If the class `ResArray` is encapsulated, then to assure ourselves that this invariant holds for all instances of this class, we only need to consider the methods of the object. If external methods cannot modify the state of `extent` or `buffer`, then we need not look for invariant violations outside of the object’s code.

However, making sure that an objects state is encapsulated can be tricky. Because of aliasing, to preserve encapsulation, we must be sure that no aliases to any of the objects internal state escape.

For example, consider extending the `ResArray` class with a `values` method, which returns a regular Java array, containing the nonzero values of the dynamic array. The size of this array is the `extent`.

```java
/** Return the smallest prefix of the ResArray
 * that contains all of the nonzero values
 * as a normal array.
 * @return an array containing the values,
 * a copy of the internal data.
 */
public int[] values() {
    return null; // TODO: this is a stub
}
```

To implement this method, it is simple enough to create a copy, like so:

```java
/** Return the smallest prefix of the ResArray
 * that contains all of the nonzero values
 * as a normal array.
 */
```
There is one slight subtlety: it would be erroneous to return the backing buffer itself. First, the extent might not agree with the size of the backing buffer. Even if the backing buffer is the same size as the extent, returning an alias to the encapsulated buffer would allow client programs to break the invariants by manipulating the backing buffer directly. That is, the following appealing “optimization” is wrong:

```java
/** Return the smallest prefix of the ResArray that contains all of the nonzero values as a normal array.
 * @return an array containing the values, a copy of the internal data.
 */
public int[] values() {
    // This is a bogus optimization: a client could break ResArray invariants by modifying the buffer externally.
    if (buffer.length == extent) {
        return buffer;
    }
    int[] values = new int[extent];
    for(int i=0; i<extent; i++) {
        values[i] = buffer[i];
    }
    return values;
}
```
Chapter 33
Encapsulation and Queues

In Chapter 10, we discussed the power of type abstraction. By hiding the implementation of a data structure we can better preserve the invariants about its implementation. For example, there are many ways to represent the mathematical idea of a set of elements—different implementations leads to different properties that must be preserved by the set operations. For example, if we represent sets by lists, we may have to maintain the invariant that there are no duplicate elements. Alternatively, if we represent sets by binary-search trees, then we must maintain the binary search tree invariants to know that our set implementation is correct.

Type abstraction allows us to reason about invariants compositionally. Because the actual representation type is abstract, no client of the set module can modify its representation. Therefore, set operations, such as member and equal can assume that their arguments satisfy the appropriate invariants, without worrying that the clients are supplying bad sets.

Java too supports this idea of hiding the implementation of a data structure so that its invariants may be maintained. In Java, this representation hiding is done via the access modifiers on the class members. Typically, the fields are declared private and access to them is provided through the public methods of the class. If there is no way to violate the invariants of an object, then we say that the methods encapsulate the object state.

33.1 Queues in ML

One example of a data structure that benefitted from type abstraction in OCaml was the queue data structure. Externally, we defined queues to be an abstract type, satisfying the following OCaml interface.
module type QUEUE = sig

(* type of the data structure *)

(* Make a new, empty queue *)
val create : unit -> 'a queue

(* Determine if the queue is empty *)
val is_empty : 'a queue -> bool

(* Add a value to the tail of the queue *)
val enq : 'a -> 'a queue -> unit

(* Remove the head value and return it (if any) *)
val deq : 'a queue -> 'a
end

Internally, queues were implemented using two related data structures—the top level queue structure itself, represented as a mutable record:

```ocaml
type 'a queue = {
    mutable head : 'a qnode option;
    mutable tail : 'a qnode option;
}
```

and the linked list of qnodes:

```ocaml
type 'a qnode = {
    v : 'a;
    mutable next : 'a qnode option;
}
```

Because the users of queues had no idea about the linked list of qnodes, there was no way for them to violate the invariants of the queue data structure. Recall:

**Definition 33.1 (Queue Invariant).** A data structure of type 'a queue satisfies the queue invariants if (and only if), either

1. both head and tail are None, or,

2. head is Some n1 and tail is Some n2, and

   • n2 is reachable by following next pointers from n1
   • n2.next is None
33.2 Queues in Java

We can also implement queues in Java, and use the Java mechanisms for encapsulation to maintain the queue invariants. In this section we will walk through a Java implementation of queues and discuss how it compares to the OCaml version.

The Java queue implementation will implement the following interface.

```java
public interface Queue<E> {

    /** Determine if the queue is empty */
    public boolean is_empty();

    /** Add a value to the end of the queue */
    public void enq(E elt);

    /** Remove the front value and return it (if any) */
    public E deq();

}
```

We start with the interface, because this definition specifies only what a queue should do, not how to implement it. Java interfaces provide the flexibility that OCaml interfaces do. There can be several different class that satisfy this interface, and they may not necessarily implement queues with linked lists of queue nodes. However, unlike in OCaml, we cannot use the interface for encapsulation. Instead, in our implementation, we must carefully use our access modifiers so that we can restrict access to the internal state of this implementation.

Let us compare the Java interface a bit more to the OCaml interface before we continue to the implementation. The analogue to the OCaml abstract type 'a queue is the interface name itself Queue<E>. Like OCaml, this type is parameterized by the elements of the queue. The Java type parameter <E> is the analogue of the OCaml 'a.

In the Java interface definition, the type parameter E can appear throughout the interface. When this interface type is instantiated, such as Queue<String>, then the methods use String instead of E in their types. For example, if the variable o had type Queue<String>, then the method invocation o.enq(x) would only type check if x had type String.

Java Generics (i.e. the type parameters) work similarly to OCaml generics in this example. However, there is one big difference between the OCaml interface and the Java interface. The OCaml interface includes a way to construct queues, the create function. There is no analogue to this declaration in the Java interface. The reason is that the only type of value that could satisfy this interface in Java
is an object. And objects are always created by the constructors of their classes. Interfaces do not include the constructors, and there is no easy way to abstractly construct objects.¹.

### 33.3 Implementing Java Queues

Now let’s consider how the implementation of this interface uses encapsulation to preserve its invariants. As in the OCaml version, the Java implementation has two parts: the top-level queue data structure called `QueueImpl` (containing references to the head and the tail of the queue), and a linked list of queue nodes, each of which is an instance of the `QNode` class.

It is the responsibility of the `QueueImpl` class to encapsulate the queue nodes. Therefore, the queue nodes themselves are rather lightweight. For simplicity, we make the fields of this class public. The `QueueImpl` class will ensure that no outside code can modify the `next` reference. (For similarity with the OCaml implementation, we declare that the value stored in the node is immutable with the `final` keyword.)

```java
public class QNode<E> {
    public final E v;       // the value in the qnode is immutable
    public QNode<E> next;   // next can be arbitrarily changed

    public QNode(E v0, QNode<E> next0) {
        this.v = v0;
        this.next = next0;
    }
}
```

Note that the type of the `next` field is a `QNode<E>`, whereas in OCaml it was a `qnode option`. The `QNode<E>` type includes a null reference, so we do not need to make the field an explicit option. That is more convenient because we can directly access the next queue node without pattern matching. However, it is more error prone because we have to remember to make sure to check that the next queue node is not null.

The constructor for this class merely initializes the two fields.

The top-level class is responsible for encapsulating the state of the queue. Like the OCaml version, its state includes two mutable references to the head and the tail

¹Advanced Java programmers use factory methods to control object creation. For more information see the classic book on Java Design Patterns [5]
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of the queue. This class is also the one that implements the queue interface—the methods of this class implement the queue operations.

```java
public class QueueImpl<E> implements Queue<E> {

    private QNode<E> head;
    private QNode<E> tail;

    /** Constructor */
    public QueueImpl () {
        head = null;
        tail = null;
    }

    /** Determine if the queue is empty. */
    public boolean is_empty() {
        return (head == null);
    }

    /** Add a new value to the end of the queue */
    public void enq(E x) {
        ...
    }

    /** Remove the front value and return it (if any).
     * @throws a NullPointerException if the queue is empty. */
    public E deq() {
        ...
    }
}
```

To encapsulate the queue state note that the `head` and `tail` fields of this class are declared private. No classes outside of this one are allowed to access these components. Furthermore, none of the methods of this class mention the `QNode` class. Other parts of the program that use this class may as well not know about the existence of the `QNode` class.

The methods of the `QueueImpl` class follow the OCaml implementation. An empty queue is one where the head and tail references do not point to queue nodes. We can determine whether a queue is empty by determining if the head is null.

Adding a new value to the queue means making a new queue node. Then, if the queue is empty, then we make the head and tail references point to the new node. Otherwise, we modify the node at the tail of the queue to point to the new node, and also update the tail reference.
/** Add a new value to the end of the queue */
public void enq(E x) {
    QNode<E> newnode = new QNode<E>(x, null);
    if (tail == null) {
        head = newnode;
        tail = newnode;
    } else {
        tail.next = newnode;
        tail = newnode;
    }
}

Likewise, dequeueing from the queue modifies the linked list of queue nodes.

/** Remove the front value and return it (if any).
* @throws a Nul1PointerException if the queue is empty. */
public E deq() { 
    E x = head.v;
    QNode<E> next = head.next;
    head = next;
    if (next == null) {
        tail = null;
    }
    return x;
}

Note that if the queue is empty, this method will throw a NullPointerException with the access head.next. There are better ways to deal with this situation in Java, but we have not covered them yet.

How could this class violate encapsulation? What could it do that would be wrong? One bad idea would be to make the head and tail public members of the QueueImpl class. Then, any method, not just enq and deq could modify the links in the list. It would be equally bad to for the QueueImpl class to return a reference to any queue node from any public method.

public QNode<E> getNode(int i) {
    ... find and return the ith node in the list...
}
Bibliography


