

CSCI 2041: Tail Recursion and Activation Records

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Logistics

Reading

- ▶ OCaml System Manual: 25.2 ([Pervasives Modules](#))
- ▶ Practical OCaml: Ch 3, 9
- ▶ [Wikipedia: Tail Call](#)

Goals

- ▶ Activation Records
- ▶ Details of Recursion
- ▶ Tail Recursion Optimization

Assignment 1

- ▶ Due Wed 9/19
~~Monday 9/17~~
- ▶ Note a few updates announced on Piazza / Changelog
- ▶ **Questions?**

Next Week

- ▶ Mon: Review
- ▶ Wed: **Exam 1**
- ▶ Fri: Lecture

Function Calls and Activation Records

- ▶ Will discuss part of how functions "work"
- ▶ Requires notion of where name/bindings are stored
- ▶ **Activation Records:** spots in memory where an executing function stores its bindings, **Frame** is slang for activation record
- ▶ Often Frames are on the **Function Call Stack:** grows linearly with each function call, last in, first out
 - ▶ OCaml uses a function call stack whenever possible as machine architecture is fast at executing stacks
 - ▶ Some uses of scopes and functions require something more complex than a function call stack which we may discuss later
- ▶ Understanding the function call stack Will elucidate how recursion works
- ▶ Allows specification of **tail call optimizations** that may be performed by the compiler

Demo of Function Calls 1

```
1 let dub_sqr x =
2   let sq = x*x in
3   2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sqr x in
8   let yy = dub_sqr y in
9   xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sqr z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

Active Functions

FRAME	SYMBOL	VALUE
init	dub_sqr	<fun>
line:22	mult_ds	<fun>
	main	<fun>

main() is called
execute some lines

FRAME	SYMBOL	VALUE
init	dub_sqr	<fun>
line:22	mult_ds	<fun>
	main	<fun>
main	z	7
line:15	w	2
	mzw	?
	dzw	?

Demo of Function Calls 2

```
1 let dub_sqr x =
2   let sq = x*x in
3     2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sqr x in
8   let yy = dub_sqr y in
9     xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sqr z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

main's mzw defined by result from
mult_ds call: additional frame

FRAME	SYMBOL	VALUE	
-----+	-----+	-----+	
init	dub_sqr	<fun>	
line:22	mult_ds	<fun>	
	main	<fun>	
-----+	-----+	-----+	
main	z	7	
line:15	w	2	
	mzw	?	<--+
	dzw	?	
-----+	-----+	-----+	
mult_ds	x	7	---+
line:7	y	2	
	xx	?	
	yy	?	
-----+	-----+	-----+	

Demo of Function Calls 3

```
1 let dub_sqr x =
2   let sq = x*x in
3   2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sqr x in
8   let yy = dub_sqr y in
9   xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sqr z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

mult_ds's xx defined by call to
dub_sqr: additional frame

FRAME	SYMBOL	VALUE	
init	dub_sqr	<fun>	
line:22	mult_ds	<fun>	
	main	<fun>	
main	z	7	
line:15	w	2	
	mzw	?	<--+
	dzw	?	
mult_ds	x	7	---+
line:7	y	2	
	xx	?	<--+
	yy	?	
dub_sq	x	7	---+
line:1	sq	?	

Demo of Function Calls 4

```
1 let dub_sqr x =
2   let sq = x*x in
3   2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sqr x in
8   let yy = dub_sqr y in
9   xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sqr z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

dub_sqr completes, returns value
up a frame to mult_ds

FRAME	SYMBOL	VALUE	
init	dub_sqr	<fun>	
line:22	mult_ds	<fun>	
	main	<fun>	
main	z	7	
line:15	w	2	
	mzw	?	<--+
	dzw	?	
mult_ds	x	7	---+
line:7	y	2	
	xx	?	<--+
	yy	?	
			98
dub_sq	x	7	---+
line:3	sq	49	

Exercise: Demo of Function Calls 5

```
1 let dub_sq x =
2   let sq = x*x in
3   2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sq x in
8   let yy = dub_sq y in
9   xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sq z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

after returning, frame for dub_sq
pops off function call stack,
answer stored in xx

FRAME	SYMBOL	VALUE	
init	dub_sq	<fun>	
line:22	mult_ds	<fun>	
	main	<fun>	
main	z	7	
line:15	w	2	
	mzw	?	<--
	dzw	?	
mult_ds	x	7	---
line:8	y	2	
	xx	98	
	yy	?	

Show the call stack on next
reaching line 3 (in dub_sq)

Answers: Demo of Function Calls 6

```
1 let dub_sq x =
2   let sq = x*x in
3   2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sq x in
8   let yy = dub_sq y in
9   xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sq z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

```
dub_sq: x param is 2 this time
return 8 to frame above
```

FRAME	SYMBOL	VALUE	
init	dub_sq	<fun>	
line:22	mult_ds	<fun>	
	main	<fun>	
main	z	7	
line:15	w	2	
	mzw	?	<--+
	dzw	?	
mult_ds	x	7	---
line:8	y	2	
	xx	98	
	yy	?	<--+
			8
dub_sq	x	2	---
line:3	sq	4	

Demo of Function Calls 7

```
1 let dub_sqr x =
2   let sq = x*x in
3     2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sqr x in
8   let yy = dub_sqr y in
9     xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sqr z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

answers stored in mult_ds yy
mult_ds now ready to return

FRAME	SYMBOL	VALUE	
-----+	-----+	-----+	
init	dub_sqr	<fun>	
line:22	mult_ds	<fun>	
	main	<fun>	
-----+	-----+	-----+	
main	z	7	
line:15	w	2	
	mzw	?	<--+
	dzw	?	
-----+	-----+	-----+	784
mult_ds	x	7	---+
line:9	y	2	
	xx	98	
	yy	8	
-----+	-----+	-----+	

Exercise: Demo of Function Calls 8

```
1 let dub_sqr x =
2   let sq = x*x in
3     2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sqr x in
8   let yy = dub_sqr y in
9     xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sqr z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

mult_ds frame pops off stack

FRAME	SYMBOL	VALUE
init	dub_sqr	<fun>
line:22	mult_ds	<fun>
	main	<fun>
main	z	7
line:16	w	2
	mzw	784
	dzw	?

What happens next?

How does the value for dzw get determined?

Answers: Demo of Function Calls 9

```
1 let dub_sqr x =
2   let sq = x*x in
3     2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sqr x in
8   let yy = dub_sqr y in
9     xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sqr z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

dub_sq called with param 7
returns 98 to frame above

FRAME	SYMBOL	VALUE	
-----+	-----+	-----+	
init	dub_sqr	<fun>	
line:22	mult_ds	<fun>	
	main	<fun>	
-----+	-----+	-----+	
main	z	7	
line:16	w	2	
	mzw	784	
	dzw	?	<--+
-----+	-----+	-----+	98
dub_sq	x	7	---+
line:3	sq	49	
-----+	-----+	-----+	

Demo of Function Calls 10

```
1 let dub_sqr x =
2   let sq = x*x in
3   2 * sq
4 ;;
5
6 let mult_ds x y =
7   let xx = dub_sqr x in
8   let yy = dub_sqr y in
9   xx * yy
10 ;;
11
12 let main () =
13   let z = 7 in
14   let w = 2 in
15   let mzw = mult_ds z w in
16   let dzw = dub_sqr z in
17   printf "z: %d w: %d\n" z w;
18   printf "mzw: %d\n" mzw;
19   printf "dzw: %d\n" dzw;
20 ;;
21
22 main ();;
```

dub_sq frame pops off
main proceeds with printing

FRAME	SYMBOL	VALUE
init	dub_sqr	<fun>
line:22	mult_ds	<fun>
	main	<fun>
main	z	7
line:16	w	2
	mzw	784
	dzw	98
printf	format	"z:.."
line:??	??	7
	??	2

printf is like any other function:
gets parameters pushed onto stack,
eventually returns unit

Call Stack Wrap

- ▶ All sensible programming languages implement function calls/activation records, mostly like what is shown
- ▶ Demo shows a **model** of how to understand function calls/activation records
 - All models are wrong. Some models are useful.*
 - George Box
- ▶ The model is definitely **wrong**
 - ▶ details of control transfer / return values are squiggly
 - ▶ haven't specified where values are actually stored
 - ▶ real CPU's don't track line #'s,
 - ▶ haven't dealt with anything except `int` values
- ▶ The model is **useful** because it is **accurate**: predicts the behavior of the program without needing above details

Recursive Functions and Activation Records

- ▶ Recursive functions work identically to normal functions
- ▶ Calling a recursive function creates a frame with local bindings
- ▶ Recursing creates another frame, potentially different bindings
- ▶ Hitting a base case returns a value, pops a frame off the stack

Recursive Calls Demo 1

```
1 let rec fact n =
2   if n=1 || n=0 then
3     1
4   else
5     let fm1 = fact (n-1) in
6     n*fm1
7 ;;
8
9 let ans = fact 5 in
10 printf "%d\n" ans;;
```

(B) Recursive case: another frame

FRAME	SYMBOL	VALUE	
init	fact	<fun>	
line:9	ans	??	<-+
fact	n	5	---+
line:5	fm1	??	<-+
fact	n	4	---+
line:1	fm1	??	

(A) Initial call to fact

FRAME	SYMBOL	VALUE	
init	fact	<fun>	
line:9	ans	??	<-+
fact	n	5	---+
line:1	fm1	??	

(C) Stacked recursive calls, reached base case

FRAME	SYMBOL	VALUE	
init	fact	<fun>	
line:9	ans	??	<-+
fact	n	5	---+
line:5	fm1	??	<-+
fact	n	4	---+
line:5	fm1	??	<-+
fact	n	3	---+
line:5	fm1	??	<-+
fact	n	2	---+
line:5	fm1	??	<-+
fact	n	1	---+
line:3	fm1	??	

Recursive Calls Demo 2

```
1 let rec fact n =
2   if n=1 || n=0 then
3     1
4   else
5     let fm1 = fact (n-1) in
6     n*fm1
7 ;;
8
9 let ans = fact 5 in
10 printf "%d\n" ans;;
```

(E) Another frame pops, return answer up

FRAME	SYMBOL	VALUE	
init	fact	<fun>	
line:9	ans	??	<-+
fact	n	5	---+
line:5	fm1	??	<-+
fact	n	4	---+
line:5	fm1	??	<-+
fact	n	3	---+
line:5	fm1	2	---+

(D) Popped lowest frame off, up one level

FRAME	SYMBOL	VALUE	
init	fact	<fun>	
line:9	ans	??	<-+
fact	n	5	---+
line:5	fm1	??	<-+
fact	n	4	---+
line:5	fm1	??	<-+
fact	n	3	---+
line:5	fm1	??	<-+
fact	n	2	---+
line:5	fm1	1	---+

(F) Stack "unwound", final answer returning

FRAME	SYMBOL	VALUE	
init	fact	<fun>	
line:9	ans	??	<-+
fact	n	5	---+
line:5	fm1	24	---+

Exercise: Two Formulations of Summation

- ▶ Consider two recursive summing functions shown
- ▶ Both use recursion to sum numbers in a given range
- ▶ **Naive** compilers will build stack frames in both cases
- ▶ However, **a major difference** between these formulations (?)

```
let rec sum_em_NT i stop =
  if i=stop then
    stop
  else
    let rest = sum_em_NT (i+1) stop in
    i+rest
```

```
;;
let sum4 = sum_em_NT 1 4 in ...
```

FRAME	SYMBOL	VALUE	
sum_em_NT	i	1	
line:5	stop	4	
	rest	??	<-+
sum_em_NT	i	2	---+
line:5	stop	4	
	rest	??	<-+
sum_em_NT	i	3	---+
line:5	stop	4	
	rest	??	<-+

```
let rec sum_em_TR i stop sum =
  if i=stop then
    stop+sum
  else
    sum_em_TR (i+1) stop (i+sum)
;;
```

```
let sum4 = sum_em_TR 1 4 0 in ...
```

FRAME	SYMBOL	VALUE	^
sum_em_TR	i	1	
line:5	stop	4	
	sum	0	
sum_em_TR	i	2	
line:5	stop	4	^
	sum	1	
sum_em_TR	i	3	
line:5	stop	4	^
	sum	3	

Answers: Two Formulations of Summation

- ▶ `sum_NT` recurses, then adds to compute final answer
 - ▶ Frames above get answers from frames below, add and return
- ▶ `sum_TR` adds, then recurses (no downward dependence)
 - ▶ Frames above add, then return answer from frame below

```
let rec sum_em_NT i stop =
  if i=stop then
    stop
  else
    let rest = sum_em_ET (i+1) stop in
    i+rest
```

```
;;
let sum4 = sum_em_NT 1 4 in ...
```

FRAME	SYMBOL	VALUE	
sum_em_NT	i	1	
line:5	stop	4	
	rest	??	<-+
sum_em_NT	i	2	--+
line:5	stop	4	
	rest	??	<-+
sum_em_NT	i	3	--+
line:5	stop	4	
	rest	??	<-+

```
let rec sum_em_TR i stop sum =
  if i=stop then
    stop+sum
  else
    sum_em_TR (i+1) stop (i+sum)
;;
```

```
let sum4 = sum_em_TR 1 4 0 in ...
```

FRAME	SYMBOL	VALUE	
sum_em_TR	i	1	
line:5	stop	4	
	sum	0	
sum_em_TR	i	2	
line:5	stop	4	
	sum	1	
sum_em_TR	i	3	
line:5	stop	4	
	sum	3	

Tail Call Optimization

- ▶ **Tail Call:** Return the value of produced by a function call without modification, often the case in recursive functions
- ▶ A semi-sophisticated compiler will recognize lack of downward dependence and implement a **tail call optimization**
- ▶ Re-use existing Frame for the final function call

STANDARD IMPLEMENTATION: linear stack growth

FRAME	SYM	V	FRAME	SYM	V	FRAME	SYM	V
sum_em_TR	i	1	sum_em_TR	i	1	sum_em_TR	i	1
line:5	stop	4	line:5	stop	4	line:5	stop	4
	sum	0		sum	0		sum	0
			sum_em_TR	i	2	sum_em_TR	i	2
			line:5	stop	4	line:5	stop	4
				sum	1		sum	1
						sum_em_TR	i	3
						line:5	stop	4
							sum	3

TAIL CALL OPTIMIZATION: constant stack space

FRAME	SYM	V	FRAME	SYM	V	FRAME	SYM	V
sum_em_TR	i	1	sum_em_TR	i	2	sum_em_TR	i	3
line:5	stop	4	line:5	stop	4	line:5	stop	4
	sum	0		sum	1		sum	3

Helpers and Tail Recursion

- ▶ Tail recursion often requires extra "auxiliary" parameters
- ▶ To avoid extra params in public-facing interfaces, internal tail-recursive helper functions are often used

```
1 (* Typical implementation of a
2    summing function; main interface
3    takes start and stop; internal
4    recursive helper function tracks
5    index i, has parameter for sum
6    to allow it to be tail
7    recursive *)
8 let sum_em start stop =
9   let rec helper i sum =
10    if i=stop then
11      stop+sum
12    else
13      helper (i+1) (i+sum)
14   in
15   helper start 0
16 ;;
```

```
1 (* Factorial implementation with
2    internal tail-recursive helper
3    function; avoids the need to
4    pass extra params to main
5    function. *)
6 let factorial n =
7   let rec fact i prod =
8     if i > n then
9       prod
10      else
11        fact (i+1) (i*prod)
12   in
13   fact 1 1
14 ;;
```

Exercise: Recognizing Tail-Recursive Functions

- ▶ Consider the following 3 recursive definitions of a list min operation A, B, C
- ▶ All throw exceptions on empty lists
- ▶ Which are tail recursive?

```
1 let list_min_A list =
2   let rec helper curmin lst =
3     if lst=[] then
4       curmin
5     else
6       let head = List.hd lst in
7       let tail = List.tl lst in
8       let tmin = helper curmin tail in
9       if head<tmin then
10        head
11      else
12        tmin
13  in
14  helper (List.hd list) (List.tl list)
15  ;;
```

```
16 let list_min_B list =
17   let rec helper curmin lst =
18     if lst=[] then
19       curmin
20     else
21       let head = List.hd lst in
22       let tail = List.tl lst in
23       let newmin =
24         if head<curmin then
25           head
26         else
27           curmin
28       in
29       helper newmin tail
30   in
31   helper (List.hd list) (List.tl list)
32  ;;
33
34 let rec list_min_C list =
35   let head = List.hd list in
36   let tail = List.tl list in
37   if tail=[] then
38     head
39   else
40     let tmin = list_min_C tail in
41     if head<tmin then
42       head
43     else
44       tmin
45  ;;
```

Answers:: Recognizing Tail-Recursive Functions

- ▶ Only B is tail recursive: call is done as final step of recursive case
- ▶ A,C do selection after recursion

```
1 let list_min_A list =
2   let rec helper curmin lst =
3     if lst=[] then
4       curmin
5     else
6       let head = List.hd lst in
7       let tail = List.tl lst in
8       let tmin = helper curmin tail in
9       if head<tmin then (* select after *)
10        head (* recursion *)
11      else (* NOT tail- *)
12        tmin (* recursive *)
13   in
14   helper (List.hd list) (List.tl list)
15 ;;
```

```
16 let list_min_B list =
17   let rec helper curmin lst =
18     if lst=[] then
19       curmin
20     else
21       let head = List.hd lst in
22       let tail = List.tl lst in
23       let newmin =
24         if head<curmin then
25           head
26         else
27           curmin
28       in (* recurse last *)
29       helper newmin tail (* IS tail- *)
30   in (* recursive *)
31   helper (List.hd list) (List.tl list)
32 ;;
33
34 let rec list_min_C list =
35   let head = List.hd list in
36   let tail = List.tl list in
37   if tail=[] then
38     head
39   else (* recurse *)
40     let tmin = list_min_C tail in
41     if head<tmin then (* then select *)
42       head (* answer *)
43     else (* NOT tail- *)
44       tmin (* recursive *)
45 ;;
```

Tail Call Wrap

- ▶ Tail Call: return a value generated by calling a function without modification
- ▶ Tail Call Optimization: Re-use existing stack frame for the next function call
- ▶ Can often be done with recursive calls, sometimes in other situations
- ▶ Enabled in source code but ultimately **done by the compiler**
- ▶ Not all PL/Env support tail call optimizations

PL/Env	TC Opt?	Notes
OCaml	Yes	Cause it rules
SML/NJ	Yes	Most ML dialects support tail call opt
Scheme	Yes	Required by Scheme spec
Common Lisp	Maybe	Some implementations support it
C / gcc	Maybe	Compiler options may do it
Java	No	JVM generally preserves stack frames
Python	No	Not supported